

ASI CERTIFICATION  
CHAIN OF CUSTODY  
STANDARD



PRESENTED TO

Henan Zhongfu High  
Precision Aluminium  
Products Co., Ltd.

CERTIFICATE NUMBER

353

ASI STANDARD

CHAIN OF CUSTODY  
(V2 2022)

CERTIFICATION LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED AUDITING  
FIRM

SGS-CSTC  
STANDARDS  
TECHNICAL SERVICES

DATE OF ISSUE

30 JANUARY 2024

DATE OF EXPIRY

29 JANUARY 2027

CERTIFIED SINCE

30 JANUARY 2024

AUTHORISED BY

Aluminium Stewardship Initiative Ltd  
ACN 606 661 125, Australia  
info@aluminium-stewardship.org

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

CERTIFICATION SCOPE

Manufacture of Aluminium alloy  
sheets, strips, and foils including re-  
melting, casting, hot rolling, cold  
rolling, coating, slitting, and  
oxidation processes.

# AUDIT REPORT

## CHAIN OF CUSTODY

### STANDARD

#### OVERVIEW

MEMBER NAME	Henan Zhongfu High Precision Aluminium Products Co., Ltd
ENTITY NAME	Henan Zhongfu High Precision Aluminium Products Co., Ltd.
CERTIFICATION SCOPE	Manufacture of Aluminium alloy sheets, strips, and foils including re-melting, casting, hot rolling, cold rolling, coating, slitting, and oxidation processes.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>Aluminium Re-melting/Refining</li><li>Casthouses</li><li>Post-Casthouse</li></ul>
ASI STANDARD	Chain of Custody Standard V2
AUDIT TYPE	<ul style="list-style-type: none"><li>Initial Certification Audit (27 – 28 November 2023)</li><li>Surveillance Audit (7 – 8 February 2025)</li></ul>
AUDIT FIRM	SGS-CSTC Standards Technical Services
AUDIT DATE	<ul style="list-style-type: none"><li>27 – 28 November 2023 (Initial Certification Audit)</li><li>7 – 8 February 2025 (Surveillance Audit)</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>30 December 2023 (Initial Certification Audit)</li><li>28 February 2025 (Surveillance Audit)</li></ul>
AUDIT SCOPE	<p><u>Initial Certification Audit (27 – 28 November 2023)</u></p> <p>The Audit Scope covers re-melting, casthouse, cold rolling plant, hot rolling plant for the manufacture of Aluminium alloy sheets, strips and Aluminium alloy foils at Henan Zhongfu High Precision Aluminium Products Co., Ltd.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>Aluminium Re-melting/Refining</li><li>Casthouses</li><li>Post-Casthouse</li></ul> <p>All relevant criteria from the ASI Chain of Custody Standard were included in the Audit Scope.</p> <p><u>Surveillance Audit (7 – 8 February 2025)</u></p> <p>The Audit Scope covers re-melting, casthouse, cold rolling plant, hot rolling plant for the manufacture of Aluminium alloy sheets, strips and Aluminium alloy foils at Henan Zhongfu High Precision Aluminium Products Co., Ltd.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>Aluminium Re-melting/Refining</li><li>Casthouses</li><li>Post-Casthouse</li></ul>

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All relevant criteria from 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              30 January 2024 – 29 January 2027

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NEXT AUDIT TYPE                      Re-Certification Audit

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NEXT AUDIT DUE DATE                29 January 2027

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CERTIFICATE NUMBER                 353

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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

Henan Zhongfu High Precision Aluminium Products Co., Ltd. (the 'Entity') is located in Yulian Industrial Park, Zhanjie Town, Gongyi City, Henan Province, Peoples Republic of China. It is a wholly-owned subsidiary of Henan Zhongfu Industrial Co., Ltd., and is the main unit of Henan Yulian Energy Group Co., Ltd for research, development and production of Aluminium alloy high-end materials. The Entity commenced operations in 2012 and relies on the 600,000 tonne high-performance Aluminium alloy special project of the Zhongfu Industry for production and operation. The company has a registered capital of 2 billion yuan and total assets of 6 billion yuan.

