

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# GRÄNGES ALUMINIUM (SHANGHAI) CO., LTD.

CERTIFICATE  
NUMBER

165

ASI STANDARD

CHAIN OF CUSTODY  
(V2 2022)

CERTIFICATION LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITING FIRM

DNV BUSINESS  
ASSURANCE  
SERVICES UK LTD.

DATE OF ISSUE

14 JANUARY 2025

DATE OF EXPIRY

13 JANUARY 2028

CERTIFIED SINCE

14 JANUARY 2022

## AUTHORISED BY

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

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

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

## CERTIFICATION SCOPE

Gränges Aluminium (Shanghai) Co., Ltd. is a subsidiary of Gränges Group, located at No. 1111 Jiatang Highway, Jiading District, Shanghai, China. The Entity produces aluminium foils, strips, sheets, and folded tubes.

Two outsourced contractors are included:

1. Shanghai Aucksun Metal Materials Co., Ltd.
2. ZhenJiang Yuanlong Aluminum Co., Ltd.

# AUDIT REPORT

## CHAIN OF CUSTODY

### STANDARD

#### OVERVIEW

MEMBER NAME	Gränges
ENTITY NAME	Gränges Aluminium (Shanghai) Co., Ltd.
CERTIFICATION SCOPE	<p>Gränges Aluminium (Shanghai) Co., Ltd. is a subsidiary of Gränges Group, located at No. 1111 Jiatang Highway, Jiading District, Shanghai, China. The Entity produces aluminium foils, strips, sheets, and folded tubes.</p> <p>Two outsourced contractors are included:</p> <ol style="list-style-type: none"><li>1. Shanghai Aucksun Metal Materials Co., Ltd.</li><li>2. ZhenJiang Yuanlong Aluminum Co., Ltd.</li></ol>
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>• Casthouses</li><li>• Post-Casthouse</li></ul>
ASI STANDARD	<ul style="list-style-type: none"><li>• Chain of Custody Standard V2</li></ul>
AUDIT TYPE	<ul style="list-style-type: none"><li>• Initial Certification Audit (2 – 4 November 2021)</li><li>• Surveillance Audit (10 – 11 May 2023)</li><li>• Re-Certification Audit and Scope Change (14 – 15 October 2024)</li></ul>
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none"><li>• 2 – 4 November 2021 (Initial Certification Audit)</li><li>• 10 – 11 May 2023 (Surveillance Audit)</li><li>• 14 – 15 October 2024 (Re-Certification Audit and Scope Change)</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>• 6 November 2021 (Initial Certification Audit)</li><li>• 25 June 2023 (Surveillance Audit)</li><li>• 25 November 2024 (Re-Certification Audit and Scope Change)</li></ul>
AUDIT SCOPE	<p><u>Initial Certification Audit (2 – 4 November 2021)</u></p> <p>The Audit Scope included Gränges Aluminium (Shanghai) Co., Ltd. a subsidiary of Gränges Group, located at No. 1111 Jiatang Highway, Jiading District, Shanghai, China.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"><li>• Casthouses</li><li>• Post-Casthouse</li></ul> <p>All applicable criteria in the ASI Chain of Custody Standard were included in the audit scope.</p> <p><u>Surveillance Audit (10 – 11 May 2023)</u></p> <p>The Audit Scope included Gränges Aluminium (Shanghai) Co., Ltd. a subsidiary of Gränges Group, located at No. 1111 Jiatang Highway, Jiading District, Shanghai, China.</p> <p>Supply chain activities included in the audit scope:</p>

- 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 (14 – 15 October 2024)

The Audit Scope included Gränges Aluminium (Shanghai) Co., Ltd. a subsidiary of Gränges Group, located at No. 1111 Jiatang Highway, Jiading District, Shanghai, China.

