

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# Capral Aluminium

**CERTIFICATE NUMBER**  
288

**ASI STANDARD**  
CHAIN OF CUSTODY  
(V2 2022)

**CERTIFICATION  
LEVEL**  
FULL  
CERTIFICATION

**ASI ACCREDITED AUDITING  
FIRM**

**DNV BUSINESS  
ASSURANCE  
SERVICES UK LTD.**

**DATE OF ISSUE**  
2 JUNE 2023

**DATE OF EXPIRY**  
1 JUNE 2026

**CERTIFIED SINCE**  
2 JUNE 2023

## 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

The extrusion, warehousing and distribution of Aluminium Product and Services across Capral Australia's operations including Angaston, Archerfield, Bremer Park, Bremer Park RDC, Burleigh Heads, Cairns, Campbellfield, Campbellfield RDC, Canning Vale, Canning Vale RDC, Capral Penrith, Cardiff, Deception Bay, Glenorchy, Huntingwood, Kilburn, Kunda Park, Laverton, Lynbrook, Noble Park, Rockdale, Smithfield, Springwood, Townsville, Wangara, Welshpool, Winnellie, and Wollongong.

# AUDIT REPORT

## CHAIN OF CUSTODY

## STANDARD

### OVERVIEW

MEMBER NAME	Capral Aluminium
ENTITY NAME	Capral Aluminium
CERTIFICATION SCOPE	The extrusion, warehousing and distribution of Aluminium Product and Services across Capral Australia's operations including Angaston, Archerfield, Bremer Park, Bremer Park RDC, Burleigh Heads, Cairns, Campbellfield, Campbellfield RDC, Canning Vale, Canning Vale RDC, Capral Penrith, Cardiff, Deception Bay, Glenorchy, Huntingwood, Kilburn, Kunda Park, Laverton, Lynbrook, Noble Park, Rockdale, Smithfield, Springwood, Townsville, Wangara, Welshpool, Winnellie, and Wollongong.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><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 (6 – 17 March 2023)</li><li>• Surveillance Audit and Scope Change (30 October – 20 November 2024)</li></ul>
AUDIT FIRM	SUSTAINABLE CERTIFICATION PTY LTD
AUDIT DATE	<ul style="list-style-type: none"><li>• 6 – 17 March 2023 (Initial Certification Audit)</li><li>• 30 October – 20 November 2024 (Surveillance Audit and Scope Change)</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>• 11 May 2023 (Initial Certification Audit)</li><li>• 20 December 2024 (Surveillance Audit and Scope Change)</li></ul>
AUDIT SCOPE	<p><u>Initial Certification Audit (6 – 17 March 2023)</u></p> <p>The Audit Scope covers the extrusion, warehousing and distribution of Aluminium Product and Services across Capral Australia's operations at Bremer Park, Bremer Park RDC, Campbellfield, Campbellfield RDC, Huntingwood, Laverton, Rockdale, Smithfield, and Springwood.</p> <p>The Entity uses the ASI multi-site sampling approach and sites Angaston, Burleigh Heads, Cairns, Canning Vale, Canning Vale RDC, Capral Penrith, Cardiff, Deception Bay, Glenorchy, Kilburn, Kunda Park, Lynbrook, Townsville, Wangara, Welshpool, Winnellie and Wollongong were not audited.</p> <p>The supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>• Post-Casthouse</li></ul> <p>All relevant criteria in the ASI Performance Standard were included in the Audit Scope.</p> <p><u>Surveillance Audit and Scope Change (30 October – 20 November 2024)</u></p> <p>The Audit Scope covers the extrusion, warehousing and distribution of Aluminium Product and Services across Capral Australia's operations at Bremer Park, Bremer</p>

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Park RDC, Capral Penrith, Deception Bay, Huntingwood, Rockdale, Smithfield, and Townsville.

The Entity uses the ASI multi-site sampling approach and sites Angaston, Archerfield, Burleigh Heads, Cairns, Campbellfield, Campbellfield RDC, Canning Vale, Canning Vale RDC, Cardiff, Glenorchy, Kilburn, Kunda Park, Laverton, Lynbrook, Noble Park, Springwood, Townsville, Wangara, Welshpool, Winnellie and Wollongong were not audited.

