

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# South32 Worsley Alumina

CERTIFICATE NUMBER

409

ASI STANDARD

CHAIN OF CUSTODY  
(V2 2022)

CERTIFICATION LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITING FIRM

KPMG AUSTRALIA

DATE OF ISSUE

11 NOVEMBER 2024

DATE OF EXPIRY

10 NOVEMBER 2027

CERTIFIED SINCE

11 NOVEMBER 2024

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. Hall', with a long horizontal line extending to the right.

CERTIFICATION SCOPE

Boddington Bauxite Mine, the  
Worsley Alumina Refinery in Collie  
and the associated port facility in  
Bunbury (Australia).

Aluminium Stewardship Initiative Ltd  
ACN 606 661 125, Australia  
[info@aluminium-stewardship.org](mailto:info@aluminium-stewardship.org)

*Validity of this Certificate is subject to  
continued conformance with the  
applicable ASI Standard and can be  
verified at*  
[www.aluminium-stewardship.org](http://www.aluminium-stewardship.org)

# AUDIT REPORT

## CHAIN OF CUSTODY

### STANDARD

#### OVERVIEW

MEMBER NAME	South32 Worsley Alumina
ENTITY NAME	South32 Worsley Alumina Pty Ltd
CERTIFICATION SCOPE	Boddington Bauxite Mine, the Worsley Alumina Refinery in Collie and the associated port facility in Bunbury (Australia).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>Bauxite Mining</li><li>Alumina Refining</li></ul>
ASI STANDARD	<ul style="list-style-type: none"><li>Chain of Custody Standard V2</li></ul>
AUDIT TYPE	<ul style="list-style-type: none"><li>Initial Certification Audit</li></ul>
AUDIT FIRM	KPMG Australia
AUDIT DATE	<ul style="list-style-type: none"><li>1 March – 26 September 2024</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>21 October 2024</li></ul>
AUDIT SCOPE	<p>The Audit Scope included the Boddington Bauxite Mine, the Worsley Alumina Refinery, and the related port facilities and administrative functions.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>Bauxite Mining</li><li>Alumina Refining</li></ul> <p>All applicable criteria in the ASI Chain of Custody Standard were included in the Audit Scope.</p>
AUDIT OUTCOME	Certification
AUDIT METHODOLOGY DECLARATION	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"><li><input checked="" type="checkbox"/> The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this Report.</li><li><input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.</li><li><input checked="" type="checkbox"/> The Audit Scope and Audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope.</li><li><input checked="" type="checkbox"/> The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.</li></ul>
CERTIFICATION PERIOD	11 November 2024 – 10 November 2027

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NEXT AUDIT TYPE                      Surveillance Audit

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NEXT AUDIT DUE DATE                10 May 2026

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CERTIFICATE NUMBER                 409

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If you have an inquiry or complaint about this Certification, go to the third-party EthicsPoint portal at: <https://aluminium-stewardship.ethicspoint.com/>

EthicsPoint is a comprehensive and confidential reporting tool that enables complaints to be securely raised, managed and responded to. This enables anonymity to be maintained where desired by complainants, or as relevant to whistleblowing situations.

Information is available in five languages – English, French, Chinese, German and Portuguese (Brazil). Translation services provided by EthicsPoint enable complaints and correspondence to be managed in multiple languages.

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## ENTITY OVERVIEW

Worsley Alumina (the 'Entity') is an integrated Bauxite mining and Alumina refining operation in the south-west of Western Australia. The Entity consists of the Bauxite Mine in Boddington and the Alumina Refinery in Collie. Other relevant facilities and infrastructure include the Bauxite conveyor and the port located in Bunbury. The Entity is a part of South32, a global mining and metals company that produces commodities from operations in Australia, Southern Africa and South America, with the Group headquarters in Perth, Western Australia.

The Boddington Bauxite Mine, which commenced in 1983, is located five kilometres (km) from the town of Boddington, approximately 130 km south-east of Perth. It is situated primarily on a mining lease granted under the Alumina Refinery (Worsley) Agreement Act 1973 (Worsley State Agreement), which stretches from the Shire of Brookton in the north to the Shire of Collie in the south and covers approximately 28,000 hectares. Bauxite ore is mined and transported to crushing facilities and the crushed ore is then transported via conveyors to the Alumina Refinery, with approximately 18,800,000 tonnes per annum. The site has a continuous process of mining and rehabilitation. The Mine is a long-term operation with a current expected ore reserve life of over ten years (based on a total ore reserve of 236 Mt).