Supply chain activities included in the audit scope:

- Casthouses
- Post-Casthouse

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

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AUDIT OUTCOME Certification

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AUDIT METHODOLOGY DECLARATION

The Auditors confirm that:

- 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.
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CERTIFICATION PERIOD 14 January 2025 – 13 January 2028

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NEXT AUDIT TYPE Surveillance Audit

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NEXT AUDIT DUE DATE 13 July 2026

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CERTIFICATE NUMBER 165

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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

Gränges Aluminium (Shanghai) Co., Ltd. (the 'Entity') is located at No. 1111 Jiatang Highway, Jiading District, Shanghai, China, and is 100% owned by Gränges Group. The Entity commenced operation in 199 and produces Aluminium foils, strips, sheets, and folded tubes with an annual production of approximately 90,000 tonnes. The Entity's products are destined for the automotive industry, primarily in Asia and North America.

## 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>	High
<b>RISKS</b>	Medium
<b>PERFORMANCE</b>	Medium
<b>OVERALL</b>	<b>MEDIUM</b>

## FINDINGS

CRITERION	RATING	COMMENT
<b>1. MANAGEMENT SYSTEM AND RESPONSIBILITIES</b>		
1.1 ASI Membership	Conformance	The Entity is an ASI Member committed to comply with ASI's membership obligations and the ASI Complaints Mechanism. The Entity is in the Production and Transformation category and holds an ASI Performance Standard Certificate: <a href="https://aluminium-stewardship.org/about-asi/members/Gr--nges-AB">https://aluminium-stewardship.org/about-asi/members/Gr--nges-AB</a>
1.2 CoC Management System	Conformance	The Entity has established Policies, systems, procedures and processes that can comply with the ASI CoC criteria. The Management System has the capacity to handle ASI CoC Materials.
1.3 CoC Management System Monitoring	Conformance	The Entity has established mechanisms for the periodic review of the Management System, in line with their ASI Management Manual.  The Entity established a process to periodically review the Management System to assess the effectiveness of CoC management and address potential areas of non-conformance and improvement. The latest management review was conducted in September 2024.
1.4 Management Representative	Conformance	The Entity has appointed a member of the senior management team as the Management Representative for the ASI Chain of Custody Standard implementation and is responsible for managing the Entity's Chain of Custody system.
1.5 Communications and Training	Conformance	Based on the Entity's Quality Management System (QMS), the Entity has established and implemented an internal training management process that addresses the training procedures and content related to the ASI CoC Standard requirements. In terms of the requirements, the training is mainly divided into two categories: basic knowledge training on ASI for new employees, and specialized training for specific position holders such as those in the procurement, sales, and production departments involved in CoC Material management, to ensure that relevant personnel understand and are competent in fulfilling the required responsibilities. Training is performed accordingly, and the training plan, training materials and training records are available.
1.6 Records Management	Conformance	In line with other Management Systems, including ISO 9001, ISO 14001 and ISO 45001, the control of records for the effective implementation of the ASI Chain of Custody Standard is defined. All related records are kept in the Entity's Enterprise Resource Planning (ERP, based on Oracle) system.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	According to the Entity's CoC Management Manual, the Entity reports the Input and Output Quantities of CoC Materials flowing into/out of the Entity during the previous calendar year to the ASI Secretariat within six months after the end of each calendar year. The Entity reported an Input of 366 tonnes of CoC Materials and no ASI Aluminium Output in 2023.

CRITERION	RATING	COMMENT
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	According to the Entity's CoC Management Manual, the Entity reports the Input and Output Quantities of Eligible Scrap flowing into/out of the Entity during the previous calendar year to the ASI Secretariat within six months after the end of each calendar year. The Entity reported no Eligible Scrap Input or Output for 2023.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	According to the Entity's CoC Management Manual, the Entity reports the Inflow and Outflow Quantities of Non-CoC Materials flowing into/out of the Entity during the previous calendar year to the ASI Secretariat within six months after the end of each calendar year. The Entity reported the Inflow and Outflow Quantities of Non-CoC Materials for 2023.
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	According to the Entity's CoC Management Manual, the Entity reports the maximum Positive Balance carried over to the subsequent Material Accounting Period to the ASI Secretariat within six months after the end of each calendar year. The Entity reported the Positive Balance of ASI Aluminium carried over to 2024 as 366 tonnes.
1.7e Reporting to ASI (Positive Balance used)	Conformance	According to the Entity's CoC Management Manual, the Entity reports the Positive Balance used in previous calendar year to the ASI Secretariat within six months after the end of each calendar year. The Entity reported a zero Positive Balance of ASI Aluminium used for 2023.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	According to the Entity's CoC Management Manual, the Entity reports the data of Internal Overdraw drawn down from the subsequent Material Accounting Period to the ASI Secretariat within six months after the end of each calendar year. The Entity reported no Internal Overdraw in 2023.
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	According to the Entity's CoC Management Manual, the Entity reports the quantities of CoC Material transferred between supply supply chain activities to the ASI Secretariat within six months after the end of each calendar year.

