

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# TIANJIN XMXYG ALUMINIUM CO., LTD.

CERTIFICATE NUMBER

506

ASI STANDARD

CHAIN OF CUSTODY  
(v2 2022)

CERTIFICATION LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED AUDITING FIRM

BUREAU VERITAS  
CERTIFICATION

DATE OF ISSUE

20 DECEMBER 2025

DATE OF EXPIRY

19 DECEMBER 2028

CERTIFIED SINCE

20 DECEMBER 2025

AUTHORISED BY

A handwritten signature in black ink, appearing to read "ASIA".

CERTIFICATION SCOPE

Production of Aluminium and  
Aluminium alloy casting ingot,  
sheet and strip products at the  
TIANJIN XMXYG ALUMINIUM CO., LTD.  
facility in Wuqing District, Tianjin,  
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](http://www.aluminium-stewardship.org)*

# AUDIT REPORT

## CHAIN OF CUSTODY

## STANDARD

### OVERVIEW

MEMBER NAME	TIANJIN XMXYG ALUMINIUM CO., LTD.
ENTITY NAME	TIANJIN XMXYG ALUMINIUM CO., LTD.
CERTIFICATION SCOPE	Production of Aluminium and Aluminium alloy casting ingot, sheet and strip products at the TIANJIN XMXYG ALUMINIUM CO., LTD. facility in Wuqing District, Tianjin, China.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>Aluminium Re-melting/Refining</li><li>Casthouse</li><li>Post-Casthouse</li></ul>
ASI STANDARD	Chain of Custody Standard V2
AUDIT TYPE	<ul style="list-style-type: none"><li>Initial Certification Audit</li></ul>
AUDIT FIRM	Bureau Veritas Certification
AUDIT DATE	<ul style="list-style-type: none"><li>1 August 2025</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>25 September 2025</li></ul>
AUDIT SCOPE	<p>The Audit Scope included the production of Aluminium and Aluminium alloy casting ingot, sheet and strip products at TIANJIN XMXYG ALUMINIUM CO., LTD. facility in Wuqing District, Tianjin, China.</p> <p>The supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>Aluminium Re-melting/Refining</li><li>Casthouse</li><li>Post-Casthouse</li></ul> <p>All relevant Criteria in the 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></ul>

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The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.

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CERTIFICATION PERIOD 20 December 2025 – 19 December 2028

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NEXT AUDIT TYPE Surveillance Audit

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NEXT AUDIT DUE DATE 19 June 2027

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CERTIFICATE NUMBER 506

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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

Tianjin Xiangyu Aluminium Co, Ltd, known as TIANJIN XMXYG ALUMINIUM CO, LTD. (the 'Entity') is located in Wuqing District, Tianjin, China and covers an area of 6 square kilometres. The Entity was formally known as Tianjin Zhongwang Aluminium Co, Ltd.

The Entity mainly engages in the research and development, production and sale of Aluminium rolled products, including Aluminium alloy sheet and strip materials. It possesses a complete industrial chain for the production and manufacturing of its Aluminium products with multiple production processes including melting and casting, hot rolling, cold rolling and deep processing. The Entity's products are widely used in aerospace, shipping, automobiles, rail transit, packaging, chemical engineering, construction machinery, molds, urban construction and other fields. In 2024, the total output of the Entity's products was 522,064 tonnes, including 455,987 tonnes of coils and 66,077 tonnes of plates.

