

ASI CERTIFICATION  
CHAIN OF CUSTODY  
STANDARD



PRESENTED TO

Guangyuan Zhongfu  
Technology Co., Ltd

CERTIFICATE NUMBER

403

ASI STANDARD

CHAIN OF CUSTODY  
(V2 2022)

CERTIFICATION LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED AUDITING  
FIRM

SGS-CSTC  
STANDARDS  
TECHNICAL SERVICES

DATE OF ISSUE

12 NOVEMBER 2024

DATE OF EXPIRY

11 NOVEMBER 2027

CERTIFIED SINCE

12 NOVEMBER 2024

AUTHORISED BY

CERTIFICATION SCOPE

Manufacture of Aluminium alloy  
plate ingots at Guangyuan Zhongfu  
Technology Co., LTD located in  
Sichuan, China.

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](http://www.aluminium-stewardship.org)

# AUDIT REPORT

## CHAIN OF CUSTODY

### STANDARD

#### OVERVIEW

MEMBER NAME	Guangyuan Zhongfu Technology Co, LTD
ENTITY NAME	Guangyuan Zhongfu Technology Co, LTD
CERTIFICATION SCOPE	Manufacture of Aluminium alloy plate ingots at Guangyuan Zhongfu Technology Co., LTD located in Sichuan, China.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>Aluminium Re-melting/Refining</li><li>Casthouses</li></ul>
ASI STANDARD	Chain of Custody Standard V2
AUDIT TYPE	<ul style="list-style-type: none"><li>Initial Certification Audit</li></ul>
AUDIT FIRM	SGS-CSTC Standards Technical Services
AUDIT DATE	<ul style="list-style-type: none"><li>20 – 21 June 2024</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>4 October 2024</li></ul>
AUDIT SCOPE	<p>The Audit Scope covered the manufacturing Aluminium alloy plate ingots at Guangyuan Zhongfu Technology Co, LTD, China.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"><li>Aluminium Re-melting/Refining</li><li>Casthouses</li></ul> <p>All relevant 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	12 November 2024 - 11 November 2027
NEXT AUDIT TYPE	Surveillance Audit

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NEXT AUDIT DUE DATE 12 May 2026

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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

Guangyuan Zhongfu Technology Co., Ltd. ('the Entity') was established in March 2019, with a registered address in Yuanjiaba Park, Guangyuan Economic and Technological Development Zone. It mainly produces three series of Aluminum alloy flat ingots. primary production processes involve remelting and Casting, with a capacity of 150,000 tonnes per annum. The current actual output is approximately 110,000 tonnes per annum. The products are mainly supplied to Henan Zhongfu High Precision Aluminum Co., LTD., an internal company of the Group where they are further processed and widely used for 'fast-moving' consumer goods packaging such as cans, aseptic cartons, flexible packaging consumer electronics and for automotive light weighting.

The factory is situated in Yuanjiaba Park, in the Guangyuan Economic and Technological Development Zone. There are no sensitive areas nearby, such as residential areas, schools, scenic spots, or drinking water sources. The main building consists of a single factory building and an office area. Inside the factory, there are melting furnaces, insulation furnaces, furnace refining equipment, electromagnetic stirring equipment, sawing machines, milling machines, and wastewater treatment systems. Additionally, the workshop has a semi-finished products transfer area and a finished products warehouse. The factory also has a comprehensive wastewater treatment station, Hazardous Waste warehouse, and general solid waste warehouse. There are staff lounges and changing rooms on site for the employees' convenience. Parking lots, staff restaurants, and video surveillance on the factory's boundary protection fence are also provided. A living area with supermarkets, medical facilities, restaurants, and sports facilities have been established around the factory to meet the needs of employees and their families.

The Entity currently employs 67 persons, and its main Stakeholders include shareholders, customers, partners, downstream supply chains, and relevant government departments (such as tax authorities). The Entity's continued growth provides employment opportunities for the surrounding area.