## 2. OUTSOURCING CONTRACTORS

2.1 Certification Scope	Conformance	The Entity has two Outsourcing Contractors, including one cutting supplier and one cleaning supplier. Both are covered in the Entity's CoC Certification Scope.
2.2a Control of CoC Material (Legal ownership or control)	Conformance	The contract signed between the Entity and Outsourcing Contractors defines that the Entity has legal ownership or control of all CoC Material handled by Outsourcing Contractors. The Entity sends the CoC Material to the Outsourcing Contractors and collects back all Materials including finished goods and scrap.
2.2b Control of CoC Material (No further outsourcing)	Conformance	The Entity prohibits the Outsourcing Contractors from further outsourcing. The product pre-approval rules clearly define the Entity's policy.
2.2c Control of CoC Material (Risk assessment)	Conformance	In accordance with its Supplier Code of Conduct and ASI Management Procedure, the Entity has assessed the risk of potential non-conformance with the ASI Chain of Custody Standard resulting from the engagement of each Outsourcing Contractor, the risk

CRITERION	RATING	COMMENT
		assessment addresses the risks against both the ASI Performance Standard and ASI Chain of Custody Standard.
2.3 Information on Quantity of CoC Material Output and Returned	Conformance	All CoC Material sent to Outsourcing Contractors is returned to the Entity and registered in the Entity's Mass Balance System. The CoC Material is not delivered by Outsourcing Contractors to subsequent customers. The Outsourcing Contractors provide the Output Quantity of CoC Materials delivered to the Entity for verification of CoC Material quantities.
2.4 Consistency in Inflow and Outflow Quantity of CoC Material to/from Outsourcing Contractor	Conformance	Integrated with the Quality Management System, the Input Quantity and Output Quantity of each lot of materials outsourced, for both CoC Material and Non-CoC Material, are registered in the Entity's Enterprise Resource Planning (ERP) system, in Excel files maintained at the Entity and at the Outsourcing Contractors.
2.5 Error (Outsourcing Contractor)	Conformance	The non-conformance management procedure in the Quality Management System defines that the Entity and Outsourcing Contractors will document any error discovered after CoC Material has been shipped and take the agreed steps to correct it and implement actions to avoid a recurrence.

### 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

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

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

5.1a ASI Aluminium (CoC Certification Scope)	Conformance	The Entity's system ensures that ASI Aluminium is produced only from the Casthouse within both the Entity's Performance Standard and Chain of Custody Standard Certification Scope.
5.1b ASI Aluminium (Performance Standard)	Conformance	The Entity's Casthouse is included in the ASI Performance Standard Certification Scope. The Certification information is available at: <a href="https://aluminium-stewardship.org/about-asi/members/Gr--nges-AB">https://aluminium-stewardship.org/about-asi/members/Gr--nges-AB</a>
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 Aluminium is sourced directly or indirectly from an ASI CoC Certified Entity.
5.2 Unique Identification	Conformance	The Entity has a Quality Management System certified against ISO 9001 in which the identification and traceability of products are controlled effectively. The lot number and roll number are used for the different stages of the production process. Based on the identification mechanism, ASI Aluminium is identified on-site and recorded in the Material Accounting System (ERP system) linked to the Input Quantity of CoC Material for that Material Accounting Period.

