

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

AMAG Austria Metall AG

CERTIFICATE NUMBER

94

ASI STANDARD

CHAIN OF CUSTODY
(V2 2022)

CERTIFICATION LEVEL

FULL
CERTIFICATION

ASI ACCREDITED AUDITING
FIRM

BUREAU VERITAS
CERTIFICATION

DATE OF ISSUE

10 SEPTEMBER 2024

DATE OF EXPIRY

9 SEPTEMBER 2027

CERTIFIED SINCE

11 SEPTEMBER 2020

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. H.', 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

AMAG Austria Metall AG located in Ranshofen, Austria comprising the businesses Austria Metall GmbH, AMAG service GmbH, AMAG casting GmbH, AMAG rolling GmbH and AMAG metal GmbH, which carry out Aluminium Re-Melting/Recycling, Casting and rolling supply chain activities, and includes defined Outsourcing Contractors.

AUDIT REPORT

CHAIN OF CUSTODY

STANDARD

OVERVIEW

MEMBER NAME	AMAG Austria Metall AG
ENTITY NAME	AMAG Austria Metall AG
CERTIFICATION SCOPE	AMAG Austria Metall AG located in Ranshofen, Austria comprising the businesses Austria Metall GmbH, AMAG service GmbH, AMAG casting GmbH, AMAG rolling GmbH and AMAG metal GmbH, which carry out Aluminium Re-Melting/Recycling, Casting and rolling supply chain activities, and includes defined Outsourcing Contractors.
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 (29 – 30 July 2020)Re-Certification Audit (29 – 30 June 2021)Re-Certification Audit and Scope Change (16 – 18 July 2024)
AUDIT FIRM	Bureau Veritas Certification
AUDIT DATE	<ul style="list-style-type: none">29 – 30 July 2020 (Initial Certification Audit)29 – 30 June 2021 (Re-Certification Audit)16 – 18 July 2024 (Re-Certification Audit and Scope Change)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">26 August 2020 (Initial Certification Audit)27 August 2021 (Re-Certification Audit)6 September 2024 (Re-Certification Audit and Scope Change)
AUDIT SCOPE	<p><u>Initial Certification Audit (29 – 30 August 2020)</u></p> <p>The audit scope included the following business units: AMAG casting GmbH, AMAG metal GmbH, AMAG rolling GmbH, AMAG service GmbH and Austria Metall GmbH.</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 in the ASI Chain of Custody Standard were included in the Audit Scope.</p> <p><u>Re-Certification Audit (29 – 30 June 2021)</u></p> <p>The audit scope included Austria Metall AG located in Ranshofen, Austria comprising the businesses Austria Metall GmbH, AMAG service GmbH, AMAG casting GmbH, AMAG rolling GmbH, AMAG metal GmbH.</p>

Supply chain activities included in the audit scope:

- Aluminium Re-melting/Refining
- Casthouses
- Post-Casthouse

All applicable criteria in the ASI Chain of Custody Standard were included in the audit scope.

Re-Certification Audit and Scope Change (16 – 18 July 2024)

The audit scope included Austria Metall AG located in Ranshofen, Austria comprising the businesses Austria Met all GmbH, AMAG service GmbH, AMAG casting GmbH, AMAG rolling GmbH, AMAG metal GmbH.

Supply chain activities included in the audit scope:

- Aluminium Re-melting/Refining
- Casthouses
- Post-Casthouse

All applicable criteria in the ASI Chain of Custody Standard were included in the audit scope.

AUDIT OUTCOME	Certification
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AUDIT METHODOLOGY DECLARATION	The Auditors confirm that:
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- The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this Report.
- The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.
- 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.

CERTIFICATION PERIOD	10 September 2024 - 9 September 2027
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NEXT AUDIT TYPE	Re-Certification Audit
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NEXT AUDIT DUE DATE	9 September 2027
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CERTIFICATE NUMBER	94
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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.

ENTITY OVERVIEW

AMAG Austria Metall AG comprises the businesses Austria Metall GmbH, AMAG service GmbH, AMAG casting GmbH, AMAG rolling GmbH and AMAG metal GmbH ('the Entity').

