

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

Aluflexpack Novi D.O.O (Drniš) and Process Point Service AG (Einsiedeln)

CERTIFICATE NUMBER

155

ASI STANDARD

CHAIN OF CUSTODY
STANDARD
(V2 2022)

DATE OF ISSUE

13 OCTOBER 2024

CERTIFICATION LEVEL

FULL
CERTIFICATION

DATE OF EXPIRY

12 OCTOBER 2027

ASI ACCREDITED
AUDITING FIRM

TÜV RHEINLAND CERT
GMBH

CERTIFIED SINCE

13 OCTOBER 2021

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

*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

Production of flexible packaging and conversion of Aluminium foil, paper and flexible films, including the printing, coating and extrusion of Aluminium at Aluflexpack Novi d.o.o. plant Drniš (Croatia) and production of Aluminium capsules and Aluminium containers and lids for pet food at Process Point Service AG Einsiedeln (Switzerland).

SUMMARY AUDIT REPORT

CHAIN OF CUSTODY STANDARD

OVERVIEW

MEMBER NAME	Aluflexpack
ENTITY NAME	Aluflexpack Novi d.o.o. (Drniš) and Process Point Service AG (Einsiedeln)
CERTIFICATION SCOPE	Production of flexible packaging and conversion of Aluminium foil, paper and flexible films, including the printing, coating and extrusion of Aluminium at Aluflexpack Novi d.o.o. plant Drniš (Croatia) and production of Aluminium capsules and Aluminium containers and lids for pet food at Process Point Service AG Einsiedeln (Switzerland).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">• Post-Casthouse
ASI STANDARD	Chain of Custody Standard V2
AUDIT TYPE	<ul style="list-style-type: none">• Initial Certification Audit (20 – 22 July 2021)• Surveillance Audit (5 April 2023)• Re-Certification Audit and Scope Change (18 December 2024)
AUDIT FIRM	TÜV Rheinland Cert GmbH
AUDIT DATE	<ul style="list-style-type: none">• 20 – 22 July 2021 (Initial Certification Audit)• 5 April 2023 (Surveillance Audit)• 18 December 2024 (Re-Certification Audit and Scope Change)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">• 10 September 2021 (Initial Certification Audit)• 26 January 2024 (Surveillance Audit)• 4 February 2025 (Re-Certification Audit and Scope Change)
AUDIT SCOPE	<p><u>Initial Certification Audit (20 – 22 July 2021)</u></p> <p>The Audit Scope includes the production of flexible packaging and conversion of Aluminium foil, paper and flexible films at the production sites Drniš (Croatia) and Einsiedeln (Switzerland).</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">• Post-Casthouse <p>All applicable criteria in the ASI Chain of Custody Standard were included in the audit scope.</p> <p>At the time of the Audit (September 2021), access to the Einsiedeln site was not possible, due to COVID-19 related travel restrictions. The audit at this site has been undertaken as a 'desktop' exercise, in accordance with ASI Interim Policy regarding Audits, Audit-Related Travel and Coronavirus (v4), and included a remote review of relevant documentation.</p> <p><u>Surveillance Audit (5 April 2023)</u></p>

The Audit Scope includes the production of flexible packaging and conversion of aluminium foil, paper and flexible films at the production sites Drniš (Croatia) and Einsiedeln (Switzerland).

Supply chain activities included in the Audit Scope:

- Post-Casthouse

All applicable criteria in the ASI Chain of Custody Standard were included in the Audit Scope and assessed based on relevance to the Entity. The Audit has been undertaken as a 'desktop' exercise as there has been no CoC Material received or distributed to date.

Re-Certification Audit and Scope Change (18 December 2024)

The Audit Scope includes the Aluflexpack Novi Drniš plant (Croatia) and Process Point Service AG (Switzerland).

Supply chain activities included in the Audit Scope:

- Post-Casthouse

All applicable criteria in the ASI Chain of Custody Standard were included in the Audit Scope and assessed based on relevance to the Entity. The Audit has been undertaken as a 'desktop' exercise as there has been no CoC Material received or distributed to date.