The Entity consists of a Casthouse, a hot rolling plant and cold rolling plant. The Casthouse produces Aluminium plate ingot for internal use only, with a capacity of 600,000 tonnes. The hot rolling plant produces hot rolled coil for internal use only. The cold rolling plant produces Aluminium strip with annual production of 570,000 tonnes. The main products are Aluminium can body stock, can end stock, can tab stock and Aluminium foil stock, used in the food, beverage and other product sectors.

There are over 810 employees at the Entity, and its key external stakeholders include the local government and nearby residents in the Zhangjie Town government and residential area. The Entity is certified against numerous standards, including ISO 9001 quality management system, ISO 45001 occupational health and safety management system, ISO 14001 environmental management system, ISO 50001 energy management system, IATF 16949 automotive board management system, and FSSC 22000 food safety management system.

## MATURITY RATINGS

A rating of maturity (low, medium or high) determined by the Auditor that provides a general assessment in terms of systems, Residual Risk and performance assigned to a Sustainability Component.

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

	OVERALL
<b>SYSTEMS</b>	Medium
<b>RISKS</b>	Medium
<b>PERFORMANCE</b>	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 has been registered as an ASI Member in good standing since 2019 in the Production and Transformation membership class. It is committed to complying with all obligations of ASI membership and the ASI Grievance Mechanism. Membership information is available at: <a href="https://aluminium-stewardship.org/about-asi/members">https://aluminium-stewardship.org/about-asi/members</a>
1.2 CoC Management System	Conformance	The Entity has established an ASI Manual and implemented a Management System that meets all applicable requirements of the ASI Chain of Custody Standard for all Facilities under the Entity's control that have Chain of Custody (CoC) Material Custody.
1.3 CoC Management System Monitoring	Conformance	The Entity reviews its Management System annually, following a defined Procedure and addressing potential areas of Non-Conformance. A CoC system review confirmed that the Entity's CoC Management System is well implemented.
1.4 Management Representative	Conformance	The Entity has nominated its Vice General Manager as the Management Representative whose roles and responsibilities are defined in writing and are communicated within the Entity. The Entity has implemented a team to assist this role with the implementation of the ASI Chain of Custody Standard.
1.5 Communications and Training	Conformance	The Entity has established an annual training plan for the ASI CoC Management System to ensure relevant personnel are aware of and competent in their responsibilities under the ASI Chain of Custody Standard. The training plans address the ASI Standard and CoC training records are maintained.
1.6 Records Management	Conformance	The Entity has implemented an 'ASI CoC Documents and Records Control Procedure'. As defined in this Procedure, all records must be kept for at least five years.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	Input and Output Quantities of CoC Material/s to/from the Certified Entity over the calendar year is maintained. The Entity will summarise all data and report to ASI Secretariat before June 2025.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	Input and Output Quantities of Eligible Scrap to/from the Certified Entity over the calendar year is maintained. The Entity will summarise all data and report to ASI Secretariat before June 2025.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity became CoC Certified in 2024, and Positive Balance carried over to the subsequent Material Accounting Period is maintained. Records reviewed during the Audit confirmed that no Positive Balance was carried over to the subsequent Material Accounting Period. The Entity will report to ASI Secretariat before June 2025.
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	Positive Balances carried over to the subsequent Material Accounting Period is maintained. No Positive Balance was carried over to the subsequent Material Accounting Period. The Entity will report to ASI Secretariat before June 2025.

CRITERION	RATING	COMMENT
1.7e Reporting to ASI (Positive Balance used)	Conformance	Positive Balances are carried over to the subsequent Material Accounting Period is maintained. No Positive Balance was carried over to the subsequent Material Accounting Period. The Entity will report to ASI Secretariat before June 2025.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity defines in its 'Reporting to ASI Secretariat' Procedure that the Internal Overdraw drawn down shall be recorded and reported to ASI Secretariat. No Internal Overdraw was drawn down in 2024.
1.7g Reporting to ASI (Intra-Entity Flows)	Not Applicable	This Criterion is not applicable to the Entity as there is no quantity of CoC Material transferred between supply chain activities within the Entity (Intra-Entity Flows).

