

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# Sunho New Materials Technology Co., Ltd.

CERTIFICATE NUMBER

488

ASI STANDARD

CHAIN OF CUSTODY  
STANDARD  
(V2 2022)

CERTIFICATION LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITING FIRM

DNV BUSINESS  
ASSURANCE  
SERVICES UK LTD.

DATE OF ISSUE

25 AUGUST 2025

DATE OF EXPIRY

24 AUGUST 2028

CERTIFIED SINCE

25 AUGUST 2025

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. H.' followed by a long horizontal line.

Aluminium Stewardship Initiative Ltd  
ACN 606 661 125, Australia  
[info@aluminium-stewardship.org](mailto:info@aluminium-stewardship.org)

*Validity of this Certificate is subject to  
continued conformance with the  
applicable ASI Standard and can be  
verified at*

[www.aluminium-stewardship.org](http://www.aluminium-stewardship.org)

CERTIFICATION SCOPE

Manufacture of Aluminium and  
Aluminium alloy foils at Sunho New  
Materials Technology Co., Ltd.,  
Shangqiu, China.

# AUDIT REPORT

## CHAIN OF CUSTODY

## STANDARD

### OVERVIEW

MEMBER NAME	HENAN SUNHO COAL & POWER CO., LTD
ENTITY NAME	Sunho New Materials Technology Co, Ltd.
CERTIFICATION SCOPE	Manufacture of Aluminium and Aluminium alloy foils at Sunho New Materials Technology Co, Ltd., Shangqiu, China.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>Post-Casthouse</li></ul>
ASI STANDARD	Chain of Custody Standard V2
AUDIT TYPE	<ul style="list-style-type: none"><li>Initial Certification Audit</li></ul>
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none"><li>16 – 18 June 2025</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>6 July 2025</li></ul>
AUDIT SCOPE	<p>The Audit Scope included the manufacture of Aluminium and Aluminium alloy foils at Sunho New Materials Technology Co, Ltd., Shangqiu, China.</p> <p>The supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>Post-Casthouse</li></ul> <p>All relevant Criteria in the ASI 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"><li><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.</li><li><input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.</li><li><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.</li><li><input checked="" type="checkbox"/> The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.</li></ul>
CERTIFICATION PERIOD	25 August 2025 – 24 August 2028
NEXT AUDIT TYPE	Surveillance Audit

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NEXT AUDIT DUE DATE	24 February 2027
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CERTIFICATE NUMBER	488
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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

SUNHO New Materials Technology Co., Ltd. (the 'Entity') is a subsidiary of the Henan SUNHO Group. The Entity occupies an area of nearly 300,000 square metres (m<sup>2</sup>) and is divided into Workshop One and Workshop Two, with an annual production capacity of 115,000 tonnes of double-zero Aluminium foil and battery foil. The Aluminium foil thickness ranges from 4.5 to 20 microns (µm). The Entity's main equipment includes 14 Aluminium foil rolling mills, 6 roll grinders, 14 slitting machines, 35 precision cutting machines, and 40 30-tonne annealing furnaces.

The Entity has obtained certifications for ISO9001, ISO14001, ISO45001, ISO50001, ISO22000, IATF 16949 management system Standards, as well as Level 3 certification for standardised work safety enterprises.

## MATURITY RATINGS

A rating of maturity (low, medium or high) determined by the Auditor that provides a general assessment in terms of Systems, Residual Risk and Performance.

