

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

Suzhou Chuangtai Alloy Material Co., Ltd.

CERTIFICATE NUMBER

373

ASI STANDARD

CHAIN OF CUSTODY
(V2 2022)

CERTIFICATION LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITING FIRM

SGS-CSTC
STANDARDS
TECHNICAL SERVICES

DATE OF ISSUE

27 MAY 2024

DATE OF EXPIRY

26 MAY 2027

CERTIFIED SINCE

27 MAY 2024

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. He'.

CERTIFICATION SCOPE

Melting, casting, cutting, homogenising, profile extruding and machining for the manufacture of un-forged Aluminium alloy billets and Aluminium alloy profile at Suzhou Chuangtai Alloy Material Co., Ltd., Suzhou City, Jiangsu Province, China.

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

AUDIT REPORT

CHAIN OF CUSTODY

STANDARD

OVERVIEW

MEMBER NAME	Shandong Innovation Group Co., Ltd.
ENTITY NAME	Suzhou Chuangtai Alloy Material Co., Ltd.
CERTIFICATION SCOPE	Melting, casting, cutting, homogenising, profile extruding and machining for the manufacture of un-forged Aluminium alloy billets and Aluminium alloy profile at Suzhou Chuangtai Alloy Material Co., Ltd., Suzhou City, Jiangsu Province, China.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">Aluminium Re-melting/RefiningCasthousesPost-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
AUDIT FIRM	SGS-CSTC Standards Technical Services
AUDIT DATE	<ul style="list-style-type: none">10 – 11 March 2024
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">25 April 2024
AUDIT SCOPE	<p>The Audit Scope includes the melting, casting, cutting, homogenising, profile extruding and machining for the manufacture of un-forged Aluminium alloy billets and Aluminium alloy profile at Suzhou Chuangtai Alloy Material Co., Ltd., Suzhou City, Jiangsu Province, China.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none">Aluminium Re-melting/RefiningCasthousesPost-Casthouse <p>All relevant criteria in the ASI Chain of Custody Standard were included in the Audit Scope.</p>
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.

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- ☑ 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	27 May 2024 – 26 May 2027
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NEXT AUDIT TYPE	Re-Certification Audit
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NEXT AUDIT DUE DATE	26 May 2027
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CERTIFICATE NUMBER	373
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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.

ENTITY OVERVIEW

The Entity was established in December 2014, and it is located in Suxiang Cooperation Zone, Suzhou City, Jiangsu Province. It specialises in the processing, sales, and production technology research and development of new Aluminium alloy materials, lightweight Aluminium magnesium alloy materials for transportation, and high-end products such as 3C. The Entity is a wholly owned subsidiary of Shandong Innovation Metal Technology Co., Ltd., and it covers a total area of 316 acres.

The Entity's main production processes include casting, extrusion, and machining, with a designed production capacity of 250000 tons/year for casting and 60000 tons/year for extrusion. At present, the actual production is about 22,0000 tons/year for casting and about 30000 tons/year for extrusion. They have six workshops, one office building, and two dormitory buildings. Inside the workshops, there are tilting melting furnaces, automatic casting machines, homogenising furnaces, sawing machines, peeling lines, extruders, precision saws, aging furnaces, precision machining lathes, cleaning lines, stamping machines, bending machines, and other equipment. The workshop also has semi-finished product transfer warehouses and finished product warehouses.

The factory is equipped with a reuse water treatment station, an air compression station, a hazardous waste warehouse, and a general solid waste warehouse. Parking lots and protective fences with video surveillance are set up around the factory. There are gardens and landscape ponds within the factory area to meet the leisure needs of employees, and dormitories are provided for their rest.

The Entity employs 675 people, and its main Stakeholders include shareholders, customers, partners, upstream supply chains, and government-related departments (such as the tax authorities). The Entity's continuous development provides employment opportunities for nearby residents and drives the economic development of the surrounding areas. The Entity's production activities do not have any impact on nearby communities or residents.

The Entity is committed to the concept of green development and strives to build a sustainable Aluminium industry chain that covers the entire process of Aluminium recycling, casting, extrusion, and CNC precision processing. The Entity has participated in and led the drafting and formulation of multiple non-ferrous metal standards and has been awarded the honorary titles of "Demonstration Base for Standard Development and Innovation of Aluminum and Aluminum Alloy Melting and Casting Wastewater, Exhaust Gas, and Waste Residue Control Specification", "Jiangsu Province Green Factory", "National Green Factory", "Jiangsu Province Private Science and Technology Enterprise", and "Suzhou Engineering Technology Research and Development Center".