At its Ranshofen site, the Entity operates a foundry alloy and a wrought alloy Casthouse, two independent rolling mills, and several heat treatment and finishing lines. The site includes warehouses, employee car parking, as well as green areas.

The Entity produces recycled cast alloys and high-quality Aluminum flat rolled products in the form of sheets, coils, and plates. The recycled cast alloys are delivered to the manufacturing industry in the form of ingots, sows, as well as Liquid Aluminum, and are used in die casting and other applications. The Entity's product range of wrought alloys comprises high-strength materials, tread plates, bright products, brazing sheets, foil stock for the packaging industry, precision plates, and cathode elements. These products are used in various industrial sectors such as aircraft, automotive, mechanical engineering, packaging, electrical, sports, consumer goods, and architecture.

The Ranshofen site, located a few kilometres away from the town of Braunau and the Inn river, is part of an industrial area (approximately 120 hectares) surrounded by wood and green lands. The Entity owns a land area of around 300 hectares at the Ranshofen site, of which approximately 180 hectares is the AMAG forest, part of the 'Lachforst' forest complex. The green areas at the Ranshofen plant site cover around 25 hectares and are designed as meadows, rainwater infiltration, lawns, and protective embankments. Vacant land is utilised according to its ecological potential.

Key external Stakeholders are shareholders and investors, business partners, internal Stakeholders, the public, social partners, and state bodies. The plant was recently expanded to include a strip finishing line (at the existing site).

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	High
PERFORMANCE	High
OVERALL	HIGH

FINDINGS

CRITERION	RATING	COMMENT
1. MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI Membership	Conformance	The Entity is a founding member of ASI and was one of the first Facilities in Europe Certified against the ASI Performance Standard. Information about the membership is published on the ASI website: https://aluminium-stewardship.org/about-asi/members/AMAG-Austria-Metall-AG
1.2 CoC Management System	Conformance	The Entity has implemented an ASI Management System that addresses all applicable requirements of the ASI Chain of Custody Standard in all Facilities. The Management System is documented, and relevant personnel are trained.
1.3 CoC Management System Monitoring	Conformance	The implementation of the ASI Management System is periodically reviewed through internal audits. A yearly ASI CoC management review is established. Improvements to the CoC Management System can be raised by any employee through the continuous improvement process.
1.4 Management Representative	Conformance	The Entity has appointed a Management Representative to have overall responsibility for the ASI Standards.
1.5 Communications and Training	Conformance	The Entity has an established e-learning platform where the training is accessible to all employees. The effectiveness of these training programs is monitored through internal audits.
1.6 Records Management	Conformance	The Entity ensures that the relevant records are kept in accordance with the ASI Chain of Custody Standard for at least five years. The required records are defined, and responsible personnel are assigned and trained to ensure compliance. Internal audits are conducted to review conformance.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity has correctly reported all necessary information to the ASI Secretariat for the last calendar year. The data have been reviewed and accepted by the ASI Secretariat.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	The Entity has correctly reported all necessary information to the ASI Secretariat for the last calendar year. The data have been reviewed and accepted by the ASI Secretariat.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity has correctly reported all necessary information to the ASI Secretariat for the last calendar year. The data have been reviewed and accepted by the ASI Secretariat.
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity has correctly reported all necessary information to the ASI Secretariat for the last calendar year. The data have been reviewed and accepted by the ASI Secretariat.
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity has correctly reported all necessary information to the ASI Secretariat for the last calendar year. The data have been reviewed and accepted by the ASI Secretariat.