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

OVERALL	
SYSTEMS	Medium
RISKS	Medium
PERFORMANCE	Medium
OVERALL	MEDIUM

## FINDINGS

CRITERION	RATING	COMMENT
<b>1. MANAGEMENT SYSTEM AND RESPONSIBILITIES</b>		
1.1 ASI Membership	Conformance	The Entity is a subsidiary of HENAN SUNHO Group. The Entity has implemented ASI CoC management procedures that align with the ASI Chain of Custody Standard requirements and is committed to adhering to ASI membership obligations and its grievance mechanism. Further information regarding membership is available on the ASI website: <a href="https://aluminium-stewardship.org/about-asi/members/HENAN-SUNHO-COAL---POWER-CO---LTD">https://aluminium-stewardship.org/about-asi/members/HENAN-SUNHO-COAL---POWER-CO---LTD</a>
1.2 CoC Management System	Conformance	The Entity has established policies, systems, procedures and processes that can comply with the ASI CoC Standard criteria. The Entity's Management System has the capacity to manage CoC Material.
1.3 CoC Management System Monitoring	Conformance	The Entity has established mechanisms for the periodic review of the Management System, in accordance with their ASI Management Manual. The Entity established a process to periodically review the Management System to assess the effectiveness of the CoC management and address potential areas of non-conformance/improvement. The most recent management review was conducted in May 2025.
1.4 Management Representative	Conformance	The Entity has appointed a member of management as the responsible person for ASI CoC Standard implementation and defined the roles and responsibilities to manage the CoC system.
1.5 Communications and Training	Conformance	In accordance with its Quality Management System, the Entity has implemented a training process. Training includes basic knowledge for new employees and specialised sessions for key roles, such as procurement, sales, and production staff, to ensure understanding and competence in CoC Material management. Training plans, materials, and records are maintained accordingly.
1.6 Records Management	Conformance	In accordance with the Entity's Management Systems, including ISO 9001, ISO 14001 and ISO 45001, the control of records for the effective implementation of the ASI Chain of Custody Standard is defined. All related records are stored in the Entity's Enterprise Resource Planning (ERP, based on Kingdee) system. An annual financial audit verifies the accuracy of the Materials records.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	According to the Entity's CoC Management Manual, the Entity will report the necessary information, including the Input and Output Quantities of CoC Materials into and sent from the Entity during the previous calendar year, to the ASI Secretariat within six months after the end of each calendar year. At the time of the Audit, there was no CoC Material Input or Output due to the absence of an ASI Aluminium product contract.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	According to the Entity's CoC Management Manual, the Entity will report the necessary information, including the input/output quantities of Eligible Scrap into and sent from the Entity during the previous calendar year, to the ASI Secretariat within six months after the end of each calendar year, typically in March. At the time of the Audit, there

CRITERION	RATING	COMMENT
		was no CoC Material Input or Output due to the absence of an ASI Aluminium product contract.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	According to the Entity's CoC Management Manual, the Entity will report the necessary information, including the Inflow/Outflow Quantities of Non-CoC Materials into and sent from the Entity during the previous calendar year, to the ASI Secretariat within six months after the end of each calendar year.
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	According to the Entity's CoC Management Manual, the Entity will report the necessary information, including the maximum Positive Balance carried over to subsequent Material Accounting Period, to the ASI Secretariat within six months after the end of each calendar year. At this time, there is no Positive Balance carried over to the subsequent Material Accounting Period.
1.7e Reporting to ASI (Positive Balance used)	Conformance	According to the Entity's CoC Management Manual, the Entity will report the necessary information, including the Positive Balance used in previous calendar year, to the ASI Secretariat within six months after the end of each calendar year. At this time, there is no Positive Balance used in 2024.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	According to the Entity's CoC Management Manual, the Entity will report the necessary information, including the data of Internal Overdraw drawn down from the subsequent Material Accounting Period to the ASI Secretariat within six months after the end of each calendar year. At this time, there is no Internal Overdraw drawn down.
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	According to the Entity's CoC Management Manual, the Entity will report the necessary information, including the Quantities of CoC Material/s transferred between supply chain activities within the Entity (Intra-Entity Flows), to the ASI Secretariat within six months after the end of each calendar year. The entire production of the Product is undertaken internally within the Entity, without any outsourcing or transfer activities of CoC Material within the supply chain.
<b>2. OUTSOURCING CONTRACTORS</b>		
2.1 Certification Scope	Not Applicable	This Criterion is not applicable to the Entity, as all production is conducted internally, with no outsourcing or transfer of CoC Materials in the supply chain. The Entity commits to including external contractor management within the scope of Certification if outsourcing or circulation of CoC Material occurs in the future.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	This Criterion is not applicable to the Entity, as all production is conducted internally, with no outsourcing or transfer of CoC Materials in the supply chain.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	This Criterion is not applicable to the Entity, as all production is conducted internally, with no outsourcing or transfer of CoC Material in the supply chain.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	This Criterion is not applicable to the Entity, as all production is conducted internally, with no outsourcing or transfer of CoC Material in the supply chain.