The Entity actively promotes digital transformation and upgrading and strives to become an "Intelligent Company" by implementing intelligent manufacturing. And aims to become a pioneer of innovation groups in the Yangtze River Delta region and to establish itself as a leading domestic developer and manufacturer of responsible, low-carbon, circular, intelligent, and innovative Aluminium alloy products.

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	<p>The Entity is registered as an ASI Member in good standing since 2022, associated with the Production and Transformation membership class, and is committed to complying with all obligations to ASI membership and the ASI Grievance Mechanism.</p> <p>For more information refer to: https://www.innovationmetal.com/d/file/p/2024/04-02/c2c5dfac5f8bef18b31fec4b54858cc7.pdf http://aluminium-stewardship.org/about-asi/current-members</p>
1.2 CoC Management System	Conformance	The Entity has implemented a Management System that meets all applicable requirements of the ASI Chain of Custody Standard, in all Facilities under the Entity's control that have CoC Material. The Entity has developed the ASI Manual for Suzhou Chuangtai Alloy Material Co., Ltd.
1.3 CoC Management System Monitoring	Conformance	The Entity reviews the Management System annually in accordance with its defined procedure and addresses potential areas of Non-Conformance.
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. Within the Entity, there is a team assisting this role in the implementation of the ASI Chain of Custody Standard.
1.5 Communications and Training	Conformance	The Entity has established the annual training plan of the ASI CoC Management System that makes relevant personnel aware of, and competent in their responsibilities under the ASI Chain of Custody Standard. This includes the standard, manual and training procedure. Related training has been implemented according to the training plan.
1.6 Records Management	Conformance	The Entity has implemented a procedure 'ASI CoC Documents and Records Controlling', which specifies that all records should be retained for a minimum of five years.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity has established a procedure that defines how to report information, including Inputs and Outputs of CoC Material.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	The Entity has established a procedure that defines how to report information, including Inputs and Outputs of Eligible Scrap.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity has established a procedure that defines how to report information, including Inflows and Outflows of Non-CoC Material.

CRITERION	RATING	COMMENT
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity has established a procedure that defines how to report information, including Positive Balance carried over.
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity has established a procedure that defines how to report information, including Positive Balance used.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity has established a procedure that defines how to report information, including Internal Overdraw drawn down.
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	The Entity has established a procedure that defines how to report information, including Intra-Entity Flows.
2. OUTSOURCING CONTRACTORS		
2.1 Certification Scope	Not Applicable	The Criterion is not applicable as the Entity does not utilise any Outsourcing Contractors. However, the Entity has developed a CoC Outsourcing Contractor Management Procedure.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	The Criterion is not applicable as the Entity does not utilise any Outsourcing Contractors. However, the Entity has developed a CoC Outsourcing Contractor Management Procedure.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	The Criterion is not applicable as the Entity does not utilise any Outsourcing Contractors. However, the Entity has developed a CoC Outsourcing Contractor Management Procedure.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	The Criterion is not applicable as the Entity does not utilise any Outsourcing Contractors. However, the Entity has developed a CoC Outsourcing Contractor Management Procedure.
2.3 Information on Quantity of CoC Material Output and Returned	Not Applicable	The Criterion is not applicable as the Entity does not utilise any Outsourcing Contractors. However, the Entity has developed a CoC Outsourcing Contractor Management Procedure.
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 utilise any Outsourcing Contractors. However, the Entity has developed a CoC Outsourcing Contractor Management Procedure.
2.5 Error (Outsourcing Contractor)	Not Applicable	The Criterion is not applicable as the Entity does not utilise any Outsourcing Contractors. However, the Entity has developed a CoC Outsourcing Contractor Management Procedure.
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 systems in place to ensure receiving and production of ASI Aluminium is produced only from the Aluminium smelters that are within the Entity's CoC Certification Scope.
4.1b Recycled Aluminium (Performance Standard)	Conformance	The Entity is currently certified to the ASI Performance Standard (Certificate #356). The Entity is engaged in Aluminium Re-Melting/Refining to produce Recycled Aluminium and has systems in place to ensure that ASI Aluminium is produced only from Facilities that are Certified against the ASI Performance Standard.
4.2a Eligible Scrap (Pre-Consumer)	Conformance	The Entity has implemented an ASI CoC Recycled Aluminum Management Procedure which stipulates the criteria, and management program of Eligible Scrap and its suppliers. The Due Diligence of a Pre-Consumer Scrap vendor was undertaken to ensure conformance to the ASI Performance Standard.
4.2b Eligible Scrap (Post-Consumer)	Not Applicable	This Criterion is not applicable to the Entity, as they do not purchase Post-Consumer Scrap.
4.2c Eligible Scrap (Dross)	Conformance	The Entity has implemented an ASI CoC Recycled Aluminium Management Procedure which stipulates the criteria and management program of Eligible Scrap and its suppliers. Until now, the Entity has not purchased Eligible Scrap from suppliers of treated Aluminium Dross, Recycled Aluminium from Aluminium ash and other Aluminium-containing waste.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Conformance	The Entity has developed a form to record information on direct suppliers of Recyclable Scrap Material Contractors including the supplier's identity, principles and location. The Entity has implemented a Cash Payment Principle, limiting cash transactions to no more than

