

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

Shangqiu Yangguang Aluminium Product Co., Ltd.

CERTIFICATE NUMBER

144

ASI STANDARD

CHAIN OF CUSTODY
(V2 2022)

CERTIFICATION LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITING FIRM

DNV BUSINESS
ASSURANCE SERVICES
UK LTD.

DATE OF ISSUE

6 AUGUST 2024

DATE OF EXPIRY

5 AUGUST 2027

CERTIFIED SINCE

6 AUGUST 2021

AUTHORISED BY

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

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*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 and Sales Service of
Aluminium and Aluminium Alloy Plate,
Sheet, Strip and Related Management
Activities (China).

AUDIT REPORT

CHAIN OF CUSTODY

STANDARD

OVERVIEW

MEMBER NAME	HENAN SUNHO COAL & POWER CO., LTD
ENTITY NAME	Shangqiu Yangguang Aluminium Product Co., Ltd.
CERTIFICATION SCOPE	Production and Sales Service of Aluminium and Aluminium Alloy Plate, Sheet, Strip and Related Management Activities (China).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">• Casthouses• Post-Casthouse
ASI STANDARD	<ul style="list-style-type: none">• Chain of Custody Standard V2
AUDIT TYPE	<ul style="list-style-type: none">• Initial Certification Audit (15 – 16 June 2021)• Surveillance Audit (11 October 2023)• Re-Certification Audit and Scope Change (25 – 26 June 2024)
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none">• 15 – 16 June 2021 (Initial Certification Audit)• 11 October 2023 (Surveillance Audit)• 25 – 26 June 2024 (Re-Certification Audit and Scope Change)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">• 21 July 2021 (Initial Certification Audit)• 7 November 2023 (Surveillance Audit)• 16 July 2024 (Re-Certification Audit and Scope Change)
AUDIT SCOPE	<p><u>Initial Certification Audit (15 – 16 June 2021)</u></p> <p>The Audit Scope covers Shangqiu Yangguang Aluminium Product Co., Ltd, Henan Province (China). The main products include Aluminium and Aluminium Alloy Plate, Sheet and Strip. Main production processes include casting, cold rolling, annealing and packing.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none">• Casthouses• Post-Casthouse <p>At the time of the Audit (June 2021), access to the site was not possible, due to COVID-19 related travel restrictions. The Audit 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 (11 October 2023)</u></p> <p>The Audit Scope covers Shangqiu Yangguang Aluminium Product Co., Ltd, Henan Province (China). The main products include Aluminium and Aluminium Alloy Plate, Sheet and Strip. Main production processes include casting, cold rolling, annealing and packing.</p> <p>Supply chain activities included in the Audit Scope:</p>

- Casthouses
- Post-Casthouse

All applicable criteria in the ASI Chain of Custody Standard were included in the Audit Scope.

Re-Certification Audit and Scope Change (25 – 26 June 2024)

The Audit Scope covers Shangqiu Yangguang Aluminium Product Co., Ltd, Henan Province (China). The main products include Aluminium and Aluminium Alloy Plate, Sheet and Strip. Main production processes include casting, cold rolling, annealing and packing.

Supply chain activities included in the Audit Scope:

- Casthouses
- Post-Casthouse

All applicable criteria in the ASI Chain of Custody Standard were included in the Audit Scope.

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	6 August 2024 – 5 August 2027
NEXT AUDIT TYPE	Surveillance Audit
NEXT AUDIT DUE DATE	1 March 2027
CERTIFICATE NUMBER	144



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

Shangqiu Yangguang Aluminium Product Co, Ltd (the 'Entity') was established in July 2007. The Entity specialises in producing Aluminium and Aluminium Alloy plates, sheets, and strips. Its main production processes include casting, cold rolling, annealing, and packing. In 2022, the Entity produced and sold 90,000 tonnes of Aluminium foil billet. The factory occupies an area of approximately 23 hectares and has a workforce of around 450 employees. The facility includes on-site accommodation, administrative offices, supply storage, workshop, laboratory, and storage.

The nearest township to the factory is Li Zhuang, which is located 3.5 kilometres from the Entity. The primary external stakeholders of the Entity include the government, the Henan Shenhua Group Co., LTD, the local town of Li Zhuang, local villages in Caolou, and Shangqiu City Environmental Protection Bureau.

Construction activities on-site are currently underway to increase capacity to 210,000 tonnes by 2025.