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## 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>	Low
<b>OVERALL</b>	<b>MEDIUM</b>

## FINDINGS

CRITERION	RATING	COMMENT
1. MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI Membership	Conformance	The Entity is registered as an ASI Member since March 2024 in the Production and Transformation membership class: <a href="http://www.zfsy.com.cn/uploadFiles/files/20240616161902.pdf">http://www.zfsy.com.cn/uploadFiles/files/20240616161902.pdf</a> <a href="https://aluminium-stewardship.org/about-asi/members/Guangyuan-Zhongfu-Technology-Co---LTD">https://aluminium-stewardship.org/about-asi/members/Guangyuan-Zhongfu-Technology-Co---LTD</a>
1.2 CoC Management System	Conformance	The Entity has established and implemented a Management System together with an ASI Manual for all Facilities under the Entity's control that manages CoC Material Custody.
1.3 CoC Management System Monitoring	Conformance	The Entity reviews the Management System annually in accordance with a defined procedure and addresses potential areas of Non-Conformance.
1.4 Management Representative	Conformance	The Entity nominated its Vice General Manager as Management Representative whose roles and responsibilities are defined in writing and are communicated within the Entity. There is a team to support this role in the implementation of the ASI Chain of Custody Standard.
1.5 Communications and Training	Conformance	has developed an annual training plan for their ASI Chain of Custody Management System to ensure that all relevant personnel are aware of and competent in their responsibilities under the the ASI Chain of Custody Standard. This includes familiarising them with the standard, manual, and training procedures. The required training has been carried out in accordance with the training plan.
1.6 Records Management	Conformance	has established the 'ASI CoC Documents and Records Controlling' procedure, which defines that records related to CoC should be retained for a minimum of five years.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Not Applicable	This Criterion is not applicable to the Entity, as this is an initial audit against the ASI Chain of Custody Standard and no annual reporting to the ASI Secretariat is required.  The Entity has established a procedure that defines how to report information to ASI, including the reporting form with all the required information.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Not Applicable	This Criterion is not applicable to the Entity, as this is an initial audit against the ASI Chain of Custody Standard and no annual reporting to the ASI Secretariat is required.  The Entity has established a procedure that defines how to report information to ASI, including the reporting form with all the required information.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Not Applicable	This Criterion is not applicable to the Entity, as this is an initial audit against the ASI Chain of Custody Standard and no annual reporting to the ASI Secretariat is required.

CRITERION	RATING	COMMENT
		The Entity has established a procedure that defines how to report information to ASI, including the reporting form with all the required information.
1.7d Reporting to ASI (Positive Balance carried over)	Not Applicable	<p>The Entity has established a procedure that defines how to report information to ASI, including the reporting form with all the required information.</p> <p>The Entity has established a procedure that defines how to report information to ASI, including the reporting form with all the required information.</p>
1.7e Reporting to ASI (Positive Balance used)	Not Applicable	<p>The Entity has established a procedure that defines how to report information to ASI, including the reporting form with all the required information.</p> <p>The Entity has established a procedure that defines how to report information to ASI, including the reporting form with all the required information.</p>
1.7f Reporting to ASI (Internal Overdraw drawn down)	Not Applicable	<p>This Criterion is not applicable to the Entity, as this is an initial audit against the ASI Chain of Custody Standard and no annual reporting to the ASI Secretariat is required.</p> <p>The Entity has established a procedure that defines how to report information to ASI, including the reporting form with all the required information.</p>
1.7g Reporting to ASI (Intra-Entity Flows)	Not Applicable	<p>The Entity has established a procedure that defines how to report information to ASI, including the reporting form with all the required information.</p> <p>The Entity has established a procedure that defines how to report information to ASI, including the reporting form with all the required information.</p>
<b>2. OUTSOURCING CONTRACTORS</b>		
2.1 Certification Scope	Not Applicable	<p>This Criterion is not applicable as the Entity does not use Outsourcing Contractors within the Entity's Certification Scope for further processing, treatment, or manufacturing.</p> <p>However, the Entity has established a CoC Outsourcing Contractor Management Procedure to manage the control of CoC Material to Non-CoC Certified Outsourcing Contractors.</p>
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 within the Entity's Certification Scope 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 within the Entity's Certification Scope 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 within the Entity's Certification Scope 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 within the Entity's Certification Scope 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 within the Entity's Certification Scope 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 within the Entity's Certification Scope 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 implemented systems to ensure the receipt and production of ASI Aluminium is only from the Aluminium smelters within the Entity's CoC Certification Scope or from a supplier certified against ASI Performance Standard. The Entity has carried out Due Diligence of Pre-Consumer and Post-Consumer Vendors.
4.1b Recycled Aluminium (Performance Standard)	Conformance	The Entity engaged in Aluminium Re-melting/Refining operations is included within the Entity's ASI Performance Standard Certification