## MATURITY RATINGS

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

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

OVERALL	
<b>SYSTEMS</b>	Medium
<b>RISKS</b>	Medium
<b>PERFORMANCE</b>	Medium
<b>OVERALL</b>	<b>MEDIUM</b>

## FINDINGS

CRITERION	RATING	COMMENT
1. MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI Membership	Conformance	The Entity has been an ASI Member in the Production and Transformation class since June 2025.
1.2 CoC Management System	Conformance	The Entity has established Policies, systems, procedures, and processes that can comply with the ASI Chain of Custody Standard Criteria regarding a Management System. The Management System has the capacity to handle ASI CoC Material. The Entity has an integrated Management System underpinned by ISO 9001 and addresses all applicable requirements of the ASI CoC Standard.
1.3 CoC Management System Monitoring	Conformance	The Entity has established a process to review the Management System at least once every 12 months to assess the effectiveness of the ASI CoC management and address potential areas of non-conformance/improvement. This was evidenced in the ASI CoC Management Manual and will be managed as part of the Entity's ISO 9001 Quality Management System.
1.4 Management Representative	Conformance	The Entity has nominated a senior Director as the ASI Management Representative to have overall responsibility for the implementation of the ASI CoC Standard and for the conformance with all applicable requirements of the ASI CoC Standard.
1.5 Communications and Training	Conformance	The Entity has developed and implemented communications and training measures that make relevant personnel aware of, and competent in, their responsibilities under the ASI Chain of Custody Standard. Adequate training is performed. Based on interviews with management and related staff, the relevant people understand the requirements.
1.6 Records Management	Conformance	The Entity has established the Record Management Procedure under the ISO 19001 Management System to maintain records covering all applicable requirements of the ASI CoC Standard including the retention requirement of ASI records.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity has established relevant procedures within the CoC Management Manual to ensure the information required is reported to the ASI Secretariat within three months after the end of each calendar year. Interviews with management indicated understanding of these requirements.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	The Entity has established relevant procedures within the CoC Management Manual to ensure the information required is reported to the ASI Secretariat within three months after the end of each calendar year. Interviews with management indicated understanding of these requirements.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity has established relevant procedures within the CoC Management Manual to ensure the information required is reported to the ASI Secretariat within three months after the end of each calendar year. Interviews with management indicated understanding of these requirements.

CRITERION	RATING	COMMENT
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity has established relevant procedures within the CoC Management Manual to ensure the information required is reported to the ASI Secretariat within three months after the end of each calendar year. Interviews with management indicated understanding of these requirements.
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity has established relevant procedures within the CoC Management Manual to ensure the information required is reported to the ASI Secretariat within three months after the end of each calendar year. Interviews with management indicated understanding of these requirements.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity has established relevant procedures within the CoC Management Manual to ensure the information required is reported to the ASI Secretariat within three months after the end of each calendar year. Interviews with management indicated understanding of these requirements.
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	The Entity has established relevant procedures within the CoC Management Manual to ensure the information required is reported to the ASI Secretariat within three months after the end of each calendar year. Interviews with management indicated understanding of these requirements.

## 2. OUTSOURCING CONTRACTORS

2.1 Certification Scope	Not Applicable	This Criterion is not applicable to the Entity, as it does not have outsourcing activities.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	This Criterion is not applicable to the Entity, as it does not have outsourcing activities.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	This Criterion is not applicable to the Entity, as it does not have outsourcing activities.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	This Criterion is not applicable to the Entity, as it does not have outsourcing activities.
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 have outsourcing activities.
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 have outsourcing activities.
2.5 Error (Outsourcing Contractor)	Not Applicable	This Criterion is not applicable to the Entity, as it does not have outsourcing activities.

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

CRITERION	RATING	COMMENT
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.
3.3a 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 a system in place to ensure that ASI Liquid Metal is produced only from the Facility within its Entity's CoC Certification Scope.
4.1b Recycled Aluminium (Performance Standard)	Conformance	The Entity has a system in place to ensure that ASI Liquid Metal is produced only from its Facility, which is certified against the ASI Performance Standard.
4.2a Eligible Scrap (Pre-Consumer)	Conformance	The Entity's Material Accounting System is designed to manage and track Eligible Scrap introduced into the value chain. The Entity does not currently purchase Pre-Consumer Scrap.
4.2b Eligible Scrap (Post-Consumer)	Conformance	The Entity's Material Accounting System ensures that Post-Consumer Scrap is subject to supplier Due Diligence and can be assessed by the Entity to be Post-Consumer in origin.
4.2c Eligible Scrap (Dross)	Conformance	The Entity recovers Aluminium only from Dross generated during the Entity's manufacturing processes. The Entity has conducted a thorough Due Diligence assessment of the Aluminium Dross recovery and processing vendors.
4.3a Records Management for Direct Suppliers of	Conformance	The Entity's Material Accounting System is designed to control and account for all sources of Scrap. All suppliers are pre-qualified and