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
SYSTEMS	Medium
RISKS	Medium
PERFORMANCE	Medium
OVERALL	MEDIUM

FINDINGS

CRITERION	RATING	COMMENT
1. MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI Membership	Conformance	The Entity is a subsidiary of HENAN SUNHO COAL & POWER CO., LTD., which has been an ASI Member in the Production and Transformation class since August 2017, and commits to complying with ASI's membership obligations and the ASI Complaints Mechanism. The membership details are available at: https://aluminium-stewardship.org/about-asi/members/HENAN-SUNHO-COAL---POWER-CO---LTD
1.2 CoC Management System	Conformance	The Entity has a documented ASI Chain of Custody (CoC) Management System based on the requirements of the ASI Chain of Custody Standard.
1.3 CoC Management System Monitoring	Conformance	The Entity has established the process to periodically review the ASI CoC Management System to ensure its continual adequacy, adaptability and effectiveness through internal audits and management review meetings. The non-conformance management process has been established and implemented.
1.4 Management Representative	Conformance	The Entity has appointed a senior manager as the Management Representative as the responsible person for the implementation of the ASI Chain of Custody Standard and the roles and responsibilities have been defined.
1.5 Communications and Training	Conformance	The Entity has identified the key employees associated with its ASI CoC Management System, and has provided these employees with relevant training to make them aware of and competent in their responsibilities under the ASI Chain of Custody Standard.
1.6 Records Management	Conformance	The document and records management for the Entity's ASI CoC Management System follows the process of its Quality, Environment and Safety (QES) Management System. The retention time is defined as a minimum of five years.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	Review of data in ASI's online platform, elementAL, and the Entity's Mass Balance System confirmed that the Input and Output Quantities of CoC Material to/from the Entity for 2023 were reported to the ASI Secretariat.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	Review of data in ASI's online platform, elementAL, and the Entity's Mass Balance System confirmed that the Input and Output of Eligible Scrap for 2023 was reported to the ASI Secretariat as zero.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	Review of data in ASI's online platform, elementAL, and the Entity's Mass Balance System confirmed that the Inflow and Outflow Quantities of Non-CoC Materials for 2023 were reported to the ASI Secretariat.
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	Review of data in ASI's online platform, elementAL, and the Entity's Mass Balance System confirmed that there was no Positive Balance in 2023.

CRITERION	RATING	COMMENT
1.7e Reporting to ASI (Positive Balance used)	Conformance	Review of data in ASI's online platform, elementAL, and the Entity's Mass Balance System confirmed that there was no Positive Balance in 2022, so no Positive Balance was used in 2023.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	Review of data in ASI's online platform, elementAL, and the Entity's Mass Balance System confirmed that there was no Internal Overdraw in the 2023 reporting period.
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	Review of data in ASI's online platform, elementAL, and the Entity's Mass Balance System confirmed that the quantities of CoC Materials transferred between supply chain activities within the Entity (Intra-Entity Flows) in 2023 were reported to ASI.

2. OUTSOURCING CONTRACTORS

2.1 Certification Scope	Not Applicable	This Criterion is not applicable to the Entity, as it 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 to the Entity, as it 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 to the Entity, as it 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 to the Entity, as it 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 to the Entity, as it 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 to the Entity, as it does not use Outsourcing Contractors for further processing, treatment or manufacturing.
2.5 Error (Outsourcing Contractor)	Not Applicable	This Criterion is not applicable to the Entity, as it 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.
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)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.1b Recycled Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2a Eligible Scrap (Pre-Consumer)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2b Eligible Scrap (Post-Consumer)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2c Eligible Scrap (Dross)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a ASI Aluminium (CoC Certification Scope)	Conformance	The Entity is engaged in producing Casthouse Products and its Casthouse is within the CoC Certification Scope.

CRITERION	RATING	COMMENT
		Additionally, a process is implemented to regularly monitor Aluminium suppliers to ensure they are ASI Certified and their CoC Certification Scope covers the activities when accounting for CoC Material.
5.1b ASI Aluminium (Performance Standard)	Conformance	The Entity's system ensures the production of ASI Aluminium only from the Casthouse that is Certified against the ASI Performance Standard.
5.1c ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has established and implemented a Management System that ensures ASI Aluminium is produced only from Casthouses that source ASI Aluminium either directly from another ASI CoC Certified Entity, or via a Trader with a verified CoC Document.
5.2 Unique Identification	Conformance	The Entity has implemented systems to ensure that each ASI Aluminium Product or its packaging is labelled with a unique identification barcode number, either physically stamped or printed on, and which can be linked to the Material Accounting System.

