

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

Zouping Hongfa Aluminum
Technology Co., Ltd.
Zouping Dingrui Renewable
Resources Co., Ltd.

CERTIFICATE NUMBER

396

ASI STANDARD

CHAIN OF CUSTODY
(V2 2022)

CERTIFICATION LEVEL

FULL
CERTIFICATION

ASI ACCREDITED AUDITING
FIRM

DNV BUSINESS
ASSURANCE
SERVICES UK LTD.

DATE OF ISSUE

1 OCTOBER 2024

DATE OF EXPIRY

30 SEPTEMBER 2027

CERTIFIED SINCE

1 OCTOBER 2024

AUTHORISED BY

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

Aluminium Stewardship Initiative Ltd
ACN 606 661 125, Australia
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*

CERTIFICATION SCOPE

Zouping Hongfa includes the research and development, production and sales of Aluminum alloy rolling products, including can body material, can cover material, Aluminium foil blank and other Aluminium related products, located in Binzhou City, China. The subsidiary ZouPing Dingrui is responsible for the manufacture of non-ferrous metal processing, located in Binzhou City, China.

AUDIT REPORT

CHAIN OF CUSTODY

STANDARD

OVERVIEW

MEMBER NAME	China Hongqiao Group Co., Ltd.
ENTITY NAME	Zouping Hongfa Aluminum Technology Co., Ltd. Zouping Dingrui Renewable Resources Co., Ltd.
CERTIFICATION SCOPE	Zouping Hongfa includes the research and development, production and sales of Aluminum alloy rolling products, including can body material, can cover material, Aluminium foil blank and other Aluminium based products, located in Binzhou City, China. The subsidiary Zouping Dingrui is responsible for the manufacture of non-ferrous metal processing, located in Binzhou City, China.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">Aluminium Re-melting/RefiningCasthousesPost-Casthouse
ASI STANDARD	Chain of Custody Standard V2
AUDIT TYPE	<ul style="list-style-type: none">Initial Certification Audit
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none">29 – 30 August 2024
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">13 September 2024
AUDIT SCOPE	<p>The Audit Scope included Aluminum liquid direct melting ingot Casting, hot continuous rolling, cold rolling, finishing production processes at Zouping Hongfa Aluminum Technology Co., Ltd and non-ferrous metal rolling processing, gold Metal materials sales, metal scrap and debris processing, etc. activities at Zouping Dingrui Renewable Resources Co., Ltd.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">Aluminium Re-melting/RefiningCasthousesPost-Casthouse <p>All relevant Criteria from 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"><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.<input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.

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- ☑ 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.
 - ☑ The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.
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CERTIFICATION PERIOD 1 October 2024 - 30 September 2027

NEXT AUDIT TYPE Surveillance Audit

NEXT AUDIT DUE DATE 2 October 2025

CERTIFICATE NUMBER 396



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.

ENTITY OVERVIEW

Zouping Hongfa Aluminum Technology Co., Ltd. started operations in 2015 with an annual production capacity of 760,000 tonnes. It mainly engages in the research and development of Aluminium alloy extrusion technology. The site currently has approximately 1,680 employees. The production adopts the international advanced direct melting ⇒ Casting ⇒ hot rolling ⇒ cold rolling ⇒ finishing production process and all the production equipment is introduced from the world's most advanced high-precision, high-automation rolling mills. It has adopted DC Casting machines, "1+4" hot rolling machines, single-stand and three-stand cold rolling machines, and nearly 70 other sets of internationally imported equipment and technologies.

The main facility includes the melting and Casting workshop, hot rolling workshop, cold rolling workshop, finishing workshop, and supporting facilities. The designed annual output is 760,000 tonnes of high-precision Aluminum sheets and strips, with the main products including high-end products, such as can body materials, can lid materials, battery foil blank materials, and Aluminium foil blank materials.

The subsidiary Zouping Dingrui Renewable Resources Co., Ltd. commenced operations in 2020 with an annual production capacity of 90,000 tonnes. It has approximately 90 employees on site and is primarily involved in the processing and treating metal waste, as well as recovering and utilising Aluminium metal waste. The main equipment is a double-chamber furnace used for the remelting and processing of recycled Aluminium.