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

6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The Entity's system ensures that the production of ASI Aluminium is only from the Post-Casthouse Facility that is within the Entity's CoC Certification Scope.
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CRITERION	RATING	COMMENT
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	<p>The Entity has a system in place to ensure that it produces ASI Aluminium only from the Entity, which is certified against the ASI Performance Standard. The Entity's certification, valid until October 2025, is available at:  <a href="https://aluminium-stewardship.org/about-asi/members/Gr--nges-AB">https://aluminium-stewardship.org/about-asi/members/Gr--nges-AB</a></p> <p>The procurement department verifies that all CoC Material suppliers (external to the Entity) are certified against the ASI Performance Standard.</p>
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	<p>The Entity has established a system to ensure that ASI Aluminium is sourced directly from another ASI CoC Certified Entity, or via a metals Trader or warehouse where suppliers can provide the associated CoC Document containing Supplementary Information sufficient to identify the corresponding shipment and verify the validity of the CoC Documents.</p>
<b>7. DUE DILIGENCE FOR NON-COC MATERIAL, COC MATERIAL ACQUIRED THROUGH A TRADER AND RECYCLABLE SCRAP MATERIAL</b>		
7.1a Responsible Sourcing Policy (Anti-corruption)	Conformance	<p>The Entity has developed a Responsible Sourcing Policy, which addresses the fundamental requirements of the ASI Performance Standard, including anti-Corruption. The Responsible Sourcing Policy is available at:  <a href="https://www.granges.com/sustainability/focus-areas/sustainable-supply-and-recycling/">https://www.granges.com/sustainability/focus-areas/sustainable-supply-and-recycling/</a></p> <p>Additionally, the Entity's procurement department has communicated the relevant requirements of this code to Non-CoC Material and Eligible Scrap suppliers.</p>
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	<p>The Entity has developed a Responsible Sourcing Policy, which addresses the fundamental requirements of the ASI Performance Standard, including responsible sourcing. The Responsible Sourcing Policy is available at the Entity's website. Additionally, the Entity's procurement department has communicated the relevant requirements of this code to Non-CoC Material and Eligible Scrap suppliers.</p>
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	<p>The Entity has developed a Responsible Sourcing Policy, which addresses the fundamental requirements of the ASI Performance Standard, including Human Rights Due Diligence. The Responsible Sourcing Policy is available at the Entity's website. Additionally, the Entity's procurement department has communicated the relevant requirements of this code to Non-CoC Material and Eligible Scrap suppliers.</p>
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	<p>The Entity has developed a Responsible Sourcing Policy, which addresses the fundamental requirements of the ASI Performance Standard, including the requirements for Conflict-Affected and High-Risk areas. The Responsible Sourcing Policy is available at the Entity's website. Additionally, the Entity's procurement department has communicated the relevant requirements of this code to Non-CoC Material and Eligible Scrap suppliers.</p>

CRITERION	RATING	COMMENT
7.2 Risk Assessment and Mitigation	Conformance	The Entity has established criteria to identify suppliers with high risks of non-compliance and conducts a risk assessment. For the identified suppliers with high risks, on-site audits against the relevant ASI Performance Standard requirements are conducted and corrective actions are established.
7.3 Complaints Resolution Mechanism	Conformance	The Entity has established a 'whistleblower' channel for internal and external Stakeholders. The channels are published on the Entity's website at: <a href="https://www.granges.com/globalassets/02.-om-granges/07.-bolagsstyrning/08.-visselblasing/.pdf">https://www.granges.com/globalassets/02.-om-granges/07.-bolagsstyrning/08.-visselblasing/.pdf</a> There have been no complaints received to date.
<b>8. MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM</b>		
8.1 Material Accounting System	Conformance	The Entity has established a Material Accounting System that records the Input Quantity and Output Quantity of CoC Material and Eligible Scrap mass in the ERP system. The simulation case was reviewed during the Audit to verify conformance to this Criterion.
8.2 Material Accounting Period	Conformance	The Material Accounting Period is defined in the ASI Chain of Custody Management Manual as 12 months, the calendar year from January – December.
8.3 Input and Inflow Quantities	Conformance	The Entity has established a Material Accounting System that records the Quantities of each CoC Material and Eligible Scrap Input and the Quantities of Non-CoC Material and Recyclable Scrap Material Inflow by mass in the ERP system. The simulation case was reviewed during the Audit to verify conformance to this Criterion.
8.4 Output Quantities of CoC Material	Conformance	The Entity has implemented a Material Accounting System in the ERP system to monitor the Input Quantity and Output Quantity of CoC Material by mass, ensuring that the available output quantity of CoC Materials does not exceed the input quantity for each CoC Material and remains proportionate to the total Inflow of CoC and Non-CoC Materials. The simulation case was reviewed during the Audit to verify conformance to this Criterion.
8.5 Indivisibility of CoC Material	Conformance	The Entity's CoC Management Manual defines that the Entity's Output Quantity is designated as 100% CoC Material. The simulation cases demonstrated the process.
8.6 Output Quantity of Eligible Scrap	Conformance	The Entity's CoC Management Manual defines that each transfer of the generated Scrap from the Entity shall be accompanied with a CoC Document and the calculation of the Input Percentage follows the formula defined in the ASI Chain of Custody Standard. The simulation cases demonstrated that the requirement is met. Currently, no generated Scrap is designated as Eligible Scrap.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity's CoC Management Manual defines the principle that the Output of CoC Material must be calculated using the Input Percentage and must not proportionally exceed the total Input of CoC Material. There is an automated error-proof measure in the Material Accounting System (ERP system) to avoid the total Output Quantity