CRITERION	RATING	COMMENT
2.3 Information on Quantity of CoC Material Output and Returned	Not Applicable	The Criterion is not applicable to the Entity, as it does not have any Outsourcing Contractors.
2.4 Consistency in Inflow and Outflow Quantity of CoC Material to/from Outsourcing Contractor	Not Applicable	The Criterion is not applicable to the Entity, as it does not have any Outsourcing Contractors.
2.5 Error (Outsourcing Contractor)	Not Applicable	The Criterion is not applicable to the Entity, as it does not have any 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.
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.
3.3b 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.
3.3a ASI Aluminium (CoC Certification Scope)	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.

CRITERION	RATING	COMMENT
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.
<b>5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM</b>		
5.1a ASI Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.1b ASI Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.1c ASI Aluminium (Aluminium sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.2 Unique Identification	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
<b>6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM</b>		
6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The Entity has developed management procedures to ensure production of ASI Aluminium is only undertaken from the Facilities that are within the Entity's CoC Certification Scope or in which the Entity holds a legal interest and are within the CoC Certification Scope of another CoC Certified Entity.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity has established a system to ensure that the ASI Aluminium it produces is sourced exclusively from Certified Entities that conform to the ASI Performance Standard. Prior to the CoC Certification Audit, the Entity successfully passed the initial on-site Certification Audit for the ASI Performance Standard, with no major non-conformities identified. Information on membership and related Certification details pertaining to the Entity can be accessed at: <a href="https://aluminium-stewardship.org/about-asi/members/HENAN-SUNHO-COAL---POWER-CO---LTD">https://aluminium-stewardship.org/about-asi/members/HENAN-SUNHO-COAL---POWER-CO---LTD</a>
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has implemented a robust system to ensure that ASI Aluminium is sourced responsibly. This system requires sourcing directly from another ASI CoC Certified Entity or through a metals trader. In such cases, suppliers must provide the associated CoC Document containing Supplementary Information sufficient to identify the corresponding shipment and verify the validity of the CoC Documents. This approach ensures traceability and compliance with the ASI Chain of Custody Standard.