The nearest town to the production area is Handian Town, which is located 5 km away. Nearby attractions include the Handian Reservoir, Hehe Wetland Park, and Liuliu River. Key external stakeholders include Yangcun Village in Handian Town.

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	
SYSTEMS	High
RISKS	Medium
PERFORMANCE	Medium
OVERALL	MEDIUM

FINDINGS

CRITERION	RATING	COMMENT
1. MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI Membership	Conformance	The Entity is an active ASI Member and commits to comply with ASI's membership obligations and the ASI Complaints Mechanism. The Entity is in the Production and Transformation category: https://aluminium-stewardship.org/about-asi/members/China-Hongqiao-Group-Co---Ltd-
1.2 CoC Management System	Conformance	The Entity has established Policies, systems, procedures and processes regarding their Chain of Custody (CoC) Management System. The Management System has the capacity to handle ASI CoC Material. The Entity has an integrated Management System that is certified to ISO 9001. The Entity's ISO 9001 Certificate was issued by an accredited third party and is valid for the ASI Certification Period.
1.3 CoC Management System Monitoring	Conformance	The Entity has established a process to review the Management System at least every 12 months to assess the effectiveness of the ASI CoC management and address potential areas of non-conformance and improvement. The latest management review meeting was conducted in August 2024.
1.4 Management Representative	Conformance	The Entity has nominated a senior management member as the ASI Management Representative to have overall responsibility for the implementation of, and conformance with all applicable requirements of the ASI Chain of Custody Standard.
1.5 Communications and Training	Conformance	The Entity has established and implemented communications and training measures that make relevant personnel aware of and are competent in their responsibilities under the ASI Chain of Custody Standard. Training records are maintained.
1.6 Records Management	Minor Non-Conformance	The Entity has established a Record Management Procedure based on the ISO 9001 Management Procedure to maintain records (Management System) that address applicable requirements. However, it was identified within the Document Control Procedure and Record Control Procedure requirements that all records will be kept for two years. This is not aligned with the ASI requirement that all ASI records must be kept for at least five years.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	An inventory file is developed in the MES system (Integration Data Management System) for management and calculations. The Entity has created a simulation case to demonstrate the functionality of the Mass Balance System. The data can be collected, calculated and reported. The Entity has developed and implemented a process for annual reporting and will report Inputs and Outputs of ASI Aluminium to the ASI Secretariat in June 2025. Since no ASI CoC Material is currently present in the Entity's supply chain, the quantity of Input and Output for 2024 is zero.

CRITERION	RATING	COMMENT
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	<p>The Entity has developed and implemented a process for annual reporting and will report Inputs and Outputs of ASI Aluminium to the ASI Secretariat in June 2025.</p> <p>Since no ASI CoC Material was present in the Entity's supply chain, the quantity of Eligible Scrap is zero for 2024.</p>
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	<p>The Entity has developed and implemented a process for annual reporting and will report Inputs and Outputs of ASI Aluminium to the ASI Secretariat in June 2025.</p> <p>Since no ASI CoC Material was present in the Entity's supply chain, all Inflow and Outflow Materials is Non-CoC Material.</p>
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	<p>The Entity has developed and implemented a process for annual reporting and will report Inputs and Outputs of ASI Aluminium to the ASI Secretariat in June 2025.</p> <p>Since no ASI CoC Material was present in the Entity's supply chain, there will be no Positive Balance in 2024.</p>
1.7e Reporting to ASI (Positive Balance used)	Conformance	<p>The Entity has developed and implemented a process for annual reporting and will report Inputs and Outputs of ASI Aluminium to the ASI Secretariat in June 2025.</p> <p>Since no ASI CoC Material was present in the Entity's supply chain, there will be no positive balance in 2024.</p>
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	<p>The Entity has developed and implemented a process for annual reporting and will report Inputs and Outputs of ASI Aluminium to the ASI Secretariat in June 2025.</p> <p>Since no ASI CoC Material was present in the Entity's supply chain, there will be no Internal Overdraw in 2024.</p>
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	<p>The Entity has developed and implemented the process for annual reporting and will report Inputs and Outputs of ASI Aluminium to the ASI Secretariat in June 2025.</p> <p>Since no ASI CoC Material was present in the Entity's supply chain, there are no Intra-Entity Flows in 2024.</p>