CRITERION	RATING	COMMENT
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity has correctly reported all necessary information to the ASI Secretariat for the last calendar year. The data have been reviewed and accepted by the ASI Secretariat.
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	The Entity has correctly reported all necessary information to the ASI Secretariat for the last calendar year. The data have been reviewed and accepted by the ASI Secretariat.
2. OUTSOURCING CONTRACTORS		
2.1 Certification Scope	Conformance	The Entity has identified Outsourcing Contractors that take Custody of their CoC Material. When engaging new Outsourcing Contractors, a procedure is implemented to ensure conformance with the ASI Chain of Custody Standard.
2.2a Control of CoC Material (Legal ownership or control)	Conformance	The Entity has established a procedure to ensure that all outsourced CoC Material stays in their legal possession.
2.2b Control of CoC Material (No further outsourcing)	Conformance	The Entity has outlined their General Purchasing Conditions with Outsourcing Contractors, which regulates that they are not permitted to further outsource any processing, treatment or manufacturing of CoC Material to any other Contractor.
2.2c Control of CoC Material (Risk assessment)	Conformance	The Entity regularly performs an initial risk assessment with each Outsourcing Contractor and has a contractor approval form. A process instruction specifies that this assessment is carried out annually.
2.3 Information on Quantity of CoC Material Output and Returned	Conformance	The Entity has demonstrated Outsourcing Contractors provide information about the Output Quantities immediately after the order is finished and are documented within an internal system.
2.4 Consistency in Inflow and Outflow Quantity of CoC Material to/from Outsourcing Contractor	Conformance	The Entity tracks and reports all the CoC Material that is handled by its Outsourcing Contractors, the information is verified by defining necessary material losses and is documented within an internal system.
2.5 Error (Outsourcing Contractor)	Conformance	The Entity has established an adequate error management system and process instructions for outsourcing contractors.
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.

CRITERION	RATING	COMMENT
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 Facility engaged in Aluminium Re-melting/Refining, AMAG casting GmbH, is included within the Entity's ASI CoC Certification Scope
4.1b Recycled Aluminium (Performance Standard)	Conformance	The Facility engaged in Aluminium Re-melting/Refining, AMAG casting GmbH, is included within the Entity's ASI Performance Standard Certification Scope: https://aluminium-stewardship.org/about-asi/members/AMAG-Austria-Metall-AG
4.2a Eligible Scrap (Pre-Consumer)	Conformance	The Entity has implemented procedures and a Material Accounting System to ensure the use of Eligible Scrap, including Pre-Consumer Scrap only, that comes directly from a Certified Entity.
4.2b Eligible Scrap (Post-Consumer)	Conformance	The Entity has established procedures and a Material Accounting System to determine the qualification of eligible Post-Consumer Scrap. Due Diligence processes are in place to qualify scrap and follow up on scrap suppliers.
4.2c Eligible Scrap (Dross)	Conformance	The Entity has implemented procedures and a Material Accounting System to ensure the use of Eligible Scrap only including Aluminium that is recovered from Dross and Dross residues.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Conformance	The Entity has established a system to document the identity, principles and place/s of operation of all direct suppliers of Recyclable Scrap Material.
4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions)	Not Applicable	This Criterion is not applicable to the Entity, as no cash payments are made.

5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM

CRITERION	RATING	COMMENT
5.1a ASI Aluminium (CoC Certification Scope)	Conformance	The Entity produces Casthouse Products using Primary Aluminium and Recycled Aluminium, from its Casthouse AMAG casting GmbH, which is included within its ASI CoC Certification Scope
5.1b ASI Aluminium (Performance Standard)	Conformance	The Facility that is engaged in Casthouse operations, AMAG casting GmbH, is included within the Entity's ASI Performance Standard Certification Scope: https://aluminium-stewardship.org/about-asi/members/AMAG-Austria-Metall-AG
5.1c ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has demonstrated that it only purchases ASI Aluminium for its Casthouse operations from CoC Certified Entities.
5.2 Unique Identification	Conformance	The Entity has established a Material Accounting System to link and trace the Input Quantity of CoC Material. Casthouse Products are stamped with batch numbers linked to delivery notes and the Material Accounting System.

6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM

6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The Entity's Post-Casthouse operations are only carried out at the AMAG Rolling GmbH rolling mill which, is included within the ASI Chain of Custody Certification Scope
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity's Post-Casthouse operations are carried out at the rolling mill of AMAG rolling GmbH and are included within the ASI Performance Standard Certification Scope: https://aluminium-stewardship.org/about-asi/members/AMAG-Austria-Metall-AG
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has established a Material Accounting System and process instructions to ensure it only sources Aluminium from Certified Facilities.