CRITERION	RATING	COMMENT
Recyclable Scrap Material (Suppliers)		there is full traceability to control the identity, principals and places of operation of all direct suppliers of Recyclable Scrap Material.
4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions)	Conformance	There are no cash transaction practices between the Entity and suppliers.
<b>5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM</b>		
5.1a ASI Aluminium (CoC Certification Scope)	Conformance	The Entity's Material Accounting System ensures production of ASI Aluminium is only from Casthouses that are within the Entity's CoC Certification Scope.
5.1b ASI Aluminium (Performance Standard)	Conformance	The Entity is engaged in producing Casthouse Products from Primary Aluminium and Recycled Aluminium. The Certification Scope consists of fully owned plants which are ASI Performance Standard Certified.
5.1c ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has implemented procedures for the procurement of CoC Material and ASI Aluminium must be obtained from CoC Certified suppliers. Where the supplier is a trading company, the Entity confirms the manufacturer's CoC Document and check the validity and scope of its certificate.
5.2 Unique Identification	Conformance	The Entity's Material Accounting System has been tested with Stimulation and ensures that unique identification numbers, printed with ASI Aluminium, are linked to the Input Quantity of CoC Material.
<b>6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM</b>		
6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The Entity has a system in place to ensure that the production of ASI Aluminium is only from the Facility that is within its CoC Certification Scope. This was evidenced in the CoC Document Control Procedure.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity has a system in place to ensure that the production of ASI Aluminium is only from its Facility, which is certified against the ASI Performance Standard. The Entity has a system in place to ensure that ASI Liquid Metal is produced only from its Facility, which is certified against the ASI Performance Standard.
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has systems in place to ensure that ASI Aluminium is sourced only from the eligible Entities/Facilities directly, or indirectly via a metals Trader and warehouse with a verified CoC Document.
<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	<p>The Entity had established a Responsible Sourcing Policy that addresses anti-Corruption. All identified major next tier suppliers are informed about the Policy and sign a Commitment Letter of Business Ethics. The Entity conducts supplier assessments prior to sourcing and undertakes annual assessments.</p> <p>The Entity's Policies are included in the ASI Management Policy, available at: <a href="http://www.xiangyu-aluminium.com/report.html">http://www.xiangyu-aluminium.com/report.html</a></p>