2. OUTSOURCING CONTRACTORS

2.1 Certification Scope	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors for further processing, treatment or manufacturing.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors for further processing, treatment or manufacturing.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors for further processing, treatment or manufacturing.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors for further processing, treatment or manufacturing.

CRITERION	RATING	COMMENT
2.3 Information on Quantity of CoC Material Output and Returned	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors for further processing, treatment or manufacturing.
2.4 Consistency in Inflow and Outflow Quantity of CoC Material to/from Outsourcing Contractor	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors for further processing, treatment or manufacturing.
2.5 Error (Outsourcing Contractor)	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors for further processing, treatment or manufacturing.

3. PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI ALUMINIUM

3.1a ASI Bauxite (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.1b ASI Bauxite (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.1c ASI Bauxite (Bauxite sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2a ASI Alumina (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2b ASI Alumina (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2c ASI Alumina (Bauxite sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3a ASI Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3b ASI Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3c ASI Aluminium (Alumina sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

4. RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP

4.1a Recycled Aluminium (CoC Certification Scope)	Conformance	The Entity has established processes and systems to ensure that ASI Liquid Metal is produced only from the ASI CoC Certified Facilities within the Entity's CoC Certification Scope.
4.1b Recycled Aluminium (Performance Standard)	Conformance	The Entity's systems ensures that the production of ASI Liquid Metal only from the Aluminium Facilities Certified against the ASI Performance Standard: https://aluminium-stewardship.org/about-asi/members/China-Hongqiao-Group-Co---Ltd-

CRITERION	RATING	COMMENT
		The demonstration of the CoC Material Accounting System developed in Excel format demonstrates this conformance.
4.2a Eligible Scrap (Pre-Consumer)	Conformance	The Entity's Material Accounting System is designed to manage and track Eligible Scrap introduced into the value chain. The Entity does not currently purchase Pre-Consumer Scrap.
4.2b Eligible Scrap (Post-Consumer)	Conformance	The Entity's Material Accounting System is designed to manage and track Eligible Scrap introduced into the value chain. The Entity conducts Due Diligence on all Post-Consumer Scrap received.
4.2c Eligible Scrap (Dross)	Conformance	The Recycled Aluminium extracted from Aluminium Dross is entirely sourced from the Aluminium Dross generated during the Entity's manufacturing processes. The Entity has conducted a thorough Due Diligence assessment of the Aluminium Dross recovery and processing vendors.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Conformance	The Entity has established a supplier management procedure and maintains a repository of qualified supplier records. Information on all suppliers including the details of suppliers of Recyclable Scrap Material are documented.
4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions)	Conformance	The Entity has implemented a rigorous financial and cash Management System, mandating that all transactions, including those with direct suppliers of Recyclable Scrap Material, must be conducted through bank transfer. Financial records and reports are subjected to third-party financial audits to ensure accuracy and reliability.
5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a ASI Aluminium (CoC Certification Scope)	Conformance	The observed system ensures production of ASI Aluminium is only from the Casthouse that is within the Entity's CoC Certification Scope.
5.1b ASI Aluminium (Performance Standard)	Conformance	The Audit Scope of ASI Performance Standard incorporates the Casthouse: https://aluminium-stewardship.org/about-asi/members/China-Hongqiao-Group-Co-Ltd-
5.1c ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has an adequate and effective supply chain control and procurement management procedure, to ensure all ASI Aluminum are directly or indirectly sourced from an ASI CoC Certified Entity. Since no ASI CoC Material was purchased from 2023 to 2024, no ASI CoC product is currently produced.
5.2 Unique Identification	Conformance	The Entity has developed a Material Accounting System in the MES production Management System for management and accounting ASI CoC Material. Unique identification numbers are assigned for registering flows. CoC materials will be stamped for every production batch. At the time of the Audit, there were no examples of operational implementation of the system since no ASI CoC Material was present in the Entity's supply chain.