AUDIT OUTCOME	Certification
AUDIT METHODOLOGY DECLARATION	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"><input checked="" type="checkbox"/> The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this Report.<input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.<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.<input checked="" type="checkbox"/> The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.
CERTIFICATION PERIOD	13 October 2024 – 12 October 2027
NEXT AUDIT TYPE	Surveillance Audit
NEXT AUDIT DUE DATE	14 August 2028
CERTIFICATE NUMBER	155



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

The Aluflexpack Group has specialised in the development and manufacturing of flexible packaging and barrier solutions for over 40 years. Headquartered in Reinach (AG), Switzerland, the group operates through 14 integrated locations across Europe. This includes sales and administrative offices in Austria, a logistics centre in Poland, and sales offices in Poland and Liechtenstein. Additionally, the group has factories in France, Switzerland, Poland, Turkey, and Croatia. Aluflexpack Group is the owner of Aluflexpack Novi d.o.o. and parent company of Process Point Service AG, Switzerland, and is part of the industrial group Montana Tech Components. Together the two Facilities of Aluflexpack Novi d.o.o. Drniš, Croatia and Process Point Service AG, Switzerland constitute the 'Entity'.

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.

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

	OVERALL
SYSTEMS	Medium
RISKS	Medium
PERFORMANCE	Medium
OVERALL	MEDIUM

FINDINGS

CRITERION	RATING	COMMENT
1. MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI Membership	Conformance	Aluflexpack is an active ASI Member (Production and Transformation class) and has committed to ASI's membership obligations. For further information refer to: https://aluminium-stewardship.org/about-asi/asi-members/aluflexpack/
1.2 CoC Management System	Conformance	The Entity has established a Management System for the management of CoC Material under the requirements of the Chain of Custody (CoC) Standard. A dedicated procedure covering the ASI CoC Criteria is in place. The System is reviewed annually on both a technical and managerial level.
1.3 CoC Management System Monitoring	Conformance	The Entity has established a mechanism for the periodic review and update of the Chain of Custody Management System, in accordance with other aspects of its integrated Management System.
1.4 Management Representative	Conformance	The Quality Manager from the Drniš Facility oversees the implementation of and compliance with ASI CoC Standard requirements. Within the Entity, there is a team assisting this role in the implementation of the ASI CoC Standard at each site. Roles and responsibilities are defined in writing and are communicated within the Entity.
1.5 Communications and Training	Conformance	The Entity has prepared and conducted specific training to relevant personnel and has communicated the ASI CoC Standard-related information to all employees.
1.6 Records Management	Conformance	The Entity has implemented a procedure to maintain records addressing all applicable requirements of the ASI Chain of Custody Standard for at least the required five year period.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity's operating procedure specifies that the Entity shall report Input and Output Quantities of CoC Material to and from the Certified Entity over the calendar year to the ASI Secretariat by 30 June of the year following the end of each calendar year.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Not Applicable	This Criterion is not applicable, as the Entity is not engaged in Aluminium re-melting/refining to produce recycled Aluminium.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity's operating procedure specifies that the Entity shall report Inflow and Outflow Quantities of Non-CoC Material/s to/from the Certified Entity over the calendar year to the ASI Secretariat by 30 June of the year following the end of each calendar year.
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity's operating procedure specifies that the Entity shall report a Positive Balance carried over to the subsequent Material Accounting Period, if any, to the ASI Secretariat by 30 June of the year following the end of each calendar year.

CRITERION	RATING	COMMENT
		Note: A report has been issued, but at the time of the Audit, no CoC Material was yet handled by the Entity
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity's operating procedure specifies that the Entity shall report the Positive Balance used, if any, to the ASI Secretariat by 30 June of the year following the end of each calendar year.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity's operating procedure specifies that the Entity shall report the Internal Overdraw drawn down from the subsequent Material Accounting Period, if any, to the ASI Secretariat by 30 June of the year following the end of each calendar year. Whilst a report has been issued at the time of the Audit, no ASI CoC Material was yet handled by the Entity.
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	The Entity's operating procedure specifies that the Entity shall report quantities of CoC Material/s transferred between supply chain activities within the CoC Certified Entity (Intra-Entity Flows) over the calendar year to the ASI Secretariat by 30 June of the year following the end of each calendar year.