CRITERION	RATING	COMMENT
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	<p>The Entity had established a Responsible Purchasing Policy that addresses the responsible sourcing requirements. All major next tier suppliers are informed about the Policy and sign a Commitment Letter of Responsible Purchasing.</p> <p>The Entity conducts supplier assessments prior to sourcing and undertakes annual assessments.</p> <p>The Entity's Policies are included in the ASI Management Policy, available at: <a href="http://www.xiangyu-aluminium.com/report.html">http://www.xiangyu-aluminium.com/report.html</a></p>
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	<p>The Entity had established a Responsible Purchasing Policy that addresses the Human Rights Due Diligence requirements. All identified major next tier suppliers are informed about the Policy and sign a Commitment Letter of Responsible Purchasing.</p> <p>The Entity conducts supplier assessments prior to sourcing and undertakes annual assessments.</p> <p>The Entity's Policies are included in the ASI Management Policy, available at: <a href="http://www.xiangyu-aluminium.com/report.html">http://www.xiangyu-aluminium.com/report.html</a></p>
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	<p>The Entity has a Responsible Sourcing Policy that addresses the Conflict-Affected and High-Risk Areas (CAHRAs) requirements. The relevant training course is provided to employees. All identified major next tier suppliers are informed about the Policy and sign a Commitment Letter of Non-Conflict-Minerals.</p> <p>The Entity conducts supplier assessments prior to sourcing and undertakes annual assessments.</p> <p>The Entity's Policies are included in the ASI Management Policy, available at: <a href="http://www.xiangyu-aluminium.com/report.html">http://www.xiangyu-aluminium.com/report.html</a></p>
7.2 Risk Assessment and Mitigation	Conformance	<p>The Entity has established a Responsible Sourcing Policy and Supplier Code of Conduct, which are provided to and acknowledged by suppliers. Due Diligence Risk Assessments are undertaken prior to commencing business with the supplier. If a supplier is not compliant with the requirements and repeatedly fails to correct critical findings, contracts are terminated. Annual Assessments prior to sourcing and undertakes Annual Assessments.</p> <p>The Entity's Policies are included in the ASI Management Policy, available at: <a href="http://www.xiangyu-aluminium.com/report.html">http://www.xiangyu-aluminium.com/report.html</a></p>
7.3 Complaints Resolution Mechanism	Minor Non-Conformance	<p>The Entity has implemented a Stakeholder Complaints, Grievances and Requests Procedure, which has addresses the publication of the Entity's contact telephone number and email address, and provision of a suggestion box and other information to Stakeholders by means of public notices and accepting information inquiries, complaints and appeals from all parties. The HR Department sets up posts to track the requests and complaints of Stakeholders and has an appropriate resolution mechanism.</p> <p>The engagement and dialogue for the grievance procedure however is not satisfactory.</p>

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

CRITERION	RATING	COMMENT
8.1 Material Accounting System	Conformance	The Entity has established a Material Accounting System that can record Input Quantity and Output Quantity of CoC Material and Non-CoC Material by mass. At the time of the Audit, there were no examples of effective implementation of the System as no ASI CoC Material was available in the Entity's supply chain.
8.2 Material Accounting Period	Conformance	The Material Accounting Period is defined as 12 months, a calendar year from January to December.
8.3 Input and Inflow Quantities	Conformance	The Entity has established a Material Accounting System that records Input and Inflow Quantities of CoC Material.
8.4 Output Quantities of CoC Material	Conformance	The Entity has established a Material Accounting System that records Output Quantities of CoC Material, by mass.
8.5 Indivisibility of CoC Material	Conformance	The Output Quantity of CoC Material, which may be a part of the total production volume, is designated as 100% CoC Material.
8.6 Output Quantity of Eligible Scrap	Not Applicable	This Criterion is not applicable to the Entity, as it does not produce Pre-Consumer Scrap from its processing and does not designate the relevant proportion as Eligible Scrap.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity has established a Material Accounting System that ensures information on the inventory balance is updated on a frequent basis.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The principle of Internal Overdraws to not exceed 20% is defined in the Entity's CoC Management Manual.
8.8b Internal Overdraw (Not exceed force majeure situation)	Minor Non-Conformance	The principle of Internal Overdraw to not exceed the amount of CoC Material affected by a Force Majeure situation is defined in the Entity's CoC Management manual.  At the time of the Audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain. Employee Interviews however identified that not all relevant employees were aware of the usage conditions for an Internal Overdraw.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The requirement to make up an Internal Overdraw within the subsequent Material Accounting Period is defined in the Entity's CoC Management Manual.
8.9a Positive Balance (Carry over)	Conformance	The Entity has established a Material Accounting System that can clearly identify any carry over of a Positive Balance.
8.9b Positive Balance (Expiry)	Conformance	The Entity has established a Material Accounting System that ensures a Positive Balance carried over to the subsequent Material Accounting Period expires at the end of that period if not drawn down.