CRITERION	RATING	COMMENT
6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The Entity's material accounting system ensures the production of ASI Aluminium only from the facilities within the Entity's CoC Certification Scope. The management responsibilities are assigned to the Purchasing Department.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity has implemented a system to ensure that it produces ASI Aluminium only from the Entity's Facilities which are certified to the ASI Performance Standard. The Certification information of the Entity's ASI Performance Standard is available at: https://aluminium-stewardship.org/about-asi/members/China-Hongqiao-Group-Co-Ltd-
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has implemented systems to ensure that ASI Aluminium is purchased only from the eligible Entities/Facilities directly or indirectly via a metals trader or warehouse. At the time of the Audit, there were no examples of operational implementation of the system as there was no sourcing and transfer of CoC Material.
7. DUE DILIGENCE FOR NON-COC MATERIAL, COC MATERIAL ACQUIRED THROUGH A TRADER AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible Sourcing Policy (Anti-corruption)	Conformance	The Entity has the Anti-Corruption Policy, and a Responsible Sourcing Policy covers anti-Corruption. The relevant training courses are provided to employees. All identified major next-tier suppliers are informed of the Policy and required to sign a commitment letter. The Responsible Procurement Policy is available at: http://www.hongqiaochina.com/Uploads/File/2024/07/24/%E9%82%B9%E5%B9%B3%E5%AE%8F%E5%8F%91%E9%93%9D%E4%B8%9A%E7%A7%91%E6%8A%80%E6%9C%89%E9%99%90%E5%85%AC%E5%8F%B8ASI%E4%BF%A1%E6%81%AF%E6%8A%AB%E9%9C%B2%EF%BC%882022%EF%BC%89.20240724152516.pdf
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has a Responsible Purchasing Policy. The relevant training courses are provided to employees. All identified major next-tier suppliers are informed of the Policy and required to sign a commitment letter. The Responsible Procurement Policy is available at: http://www.hongqiaochina.com/Uploads/File/2024/07/24/%E9%82%B9%E5%B9%B3%E5%AE%8F%E5%8F%91%E9%93%9D%E4%B8%9A%E7%A7%91%E6%8A%80%E6%9C%89%E9%99%90%E5%85%AC%E5%8F%B8ASI%E4%BF%A1%E6%81%AF%E6%8A%AB%E9%9C%B2%EF%BC%882022%EF%BC%89.20240724152516.pdf
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	The Entity has a Responsible Purchasing Policy, which addresses Human Rights Due Diligence. All identified major next-tier suppliers are informed of the Policy and required to sign a commitment letter. The Responsible Procurement Policy is available at: http://www.hongqiaochina.com/Uploads/File/2024/07/24/%E9%82%B9%E5%B9%B3%E5%AE%8F%E5%8F%91%E9%93%9D%E4%B8%9A%E7%A7%91%E6%8A%80%E6%9C%89%E9%99%90%E5%85%AC%E5%8F%B8ASI%E4%BF%A1%E6%81%AF%E6%8A%AB%E9%9C%B2%EF%BC%882022%EF%BC%89.20240724152516.pdf