2. OUTSOURCING CONTRACTORS

2.1 Certification Scope	Not Applicable	This Criterion is not applicable, as the Entity does not use Outsourcing Contractors for further processing, treatment or manufacturing.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	This Criterion is not applicable, as the Entity does not use Outsourcing Contractors for further processing, treatment or manufacturing.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	This Criterion is not applicable, as the Entity does not use Outsourcing Contractors for further processing, treatment or manufacturing.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	This Criterion is not applicable, as the Entity does not use Outsourcing Contractors for further processing, treatment or manufacturing.
2.3 Information on Quantity of CoC Material Output and Returned	Not Applicable	This Criterion is not applicable, as the Entity does not use Outsourcing Contractors for further processing, treatment or manufacturing.
2.4 Consistency in Inflow and Outflow Quantity of CoC Material to/from Outsourcing Contractor	Not Applicable	This Criterion is not applicable, as the Entity does not use Outsourcing Contractors for further processing, treatment or manufacturing.
2.5 Error (Outsourcing Contractor)	Not Applicable	This Criterion is not applicable, as the Entity does not use Outsourcing Contractors for further processing, treatment or manufacturing.

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

3.1a ASI Bauxite (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
--	----------------	---

CRITERION	RATING	COMMENT
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)	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

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

6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM

6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The Entity's system is designed to ensure that it is itself producing ASI Aluminium only from Facilities which are within its own ASI CoC Certification Scope.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity's Driš site as well as Process Point Service AG are certified against the ASI Performance Standard, as can be verified on the ASI website at: https://aluminium-stewardship.org/about-asi/asi-members/aluflexpack/
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has defined that its Post-Casthouse Facilities shall only source ASI Aluminium from other internally approved ASI Certified Entities. At the time of Audit, no ASI Aluminium had been sourced.

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 communicated its Supplier Code of Conduct to its Aluminium suppliers and requests that their suppliers adhere to either this Code or have a comparable code developed. The Code integrates the issue of anti-Corruption. The Code is available at: https://www.aluflexpack.com/wp-content/uploads/2024/05/2024_Aluflexpack_Supplier-Code-of-Conduct.pdf
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has communicated its supplier Code of Conduct to its Aluminium suppliers and requests that their suppliers adhere to this Code unless they have an equivalent code of conduct. The Code integrates responsible sourcing criteria. The Code is available at: https://www.aluflexpack.com/wp-content/uploads/2024/05/2024_Aluflexpack_Supplier-Code-of-Conduct.pdf Additionally, responsible sourcing is addressed in the Entity's Sustainable Procurement Policy, which is also publicly available at: https://www.aluflexpack.com/wp-content/uploads/2023/02/Sustainable-procurement-policy_10.pdf
7.1c Responsible Sourcing Policy (Human rights due diligence)	Minor Non-Conformance	The Entity has communicated its Supplier Code of Conduct to its Aluminium suppliers and requests that their suppliers adhere to this Code unless they have an equivalent code of conduct. The Code integrates responsible sourcing criteria and is available at: https://www.aluflexpack.com/wp-content/uploads/2024/05/2024_Aluflexpack_Supplier-Code-of-Conduct.pdf