The supply chain activities included in the Audit Scope:

- Post-Casthouse

All relevant criteria in the ASI Performance 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 2 June 2023 – 1 June 2026

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NEXT AUDIT TYPE Re-Certification Audit

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NEXT AUDIT DUE DATE 1 June 2026

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CERTIFICATE NUMBER 288



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

Capral is an Australian Aluminium extrusion company, publicly listed on the Australian Stock Exchange (ASX:CAA). It commenced operations in Australia in 1936 and is Australia's largest manufacturer and distributor of aluminium profiles, with net assets of approximately \$135 million. Capral has a national footprint of world class aluminium extrusion plants, comprising of nine operating presses with an annual capacity of 74,000TN. Capral has an extensive distribution network, consisting of major distribution facilities, as well as regional and metropolitan centres with an extensive range of products and logistics capabilities. Capral is a major supplier to fabricators and distributors, focusing on the Residential, Commercial and Industrial segments. Capral employs over 900 people within its operations throughout Australia, with significant industry skills and expertise.

For further information, refer to: <https://www.capral.com.au/about-capral/our-story/>

## 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>	High
<b>PERFORMANCE</b>	Medium
<b>OVERALL</b>	<b>HIGH</b>

## FINDINGS

CRITERION	RATING	COMMENT
<b>1. MANAGEMENT SYSTEM AND RESPONSIBILITIES</b>		
1.1 ASI Membership	Conformance	The Entity has been an ASI Member in the Production and Transformation membership class since June 2022.
1.2 CoC Management System	Conformance	The Entity has established a Chain of Custody (CoC) Management Practice that adequately and appropriately addresses all applicable requirements of the ASI Chain of Custody Standard; more specifically all Facilities within their CoC Certification Scope that take on custody of ASI Material.
1.3 CoC Management System Monitoring	Conformance	The Entity has ensured that the CoC Management Practice (System) is periodically reviewed and updated as the Entity matures in terms of implementation experience. This will include incorporating potential areas of non-conformance that may have been highlighted in prior audits.
1.4 Management Representative	Conformance	The Group ESG & Risk Manager remains the appointed senior manager with overall responsibility and authority for the Entity's conformance with all applicable requirements of the ASI Chain of Custody Standard.
1.5 Communications and Training	Conformance	The Entity has defined and established a procedure in the Integrated Management System to communicate training measures that will ensure relevant personnel are aware of their responsibilities according to the ASI Chain of Custody Standard. Moreover, the Entity has ensured that relevant personnel all meet a minimum competency threshold.
1.6 Records Management	Conformance	The Entity has maintained an up-to-date registry of all applicable requirements as defined in the ASI Chain of Custody Standard. This registry shall be retained in the document management system in electronic format indefinitely.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity has submitted a report on Inputs and Outputs of CoC Material to the ASI Secretariat in line with the appropriate reporting form (delivered by the 30 <sup>th</sup> June following the end of each calendar year).
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	The Entity has submitted a report on Inputs and Outputs of Eligible Scrap to the ASI Secretariat in line with the appropriate reporting form (delivered by the 30 <sup>th</sup> June following the end of each calendar year).
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity has submitted a report on Inflows and Outflows of Non-CoC Material to the ASI Secretariat in line with the appropriate reporting form (delivered by the 30 <sup>th</sup> June following the end of each calendar year).
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity has submitted a report on Positive Balance of CoC Material carried over to the ASI Secretariat in line with the appropriate reporting form (delivered by the 30 <sup>th</sup> June following the end of each calendar year).

CRITERION	RATING	COMMENT
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity has submitted a report on Positive Balance of CoC Material used to the ASI Secretariat in line with the appropriate reporting form (delivered by the 30 <sup>th</sup> June following the end of each calendar year).
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity has submitted a report on Internal Overdraw drawn down to the ASI Secretariat in line with the appropriate reporting form (delivered by the 30 <sup>th</sup> June following the end of each calendar year).
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	The Entity has submitted a report on Intra-Entity Flows to the ASI Secretariat in line with the appropriate reporting form (delivered by the 30 <sup>th</sup> June following the end of each calendar year).