## 2. OUTSOURCING CONTRACTORS

2.1 Certification Scope	Not Applicable	The Criterion is not applicable, as the Entity does not use Outsourcing Contractors. The Entity's 'CoC Outsourcing Contractor Management' Procedure requires that any Outsourcing Contractor without ASI CoC Certification who handles the Entity's CoC Material for further processing or manufacturing must be identified in the Entity's CoC Certification Scope.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	The Criterion is not applicable, as the Entity does not use Outsourcing Contractors.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	The Criterion is not applicable, as the Entity does not use Outsourcing Contractors.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	The Criterion is not applicable, as the Entity does not use Outsourcing Contractors.
2.3 Information on Quantity of CoC Material Output and Returned	Not Applicable	The Criterion is not applicable, as the Entity does not use Outsourcing Contractors.
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 does not use Outsourcing Contractors.
2.5 Error (Outsourcing Contractor)	Not Applicable	The Criterion is not applicable, as the Entity does not use Outsourcing Contractors.

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

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

CRITERION	RATING	COMMENT
3.1c ASI Bauxite (Bauxite sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2a ASI Alumina (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2b ASI Alumina (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2c ASI Alumina (Bauxite sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3a ASI Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3b ASI Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3c ASI Aluminium (Alumina sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

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

4.1a Recycled Aluminium (CoC Certification Scope)	Conformance	The Entity has established systems to ensure the receipt and production of ASI Aluminium according to the ASI Chain of Custody Standard. ASI Aluminium is produced only from Aluminium smelters that are within the Entity's CoC Certification Scope. Recycled Aluminium has been used as Input to produce ASI Aluminium.
4.1b Recycled Aluminium (Performance Standard)	Conformance	The Entity holds a valid Performance Standard Certification (Certificate Number 123): <a href="https://aluminium-stewardship.org/about-asi/members/Henan-Zhongfu-High-Precision-Aluminium-Products-Co-Ltd">https://aluminium-stewardship.org/about-asi/members/Henan-Zhongfu-High-Precision-Aluminium-Products-Co-Ltd</a>  ASI Aluminium is produced only from plants that are Certified against the ASI Performance Standard.
4.2a Eligible Scrap (Pre-Consumer)	Conformance	The Entity has established an 'ASI CoC Recycled Aluminium Management' Procedure which stipulates the criteria and management program of Eligible Scrap and its suppliers. It was confirmed that Due Diligence of Pre-Consumer suppliers had been conducted.
4.2b Eligible Scrap (Post-Consumer)	Conformance	The Entity has established an 'ASI CoC Recycled Aluminium Management' Procedure which stipulates the criteria and management program of Eligible Scrap and its suppliers. It was confirmed that Due Diligence for Post-Consumer suppliers had been conducted.
4.2c Eligible Scrap (Dross)	Not Applicable	This Criterion is not applicable to the Entity, as it has not purchased Eligible Scrap from suppliers of treated Aluminium Dross or Recycled Aluminium from Aluminium ash and other Aluminium containing waste.

CRITERION	RATING	COMMENT
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Conformance	The Entity has established a 'ASI CoC Recycled Aluminium Management' Procedure, and recorded information on contractors who supply Recyclable Scrap Material directly, including their identities, principles, and places of operation.
4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions)	Conformance	The Entity has implemented a 'Cash Payment Principle' which limits cash transactions to no more than US\$10,000. There are no cash transactions between the Entity and its suppliers.