CRITERION	RATING	COMMENT
		Scope: <a href="https://aluminium-stewardship.org/about-asi/members/Guangyuan-Zhongfu-Technology-Co---LTD">https://aluminium-stewardship.org/about-asi/members/Guangyuan-Zhongfu-Technology-Co---LTD</a>
4.2a Eligible Scrap (Pre-Consumer)	Conformance	The Entity has established an ASI CoC Recycled Aluminium Management Procedure, which stipulates the judgment criteria and management program for Eligible Scrap and its suppliers. The Due Diligence of a Pre-Consumer Scrap vendor was conducted, which included survey requirements applicable to the Performance Standard.
4.2b Eligible Scrap (Post-Consumer)	Conformance	The Entity has established an ASI CoC Recycled Aluminium Management Procedure, which stipulates the judgment criteria and management program for Eligible Scrap and its suppliers. The Due Diligence of a Post-Consumer Scrap vendor was conducted, which included survey requirements applicable to the Performance Standard.
4.2c Eligible Scrap (Dross)	Not Applicable	This Criterion is not applicable to the Entity, as they have not purchased Eligible Scrap from suppliers of treated Aluminium Dross and Recycled Aluminium from Aluminum ash and other Aluminium-containing waste.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Conformance	The Entity records information of all direct suppliers and Recyclable Scrap Material Contractors, including their identity, principles, and locations. The Entity follows a cash payment principle, limiting cash transactions to no more than \$10,000. In reality, there are no cash transactions between the Entity and its suppliers.
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.  The Entity directly records information about Recyclable Scrap Material Contractors, including details on the supplier's identity, key contacts, and locations. The Entity has also established a Cash Payment Policy, capping cash transactions at \$10,000. In practice, however, no cash transactions occur between the Entity and its suppliers.
<b>5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM</b>		
5.1a ASI Aluminium (CoC Certification Scope)	Conformance	The Entity has two melting and Casting lines included in their CoC Certification Scope. All products from these Casting lines are traceable in the BIP system. The Material Accounting System tracks the quantity of each batch of ASI Aluminium produced only from the Casthouse.
5.1b ASI Aluminium (Performance Standard)	Conformance	The Entity that is engaged in Casthouse operations, and is included within the Entity's ASI Performance Standard Certification Scope: <a href="https://aluminium-stewardship.org/about-asi/members/Guangyuan-Zhongfu-Technology-Co---LTD">https://aluminium-stewardship.org/about-asi/members/Guangyuan-Zhongfu-Technology-Co---LTD</a>
5.1c ASI Aluminium (Aluminium sourcing)	Conformance	The Entity operates two melting and Casting lines and requires suppliers to undergo a survey before purchasing Aluminium raw materials to confirm if the supplier has obtained CoC Certification. To date, no actual Coc Material procurement has taken place.



CRITERION	RATING	COMMENT
5.2 Unique Identification	Minor Non-Conformance	The Entity has implemented batch code rules for products, which define the serial code rules for each batch of products. The alphabet and symbol in the codes refer to the date of production, smelting furnace, type, etc. However, no unique numbers, alphabets or symbols have been implemented for ASI Aluminium.

#### 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

7.1a Responsible Sourcing Policy (Anti-corruption)	Conformance	<p>The Entity has publicly disclosed its Responsible Sourcing Policy covering anti-Corruption:  <a href="http://www.zfsy.com.cn/uploadFiles/files/20240616161902.pdf">http://www.zfsy.com.cn/uploadFiles/files/20240616161902.pdf</a></p> <p>The Responsible Sourcing Policy is sent to the suppliers of Non-CoC Material, Recyclable Scrap Material, and Traders of CoC Material.</p>
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	<p>The Entity has publicly disclosed its Responsible Sourcing Policy and committed Responsible Sourcing:  <a href="http://www.zfsy.com.cn/uploadFiles/files/20240616161902.pdf">http://www.zfsy.com.cn/uploadFiles/files/20240616161902.pdf</a></p> <p>The Responsible Sourcing Policy is sent to the suppliers of Non-CoC Material, Recyclable Scrap Material, and Traders of CoC Material. The Entity has demonstrated that suppliers have received the Responsible Sourcing Policy.</p>
7.1c Responsible Sourcing Policy (Human rights due diligence)	Minor Non-Conformance	<p>The Entity has committed to not using any supporting material from Conflict-Affected and High-Risk Areas (CAHRAs) in its Responsible Sourcing Policy:  <a href="http://www.zfsy.com.cn/uploadFiles/files/20240616161902.pdf">http://www.zfsy.com.cn/uploadFiles/files/20240616161902.pdf</a></p> <p>Additionally, the entity has publicly disclosed its commitment to a Human Rights Policy on its headquarters website:  <a href="http://www.zfsy.com.cn/uploadFiles/files/20240616162624.pdf">http://www.zfsy.com.cn/uploadFiles/files/20240616162624.pdf</a></p> <p>However, it was identified that the Entity did not carry out sufficient Due Diligence on its suppliers of Primary and Recycled Aluminium.</p>
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	<p>The Entity has committed to not using any supporting material from CAHRAs in its Responsible Sourcing Policy:  <a href="http://www.zfsy.com.cn/uploadFiles/files/20240616161902.pdf">http://www.zfsy.com.cn/uploadFiles/files/20240616161902.pdf</a></p> <p>The Entity has established a CAHRAs Due Diligence Management Procedure, which includes sourcing management and supplier surveys covering CAHRAs.</p>