CRITERION	RATING	COMMENT
<b>7. DUE DILIGENCE FOR NON-COC MATERIAL, COC MATERIAL ACQUIRED THROUGH A TRADER AND RECYCLABLE SCRAP MATERIAL</b>		
7.1a Responsible Sourcing Policy (Anti-corruption)	Conformance	The Entity has developed a Supply Chain Code of Conduct and a Responsible Sourcing Due Diligence Policy, which align with the requirements of the ASI Performance Standard, including requirements on anti-Corruption. The Responsible Sourcing Due Diligence Policy is available at: <a href="http://www.shalfoil.com/NewsDetail.aspx?ID=3817">http://www.shalfoil.com/NewsDetail.aspx?ID=3817</a>
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has developed a Supply Chain Code of Conduct and a Responsible Sourcing Due Diligence Policy, which align with the requirements of the ASI Performance Standard, including requirements on responsible sourcing. The Responsible Sourcing Due Diligence Policy is available at: <a href="http://www.shalfoil.com/NewsDetail.aspx?ID=3817">http://www.shalfoil.com/NewsDetail.aspx?ID=3817</a>
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	The Entity has developed a Supply Chain Code of Conduct and a Responsible Sourcing Due Diligence Policy, which align with the requirements of the ASI Performance Standard, including requirements on Human Rights Due Diligence. The Responsible Sourcing Due Diligence Policy is available at: <a href="http://www.shalfoil.com/NewsDetail.aspx?ID=3817">http://www.shalfoil.com/NewsDetail.aspx?ID=3817</a>
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has developed a Supply Chain Code of Conduct and a Responsible Sourcing Due Diligence Policy, which align with the requirements of the ASI Performance Standard, including requirements on Conflict-Affected and High-Risk Areas (CAHRAs). The Responsible Sourcing Due Diligence Policy is available at: <a href="http://www.shalfoil.com/NewsDetail.aspx?ID=3817">http://www.shalfoil.com/NewsDetail.aspx?ID=3817</a>
7.2 Risk Assessment and Mitigation	Minor Non-Conformance	The Entity has a communicated responsible sourcing Policy that aligns with the ASI Performance Standard. Procurement personnel and other Workers involved have been trained to conduct supplier social responsibility audits and corrective action requests are issued based on the results of the audit.  However, the Entity has not yet undertaken social responsibility audits for some Non-CoC Material suppliers.
7.3 Complaints Resolution Mechanism	Conformance	The Entity has established a 'whistleblower' channel for internal and external Stakeholders. The publicly disclosed Stakeholder Grievance Mechanism is available at: <a href="http://www.shalfoil.com/NewsDetail.aspx?ID=3821">http://www.shalfoil.com/NewsDetail.aspx?ID=3821</a>  There have been no complaints received to date.
<b>8. MATERIAL ACCOUNTING SYSTEM: COC MATERIAL AND ASI ALUMINIUM</b>		
8.1 Material Accounting System	Conformance	The Entity establishes a Material Accounting System that can record Input and Output Quantity of CoC Material/ Eligible Scrap and Non-CoC Material/Scrap by mass. A simulation case demonstrates how the system conforms to the requirements.
8.2 Material Accounting Period	Conformance	According to the Entity's CoC Management Manual, the Material Accounting Period is defined as a calendar year: from January 1 to December 31.

CRITERION	RATING	COMMENT
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 determine the Inflow quantity of Eligible Scrap and Recyclable Scrap Material based on an assessment of Aluminium content. A simulation case demonstrated how the system conforms to the requirements.
8.4 Output Quantities of CoC Material	Conformance	The Entity uses the Input Quantities for each CoC Material to determine the available Quantities of CoC Material for Output, proportional to total Inflows of CoC and Non-CoC Materials, by mass. A simulation case demonstrated how the system conforms to the requirements.
8.5 Indivisibility of CoC Material	Conformance	The Entity's CoC Management Manual defines that the Output Quantity of CoC Material shall be designated as 100% CoC Material. A stimulation case demonstrated that the Entity understands and follows this requirement.
8.6 Output Quantity of Eligible Scrap	Conformance	The Entity's CoC Management Manual defines that the Entity designates 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.
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.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity's CoC Management Manual defines that the Internal Overdraw shall not exceed 20% of total Input Quantity of CoC Material for the Material Accounting Period in the case that the Internal Overdraw is required.
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, however a Force Majeure situation has prevented the timely delivery and 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's CoC Management Manual defines that the Internal Overdraw shall be made up within the subsequent Material Accounting Period.
8.9a Positive Balance (Carry over)	Conformance	The Entity's CoC Management Manual defines that the carry over of a Positive Balance shall be clearly identified in the Entity's Material Accounting System.
8.9b Positive Balance (Expiry)	Conformance	The Entity's CoC Management Manual defines that the 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.