#### 9. ISSUING COC DOCUMENTS

CRITERION	RATING	COMMENT
9.1 CoC Document	Conformance	The Entity has a System that can issue CoC Documents for each shipment or transfer, ensuring that these are controlled, issued and stored as per the ASI Chain of Custody Standard requirements. At the time of the Audit, there were no examples of effective implementation of the System as no ASI CoC Material was available in the Entity's supply chain.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity has established the Issuing CoC Documents Management Procedure and a CoC Document template that includes information for the issue date.
9.2b CoC Document Content (Reference number)	Conformance	The Entity has established the Issuing CoC Documents Management Procedure and a CoC Document template that includes a reference number that is linked to the Entity's Material Accounting System for verification purposes.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity has established the Issuing CoC Documents Management Procedure and a CoC Document template that includes information on the identity, address and CoC Certification Number of the Entity.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity has established the Issuing CoC Documents Management Procedure and a CoC Document template that includes information on 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 established the Issuing CoC Documents Management Procedure and a CoC Document template that includes information on the Entity's employee who can verify information in the CoC Document.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity has established the Issuing CoC Documents Management Procedure and a CoC Document template that includes a statement confirming that "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 has established the Issuing CoC Documents Management Procedure and a CoC Document template that includes information on the type of CoC Material in the shipment.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity has established the Issuing CoC Documents Management Procedure and a CoC Document template that includes information on the mass of CoC Material in the shipment.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity has established the Issuing CoC Documents Management Procedure and a CoC Document template that includes information on 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 the CoC Document template currently does not include Sustainability Data.

CRITERION	RATING	COMMENT
9.3b Sustainability Data (optional) - Origin information	Not Applicable	This Criterion is not applicable to the Entity, as the CoC Document template currently does not include Sustainability Data.
9.3c Sustainability Data (optional) - Recycled content	Not Applicable	This Criterion is not applicable to the Entity, as the CoC Document template currently does not include Sustainability Data.
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Not Applicable	This Criterion is not applicable to the Entity, as the CoC Document template currently does not include Sustainability Data.
9.4 Supplementary Information (optional) - Objective evidence	Not Applicable	This Criterion is not applicable to the Entity, as the CoC Document template currently does not include Supplementary Information.
9.5 Verification of Information	Conformance	The Entity's Material Accounting System enables it to respond to reasonable requests for verification of information in the CoC Documents issued by the Entity.
9.6 Error (Shipping)	Conformance	The Entity's Material Accounting System enables it to document any errors and the agreed steps taken to correct it and implements actions to avoid a recurrence.

#### 10. RECEIVING COC DOCUMENTS

10.1 Verification of CoC Documents	Conformance	The Entity has established procedures and instructions to verify that received CoC Documents include all the required information.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity has established procedures and instructions to verify the consistency of received CoC Documents with the accompanying CoC Material, before information is recorded in the Material Accounting System.
10.3 Verification of Supplier's ASI CoC Certification	Minor Non-Conformance	The Entity has established procedures and instructions 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.  During the simulation of a purchase however the Entity's System did not keep the verified record as required.
10.4 Error (Reception)	Conformance	The Entity's Material Accounting System enables it to document any errors and the agreed steps taken to correct it and implements actions to avoid a recurrence.

#### 11. CLAIMS AND COMMUNICATIONS

11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity's CoC Claims and Communications Procedure defines that all claims and communications shall be made in a manner that is consistent with the ASI Claims Guide, and the relevant roles and responsibilities are also defined. At the time of the Audit, there were no examples of effective implementation of the System as no ASI CoC Material was available in the Entity's supply chain.
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CRITERION	RATING	COMMENT
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity has appointed the roles and responsibilities to ensure that claims are made in a manner consistent with the ASI Claims Guide, including that there is verifiable evidence to support the claims.
11.1c Claims and Communications (Employee training)	Minor Non-Conformance	<p>The Entity has defined in its process instruction ASI relevant claims, that are consistent with the ASI claim guide. The Entity has provided training to relevant employees to the proper communication of ASI claims.</p> <p>Interviews during the Audit however identified that some staff were not familiar with the requirements regarding the types of ASI logos and the approval requirement.</p>

#### 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	20 December 2025	Initial Certification Audit - Full Certification