The Entity currently operates with two primary approvals for mining activities within the Saddleback, Marradong, Hotham North and Extended Mining Areas, although operational mining currently occurs only within the Saddleback and Marradong areas. Additional Bauxite resources have been confirmed in the region since the existing primary approvals were granted, and as such environmental approvals (consolidated Environmental Protection Act (State) and Environmental Protection and Biodiversity Conservation Act (Federal)) were sought to expand the mining operation and enable access to additional resource areas, inside and adjacent to, current operational mining areas. The public environmental review to assess the potential environmental impacts covered a period of five years. During the EPA assessment, stakeholders and community groups were provided with additional consultation time beyond. In July 2024, the Environmental Protection Authority (EPA) recommended that the mine expansion project be implemented with conditions related to additional rehabilitation and offset requirements and adherence to exclusion zones around waterbodies and significant flora and fauna. A final decision on the expansion proposal will be made following a three week period open to public appeal.

The Alumina Refinery operates over a 6,000 hectare area and produces approximately 4.6 million tonnes of Alumina, destined for South32's Hillside (South Africa) and Mozal (Mozambique) smelters and other Aluminium smelters around the world. Construction of the Refinery commenced in 1980, and the first Alumina was produced in 1984. It is located approximately 15 km north-west of Collie on the Darling Plateau within the Augustus (minor) and Brunswick (major) river water catchments and the Collie (minor) and Bunbury (major) airsheds. It is principally surrounded by State forest with some broadscale farming properties, including isolated farmhouses. The nearest residence is approximately seven km from the boundary, and the nearest urban location is Allanson approximately 11 km south.

The process at the Refinery to produce calcined Alumina includes the key elements of grinding, digestion, clarification, precipitation/seed preparation, liquor burning, calcination and a Bauxite Residue Drying Area.

There are approximately 300 employees and 200 contractors at the Mine site and approximately 1,200 employees, with 240 women, plus contractors at the Refinery. Relevant external stakeholders include various regulatory bodies including the Department of Water and Environmental Regulation and Department of Energy (DWER), the Department of Mines, Industrial Regulation and Safety (DMIRS), local government and the Community Liaison Committee.

## MATURITY RATINGS

A rating of maturity (low, medium or high) determined by the Auditor that provides a general assessment in terms of systems, Residual Risk and performance assigned to a Sustainability Component.

Maturity ratings are not a direct assessment of conformance to the Standard.

OVERALL	
<b>SYSTEMS</b>	Medium
<b>RISKS</b>	Medium
<b>PERFORMANCE</b>	Medium
<b>OVERALL</b>	<b>MEDIUM</b>

## FINDINGS

CRITERION	RATING	COMMENT
1. MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI Membership	Conformance	The Entity is certified against the ASI Performance Standard Version 3 and is an ASI Production and Transformation Member. The Entity's Certification is available on the South32 Worsley ASI Member page at: <a href="https://aluminium-stewardship.org/about-asi/members/South32-Worsley-Alumina">https://aluminium-stewardship.org/about-asi/members/South32-Worsley-Alumina</a>
1.2 CoC Management System	Conformance	The Entity has an established Management System that addresses all applicable requirements of the ASI Chain of Custody Standard. This is supported by two operational level work instructions that specifically address the preparation of the CoC Material Accounting Tool and the process of developing and delivering CoC Documents.
1.3 CoC Management System Monitoring	Conformance	The Entity's Management System has incorporated scheduled actions within its Obligations Management System to ensure it is periodically reviewed, including features to verify task completion and the assignment of responsible ownership over tasks. The Entity has provided evidence to demonstrate that relevant CoC review activities have been integrated within the Management System.
1.4 Management Representative	Conformance	The Entity has nominated a Management Representative with overall responsibility and authority for the Entity's Conformance with all applicable requirements of the ASI Chain of Custody Standard. It was confirmed during the site interview that the nominated individual can effectively engage with all the relevant parts of the Business that will have responsibilities for Conformance with the ASI Chain of Custody Standard.
1.5 Communications and Training	Conformance	The Entity had established and commenced implementation of communications and training measures to ensure awareness and competency for relevant personnel responsibilities under the ASI Chain of Custody Standard. The Entity has provided evidence of the training modules developed and the communication process for delivering these to relevant roles requiring training. The training modules have also been incorporated within the Entity's automated training system and include the following roles: Chemists, Logistics, Process Planning and Analysis, Production Planning and other personnel with specific accountabilities under the ASI Chain of Custody Standard.
1.6 Records Management	Conformance	The Entity has an established record management system which maintains a minimum 10-year document retention policy in line with the Entity's business standards and addressing all applicable requirements of the ASI Chain of Custody Standard.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity has designed and implemented an accounting tool that captures and totals the required metrics. The Management Representative has responsibility to review, approve and submit the CoC Material Report to the ASI Secretariat annually by 30 June.