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 implemented the 'Compliance Rules for AMAG Suppliers' and a Code of Conduct addressing anti-corruption, available at: https://www.amag-al4u.com/en/downloads.html
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has implemented the 'Compliance Rules for AMAG Suppliers' and a Code of Conduct addressing responsible sourcing, available at: https://www.amag-al4u.com/en/downloads.html
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	The Entity has implemented the 'Compliance Rules for AMAG Suppliers' and a Code of Conduct addressing Human Rights, available at: https://www.amag-al4u.com/en/downloads.html
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has implemented the 'Compliance Rules for AMAG Suppliers' and a Code of Conduct addressing responsible sourcing. Suppliers are required to sign the Supplier Code of Conduct or have an equivalent or more ambitious Policy. Documents available for download at: https://www.amag-al4u.com/en/downloads.html

CRITERION	RATING	COMMENT
7.2 Risk Assessment and Mitigation	Conformance	The Entity has established a Due Diligence process for suppliers which also covers all suppliers of Non-CoC Material and Recyclable Scrap Material. The procedure is documented and if necessary, risk mitigation is undertaken.
7.3 Complaints Resolution Mechanism	Conformance	The Entity has implemented several Complaint Mechanisms to raise concerns through different channels: https://hint.amag-al4u.com/de?pk_vid=eb965397f4da2ad41722711575dc4533

8. MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM

8.1 Material Accounting System	Conformance	The Entity's ASI Material Accounting System is based on a business software. The Entity has defined different types of material flows with all CoC and non-CoC Inputs and Outputs, which are accounted for when they enter or leave the system boundaries. The data is processed and presented with another software tool.
8.2 Material Accounting Period	Conformance	The Entity has defined the calendar year as the Material Accounting Period, as it correlates with the business year. All Inputs and Outputs can be controlled daily via a software tool.
8.3 Input and Inflow Quantities	Conformance	The Entity has defined different types of material flows within its ASI Material Accounting System, with all CoC and non-CoC Inputs and Outputs, which are accounted for when they enter or leave the system boundaries. The data is processed and presented with another software tool.
8.4 Output Quantities of CoC Material	Conformance	The Entity has defined different types of material flows within its ASI Material Accounting System, with all CoC and non-CoC Inputs and Outputs, which are accounted for when they enter or leave the system boundaries. The data is processed and presented with another software tool.
8.5 Indivisibility of CoC Material	Conformance	The Entity has developed its Material Accounting System to designate Output material either as 100% ASI CoC Material or Non-CoC Material.
8.6 Output Quantity of Eligible Scrap	Not Applicable	This Criterion is not applicable to the Entity, as it does not designate Pre-Consumer Scrap as Eligible Scrap, as no Pre-Consumer Scrap leaves the system boundaries.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity calculates and monitors the possible Output material daily. The Material Accounting System is set up in such a way, that the Output Quantity of CoC Material does not exceed the allowed mass. All sales offers and orders for CoC Material have to be cleared by the controlling department.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity has designed its system to ensure that it does not allow an Internal Overdraw to the next calendar year.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity has designed its system to ensure that it does not allow an Internal Overdraw to the next calendar year.

CRITERION	RATING	COMMENT
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Entity has designed its system to ensure that it does not allow an Internal Overdraw to the next calendar year.
8.9a Positive Balance (Carry over)	Conformance	The Entity has designed its system to ensure that it does not carry over a Positive Balance of Output ASI CoC Material to the next calendar year.
8.9b Positive Balance (Expiry)	Conformance	The Entity has designed its system to ensure that it does not carry over a Positive Balance of Output ASI CoC Material to the next calendar year. If it were not sold, the Positive Balance would expire.