## 2. OUTSOURCING CONTRACTORS

2.1 Certification Scope	Not Applicable	The Criterion is not applicable as the Entity will not engage in, nor has intention to explore outsourcing of CoC Material.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	The Criterion is not applicable as the Entity will not engage in, nor has intention to explore outsourcing of CoC Material.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	The Criterion is not applicable as the Entity will not engage in, nor has intention to explore outsourcing of CoC Material.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	The Criterion is not applicable as the Entity will not engage in, nor has intention to explore outsourcing of CoC Material.
2.3 Information on Quantity of CoC Material Output and Returned	Not Applicable	The Criterion is not applicable as the Entity will not engage in, nor has intention to explore outsourcing of CoC Material.
2.4 Consistency in Inflow and Outflow Quantity of CoC Material to/from Outsourcing Contractor	Not Applicable	The Criterion is not applicable as the Entity will not engage in, nor has intention to explore outsourcing of CoC Material.
2.5 Error (Outsourcing Contractor)	Not Applicable	The Criterion is not applicable as the Entity will not engage in, nor has intention to explore outsourcing of CoC Material.

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

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

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

#### 4. RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP

4.1a Recycled Aluminium (CoC Certification Scope)	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)	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.

CRITERION	RATING	COMMENT
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.
<b>6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM</b>		
6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The Entity is engaged in producing Post-Casthouse Products, has a valid ASI membership and has highly secured extrusion, powder coating, anodising, and value-added Facilities that ensure ASI Aluminium produced from these Facilities are within their CoC Certification Scope.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity is engaged in producing Post-Casthouse Products, has a valid ASI membership, holds ASI Performance Standard Certification (Certificate #287), and has highly secured extrusion, powder coating, anodizing, and value-added facilities that ensure ASI Aluminium produced from these Facilities are within their CoC Certification Scope.
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	The Entity sources all ASI Aluminium from other ASI CoC Certified Entities. The Entity also has established a system to track amounts of Input Aluminium coming from CoC and Non-CoC Certified suppliers.
<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	The Entity has established a system by which the Due Diligence for suppliers is managed in terms of environmental and social performance criteria. Key Policies and practices on Responsible Sourcing (including Anti-Corruption) and Modern Slavery are in place and reviewed every five years, or as required. The Entity's Responsible Sourcing and Modern Slavery Policy is available at: <a href="https://www.capral.com.au/wordpress/wp-content/uploads/Ethical-Sourcing-and-Modern-Slavery-Policy.pdf">https://www.capral.com.au/wordpress/wp-content/uploads/Ethical-Sourcing-and-Modern-Slavery-Policy.pdf</a>
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has established a system by which the Due Diligence for suppliers is managed in terms of environmental and social performance criteria. Key Policies and practices on Responsible Sourcing and Modern Slavery are in place and reviewed every five years, or as required. The Entity's Responsible Ethical Sourcing and Modern Slavery Policy is available at: <a href="https://www.capral.com.au/wordpress/wp-content/uploads/Ethical-Sourcing-and-Modern-Slavery-Policy.pdf">https://www.capral.com.au/wordpress/wp-content/uploads/Ethical-Sourcing-and-Modern-Slavery-Policy.pdf</a>
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	The Entity understands its social and civic responsibility to the public and ensures all its suppliers operate in a way that they fulfil their responsibilities to their Stakeholders. Ensuring suppliers' commitment to their Code of Conduct, relevant Policies, and ESG Management Plans, the Entity ensures to observe the UN Guiding Principles on Business and Human Rights as well as relevant laws in Australia, which incorporate all Human Rights requirements as strengthened by various international accords and conventions.