6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM

6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The Entity's implemented system ensures that it produces ASI Aluminium only from the Facility within its CoC Certification Scope.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity's implemented system ensures that it produces ASI Aluminium only from the Facility within its ASI Performance Standard Certification Scope.
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has implemented systems to ensure that it sources ASI Aluminium only from CoC Certified Entities or indirectly via a metals Trader and warehouse. Review of purchase orders and site observations confirmed effective implementation.

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 implemented a Responsible Sourcing Policy, which addresses anti-Corruption. All identified major next-tier suppliers are informed of the Policy and have signed the Commitment Letter of Business Ethics. The Responsible Sourcing Policy is available at: http://www.shalfoil.com/NewsDetail.aspx?ID=3307
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has implemented a Responsible Purchasing Policy, which addresses responsible sourcing. All major next-tier suppliers are informed of the Policy and have signed the Commitment Letter of Responsible Purchasing. The Responsible Purchasing Policy is available at: http://www.shalfoil.com/NewsDetail.aspx?ID=3307
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	The Entity has implemented a Responsible Purchasing Policy, which addresses Human Rights Due Diligence. All identified major next-tier suppliers are informed of the Policy and have signed the Commitment Letter of Responsible Purchasing. The Responsible Purchasing Policy is available at: http://www.shalfoil.com/NewsDetail.aspx?ID=3307

CRITERION	RATING	COMMENT
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has implemented a Responsible Sourcing Policy, covering Conflict-Affected and High-Risk Areas. All identified major next-tier suppliers are informed of the Policy and have signed the Commitment Letter of Non-Conflict-Minerals. The relevant training courses are provided to employees. The Responsible Purchasing Policy is available at: http://www.shalfoil.com/NewsDetail.aspx?ID=3307
7.2 Risk Assessment and Mitigation	Conformance	The Entity has undertaken risk assessments on its suppliers and completed risk mitigation efforts where relevant. The Entity conducts second party audits of its major next tier suppliers.
7.3 Complaints Resolution Mechanism	Conformance	The Entity has established a Complaints Mechanism and has implemented a 'whistleblower'/complaints channel to enable both employees and external Stakeholders to anonymously report potential cases of misconduct. The information is publicly available at: http://www.shalfoil.com/NewsDetail.aspx?ID=3307

8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM

8.1 Material Accounting System	Conformance	The Entity has established a Material Accounting System that can record the Input/Output and inflow/outflow Quantity of CoC Material and Non-CoC Material by mass. The implementation of the system was verified during the Audit.
8.2 Material Accounting Period	Conformance	The Entity has implemented a CoC Management Manual, and the Material Accounting Period is defined as a calendar year from 1 January to 31 December.
8.3 Input and Inflow Quantities	Conformance	The Entity records the Quantities of each CoC Material and Eligible Scrap Input and the Quantities of Non-CoC Material and Recyclable Scrap Material Inflow, and determines the Inflow Quantity of Eligible Scrap and Recyclable Scrap Material based on an assessment of Aluminium content.
8.4 Output Quantities of CoC Material	Conformance	The Entity's Material Accounting System ensures that the available Quantities of CoC Material for Output is determined by the Input Quantities for each CoC Material proportional to the total Inflows of CoC and Non-CoC Materials, by mass.
8.5 Indivisibility of CoC Material	Conformance	The Output Quantity of CoC Material is designated as 100% CoC Material in the Entity's Material Accounting System.
8.6 Output Quantity of Eligible Scrap	Conformance	The Entity's CoC Management Manual defines that the Entity designate the relevant proportion of Scrap generated in the production processes as Eligible Scrap, using the same percentage share as for its Output of ASI Aluminium. To date, no Scrap has been designated as Eligible Scrap.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity's CoC Management Manual defines 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. The implementation of the system was verified during the Audit.