## 9. ISSUING COC DOCUMENTS

CRITERION	RATING	COMMENT
9.1 CoC Document	Conformance	The Entity will issue a CoC Document for each shipment of CoC Material/product using the CoC Document template defined in the ASI CoC Standard.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity will issue a CoC Document for each shipment of CoC Material/product using the CoC Document template defined in the ASI CoC Standard, which includes the date of issue.
9.2b CoC Document Content (Reference number)	Conformance	The Entity intends to use the CoC Document template defined in the ASI CoC Standard 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 intends to use the CoC Document template defined in the ASI CoC Standard to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders, which includes details for the issuing Entity.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity issues a CoC Document for each lot of CoC Material/product, and the CoC Document shall include details of the receiving customer and its CoC Certification number if relevant.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity's CoC Management Manual defines that the sales representative is responsible for verifying the information in the CoC Documents and signing them.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity's CoC Management Manual defines that if the customer requires a CoC Document in its own format, the Entity shall follow the requirement. If not, the Entity shall issue a CoC Document for each lot of CoC Material/product using the CoC Document template defined in ASI CoC Standard. Both forms shall include the conformance statement: 'The information provided in the CoC Document is in Conformance with the ASI CoC Standard'.
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity uses the CoC Document template defined in the ASI CoC Standard to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders. The information on the type of CoC Material in the shipment is included.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity will issue a CoC Document for each lot of CoC Material/product using the CoC Document template defined in the ASI CoC Standard, which includes the mass of CoC Material in the shipment.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity will issue a CoC Document for each lot of CoC Material/product using the CoC Document template defined in the ASI CoC Standard, which includes the mass of total Material.
9.3a Sustainability Data (optional) - Carbon footprint	Conformance	The Entity's CoC Management Manual defines that the Entity will provide applicable Sustainability Data in the CoC Document for that CoC Material when the customer raises the request, which includes the average (preferably 'cradle-to-gate') carbon footprint of the CoC Material and accounting method applied.

CRITERION	RATING	COMMENT
9.3b Sustainability Data (optional) – Origin information	Conformance	The Entity's CoC Management Manual defines that the Entity will not provide Sustainability Data by default. If a customer raises the request, the Quality Manager will share the information with the customer, including the origin of Aluminium.
9.3c Sustainability Data (optional) – Recycled content	Conformance	The Entity's CoC Management Manual defines that the Entity will not provide Sustainability Data by default. If a customer raises the request, the Quality Manager will share the information with the customer, including information on recycled content.
9.3d Sustainability Data (optional) – Post-Casthouse ASI Certification status	Conformance	The Entity's CoC Management Manual defines that the Entity will not provide Sustainability Data by default. If a customer raises the request, the Quality Manager will share the information with the customer, including the ASI Certification status.
9.4 Supplementary Information (optional) – Objective evidence	Conformance	The Entity issues a CoC Document for each lot of CoC Material/product using the template defined in the ASI CoC Standard. The Supplementary Information will be based on the output of the ASI Performance Standard Management System.
9.5 Verification of Information	Conformance	The Entity has defined the responsibility and the process to respond to requests for verification of information in CoC Documents issued by the Entity.
9.6 Error (Shipping)	Conformance	Integrated with its ISO 9001 Quality Management System, the Entity has a process to record the errors, analyse the root cause, and undertake the associated corrective action to prevent a reoccurrence.
<b>10. RECEIVING COC DOCUMENTS</b>		
10.1 Verification of CoC Documents	Conformance	The Entity has established a process to verify the required information in received CoC Documents.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity has established a process to verify the required information in received CoC Documents.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has established a process to verify the suppliers' CoC Certification status using the ASI website: <a href="https://aluminium-stewardship.org/about-asi/asi-member-listing">https://aluminium-stewardship.org/about-asi/asi-member-listing</a>
10.4 Error (Reception)	Conformance	The Entity has established a process to record any errors, feedback to the supplier and require them to take the associated corrective action to prevent a reoccurrence.
<b>11. CLAIMS AND COMMUNICATIONS</b>		
11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity's ASI CoC Management Manual defines that all claims and communications shall follow the ASI Claims Guide including communication with the ASI secretariat, and the relevant roles and responsibilities are defined.

CRITERION	RATING	COMMENT
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity assigns 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 provides training courses on claims and communication 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	25 August 2025	Initial Certification Audit – Full Certification