CRITERION	RATING	COMMENT
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has established the Responsible Sourcing and Modern Slavery Business Practices which discuss Conflict-Affected and High-Risk Areas (CAHRAs) and outline the use of tools to identify possible high-risk areas and materials, as well as the implementation of the OECD's five-step process. The Entity ensures that risk mitigation measures are taken if any potential high-risk issues are identified.
7.2 Risk Assessment and Mitigation	Conformance	The Entity conducts annual risk assessments on all suppliers, as mandated in the Responsible Sourcing and Modern Slavery Business Practices Policy and procedure.
7.3 Complaints Resolution Mechanism	Conformance	<p>The Entity has implemented an accessible, transparent, understandable and culturally and gender sensitive Dispute Settlement and Complaints Resolution practices, adequate to address all relevant Stakeholder complaints, grievances and requests for information relating to its operations.</p> <p>Corporate Governance: <a href="https://www.capral.com.au/wp-content/uploads/2023/12/Corporate-Governance-Statement-2023.pdf">https://www.capral.com.au/wp-content/uploads/2023/12/Corporate-Governance-Statement-2023.pdf</a></p> <p>Whistleblower Policy: <a href="https://www.capral.com.au/wp-content/uploads/2024/11/Whistleblower-Policy-2024.pdf">https://www.capral.com.au/wp-content/uploads/2024/11/Whistleblower-Policy-2024.pdf</a></p> <p>Code of Conduct: <a href="https://www.capral.com.au/wp-content/uploads/2024/11/Capral-Code-of-Conduct_Oct2024.pdf">https://www.capral.com.au/wp-content/uploads/2024/11/Capral-Code-of-Conduct_Oct2024.pdf</a></p>

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

8.1 Material Accounting System	Conformance	The Entity has established and has implemented a Chain of Custody Management Practice and a CoC Material Accounting System that will safeguard the overall integrity of CoC Material as well as the Eligible Scrap Mass Balance (within the Certification Scope).
8.2 Material Accounting Period	Conformance	The Entity has set the Material Accounting Period for a 12 month period for each calendar year.
8.3 Input and Inflow Quantities	Conformance	The Entity has implemented an online Integrated Management System that records all Input and Inflow Quantities and facilitates accurate reporting of material flow.
8.4 Output Quantities of CoC Material	Conformance	The Entity has implemented an online Integrated Management System that records Output Quantities of CoC Material that are proportional to total Inflows of CoC and Non-CoC Materials by mass.
8.5 Indivisibility of CoC Material	Conformance	The Entity has established a system that will ensure the Output Quantity of CoC Material, which may be a subset of total production, shall be designated as 100% CoC Material.
8.6 Output Quantity of Eligible Scrap	Not Applicable	The Criterion is not applicable to the Entity as it does not make claims from Eligible Scrap or use Scrap as an input material.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity maintains a Material Accounting System ensuring that the total Output of CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage of CoC Material over the Material Accounting Period.

CRITERION	RATING	COMMENT
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity has established a system that ensures Internal Overdraw shall not exceed 20% of total Input Quantity of CoC Material for the Material Accounting Period.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity has established a system that ensures Internal Overdraw shall 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 system that ensures Internal Overdraw shall be made up within the subsequent Material Accounting Period.
8.9a Positive Balance (Carry over)	Conformance	The Entity has established a system to clearly identify any carry over of a Positive Balance at the end of a Material Accounting Period, if any.
8.9b Positive Balance (Expiry)	Conformance	The Entity has established a system that ensures any Positive Balance generated in one Material Accounting Period and carried over to the subsequent Material Accounting Period shall 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 all necessary procedures and documentation for CoC Accounting, Documentation, and Claims.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity has all necessary procedures and documentation for CoC Accounting, Documentation, and Claims. All documentation related to CoC Aluminium will include a date of issue.
9.2b CoC Document Content (Reference number)	Conformance	The Entity has all necessary procedures and documentation for CoC Accounting, Documentation, and Claims. All documentation related to CoC Aluminium will include a reference number.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity has all necessary procedures and documentation for CoC Accounting, Documentation, and Claims. All documentation related to CoC Aluminium will include the Issuing Entity.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity has all necessary procedures and documentation for CoC Accounting, Documentation, and Claims. All documentation related to CoC Aluminium will include details of the receiving customer.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity has all necessary procedures and documentation for CoC Accounting, Documentation, and Claims. All documentation related to CoC Aluminium will include details of the responsible employee.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity has all necessary procedures and documentation for CoC Accounting, Documentation, and Claims. All documentation related to CoC Aluminium will include a statement confirming that "The information provided in the CoC Document is in Conformance with the ASI CoC Standard."