CRITERION	RATING	COMMENT
7.2 Risk Assessment and Mitigation	Conformance	The Entity has established an ASI CoC Supplier Due Diligence Procedure that stipulates to assess the risks of non-compliance with its Responsible Sourcing Policy. The Entity's supplier survey covers non-compliance with the environment, society and government.
7.3 Complaints Resolution Mechanism	Conformance	The Entity has established and publicly disclosed a complaints mechanism, available at: <a href="http://www.zfsy.com.cn/uploadFiles/files/20240616161919.pdf">http://www.zfsy.com.cn/uploadFiles/files/20240616161919.pdf</a> Hotline: 0371-64569096 E-mail: <a href="mailto:jiandu@yulian.com.cn">jiandu@yulian.com.cn</a>

#### 8. MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM

8.1 Material Accounting System	Conformance	The Entity has established a Mass Balance System CoC Materials and ASI Aluminum Management Procedure and installed a Business Innovation Platform for all Material Accounting Systems that records the Input Quantity and Output Quantity of Aluminium material by mass.
8.2 Material Accounting Period	Conformance	The Entity's Business Innovation Platform (BIP) has a Material Accounting Period of 12 months (one calendar year).
8.3 Input and Inflow Quantities	Conformance	The Entity has established a procedure that defines within the Material Accounting Period, the Quantities of each CoC Material and Eligible Scrap Input and the Quantities of Non-CoC Material and Recyclable Scrap Material Inflow should be recorded. The Inflow Quantity of Eligible Scrap and Recyclable Scrap Material must be based on an assessment of Aluminium content.
8.4 Output Quantities of CoC Material	Conformance	The Entity has implemented an internal metal Management System, metal statistics, and material balance reports using the BIP system to manage Inputs and Outputs.
8.5 Indivisibility of CoC Material	Conformance	The Entity has an established Mass Balance System CoC Materials and ASI Aluminium Management Procedure to define the Output Quantity of CoC Material, which may be a subset of total production and be designated as 100% CoC Material.
8.6 Output Quantity of Eligible Scrap	Conformance	The Entity has established the Mass Balance System and procedure to ensure the total CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage as applied to the total Input of CoC Material and/or Eligible Scrap over the Material Accounting Period.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity has established the Mass Balance System to ensure the total CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage as applied to the total Input of CoC Material and/or Eligible Scrap over the Material Accounting Period.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity has established a Mass Balance System and procedure to define the Internal Overdraw shall not exceed 20% of the total Input Quantity of CoC Material for the Material Accounting Period.