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

5.1a ASI Aluminium (CoC Certification Scope)	Conformance	There are two sources of ASI Aluminium: One is produced only from the Casthouse of the Entity, which is covered by the Entity's CoC Certification Scope. The other source of ASI Aluminium is from another CoC Certified Entity, which is 100% controlled by the Entity. All products from this Casthouse are traceable in the Entity's Business Innovation Platform (BIP) system.
5.1b ASI Aluminium (Performance Standard)	Conformance	The Entity holds a valid Performance Standard Certification (Certificate Number 123): <a href="https://aluminium-stewardship.org/about-asi/members/Henan-Zhongfu-High-Precision-Aluminium-Products-Co---Ltd">https://aluminium-stewardship.org/about-asi/members/Henan-Zhongfu-High-Precision-Aluminium-Products-Co---Ltd</a>
5.1c ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has implemented a procedure to define that the sourcing of ASI Aluminium shall either be directly from another ASI CoC Certified Entity or via a Trader, where ASI Aluminium can be identified as from an ASI CoC Certified Entity. It is confirmed that ASI Aluminium is sourced from ASI CoC Certified Entities.
5.2 Unique Identification	Conformance	For ASI CoC Aluminium, only suppliers who have obtained ASI CoC Certification shall carry out the input and output statistics according to the incoming batch number for traceability in the BIP (Business Innovation Platform) system.

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

6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The Entity has established a procedure to ensure that it produces Aluminium Products only from the Facility that is within the CoC Certification Scope.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity holds a valid Performance Standard Certification (Certificate Number 123): <a href="https://aluminium-stewardship.org/about-asi/members/Henan-Zhongfu-High-Precision-Aluminium-Products-Co---Ltd">https://aluminium-stewardship.org/about-asi/members/Henan-Zhongfu-High-Precision-Aluminium-Products-Co---Ltd</a>
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Not Applicable	This Criterion is not applicable, as all the Entity's Post-Casthouse ASI Aluminium is derived from re-melts and casting stoves. They are not sourcing ASI Aluminium externally.

#### 7. DUE DILIGENCE FOR NON-COC MATERIAL, COC MATERIAL ACQUIRED THROUGH A TRADER AND RECYCLABLE SCRAP MATERIAL



CRITERION	RATING	COMMENT
7.1a Responsible Sourcing Policy (Anti-corruption)	Conformance	The Entity has publicly disclosed its Responsible Sourcing Policy addressing anti-Corruption, available at: <a href="http://www.zfsy.com.cn/uploadFiles/files/20220803164152.pdf">http://www.zfsy.com.cn/uploadFiles/files/20220803164152.pdf</a>  The Entity communicates its commitment regarding anti-Corruption, in its Responsible Sourcing Policy, which has been accepted by all suppliers and traders.
7.1b Responsible Sourcing Policy (Responsible sourcing)	Minor Non-Conformance	The Entity distributes the Responsible Sourcing Policy to its suppliers of Non-CoC Material, Recyclable Scrap Material, and CoC Material supplied through a Trader. However, the Entity does not currently publicly disclose its Responsible Sourcing Policy.
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	The Entity has established a Responsible Sourcing Policy covering Human Rights Due Diligence. The Entity has communicated the Responsible Sourcing Policy to its suppliers.
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has established Responsible Sourcing Policy that covers Conflict-Affected and High-Risk Areas (CAHRA) and/or the OECD Due Diligence. The Policy has been communicated to suppliers.
7.2 Risk Assessment and Mitigation	Conformance	The Entity has established an 'ASI CoC Supplier Due Diligence' Procedure to assess the risks of non-compliance with its Responsible Sourcing Policy. The Entity's supplier survey addresses non-compliance on environment, social and governance.
7.3 Complaints Resolution Mechanism	Minor Non-Conformance	The Entity has established a Complaints Mechanism established as per Criterion 3.4 in the ASI Performance Standard. The complaints channel includes a telephone contact, which was verified during the Audit, however the telephone operator did not have knowledge of ASI, and in addition, the Complaints Mechanism has not been publicly disclosed.
<b>8. MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM</b>		
8.1 Material Accounting System	Conformance	The Entity has established a 'Mass Balance System CoC Materials and ASI Aluminum Management' Procedure and Business Innovation Platform (BIP) system for the Material Accounting System, which is available to record the Input Quantity and Output Quantity of Aluminium material by mass.
8.2 Material Accounting Period	Conformance	The Entity has established a Material Accounting Period of 12 months (a calendar year) in the 'Mass Balance System CoC Materials and ASI Aluminium Management' Procedure.
8.3 Input and Inflow Quantities	Conformance	The Entity has established the BIP (system which records the Quantities of each CoC Material and Eligible Scrap Input and the Quantities of Non-CoC Material and Recyclable Scrap Material Inflow to the Certification Scope. The Inflow Quantity of Eligible Scrap and Recyclable Scrap Material is based on an assessment of Aluminium content.
8.4 Output Quantities of CoC Material	Conformance	The Entity has established a Procedure to define that over the given Material Accounting Period, the Entity uses the Input Quantities for each CoC Material to determine the available Quantities of CoC