CRITERION	RATING	COMMENT
		\$1,000 USD. However, at present, there are no cash transactions between the Entity and its suppliers.
4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions)	Conformance	The Entity has developed a form to record information on direct suppliers of Recyclable Scrap Material Contractors including the supplier's identity, principles and location. The Entity has implemented a Cash Payment Principle limiting cash transactions to no more than \$1,000 USD. However, at present, 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 is one Casthouse on site at the Entity which is included in the CoC Certification Scope and all products from this Casthouse are traceable.
5.1b ASI Aluminium (Performance Standard)	Conformance	There is one Casthouse on site at the Entity which is included in the Performance Standard Certification Scope and all products from this Casthouse are traceable.
5.1c ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has twelve smelting furnaces and requires suppliers to be surveyed before purchasing Aluminium raw materials such as whether the supplier has obtained the CoC Certification.
5.2 Unique Identification	Minor Non-Conformance	The Entity has implemented a Rules of Product Code which defines the serial code for each batch of product. The alphabet and symbol in the code reference the date, smelting furnace and product type. However, no unique number, alphabet or symbol for ASI Aluminum can be identified.
6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The Entity has implemented procedures and a system to ensure all Post-Casthouse ASI Aluminium from the Facilities are included in the Entity's CoC Certificate Scope can be identified.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity is Certified to the ASI Performance Standard (Certificate #356).
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Not Applicable	This Criterion is not applicable, as all of the Entity's Post-Casthouse ASI Aluminium is remelted in its Casting furnaces. At the moment, the Entity does not source ASI Aluminium.
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	<p>The Entity has publicly disclosed its Responsible Sourcing Policy covering anti-Corruption at: https://www.innovationmetal.com/d/file/p/2024/05-13/214140e6d1388af20322c1632660ba01.pdf</p> <p>The Responsible Sourcing Policy has been sent to the Entity's suppliers of Non-CoC Material, Recyclable Scrap Material and any CoC Material supplied through a Trader.</p>

CRITERION	RATING	COMMENT
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	<p>The Entity has publicly disclosed its Responsible Sourcing Policy covering Responsible Sourcing at: https://www.innovationmetal.com/d/file/p/2024/05-13/214140e6d1388af20322c1632660ba01.pdf</p> <p>The Responsible Sourcing Policy has been sent to the Entity's suppliers of Non-CoC Material, Recyclable Scrap Material and any CoC Material supplied through a Trader.</p>
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	<p>The Entity has publicly disclosed its Responsible Sourcing Policy covering Human Rights Due Diligence at: https://www.innovationmetal.com/d/file/p/2024/05-13/214140e6d1388af20322c1632660ba01.pdf</p> <p>The Responsible Sourcing Policy has been sent to the Entity's suppliers of Non-CoC Material, Recyclable Scrap Material and any CoC Material supplied through a Trader.</p>
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	<p>The Entity has publicly disclosed its Responsible Sourcing Policy on its official website at: https://www.innovationmetal.com/d/file/p/2024/05-13/214140e6d1388af20322c1632660ba01.pdf</p> <p>The Policy addresses Conflict-Affected and High-Risk Areas.</p> <p>The Entity has committed to not supporting or purchasing materials from Conflict-Affected and High-Risk Areas.</p>
7.2 Risk Assessment and Mitigation	Conformance	<p>The Entity has established an ASI CoC Supplier Due Diligence Procedure that stipulates the requirement to assess the risks of non-compliance with its Responsible Sourcing Policy. The Entity's supplier survey covers non-compliance with environmental, social and governance performance.</p>
7.3 Complaints Resolution Mechanism	Conformance	<p>The Entity' has established a Complaints Resolution Mechanism. The Entity's website lists several ways to submit complaints through email (szctqg@sdcxjt.com) or via the 'tip-off' number 0512-80667798, which is accessible to all employees, suppliers and any other outside parties at: https://www.innovationmetal.com/about/memcompany/3.html</p>
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	<p>The Entity has established a Mass Balance System for CoC Materials and an ASI Aluminium Management Procedure and implemented a Material Accounting System that records the Input Quantity and Output Quantity of Aluminium material by mass.</p>
8.2 Material Accounting Period	Conformance	<p>The Entity's Material Accounting Period is a period of 12 months (i.e. calendar year).</p>
8.3 Input and Inflow Quantities	Conformance	<p>The Entity has established a procedure that defines for each Material Accounting Period, the Quantities of CoC Material and Eligible Scrap Input and the Quantities of Non-CoC Material and Recyclable Scrap Material Inflow should be recorded. The Inflow Quantity of Eligible Scrap and Recyclable Scrap Material shall be based on an assessment of Aluminium content.</p>
8.4 Output Quantities of CoC Material	Conformance	<p>The Entity has established a Metal Management system including metal statistics, metal balance of material management reports and an accounting system to manage Inputs and Outputs. Also, the Entity</p>