CRITERION	RATING	COMMENT
		<p>content/uploads/2024/05/2024_Aluflexpack_Supplier-Code-of-Conduct.pdf</p> <p>Through a supplier self-assessment, the Entity requires its suppliers to conduct a Human Rights Due Diligence. However, the obligation to conduct Human Rights Due Diligence is not yet explicitly stated in the Entity's Supplier Code or other publicly available policy document.</p>
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Minor Non-Conformance	<p>The Entity has communicated its Supplier Code of Conduct to its Aluminium suppliers and requests that their suppliers adhere to this Code unless they have an equivalent code of conduct. The Code is available at: https://www.aluflexpack.com/wp-content/uploads/2024/05/2024_Aluflexpack_Supplier-Code-of-Conduct.pdf</p> <p>However, the Entity's Supplier Code or other publicly available policy document does not explicitly address Conflict-Affected and High-Risk Areas (CAHRA).</p>
7.2 Risk Assessment and Mitigation	Conformance	<p>The Entity has implemented procedures to assess the risks of non-compliance/compliance with its Responsible Sourcing Policy of its Non-CoC Material suppliers. Results of risk assessments and Due Diligence checks are documented. Corrective actions will be requested and undertaken if the results are determined as unsatisfactory.</p>
7.3 Complaints Resolution Mechanism	Conformance	<p>The Entity has a system in place to receive and handle feedback, including complaints and grievances of Stakeholders. Complaints can be raised via this email address: complaints@Aluflexpack.com</p> <p>The publicly available description of the Complaint Mechanism is available at: https://www.aluflexpack.com/contact</p>
8. MATERIAL ACCOUNTING SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	<p>The Entity's Management System includes a Material Accounting System that safeguards the integrity of CoC Material mass balance within the Certification Scope. The Material Accounting System is based in the Entity's enterprise-resource-planning (ERP) system. At the time of the Audit, there has been no sourcing and transfer of ASI CoC Material.</p>
8.2 Material Accounting Period	Conformance	<p>The Entity has specified in writing that the Material Accounting Period in the Entity's Material Accounting System is 12 months commencing from the first day of the calendar year.</p>
8.3 Input and Inflow Quantities	Conformance	<p>The Entity's Management System includes a Material Accounting System that records recording the quantities of each CoC Material and the quantities of Non-CoC Material Inflow to the Certification Scope.</p> <p>The material accounting system is based on the Entity's enterprise-resource-planning system. The Entity has no inflow quantity of eligible Scrap or recyclable Scrap material.</p>
8.4 Output Quantities of CoC Material	Conformance	<p>The Entity's Management System includes a Material Accounting System that ensuring that over the given Material Accounting Period</p>

CRITERION	RATING	COMMENT
		<p>the Entity uses the Input Quantities for each CoC Material to determine the available Quantities of CoC Material for Output, proportional to total Inflows of CoC and Non-CoC Material, by mass.</p> <p>The Material Accounting System is based in the Entity's ERP system.</p>
8.5 Indivisibility of CoC Material	Conformance	As written in the Entity's CoC procedure, the Entity has established that the Output Quantity of CoC Material is designated as 100% CoC Material. At the time of the Audit, CoC Material was not yet handled by the Entity.
8.6 Output Quantity of Eligible Scrap	Conformance	For Pre-Consumer Scrap produced by the Entity, the Input Percentage of the Material Accounting Period will be the same percentage share as for its Output of ASI Aluminium. At the time of the Audit, CoC Material was not yet handled by the Entity.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity has implemented a procedure to ensure that the total Output of CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage of CoC Material and/or Eligible Scrap over the Material Accounting Period. At the time of the Audit, ASI CoC Material was not yet handled by the Entity.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity's Material Accounting System is designed to ensure that a maximum of 20% Overdraw of total Input Quantity of CoC Material will occur within the Material Accounting Period in case of a Force Majeure situation. At the time of the Audit, ASI CoC Material was not yet handled by the Entity.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity's Material Accounting System is designed to ensure that the Internal Overdraw will not exceed the amount of CoC Material affected by a Force Majeure situation. At the time of the Audit, ASI CoC Material was not yet handled by the Entity.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Entity's Material Accounting System is designed to ensure that the Internal Overdraw will be made up within the subsequent Material Accounting Period. At the time of the Audit, ASI CoC Material was not yet handled by the Entity.
8.9a Positive Balance (Carry over)	Conformance	The Entity's Material Accounting System is designed to ensure any carry over of a Positive Balance is clearly identified. At the time of the Audit, ASI CoC Material was not yet handled by the Entity.
8.9b Positive Balance (Expiry)	Conformance	The Entity's Material Accounting System is designed to ensure that any Positive Balance of Output CoC Material at the end of the Material Accounting Period will be carried over to the subsequent period and that such carry over will expire at the end of that period if not drawn down. At the time of the Audit, ASI CoC Material was not yet handled by the Entity.
9. ISSUING COC DOCUMENTS		
9.1 CoC Document	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities as evidenced by a review of the Entity's ASI Chain of Custody related procedures, review of 'dummy' CoC Documents and