CRITERION	RATING	COMMENT
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity's CoC Management Manual defines that an Internal Overdraw shall not exceed 20% of total Input Quantity of CoC Material for the Material Accounting Period. There has been no Internal Overdraw over the previous two reporting periods.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity's CoC Management Manual defines that an Internal Overdraw is only permitted when CoC Material has been contracted to be delivered to the Entity, but a Force Majeure situation has prevented timely delivery and the Internal Overdraw shall not exceed the amount of CoC Material affected by the Force Majeure situation. There has been no Internal Overdraw in the previous two reporting periods.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Entity's CoC Management Manual defines that the Internal Overdraw shall be made up within the subsequent Material Accounting Period. There has been no Internal Overdraw in the past two periods.
8.9a Positive Balance (Carry over)	Conformance	The Entity's CoC Management Manual defines that a carry over of a Positive Balance shall be clearly identified in the Entity's Material Accounting System. There has been no Positive Balance in the previous two reporting periods.
8.9b Positive Balance (Expiry)	Conformance	The Entity's CoC Management Manual defines that a 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. There has been no Positive Balance in the previous two reporting periods.
9. ISSUING COC DOCUMENTS		
9.1 CoC Document	Conformance	The Entity uses the CoC Document template defined in the ASI Chain of Custody Standard. The Entity issues a CoC Document to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity issues a CoC Document to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders, which includes the date of issue.
9.2b CoC Document Content (Reference number)	Conformance	The Entity issues a CoC Document to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders, which includes a reference number.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity issues a CoC Document to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders, which includes details of the Entity.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity issues a CoC Document to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders, which includes details of the receiving customer.

CRITERION	RATING	COMMENT
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity issues a CoC Document to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders, which includes details of the responsible employee who can verify information in the CoC Document.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity issues a CoC Document to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders, which includes the Conformance statement.
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity issues a CoC Document to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders, which includes the type of CoC Material in the shipment.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity issues a CoC Document to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders, which includes the mass of CoC Material in the shipment.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity issues a CoC Document to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders, which includes the mass of total material in the shipment.
9.3a Sustainability Data (optional) - Carbon footprint	Conformance	The Entity does not provide Sustainability Data by default. However, if customers raise a request, the Entity shares the Life Cycle Assessment Report with the customer.
9.3b Sustainability Data (optional) - Origin information	Conformance	The Entity does not provide Sustainability Data by default. However, if customers raise a request, the Entity will share information on the origin of Aluminium with the customer.
9.3c Sustainability Data (optional) - Recycled content	Conformance	The Entity does not provide Sustainability Data by default. However, if customers raise a request, the Entity will share information on the recycled content with the customer.
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Conformance	The Entity issues a CoC Document to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders, which includes detail on the Entity's ASI Certification Status.
9.4 Supplementary Information (optional) - Objective evidence	Conformance	The Entity does not provide Supplementary Information by default. However, when Supplementary Information is provided, it is based on the output of the Entity's Management System.
9.5 Verification of Information	Conformance	The Entity has defined the responsibility for and process to respond to requests for verification of information in the CoC Documents issued by the Entity.
9.6 Error (Shipping)	Conformance	The Entity has established a process that is integrated with its ISO 9001 certified Quality Management System, to record errors, analyse the root cause and take associated corrective action to prevent recurrence.

CRITERION	RATING	COMMENT
10. RECEIVING CoC DOCUMENTS		
10.1 Verification of CoC Documents	Conformance	The Entity has implemented a process to verify the required information in the received CoC documents as required by ASI Chain of Custody Standard.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity has implemented a process to verify the consistency of received CoC Documents with the accompanying CoC Material before recording information in their Material Accounting System.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has implemented a process to verify suppliers' CoC Certification Status by monitoring the ASI website at: https://aluminium-stewardship.org/about-asi/asi-member-listing
10.4 Error (Reception)	Conformance	The Entity has established a process to record errors, provide feedback to the supplier and require them to take the associated corrective action to prevent a recurrence.
11 CLAIMS AND COMMUNICATIONS		
11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity's CoC Management Manual defines that all claims and communications must follow the ASI Claims Guide, including communications with the ASI Secretariat. The relevant roles and responsibilities are defined. To date, the Entity has not made any claims except in relation to achieving ASI Certification.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity has assigned the roles and responsibilities to ensure that claims are made in a manner consistent with the ASI Claims Guide.
11.1c Claims and Communications (Employee training)	Conformance	The Entity has provided training on claims and communications to relevant employees.

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	6 August 2021	Initial Certification Audit – Full Certification
1	19 December 2023	Surveillance Audit
2	30 July 2024	Re-Certification Audit and Scope Change – Full Certification Scope Change to apply ASI CoC V2 Individual ASI Membership for Shangqiu Yangguang Aluminium Product Co., Ltd was superseded and the Entity has been included under the HENAN SUNHO COAL & POWER CO., LTD membership.
3	5 March 2025	Extension to the Next Audit Due Date, consistent with ASI's voluntary option for CoC Standard Certification extensions