CRITERION	RATING	COMMENT
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	The Entity has designed and implemented an accounting tool that captures and totals the required metrics. The Management Representative has responsibility to review, approve and submit the CoC Material Report to the ASI Secretariat annually by 30 June.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity has designed and implemented an accounting tool that captures and totals the required metrics. The Management Representative has responsibility to review, approve and submit the CoC Material Report to the ASI Secretariat annually by 30 June.
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity has designed and implemented an accounting tool that captures and totals the required metrics. The Management Representative has responsibility to review, approve and submit the CoC Material Report to the ASI Secretariat annually by 30 June.
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity has designed and implemented an accounting tool that captures and totals the required metrics. The Management Representative has responsibility to review, approve and submit the CoC Material Report to the ASI Secretariat annually by 30 June.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity has designed and implemented an accounting tool that captures and totals the required metrics. The Management Representative has responsibility to review, approve and submit the CoC Material Report to the ASI Secretariat annually by 30 June.
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	The Entity has designed and implemented an accounting tool that captures and totals the required metrics. The Management Representative has responsibility to review, approve and submit the CoC Material Report to the ASI Secretariat annually by 30 June.

## 2. OUTSOURCING CONTRACTORS

2.1 Certification Scope	Not Applicable	This Criterion is not applicable to the Entity, as it does not have Outsourcing Contractors included within its Certification Scope.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	This Criterion is not applicable to the Entity, as it does not have Outsourcing Contractors included within its Certification Scope.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	This Criterion is not applicable to the Entity, as it does not have Outsourcing Contractors included within its Certification Scope.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	This Criterion is not applicable to the Entity, as it does not have Outsourcing Contractors included within its Certification Scope.
2.3 Information on Quantity of CoC Material Output and Returned	Not Applicable	This Criterion is not applicable to the Entity, as it does not have Outsourcing Contractors included within its Certification Scope.
2.4 Consistency in Inflow and Outflow Quantity of	Not Applicable	This Criterion is not applicable to the Entity, as it does not have Outsourcing Contractors included within its Certification Scope.

CRITERION	RATING	COMMENT
CoC Material to/from Outsourcing Contractor		
2.5 Error (Outsourcing Contractor)	Not Applicable	This Criterion is not applicable to the Entity, as it does not have Outsourcing Contractors included within its Certification Scope.
<b>3. PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI ALUMINIUM</b>		
3.1a ASI Bauxite (CoC Certification Scope)	Conformance	The Entity produces all its Bauxite from the Boddington Bauxite Mine, which is within the CoC Certification Scope and under the Entity's operational control.
3.1b ASI Bauxite (Performance Standard)	Conformance	The Entity produces all its Bauxite from the Boddington Bauxite Mine, which is within the ASI Performance Standard Certification Scope. The Certification is available on the South32 Worsley Alumina ASI Member page: <a href="https://aluminium-stewardship.org/about-asi/members/South32-Worsley-Alumina">https://aluminium-stewardship.org/about-asi/members/South32-Worsley-Alumina</a>
3.1c ASI Bauxite (Bauxite sourcing)	Conformance	The Entity produces all its Bauxite from the Boddington Bauxite Mine, which is within the CoC Certification Scope and under the Entity's operational control. No Bauxite is sourced from other parties or via Traders.
3.2a ASI Alumina (CoC Certification Scope)	Conformance	The Entity undertakes all Alumina Refining at the Worsley Alumina Refinery, which is within the CoC Certification Scope and under the Entity's operational control.
3.2b ASI Alumina (Performance Standard)	Conformance	The Entity undertakes all Alumina Refining at the Worsley Alumina Refinery, which is within the ASI Performance Standard Certification scope. The Certification is available on the South32 Worsley Alumina ASI Member page: <a href="https://aluminium-stewardship.org/about-asi/members/South32-Worsley-Alumina">https://aluminium-stewardship.org/about-asi/members/South32-Worsley-Alumina</a>
3.2c ASI Alumina (Bauxite sourcing)	Conformance	The Entity undertakes all Alumina Refining at the Worsley Alumina Refinery, which is within the CoC Certification Scope and under the Entity's operational control. No Alumina is sourced from other parties or via Traders.
3.3a ASI Aluminium (CoC Certification Scope)	Conformance	This Criterion is not applicable to the Entity's Certification Scope.
3.3b ASI Aluminium (Performance Standard)	Conformance	This Criterion is not applicable to the Entity's Certification Scope.
3.3c ASI Aluminium (Alumina sourcing)	Conformance	This Criterion is not applicable to the Entity's Certification Scope.
<b>4. RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP</b>		
4.1a Recycled Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
4.1b Recycled Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2a Eligible Scrap (Pre-Consumer)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2b Eligible Scrap (Post-Consumer)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2c Eligible Scrap (Dross)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