CRITERION	RATING	COMMENT
		interviews with personnel. The Entity will include CoC information in a separate accompanying document as required.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The design of the CoC Documents includes the date of issue.
9.2b CoC Document Content (Reference number)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The design of the CoC Documents includes a reference number.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The design of the CoC Documents includes the identity, address and CoC certification number of the issuer.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The design of the CoC Documents includes the identity, address and CoC certification number of the receiving Entity.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified entities. The design of the CoC Documents includes the name of the responsible employee
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The design of the CoC Documents includes a statement confirming that "The information provided in the CoC Document is in conformance with the ASI CoC Standard".
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The design of the CoC Documents includes the type of CoC Material in the shipment.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC material dispatched to other CoC Certified Entities. The design of the CoC Documents includes the mass of CoC Material in the shipment.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The design of the CoC Documents includes the mass of total material in the shipment.
9.3a Sustainability Data (optional) - Carbon footprint	Not Applicable	This Criterion is currently not applicable to the Entity, as it decided that it does not plan to include optional data, such as the average carbon footprint of the CoC Material and accounting method applied, in its CoC Documentation.

CRITERION	RATING	COMMENT
9.3b Sustainability Data (optional) - Origin information	Not Applicable	This Criterion is currently not applicable to the Entity, as it decided that it does not plan to include optional data, such as information to support the origin of Aluminium as per ASI Performance Standard Criterion 9.8 in its CoC Documentation.
9.3c Sustainability Data (optional) - Recycled content	Not Applicable	This Criterion is currently not applicable to the Entity, as it decided that it does not plan to include optional data, such as recycled content, in its CoC Documentation.
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Conformance	The Entity has decided to provide information on its ASI Certification Status for the ASI Performance Standard on its CoC Documents.
9.4 Supplementary Information (optional) - Objective evidence	Not Applicable	This Criterion is currently not applicable to the Entity, as it decided that it does not plan to include optional data, such as Supplementary Information about the Entity or CoC Material in its CoC Documents.
9.5 Verification of Information	Conformance	A provision on responding to requests related to CoC Documents is contained in the ASI management procedure. The Entity's ASI Manager is in charge to respond to requests related to CoC Documents.
9.6 Error (Shipping)	Conformance	The Entity has defined in its ASI management procedure the manner in which errors regarding CoC Material shipments shall be handled, including the documentation of the error, root cause analysis, communication and improvement actions to avoid recurrence.

10. RECEIVING COC DOCUMENTS

10.1 Verification of CoC Documents	Conformance	The Entity has defined in a procedure how to verify the received CoC Documents. A specific checklist has been created, and tests of this checklist performed confirmed it is satisfactory. As there has been no sourcing of CoC Material at the time of the Audit, the effectiveness of this verification will be assessed after the Entity commences the handling of ASI Aluminium.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity has defined in its ASI management procedure how to verify the received CoC Documents and a specific checklist has been developed to undertake this task. All deliveries are to be verified when entering the site prior to being entered in the internal IT system.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has defined a quarterly check of the validity and scope of suppliers ASI CoC Certification.
10.4 Error (Reception)	Conformance	The Entity has designed verification steps to review the consistency of received CoC Documents as required by the ASI Chain of Custody Standard. Relevant staff have been trained accordingly. At the time of the Audit, there were no examples of effective implementation as the Entity has not yet sourced ASI Aluminium.

11. CLAIMS AND COMMUNICATIONS

CRITERION	RATING	COMMENT
11.1a Claims and Communications (ASI Claims Guide)	Not Applicable	This Criterion is not applicable, as the Entity intends not to make claims or representations about CoC Material outside of CoC Documents. If it wishes to in future, the Entity refers to the ASI Claims Guide in their ASI CoC procedure and has specified that all such claims undergo a check by the ASI Manager, prior to release.
11.1b Claims and Communications (Verifiable evidence)	Not Applicable	This Criterion is currently not applicable, as the Entity intends not to make claims or representations about CoC Material outside of CoC Documents.
11.1c Claims and Communications (Employee training)	Not Applicable	This Criterion is currently not applicable, as the Entity intends not to make claims or representations about CoC Material outside of CoC Documents.

ASI LIMITATION OF LIABILITY DISCLAIMER

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

DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	13 October 2021	Initial Certification Audit – Full Certification
1	14 March 2024	Surveillance Audit
2	24 February 2025	Re-Certification Audit and Scope Change – Full Certification Scope Change to apply ASI Chain of Custody V2.