CRITERION	RATING	COMMENT
		exceeding the total Input Quantity. During the Audit, the error-proof measure was demonstrated effectively.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity's CoC Management Manual defines that the Internal Overdraw shall not exceed 20% of the total Input Quantity of CoC Material for the Material Accounting Period. The Entity matches all Output CoC Materials to the Input CoC Materials available. There is a setting in the Material Accounting System (ERP system) to avoid an Overdraw. During the Audit, the function was demonstrated effectively.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity's CoC Management Manual defines that in a Force Majeure situation, the Entity's Material Accounting System may carry over an Internal Overdraw to the subsequent Material Accounting Period. The Internal Overdraw shall not exceed the amount of CoC Material affected by the Force Majeure situation. However, the Entity intends to match all Output Materials to the Input Materials available. There is a setting in the Material Accounting System (ERP system) to avoid an Overdraw. During the Audit, the function was demonstrated effectively.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Entity's CoC Management Manual defines that the Internal Overdraw shall be made up within the subsequent Material Accounting Period. The Entity matches all Output Materials to the Input Materials available. There is a setting in the Material Accounting System (ERP system) to avoid an Overdraw. During the Audit, the function was demonstrated effectively.
8.9a Positive Balance (Carry over)	Conformance	The Entity's CoC Management Manual defines the Positive Balance of Output CoC Material at the end of a Material Accounting Period. Any carry over of a Positive Balance is identified in the Entity's Material Accounting System (ERP system). The simulation cases demonstrated the process. At the time of the Audit, no CoC Material was available in the Entity's supply chain.
8.9b Positive Balance (Expiry)	Conformance	The Entity's CoC Management Manual defines the Positive Balance of Output CoC Material at the end of a Material Accounting Period. A Positive Balance generated in one Material Accounting Period and carried over to the subsequent Material Accounting Period expires at the end of that Period if not drawn down. At the time of the Audit, no CoC Material was available in the Entity's supply chain.
<b>9. ISSUING COC DOCUMENTS</b>		
9.1 CoC Document	Conformance	The Entity issues CoC Documents in the format defined in the ASI Chain of Custody Standard. The responsibility and authority of issuing the CoC Documents is defined in the Entity's CoC Management Manual. Interviews with responsible person demonstrates that the Entity will ensure that a CoC Document accompanies each shipment or transfer of CoC Material sent to other CoC Certified Entities or Traders. At the time of the Audit, the Entity had not shipped CoC Material and therefore not issued a CoC Document.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity issues a CoC Document for each shipment or transfer of CoC Material using the CoC Document template defined in the ASI Chain of Custody Standard, which includes the date of issue.