#### 5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM

5.1a ASI Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.1b ASI Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.1c ASI Aluminium (Aluminium sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.2 Unique Identification	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

#### 6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM

6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

#### 7. DUE DILIGENCE FOR NON-COC MATERIAL, COC MATERIAL ACQUIRED THROUGH A TRADER AND RECYCLABLE SCRAP MATERIAL



CRITERION	RATING	COMMENT
7.1a Responsible Sourcing Policy (Anti-corruption)	Not Applicable	This Criterion is not applicable to the Entity, as it does not acquire Non-CoC Material, CoC Material from a Trader, and/or Recyclable Scrap Material is not used within the Entity's process. Nonetheless, the Entity implements a Due Diligence process for their supply chain including a responsible sourcing Policy that addresses anti-Corruption.
7.1b Responsible Sourcing Policy (Responsible sourcing)	Not Applicable	This Criterion is not applicable to the Entity, as it does not acquire Non-CoC Material, CoC Material from a Trader, and/or Recyclable Scrap Material is not used within the Entity's process. Nonetheless, the Entity implements a Due Diligence process for their supply chain and the responsible sourcing Policy 'Sustainability and Business Conduct – Minimum Supplier Requirements' is publicly available at: <a href="https://www.south32.net/docs/default-source/general-library/suppliers/supplier-minimum-requirements-(english).pdf?sfvrsn=7d10e548_1">https://www.south32.net/docs/default-source/general-library/suppliers/supplier-minimum-requirements-(english).pdf?sfvrsn=7d10e548_1</a>
7.1c Responsible Sourcing Policy (Human rights due diligence)	Not Applicable	This Criterion is not applicable to the Entity, as it does not acquire Non-CoC Material, CoC Material from a Trader, and/or Recyclable Scrap Material is not used within the Entity's process. Nonetheless, the Entity implements a Due Diligence process for their supply chain regarding Human Rights through Human Rights Impact Assessments and Supplier Due Diligence.
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Not Applicable	This Criterion is not applicable to the Entity, as it does not acquire Non-CoC Material, CoC Material from a Trader, and/or Recyclable Scrap Material is not used within the Entity's process. Nonetheless, the Entity implements a Due Diligence process for their supply chain that ensures it does not contribute to armed conflict or Human Rights abuses in Conflict-Affected and High-Risk Areas.
7.2 Risk Assessment and Mitigation	Not Applicable	This Criterion is not applicable to the Entity, as it does not acquire Non-CoC Material, CoC Material from a Trader, and/or Recyclable Scrap Material is not used within the Entity's process. Nonetheless, the Entity implements a Supplier Due Diligence process over its supply chain.
7.3 Complaints Resolution Mechanism	Conformance	<p>The Entity has established a Complaints Resolution Mechanism that includes various communication channels that are available for interested parties to raise concerns on the Entity's supply chain. The South32 Supply Team is accountable for managing supply specific queries, as well as ensuring relevant departments are involved in the resolution process. A Supplier can contact the Entity by completing the Supplier query form at <a href="https://www.south32.net/suppliers/contact">https://www.south32.net/suppliers/contact</a>.</p> <p>For raising a business conduct concern, the South32 'Speak Up' process is available, which includes an anonymous EthicsPoint Reporting Hotline that is administered by an external and independent company: <a href="https://www.south32.net/about-us/corporate-governance/speak-up">https://www.south32.net/about-us/corporate-governance/speak-up</a></p>
<b>8. MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM</b>		
8.1 Material Accounting System	Conformance	The Entity has implemented a Material Accounting System to govern and report on Input Quantity and Output Quantity of CoC Material and Non-CoC Material. The system utilises available production reports and internal inventory systems to control and account for CoC Material flow and can account for Non-CoC Material should this be required in the future. The Entity's Material Accounting System records