CRITERION	RATING	COMMENT
		<p>Material for Output, proportional to total Inflows of CoC and Non-CoC Materials, by mass.</p> <p>The Entity has recorded the Input Quantities for each CoC Material, Quantities of CoC Material for Output, and proportional to total Inflows of CoC and Non-CoC Material in 2024.</p>
8.5 Indivisibility of CoC Material	Conformance	The Entity has established a Procedure to define the Output Quantity of CoC Material, which may be a subset of total production, must be designated as 100% CoC Material.
8.6 Output Quantity of Eligible Scrap	Not Applicable	This Criterion is not applicable to the Entity, as it currently does not generate any eligible Scrap.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity has established the BIP System to ensure the total CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage as applied to the total Input of CoC Material and/or Eligible Scrap over the Material Accounting Period.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity has established a Procedure to define the Internal Overdraw must not exceed 20% of the total Input Quantity of CoC Material for the Material Accounting Period. There is no Internal Overdraw of CoC Material in 2024.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity has established a Procedure to define the carry-over of an Internal Overdraw to the subsequent Material Accounting Period (next calendar year) when it is subjected to a Force Majeure situation. It states that the Internal Overdraw must not exceed the amount of CoC Material affected by the Force Majeure situation. There is no Internal Overdraw of CoC Material in 2024.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Entity has established a 'Mass Balance System CoC Materials and ASI Aluminium Management' Procedure to define the Internal Overdraw must be made up within the subsequent Material Accounting Period. The Internal Overdraw must be made up within the subsequent Material Accounting Period. There is no Internal Overdraw of CoC Material in 2024.
8.9a Positive Balance (Carry over)	Conformance	The Entity has established a Procedure to define that a Positive Balance of Output CoC Material at the end of a Material Accounting Period may be carried over to the subsequent Material Accounting Period. Per document review, there is no Positive Balance of CoC Material at the end of a Material Accounting Period.
8.9b Positive Balance (Expiry)	Conformance	<p>The Entity has defined in its ASI procedure that CoC Material that cannot be used in the current year, may be transferred to the next accounting period. It must be marked as carry over CoC Material and must be consumed within this period.</p> <p>There is no Positive Balance of CoC Material at the end of a Material Accounting Period.</p>
<b>9. ISSUING COC DOCUMENTS</b>		
9.1 CoC Document	Conformance	The CoC Document requirements are implemented in the Material Accounting System. If material is marked as CoC Material, all relevant

CRITERION	RATING	COMMENT
		information is printed on the CoC Documents (such as delivery documents).
9.2a CoC Document Content (Date of issue)	Conformance	The Entity has established a 'CoC Documents Issuance Management' Procedure, which defines the CoC Document to include the date of issue of the CoC Document.
9.2b CoC Document Content (Reference number)	Conformance	All CoC Documents have a reference number. The reference number included the batch number of the Product ordered, which is linked to the Entity's Material Accounting System. This enables verification of CoC Material.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity has established a 'CoC Documents Issuance Management' Procedure, which defines that the CoC Document is to include the identity, address and CoC Certification number of the Entity.
9.2d CoC Document Content (Receiving customer)	Minor Non-Conformance	All CoC Documents include the identity and address of the customer receiving the Entity's CoC Material, however, there is no CoC Certification number shown on the CoC Documents when the customer is another CoC Certified Entity.
9.2e CoC Document Content (Responsible employee)	Conformance	Review of the Entity's CoC Documents issued in 2024, confirmed that all documents for the Entity's clients, including CoC Documents, include the name of the person who is responsible for the handling of the order.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity has established a 'CoC Documents Issuance Management' Procedure which defines that the CoC Document must contain the conformance statement.
9.2g CoC Document Content (Type of CoC Material)	Conformance	Review of the Entity's CoC Documents issued in 2024, confirmed that all CoC Documents include the type of CoC Material as 'ASI Aluminium'.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	All shipping documents, including CoC Documents, provide information on the amount of CoC Material in the shipment.
9.2i CoC Document Content (Mass of total material)	Conformance	All shipping documents, including CoC Documents, provide information on the mass of total material in the shipment.
9.3a Sustainability Data (optional) - Carbon footprint	Not Applicable	The Criterion is not applicable, as the Entity has not provided Sustainability Data. However, the Entity has established a 'CoC Documents Issuance Management' Procedure which defines that a CoC Document includes the applicable Sustainability Data where applicable.
9.3b Sustainability Data (optional) - Origin information	Not Applicable	The Criterion is not applicable, as the Entity has not provided Sustainability Data. However, the Entity has established a 'CoC Documents Issuance Management' Procedure which defines that a CoC Document includes the applicable Sustainability Data where applicable.