CRITERION	RATING	COMMENT
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity has all necessary procedures and documentation for CoC Accounting, Documentation, and Claims. All documentation related to CoC Aluminium will include the type of CoC Material in the shipment.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity has all necessary procedures and documentation for CoC Accounting, Documentation, and Claims. All documentation related to CoC Aluminium will include the mass of CoC Material.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity has all necessary procedures and documentation for CoC Accounting, Documentation, and Claims. All documentation related to CoC Aluminium will include the mass of total material in the shipment.
9.3a Sustainability Data (optional) - Carbon footprint	Not Applicable	This Criterion is not applicable, as the Entity does not intend to include Sustainability Data in the CoC Document for their CoC Material.
9.3b Sustainability Data (optional) - Origin information	Not Applicable	This Criterion is not applicable, as the Entity does not intend to include Sustainability Data in the CoC Document for their CoC Material.
9.3c Sustainability Data (optional) - Recycled content	Not Applicable	This Criterion is not applicable, as the Entity does not intend to include Sustainability Data in the CoC Document for their CoC Material.
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Not Applicable	This Criterion is not applicable, as the Entity does not intend to include Sustainability Data in the CoC Document for their CoC Material.
9.4 Supplementary Information (optional) - Objective evidence	Not Applicable	This Criterion is not applicable, as the Entity does not intend to include Supplementary Information in the CoC Document for their CoC Material.
9.5 Verification of Information	Conformance	The Entity has all necessary procedures and documentation for CoC Accounting, Documentation, and Claims. This includes specific procedures on responding to verification from all internal and external Stakeholders regarding the information reflected on all CoC Documents originating from the Entity through existing communication channels.
9.6 Error (Shipping)	Conformance	Through the ASI Chain of Custody Management Practice, the Entity has established a system to ensure that any error discovered after CoC Material has been shipped will be documented by both the Entity and the receiving party. To avoid a recurrence, corrective actions will also be implemented and agreed on by relevant parties.
<b>10. RECEIVING COC DOCUMENTS</b>		
10.1 Verification of CoC Documents	Conformance	The Entity has all necessary procedures and documentation for CoC Accounting, Documentation, and Claims. This includes specific procedures to verify that all required information in received CoC Documents are complete.

CRITERION	RATING	COMMENT
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity has established the ASI Chain of Custody Management Practice that will ensure verification of the consistency of the CoC Documents along with the accompanying CoC Material prior to recording information in the SAP Material Accounting System.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity conducts a quarterly review of the ASI website to verify and validity the scope of its supplier ASI CoC Certification and monitor any changes that could affect the status of the CoC Material/Eligible Scrap supplied.
10.4 Error (Reception)	Conformance	Through the ASI Chain of Custody Management Practice, the Entity has established a system to ensure that any error that is discovered after CoC Material has been received will be documented by both the Entity and the supplying party. Corrective actions to avoid a recurrence will also be implemented and agreed on by the same parties.

## 11. CLAIMS AND COMMUNICATIONS

11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity's procedures, and training programs are compliant to the ASI CoC Claims Guidelines.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity's procedures, and training programs are compliant to the ASI CoC Claims Guidelines.
11.1c Claims and Communications (Employee training)	Conformance	The Entity's procedures, and training programs are compliant to the ASI CoC Claims Guidelines.

### 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	2 June 2023	Initial Certification Audit – Full Certification
1	7 January 2025	Surveillance Audit and Scope Change Scope Change to include Archerfield and Noble Park sites. Change of Auditing Firm to SUSTAINABLE CERTIFICATION PTY LTD. Correction to Revision 0 to list all sites included in the Certification Scope and list the sites audited in the Audit Scope description.