CRITERION	RATING	COMMENT
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has implemented a Responsible Sourcing Policy which addresses Conflict-Affected and High-Risk Areas (CAHRAs) and relevant training is provided to employees. All identified major next-tier suppliers are informed of this Policy and required to sign a commitment letter. The Responsible Procurement Policy is available at: http://www.hongqiaochina.com/Uploads/File/2024/07/24/%E9%82%B9%E5%B9%B3%E5%AE%8F%E5%8F%91%E9%93%9D%E4%B8%9A%E7%A7%91%E6%8A%80%E6%9C%89%E9%99%90%E5%85%AC%E5%8F%B8ASI%E4%BF%AE6%81%AF%E6%8A%AB%E9%9C%B2%EF%BC%882022%EF%BC%89.20240724152516.pdf
7.2 Risk Assessment and Mitigation	Conformance	The Entity undertakes risk assessments of its suppliers and completes risk mitigation efforts where relevant. The Entity also conducts second party audits of its major next tier suppliers.
7.3 Complaints Resolution Mechanism	Conformance	The Entity has established a complaints mechanism including a whistleblower/complaints channel to enable employees and external Stakeholders to anonymously report potential misconduct (hotline: +86-0543-4684955, mailbox: lihaiming@wqmail.cn). The information is available at: http://www.hongqiaochina.com/Uploads/File/2024/07/24/%E9%82%B9%E5%B9%B3%E5%AE%8F%E5%8F%91%E9%93%9D%E4%B8%9A%E7%A7%91%E6%8A%80%E6%9C%89%E9%99%90%E5%85%AC%E5%8F%B8ASI%E4%BF%AE6%81%AF%E6%8A%AB%E9%9C%B2%EF%BC%882022%EF%BC%89.20240724152516.pdf
8. MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity has established a Material Accounting System that can record the Input Quantity and Output Quantity of CoC Material and Non-CoC Material by mass. At the time of this Audit, there are no ASI CoC Materials in the Entity's supply chain. The Entity has created a simulation case to demonstrate the functionality of the Mass Balance System, which was subsequently reviewed during the Audit.
8.2 Material Accounting Period	Conformance	The Entity's Material Accounting Period is defined as 12 months - January 1 to December 31.
8.3 Input and Inflow Quantities	Conformance	The Entity has established a Material Accounting System that can record the quantities of each CoC Material and Eligible Scrap Input and the quantities of Non-CoC Material and Recyclable Scrap Material Inflow and determine the Inflow quantity of Eligible Scrap and Recyclable Scrap Material based on an assessment of Aluminium content. At the time of this Audit, there is no ASI material available in the Entity's supply chain.
8.4 Output Quantities of CoC Material	Conformance	The Entity's Chain of Custody Management Manual defines the available Quantities of CoC Material for Output will be determined by the Input quantities for each CoC Material proportional to the total Inflows of CoC and Non-Coc Material by mass.

CRITERION	RATING	COMMENT
8.5 Indivisibility of CoC Material	Conformance	The Entity's Chain of Custody Management Manual defines the Output Quantity of CoC Material will be designated as 100% CoC Material.
8.6 Output Quantity of Eligible Scrap	Conformance	The Entity's Chain of Custody Management Manual defines the relevant proportion of Scrap generated in the production processes as Eligible Scrap using the same percentage share as for its Output of ASI Aluminium.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity's Chain of Custody Management Manual defines that the total Output of CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage of CoC Material and/or Eligible Scrap over the Material Accounting Period.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity's Chain of Custody Management Manual defines that the Internal Overdraw must not exceed 20% of the total Input Quantity of CoC Material for the Material Accounting Period in the case that an Internal Overdraw must be made.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity's Chain of Custody Management Manual defines that the Internal Overdraw will not exceed the amount of CoC Material affected by the Force Majeure situation for the Material Accounting Period in the case that the Internal Overdraw is required. The Entity's Material Accounting System should draw down the Internal Overdraw from the subsequent Material Accounting Period.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	<p>The Entity's Chain of Custody Management Manual defines the principle of Internal Overdraws to be made up within the subsequent Material Accounting Period.</p> <p>At the time of the Audit, there were no examples of operational implementation of the System, as there was no ASI CoC Material available in the Entity's supply chain.</p>
8.9a Positive Balance (Carry over)	Conformance	<p>The Entity's Chain of Custody Management Manual defines how to manage any Positive Balance that can be carried over to the subsequent Material Accounting Period.</p> <p>At the time of the Audit, there were no examples of operational implementation of the system, as there was no ASI CoC Material available in the Entity's supply chain.</p>
8.9b Positive Balance (Expiry)	Conformance	<p>The Entity's Chain of Custody Management Manual defines that a Positive Balance generated in one Material Accounting Period and carried over to the subsequent Material Accounting Period will expire at the end of that Period if not drawn down.</p> <p>At the time of the Audit, there were no examples of operational implementation of the system, as there was no ASI CoC Material available in the Entity's supply chain.</p>
9. ISSUING COC DOCUMENTS		
9.1 CoC Document	Conformance	The Entity has established a system that can issue CoC Documents for each shipment and transfer, ensuring that these are controlled, issued and stored.