CRITERION	RATING	COMMENT
9.3c Sustainability Data (optional) – Recycled content	Not Applicable	The Criterion is not applicable, as the Entity has not provided Sustainability Data. However, the Entity has established a 'CoC Documents Issuance Management' Procedure which defines that a CoC Document includes the applicable Sustainability Data where applicable.
9.3d Sustainability Data (optional) – Post-Casthouse ASI Certification status	Not Applicable	The Criterion is not applicable, as the Entity has not provided Sustainability Data. However, the Entity has established a 'CoC Documents Issuance Management' Procedure which defines that a CoC Document includes the applicable Sustainability Data where applicable.
9.4 Supplementary Information (optional) – Objective evidence	Not Applicable	The Criterion is not applicable, as the Entity does not intend to provide Supplementary Information in CoC Documents. However, the Entity has established a 'CoC Documents Issuance Management' Procedure which defines that a CoC Document can include additional information where applicable.
9.5 Verification of Information	Conformance	The Entity's Sales Manager is responsible for responding to reasonable requests for verification of the information in the CoC Documents in close co-operation with the Product Department. All necessary records of delivery documents, and batch records are available to verify the information.
9.6 Error (Shipping)	Conformance	<p>The Entity has established a procedure to define the disposal process for a discovered error after CoC Material shipment. Any errors discovered by the Entity shall be promptly reported to the receiving Entity.</p> <p>The Entity and the receiving party shall document the error and the agreed steps taken to correct it and implement actions to avoid a recurrence. There have been no errors identified to date.</p>

## 10. RECEIVING COC DOCUMENTS

10.1 Verification of CoC Documents	Conformance	The Entity verified all required information in received CoC Documents and related records are maintained.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	Upon delivery, the consistency of received material with the accompanying documents are checked. This is also undertaken with all CoC Material or Eligible Scrap before recording the information in the Material Accounting System.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has established a system to review at least quarterly the relevant CoC Certification details of its suppliers, including certificates, their validity and any changes in the scope of certification. This is also undertaken for the Entity's suppliers of CoC Material.
10.4 Error (Reception)	Conformance	The Entity has established a Procedure that specifies the disposal process for a discovered error after COC Material is received. The Entity and the supplying party must document the error and the agreed steps taken to correct it and implement actions to avoid a recurrence.

## 11. CLAIMS AND COMMUNICATIONS

CRITERION	RATING	COMMENT
11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity has established an 'ASI CoC Claim and Communication Management' Procedure. The Procedure defines that any claim or communication is to be made in a manner and form consistent with the ASI Claims Guide.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity has established an 'ASI CoC Claim and Communication Management' Procedure. The Procedure defines that any claim or communication is to be made in a manner and form consistent with the ASI Claims Guide.
11.1c Claims and Communications (Employee training)	Conformance	The Entity has provided training for relevant employees regarding the ASI Claims Guide requirements.

#### ASI LIMITATION OF LIABILITY DISCLAIMER

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#### DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	30 January 2024	Initial Certification Audit – Full Certification
1	22 March 2025	Surveillance Audit