9. ISSUING CoC DOCUMENTS

9.1 CoC Document	Conformance	The Entity has implemented a system to ensure CoC Documents are automatically generated, shipped together with the Product and emailed to the recipient of the CoC Material.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity's CoC Documents contain all required information, and the date of issue is automatically generated.
9.2b CoC Document Content (Reference number)	Conformance	The Entity's CoC Documents contain the required information. The reference number of the CoC Document is identical with the reference number of the shipping document and linked to the Material Accounting System.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity's CoC Documents contain all required information and include the identity, address and CoC Certification number of the Entity.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity's CoC Documents contain all required information and include the identity, address and CoC Certification number of the receiving customer.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity's CoC Documents contain all the required information and include the name and email of the responsible person for verification of the data (asi@amag.at).
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity's CoC Documents contain all required information and include the statement in English and German that the information provided is in conformance with the ASI Chain of Custody Standard.
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity's CoC Documents contain all required information and include the information about the type of CoC Material ("ASI Cold Metal", "ASI Liquid Metal" or "ASI Aluminium").
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity's CoC Documents contain all required information and include the information about the mass of CoC Material in the shipment, which is identical to the mass of total material in the shipment.

CRITERION	RATING	COMMENT
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity's CoC Documents contain all required information and include the information about the total mass of material in the shipment, which is identical to the mass of total CoC Material in the shipment.
9.3a Sustainability Data (optional) - Carbon footprint	Not Applicable	The Criterion is not applicable, as the Entity has chosen not to include Sustainability Data within CoC Documents.
9.3b Sustainability Data (optional) - Origin information	Not Applicable	The Criterion is not applicable, as the Entity has chosen not to include Sustainability Data within CoC Documents.
9.3c Sustainability Data (optional) - Recycled content	Not Applicable	The Criterion is not applicable, as the Entity has chosen not to include Sustainability Data within CoC Documents.
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Not Applicable	The Criterion is not applicable, as the Entity has chosen not to include Sustainability Data within CoC Documents.
9.4 Supplementary Information (optional) - Objective evidence	Not Applicable	The Criterion is not applicable, as the Entity has chosen not to include Sustainability Data within CoC Documents.
9.5 Verification of Information	Conformance	The name of the contact person responsible for answering requests for verification is included in the CoC Documents together with an email address.
9.6 Error (Shipping)	Conformance	Any errors identified in relation to CoC Material are brought to the attention of the responsible person for ASI implementation within the Entity and followed up in accordance with internal procedures. If necessary, ASI will be informed of the error/incident.

10. RECEIVING COC DOCUMENTS

10.1 Verification of CoC Documents	Conformance	The Entity has defined in its procedure that all incoming CoC Documents must be submitted to the responsible person for ASI implementation via email. The responsible person checks the CoC Documents for completeness according to the requirements.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity has defined in its procedure that all incoming CoC Documents must be submitted to the responsible person for ASI implementation via email. The responsible person checks for the consistency of the received CoC Documents before entering the information into the Material Accounting System.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has defined in its procedure that all incoming CoC Documents must be submitted to the responsible person for ASI implementation via email. The responsible person checks the Certification Status and the scope of the supplier's ASI CoC Certification for any changes that might affect the status of the supplied CoC Material.

CRITERION	RATING	COMMENT
10.4 Error (Reception)	Conformance	The Entity has defined in its procedure that all incoming CoC Documents must be submitted to the responsible person for ASI implementation via email. The responsible person checks the CoC Documents accordingly. If any errors are identified in relation to CoC Material, these errors must be followed up according to internal procedures.

11. CLAIMS AND COMMUNICATIONS

11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity has developed and trained a communication and claims procedure that is consistent with and follows the ASI Claims Guide.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity has defined a process to ensure that there is verifiable evidence of the claims and/or assurances made.
11.1c Claims and Communications (Employee training)	Conformance	The Entity has developed and trained a communication and claims procedure that is consistent with and follows the ASI Claims Guide.

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 September 2020	Issued (Full Certification)
1	10 September 2021	Re-Certification Audit – Full Certification
2	9 October 2024	Re-Certification and Scope Change Audit – Full Certification Scope Change to apply Chain of Custody Standard V2