CRITERION	RATING	COMMENT
		At the time of the Audit, there were no issued examples of the CoC Documentation, as there was no ASI CoC Material available in the Entity's supply chain.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard which includes the date of issue.
9.2b CoC Document Content (Reference number)	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard which includes the reference number.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard. Zouping Hongfa Aluminum Technology Co., Ltd. is the issuing Entity.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard and includes the information of the identity and address of the customer receiving the CoC Material, and if it is another CoC Certified Entity, their CoC Certification number.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard, the responsible employee who can verify information is included.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard, the statement confirming that "The information provided in the CoC Document is in conformance with the ASI CoC Standard." is included.
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard and includes the types of CoC Material in the shipment.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard and includes the mass of CoC Material.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard and includes the mass of total Material.
9.3a Sustainability Data (optional) - Carbon footprint	Conformance	The Entity will provide Supplementary information to the customer upon request relating to the average (preferably cradle-to-gate) carbon footprint of the CoC Material and accounting method applied.
9.3b Sustainability Data (optional) - Origin information	Conformance	The Entity will provide Supplementary information on the origin of Aluminum to the customer upon request.
9.3c Sustainability Data (optional) - Recycled content	Conformance	The Entity will provide Supplementary information to the customer upon request relating to recycled content including the methodology regarding Pre-Consumer Scrap and Post-Consumer Scrap of the CoC Material.

CRITERION	RATING	COMMENT
9.3d Sustainability Data (optional) – Post-Casthouse ASI Certification status	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard and includes the ASI Certification Status of the ASI Performance Standard of the Entity.
9.4 Supplementary Information (optional) – Objective evidence	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard with allowance for supplementary information according to the customer's requirements. There is a mechanism to ensure that Objective Evidence can support the Supplementary Information.
9.5 Verification of Information	Conformance	The Entity has established a process and assigns the responsibility to respond to the verification requests.
9.6 Error (Shipping)	Conformance	The Entity has integrated an error management process under ISO 9001 to manage any errors and prevent their reoccurrence.

10. RECEIVING COC DOCUMENTS

10.1 Verification of CoC Documents	Conformance	The Entity's Chain of Custody Management Manual defines the process and responsibility for the verification of the information on received CoC Documents.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity's Chain of Custody Management Manual defines the process and responsibility for the verification of the consistency of received CoC Documents with the accompanying CoC Material or Eligible Scrap before recording information in their Material Accounting System.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity's Chain of Custody Management Manual defines the process and responsibility to verify supplier CoC Certification Status. The Planning Department is responsible for verifying monthly the supplier CoC Certification Status via the ASI website.
10.4 Error (Reception)	Conformance	The Entity has integrated error management with its current processes under ISO 9001 to document errors, Corrective Actions and any potential preventive measures.

11. CLAIMS AND COMMUNICATIONS

11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity's Chain of Custody Management Manual defines when the Entity makes claims and/or representations relating to CoC Material outside of CoC Documents, relevant personnel will check to ensure if claims are made in a manner and form consistent with the ASI Claims Guide. Until now, no claim has been made, and there is no ASI Material in the Entity's supply chain.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity has assigned roles and responsibilities to ensure that claims are made in a manner consistent with the ASI Claims Guide with verifiable evidence to support the claims and/or representations made.

CRITERION	RATING	COMMENT
11.1c Claims and Communications (Employee training)	Conformance	The Entity has provided training courses on claims and communication to relevant employees.

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	1 October 2024	Initial Certification Audit – Full Certification