CRITERION	RATING	COMMENT
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity has established a Mass Balance System and procedure to define how to carry over an Internal Overdraw to the subsequent Material Accounting Period (next calendar year) when it is subject to a Force Majeure situation. Internal Overdraws will not exceed the amount of CoC Material affected by the Force Majeure situation.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Entity has established a Mass Balance System and procedure to define the Internal Overdraw that must be made up within the next Material Accounting Period. It is included that the Internal Overdraw must be made up within the next Material Accounting Period.
8.9a Positive Balance (Carry over)	Conformance	The Entity has established a Mass Balance System and procedure to define that a Positive Balance of Output at the end of a Material Accounting Period may be carried out over to the next Material Accounting Period.
8.9b Positive Balance (Expiry)	Conformance	The Entity has established a Mass Balance System and procedure to define that any carry over of a Positive Balance and will expire at the end of that Period if not drawn down.
<b>9. ISSUING COC DOCUMENTS</b>		
9.1 CoC Document	Conformance	The Entity has established a procedure for issuing and managing CoC Documents to accompany each shipment of CoC Material dispatched to other CoC Certificated Entities.  To date, no Coc Material has been sent from the Entity's Facilities.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity has established a procedure for issuing and managing CoC Documents and has defined that the CoC Document should include the date of issue.
9.2b CoC Document Content (Reference number)	Conformance	The Entity has established a procedure for issuing and managing CoC Documents and has defined that the CoC Document should include the number of the CoC Document, which is linked to the Entity's Material Accounting System for verification purposes.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity has established a procedure for issuing and managing CoC Documents and has defined that the CoC Document should include the identity, address and CoC Certification number of the Entity.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity has established a procedure for issuing and managing CoC Documents and has defined that the CoC Document should include 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 has established a procedure for issuing and managing CoC Documents and has defined that the CoC Document should include the signature of the responsible employee of the Entity who can verify information in the CoC Document.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity has established a procedure for issuing and managing CoC Documents and has defined that the CoC Document should include the conformance statement.

CRITERION	RATING	COMMENT
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity has established a procedure for issuing and managing CoC Documents and has defined that the CoC Document should include the type of CoC Material in the shipment.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity has established a procedure for issuing and managing CoC Documents and has defined that the CoC Document should include the mass of CoC Material in the shipment.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity has established a procedure for issuing and managing CoC Documents and has defined that the CoC Document should include the mass of total material in the shipment.
9.3a Sustainability Data (optional) - Carbon footprint	Conformance	The Entity has established a procedure for issuing and managing CoC Documents and has defined that the CoC Document should include the Sustainability Data where applicable.
9.3b Sustainability Data (optional) - Origin information	Conformance	The Entity has established a procedure for issuing and managing CoC Documents and has defined that the CoC Document should include the Sustainability Data where applicable.
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	Conformance	The Entity has established a procedure for issuing and managing CoC Documents and has defined that the CoC Document should include additional information where applicable.
9.5 Verification of Information	Conformance	The Entity has established a response mechanism to manage reasonable requests from external interested parties. The Entity has designated one responsible employee to issue CoC Documents and to respond to reasonable requests for verification of information in CoC Documents issued.
9.6 Error (Shipping)	Conformance	The Entity has established a procedure and defined a process for addressing any errors discovered after the shipment of CoC Material. If any errors are found, they should be promptly reported to the receiving Business and remedied by both parties agreeing to the steps taken to correct them.
<b>10. RECEIVING COC DOCUMENTS</b>		
10.1 Verification of CoC Documents	Conformance	The Entity has established a procedure to verify all required information in received CoC Documents.
10.2 Verification of Consistency Between CoC	Conformance	The Entity has established a procedure that stipulates the Production Management Office should verify the consistency of received CoC Documents with the accompanying CoC Material or Eligible Scrap

CRITERION	RATING	COMMENT
Documents and CoC Material		before recording information in their Material Accounting System. Until now, the Entity has not purchased CoC Material or Eligible Scrap.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has established a procedure that stipulates the Production Management Office must check the ASI website once a quarter to verify the validity and Certification Scope of the supplier's ASI CoC Certification for any changes that might affect the status of the supplied CoC Material or Eligible Scrap.
10.4 Error (Reception)	Conformance	The Entity has established a procedure and defined a process for addressing any errors discovered after the shipment of CoC Material. The Entity and the supplying party will document the error and the agreed steps to correct it and implement actions to avoid a recurrence. Until now there is no Coc Material received.

## 11. CLAIMS AND COMMUNICATIONS

11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity has established an ASI CoC Claim and Communication Management Procedure. The procedure defines how claims and communications should be made in a manner and form consistent with the ASI Claims Guide.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity has established an ASI CoC Claim and Communication Management Procedure. The procedure defines how claims and communications should be made in a manner and form consistent with the ASI Claims Guide. To date, the Entity has not made any external claims or communications about ASI CoC Certification.
11.1c Claims and Communications (Employee training)	Conformance	An interview with a trainer confirms that training is provided to relevant staff and that they understand how to communicate ASI claims and representations. To date, the Entity has not made any external claim or communication about their ASI CoC Certification.

### 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	12 November 2024	Initial Certification Audit – Full Certification