CRITERION	RATING	COMMENT
9.2b CoC Document Content (Reference number)	Conformance	The Entity issues a CoC Document for each shipment or transfer of CoC Material using the CoC Document template defined in the ASI Chain of Custody Standard, which includes the reference number: GASCoC + year + month + date + serial number.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity issues a CoC Document for each shipment or transfer of CoC Material using the CoC Document template defined in the ASI Chain of Custody Standard, which includes the issuing Entity, address and CoC Certification number.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity issues a CoC Document for each shipment or transfer of CoC Material using the CoC Document template defined in the ASI Chain of Custody Standard, which includes the receiving customer and its CoC Certification number.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity issues a CoC Document for each shipment or transfer of CoC Material using the CoC Document template defined in the ASI Chain of Custody Standard, which includes the responsible employee.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity issues a CoC Document for each shipment or transfer of CoC Material using the CoC Document template defined in the ASI Chain of Custody Standard, which includes the 'ASI CoC Standard' conformance statement.
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity issues a CoC Document for each shipment or transfer of CoC Material using the CoC Document template defined in the ASI Chain of Custody Standard, which includes the type of CoC Material in the shipment.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity issues a CoC Document for each shipment or transfer of CoC Material using the CoC Document template defined in the ASI Chain of Custody Standard, which includes the mass of CoC Material in the shipment.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity issues a CoC Document for each shipment or transfer of CoC Material using the CoC Document template defined in the ASI Chain of Custody Standard, which includes the mass of total material in the shipment.
9.3a Sustainability Data (optional) – Carbon footprint	Conformance	The Entity does not provide Sustainability Data by default, as defined in its CoC Management Manual. Upon customer request, the Sales Department will share the Life Cycle Assessment Report.
9.3b Sustainability Data (optional) – Origin information	Conformance	The Entity does not provide Sustainability Data by default, as defined in its CoC Management Manual. Upon customer request, the Sales Department will share the information with the customer.
9.3c Sustainability Data (optional) – Recycled content	Conformance	The Entity does not provide Sustainability Data by default, as defined in its CoC Management Manual. Upon customer request, the Sales Department will share recycled content information.
9.3d Sustainability Data (optional) – Post-	Conformance	The Entity issues a CoC Document for each shipment or transfer of CoC Material using the CoC Document template defined in the ASI Chain of Custody Standard, which includes the ASI Certification Status.

CRITERION	RATING	COMMENT
Casthouse ASI Certification status		At the time of the Audit, the Entity has not shipped any CoC Material and therefore issued a CoC Document.
9.4 Supplementary Information (optional) - Objective evidence	Conformance	The Entity has established and implemented an information disclosure management process to ensure that the information disclosed by the Entity to the public, including the additional information in the CoC Document, can be supported by Objective Evidence. Upon request by clients, the information in the CoC Document will be presented on the basis of the information disclosure management process and in accordance with the requirements of the ASI Standards.
9.5 Verification of Information	Conformance	The Entity has defined how to control CoC Documents issued and respond to requests for verification of information in the CoC Documents issued by the Entity and the associated responsibilities in the CoC Management Manual.
9.6 Error (Shipping)	Conformance	The Entity has a process integrated into its ISO 9001 Quality Management System, to record the errors, analyse the root cause and take the associated corrective action to prevent reoccurrence.
<b>10. RECEIVING COC DOCUMENTS</b>		
10.1 Verification of CoC Documents	Conformance	The Entity has defined the responsibility for and process of verifying that all required information is included in the received CoC Documents.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Minor Non-Conformance	The Entity has defined the responsibility for and process of verifying the consistency of received CoC Documents with the accompanying CoC Material before recording in the Material Accounting System.  However, inconsistencies between the CoC Document and the actual CoC Materials were not identified during the verification process due to insufficient skills of the verification personnel.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has defined the responsibility for verifying the CoC Certification Status of suppliers. The Purchasing Department periodically checks the status.
10.4 Error (Reception)	Conformance	Integrated with the ISO 9001 Quality Management System, the Entity has a process to record errors, analyse the root cause and determine an associated corrective action to prevent reoccurrence.
<b>11. CLAIMS AND COMMUNICATIONS</b>		
11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity's CoC Management Manual defines that all claims and communications shall follow the ASI Claims Guide including communication with the ASI Secretariat, and the relevant roles and responsibilities are defined.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity assigns roles and responsibilities to ensure that claims are made in a manner consistent with the ASI Claims Guide.

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

#### 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	14 January 2022	Issued - Full Certification
1	31 July 2023	Surveillance Audit
2	14 January 2025	Re-Certification Audit and Scope Change – Full Certification Scope Change to apply ASI CoC Standard V2; Correction to the Certification Scope and Audit Scope descriptions for the Initial Certification Audit and Surveillance Audit to remove specific reference to the auto-industry