CRITERION	RATING	COMMENT
		all CoC information required and includes calculations of CoC Material volumes as required by the ASI CoC Standard.
8.2 Material Accounting Period	Conformance	The Entity's Material Accounting Period follows a 12 month period from 1 January to 31 December.
8.3 Input and Inflow Quantities	Conformance	The Entity has implemented a Material Accounting System that records the Input and Inflow of CoC Material and accounts for the Output Quantity of CoC Material and Non-CoC Material. No Scrap Material is used within the Entity's processes.
8.4 Output Quantities of CoC Material	Conformance	The Entity has implemented a Material Accounting System that records the Input and Inflow of CoC Material and accounts for the Output Quantity of CoC Material and Non-CoC Material. No Scrap Material is used within the Entity's processes.
8.5 Indivisibility of CoC Material	Conformance	The Entity's Material Accounting System applies indivisibility of CoC Material and has in-built controls to ensure that Output does not exceed Input. The Entity has specified within the Worsley Refinery ASI CoC Material Accounting Tool Work Instruction that the Output Quantity of CoC Material is to be designated as 100% CoC Material and has implemented review procedures based on the proportion of CoC Material within raw feed stocks.
8.6 Output Quantity of Eligible Scrap	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity's Material Accounting System applies indivisibility of CoC Material and has in built controls to ensure that Output does not exceed Input. The Entity has specified within the Worsley Refinery ASI CoC Material Accounting Tool Work Instruction that the Output Quantity of CoC Material is to be designated as 100% CoC Material and has implemented review procedures based on the proportion of CoC Material within raw feed stocks.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity has integrated controls within the Material Accounting System to ensure that the Internal Overdraw does not exceed 20% of total Input Quantity of CoC Material for the Material Accounting Period. This is also detailed within the Internal Work Instruction for preparation of the Material Accounting Tool as well as in-built alert features within the Tools itself notifying the user when Internal Overdraw boundaries are exceeded.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity has integrated controls within the Material Accounting System to ensure that the Internal Overdraw does not exceed the amount of CoC Material affected by the Force Majeure situation. This is also detailed within the Internal Work Instruction for preparation of the Material Accounting Tool as well as in-built alert features within the Tools itself notifying the user when Internal Overdraw boundaries are exceeded.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Entity has integrated controls within the Material Accounting System to ensure that the Internal Overdraw shall be made up within the subsequent Material Accounting Period. This is also detailed within the Internal Work Instruction for preparation of the Material Accounting

CRITERION	RATING	COMMENT
		Tool as well as in-built alert features within the Tools itself notifying the user when Internal Overdraw boundaries are exceeded.
8.9a Positive Balance (Carry over)	Conformance	The Entity's Material Accounting System calculation assures a Positive Balance of CoC Material at the end of a Material Accounting Period is carried over to the subsequent Material Accounting Period, as well as clearly identifying any carry over of a Positive Balance, in line with requirements in the ASI Chain of Custody Standard. This is also detailed within the Internal Work Instruction for preparation of the Material Accounting Tool.
8.9b Positive Balance (Expiry)	Conformance	The Entity's Material Accounting System indicates a Positive Balance generated in one Material Accounting Period and carried over to the subsequent Material Accounting Period including internal control mechanisms to indicate it shall expire at the end of that Period if not drawn down. This is also detailed within the Internal Work Instruction for preparation of the Material Accounting Tool.
<b>9. ISSUING COC DOCUMENTS</b>		
9.1 CoC Document	Conformance	The Entity has developed CoC documentation to accompany shipments or transfers of CoC Material in accordance with the ASI Chain of Custody Standard. A sample CoC Document was sighted during the site interview as part of the Audit.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity has developed CoC documentation to accompany shipments or transfers of CoC Material. A sample CoC Document was sighted during the site interview as part of the Audit.
9.2b CoC Document Content (Reference number)	Conformance	The Entity has developed CoC documentation to accompany shipments or transfers of CoC Material, including a reference number, which is linked to the Entity's Material Accounting System for verification purposes. A sample CoC Document was sighted during the site interview as part of the Audit.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity has developed CoC documentation to accompany shipments or transfers of CoC Material, including the identity, address and CoC Certification number of the Entity issuing the CoC Document. A sample CoC Document was sighted during the site interview as part of the Audit.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity has developed CoC documentation to accompany shipments or transfers of CoC Material, including the identity and address of the customer receiving the CoC Material, and if it is another CoC Certified Entity. A sample CoC Document was sighted during the site interview as part of the Audit.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity has developed CoC documentation to accompany shipments or transfers of CoC Material, including the responsible employee of the Entity who can verify information in the CoC Document. A sample CoC Document was sighted during the site interview as part of the Audit.