CRITERION	RATING	COMMENT
		has established a Statistical Management System and methods of calculating statistical indicators.
8.5 Indivisibility of CoC Material	Conformance	The Entity has established a Mass Balance System for CoC Materials including an ASI Aluminium Management Procedure (ACP-12) to define 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	Conformance	The Entity has established a Mass Balance System for CoC Materials including an ASI Aluminium Management Procedure (ACP-12) to define a relevant proportion of scrap generated can be defined as Eligible Scrap and use the same percentage share as for its Output of ASI Aluminum.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity has established a 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%)	Minor Non-Conformance	The Entity has established a Mass Balance System for CoC Materials including an ASI Aluminum Management Procedure to define the Internal Overdraw must not exceed 20% of the total Input Quantity of CoC Material for the Material Accounting Period. However, the Entity has not implemented a function within the system to alert them when there is an Internal Overdraw of >20% of the total Input Quantity of CoC Material.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity has established a Mass Balance System for CoC Materials including an ASI Aluminum Management Procedure to define how to carry over an Internal Overdraw to the subsequent Material Accounting Period (next calendar year), if it is subject to a Force Majeure situation. The 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 Mass Balance System for CoC Materials including an ASI Aluminum Management Procedure to define the Internal Overdraw shall be made up within the subsequent Material Accounting Period. It is included that the Internal Overdraw shall be made up within the subsequent Material Accounting Period.
8.9a Positive Balance (Carry over)	Conformance	The Entity has established a Mass Balance System for CoC Materials including an ASI Aluminum Management Procedure to define the Positive Balance of Output CoC Material at the end of a Material Accounting Period may be carried out over to the subsequent Material Accounting Period. The procedure includes that the Entity's Material Accounting System must clearly identify any carry over of a Positive Balance.
8.9b Positive Balance (Expiry)	Conformance	The Entity has established a Mass Balance System for CoC Materials including an ASI Aluminum Management Procedure to define that a Positive Balance of Output CoC Material at the end of a Material Accounting Period may be carried out over to the subsequent Material Accounting Period. The procedure prescribes that a Positive Balance generated in one Material Accounting Period and carried over to the

CRITERION	RATING	COMMENT
		subsequent Material Accounting Period shall expire at the end of that Period if not drawn down.
9. ISSUING COC DOCUMENTS		
9.1 CoC Document	Conformance	The Entity has implemented a CoC Documents Issuing Management Procedure and has defined that the CoC Document should accompany each shipment of CoC Material dispatched to other CoC Certificated Entities.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity has implemented a CoC Documents Issuing Management Procedure and has defined that the CoC Document should include the date of issue of the CoC Document.
9.2b CoC Document Content (Reference number)	Conformance	The Entity has implemented a CoC Documents Issuing Management Procedure and has defined that the CoC Document should include the number of the CoC Document, which is linked to the Entity's Material Accounting System for verification.
9.2c CoC Document Content (issuing Entity)	Conformance	The Entity has implemented a CoC Documents Issuing Management Procedure and has defined that the CoC Document should include the identity, address and CoC Certification number of the Entity.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity has implemented a CoC Documents Issuing Management Procedure and has defined that the CoC Document should include the identity and address of the customer receiving the CoC Material, and if it is another CoC Certified Entity, their CoC Certification number.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity has implemented a CoC Documents Issuing Management Procedure and has defined that the CoC Document should include a signature of the responsible employee of the Entity who can verify information in the CoC Document.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity has implemented a CoC Documents Issuing Management Procedure and has defined that the CoC Document information should include the conformance statement.
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity has implemented a CoC Documents Issuing Management Procedure and has defined that the CoC Document should include the type of CoC Material in the shipment.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity has implemented a CoC Documents Issuing Management Procedure and has defined that the CoC Document should include the mass of CoC Material in the shipment.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity has implemented a CoC Documents Issuing Management Procedure and has defined that the CoC Document should include the mass of total material in the shipment.
9.3a Sustainability Data (optional) – Carbon footprint	Not Applicable	This Criterion is not applicable to the Entity, as they choose not to implement this requirement. However, they have implemented a CoC Documents Issuing Management Procedure and defined that a CoC Document could include Sustainability Data where applicable.

CRITERION	RATING	COMMENT
9.3b Sustainability Data (optional) – Origin information	Not Applicable	This Criterion is not applicable to the Entity, as they choose not to implement this requirement. However, they have implemented a CoC Documents Issuing Management Procedure and defined that a CoC Document could include Sustainability Data where applicable
9.3c Sustainability Data (optional) – Recycled content	Not Applicable	This Criterion is not applicable to the Entity, as they choose not to implement this requirement. However, they have implemented a CoC Documents Issuing Management Procedure and defined that a CoC Document could include Sustainability Data where applicable
9.3d Sustainability Data (optional) – Post-Casthouse ASI Certification status	Not Applicable	This Criterion is not applicable to the Entity, as they choose not to implement this requirement. However, they have implemented a CoC Documents Issuing Management Procedure and defined that a CoC Document could include Sustainability Data where applicable
9.4 Supplementary Information (optional) – Objective evidence	Conformance	The Entity has implemented a procedure that specifies what information is to be added to the CoC Document when additional information is required.
9.5 Verification of Information	Conformance	The Entity has implemented a system to respond to requests from external interested parties. The Entity has appointed one responsible employee to issue CoC Documents and respond to reasonable requests for verification of information in CoC Documents issued.
9.6 Error (Shipping)	Conformance	The Entity has established a procedure defining the disposal process for any error discovered after shipment of CoC Material. Any errors identified by the Entity are promptly reported to the receiving business and remedied by both parties agreeing on the steps taken to correct them.
10. RECEIVING COC DOCUMENTS		
10.1 Verification of CoC Documents	Conformance	The Entity has implemented a procedure that stipulates all required information in received CoC Documents should be verified.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity has implemented a procedure that stipulates the Production Management Office verifies the consistency of received CoC Documents with the accompanying CoC Material or Eligible Scrap before recording information in the Material Accounting System. Until now, the Entity has not purchased CoC Material or Eligible Scrap.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has implemented a procedure that stipulates the Production Management Office must check the ASI website quarterly to verify the validity and scope of the supplier's ASI CoC Certification for any changes that might affect the status of the supplied CoC Material or Eligible Scrap.
10.4 Error (Reception)	Conformance	The Entity has implemented a procedure that stipulates the disposal process for when an error is discovered after receiving CoC Material. The Entity and the supplying parties will document the error, the agreed steps taken to correct it and implement actions to avoid recurrence.
11. CLAIMS AND COMMUNICATIONS		

CRITERION	RATING	COMMENT
11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity has developed and implemented an ASI CoC Claim and Communication Management Procedure which defines that claims and communications should be made in a manner and form consistent with the ASI Claims Guide.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity has developed and implemented an ASI CoC Claim and Communication Management Procedure which defines that claims and communications should be made in a manner and form consistent with the ASI Claims Guide. Until now, the Entity has not made any external claims or communications about ASI CoC Certification.
11.1c Claims and Communications (Employee training)	Conformance	The Entity provides relevant employees with training to understand and communicate any claims and representations.

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	27 May 2024	Initial Certification Audit – Full Certification
1	18 June 2025	Extension to the Next Audit Type and Due Date (from 27 November 2025), consistent with ASI's voluntary option for CoC Standard Certification extensions. Updated Member Name from INNOVATION New Material Technology Co., Ltd.