CRITERION	RATING	COMMENT
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity has developed CoC documentation to accompany shipments or transfers of CoC Material, including a statement confirming the Conformance with the ASI CoC Standard. A sample CoC Document was sighted during the site interview as part of the Audit.
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity has developed CoC documentation to accompany shipments or transfers of CoC Material, including the type of CoC Material in the shipment. A sample CoC Document was sighted during the site interview as part of the Audit.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity has developed CoC documentation to accompany shipments or transfers of CoC Material, including the mass of CoC Material in the shipment. A sample CoC Document was sighted during the site interview as part of the Audit.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity has developed CoC documentation to accompany shipments or transfers of CoC Material, including the mass of total material in the shipment. A sample CoC Document was sighted during the site interview as part of the Audit.
9.3a Sustainability Data (optional) - Carbon footprint	Not Applicable	This Criterion is not applicable to the Entity, as it will not be including Sustainability Data in their CoC Documents.
9.3b Sustainability Data (optional) - Origin information	Not Applicable	This Criterion is not applicable to the Entity, as it will not be including Sustainability Data in their CoC Documents.
9.3c Sustainability Data (optional) - Recycled content	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.4 Supplementary Information (optional) - Objective evidence	Not Applicable	This Criterion is not applicable to the Entity, as it will not be including Supplementary Information in their CoC Documents.
9.5 Verification of Information	Conformance	The Entity has implemented a communication system to respond to requests for verification of information in the CoC Documents, which will be governed by the Customer Service and Marketing teams. A sample CoC Document was sighted during the site visit that detailed a responsible person to be contacted for any enquiries.
9.6 Error (Shipping)	Conformance	The Entity has implemented a Management System to address any errors that are identified post-shipment of CoC Material. After receiving notification of an error, it will be lodged in the Management System and a communication channel will be established with the customer, and any actions will be raised and monitored by the responsible CoC control owners.

CRITERION	RATING	COMMENT
<b>10. RECEIVING CoC DOCUMENTS</b>		
10.1 Verification of CoC Documents	Not Applicable	This Criterion is not applicable to the Entity, as it does not purchase any CoC Material or receive CoC Documents.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Not Applicable	This Criterion is not applicable to the Entity, as it does not purchase any CoC Material or receive CoC Documents.
10.3 Verification of Supplier's ASI CoC Certification	Not Applicable	This Criterion is not applicable to the Entity, as it does not purchase any CoC Material or receive CoC Documents.
10.4 Error (Reception)	Not Applicable	This Criterion is not applicable to the Entity, as it does not purchase any CoC Material or receive CoC Documents.

<b>11. CLAIMS AND COMMUNICATIONS</b>		
11.1a Claims and Communications (ASI Claims Guide)	Not Applicable	This Criterion is not applicable to the Entity, as it does not make claims or representations about CoC Material outside of CoC Documents.
11.1b Claims and Communications (Verifiable evidence)	Not Applicable	This Criterion is not applicable to the Entity, as it does not make claims or representations about CoC Material outside of CoC Documents.
11.1c Claims and Communications (Employee training)	Not Applicable	This Criterion is not applicable to the Entity, as it does not make claims or representations about CoC Material outside of CoC Documents.

#### ASI LIMITATION OF LIABILITY DISCLAIMER

Organisations that make ASI-related claims are each responsible for their own compliance with Applicable Law, including laws and regulations related to labelling, advertisement, and consumer protection, and competition or antitrust laws, at all times. ASI does not accept liability for any violations of Applicable Law or any infringement of third-party rights (each a Breach) by other organisations, even where such Breach arises in relation to, or in reliance upon, any ASI Standard, document or other material, recommendation or directive issued by or on behalf of ASI. ASI gives no undertaking, representation or warranty that compliance with an ASI Standard, document or other material, recommendation or directive issued by or on behalf of ASI will result in compliance with any Applicable law, or will avoid any Breach from occurring.

#### DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	11 November 2024	Initial Certification Audit – Full Certification