

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# Guangyuan Linfeng Aluminum & Electricity Co., LTD

CERTIFICATE NUMBER  
**371**

ASI STANDARD  
**CHAIN OF CUSTODY  
(v2 2022)**

CERTIFICATION LEVEL  
**FULL  
CERTIFICATION**

ASI ACCREDITED  
AUDITING FIRM  
**SGS-CSTC  
STANDARDS  
TECHNICAL SERVICES**

DATE OF ISSUE  
**3 JUNE 2024**

DATE OF EXPIRY  
**2 JUNE 2027**

CERTIFIED SINCE  
**3 JUNE 2024**

AUTHORISED BY

A handwritten signature in black ink, appearing to read "J. H. C." followed by a long horizontal line.

CERTIFICATION SCOPE

Aluminium smelting processes for the manufacture of electrolytic Aluminium liquid at Guangyuan Linfeng Aluminum & Electricity Co., LTD, Guangyuan City, Sichuan 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](http://www.aluminium-stewardship.org)**

# AUDIT REPORT

## CHAIN OF CUSTODY

## STANDARD

### OVERVIEW

MEMBER NAME	Guangyuan Linfeng Aluminum & Electricity Co, LTD
ENTITY NAME	Guangyuan Linfeng Aluminum & Electricity Co, LTD
CERTIFICATION SCOPE	Aluminium smelting processes for the manufacture of electrolytic Aluminium liquid at Guangyuan Linfeng Aluminum & Electricity Co, LTD, Guangyuan City, Sichuan Province, China.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>Aluminium Smelting</li></ul>
ASI STANDARD	<ul style="list-style-type: none"><li>Chain of Custody Standard V2</li></ul>
AUDIT TYPE	<ul style="list-style-type: none"><li>Initial Certification Audit (10 – 11 March 2024)</li><li>Surveillance Audit (1 – 5 September 2025)</li></ul>
AUDIT FIRM	SGS-CSTC Standards Technical Services
AUDIT DATE	<ul style="list-style-type: none"><li>10 – 11 March 2024 (Initial Certification Audit)</li><li>1 – 5 September 2025 (Surveillance Audit)</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>13 April 2024 (Initial Certification Audit)</li><li>19 December 2025 (Surveillance Audit)</li></ul>
AUDIT SCOPE	<p><u>Initial Certification Audit (10 – 11 March 2024)</u></p> <p>The Audit Scope includes the Aluminium smelting processes for the manufacture of electrolytic Aluminium liquid at Guangyuan Linfeng Aluminum &amp; Electricity Co, LTD, Guangyuan City, Sichuan Province, China.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>Aluminium Smelting</li></ul> <p>All relevant criteria in the ASI Performance Standard were included in the Audit Scope.</p> <p><u>Surveillance Audit (1 – 5 September 2025)</u></p> <p>The Audit Scope includes the Aluminium smelting processes for the manufacture of electrolytic Aluminium liquid at Guangyuan Linfeng Aluminum &amp; Electricity Co, LTD, Guangyuan City, Sichuan Province, China.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>Aluminium Smelting</li></ul> <p>All relevant criteria in the ASI Performance Standard were included in the Audit Scope.</p>
AUDIT OUTCOME	Certification

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AUDIT METHODOLOGY  
DECLARATION

The Auditors confirm that:

- The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this Report.
- The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.
- The Audit Scope and Audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope.
- The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.

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CERTIFICATION PERIOD

3 June 2024 – 2 June 2027

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NEXT AUDIT TYPE

Re-Certification Audit

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NEXT AUDIT DUE DATE

2 June 2027

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CERTIFICATE NUMBER

371

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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

Guangyuan Linfeng Aluminum & Electricity Co, LTD. (the 'Entity') was established in late 2018, and is located in Yuanjiaba Industrial Park, Guangyuan Economic and Technological Development Zone, Sichuan Province, China. The main production processes on site include electrolytic Aluminium liquid. The terminal products are widely used in the downstream Aluminium deep processing users. As the Entity is located within an industrial park, there are no sensitive receptors (such as residents, schools and public spaces) adjacent to the Entity.

The main production process of the Entity currently includes 234 sets of 400kA electrolytic Aluminium tanks, with a designed output of 250,000 tonnes per annum with a current output of 240,000 tonnes per annum. The main building of the factory includes one joint plant, an anode assembly workshop, and a supporting office area. The plant has an electrolytic cell, electrolytic multifunctional unit, a 12 tonne Aluminium lifting ladle, an Aluminium lifting ladle transport vehicle, waste gas treatment system, wastewater treatment system and other equipment.

The Entity also has a water treatment station, comprehensive wastewater treatment station, air compressor station, hazardous waste warehouse and general solid waste warehouse. The Entity has a staff lounge, staff changing rooms, temporary staff restaurant, for the convenience of employees. There are living quarters for employees which includes medical points, restaurants, and basketball courts.

The Entity currently has approximately 620 employees, and its main Stakeholders include shareholders, customers, partners, downstream supply chains, and relevant government departments. The continuous development of the Entity provides employment opportunities for surrounding residents and drives the economic development of the surrounding areas.

## 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>	Low
<b>OVERALL</b>	<b>MEDIUM</b>

## FINDINGS

CRITERION	RATING	COMMENT
1. MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI Membership	Conformance	<p>The Entity has been an ASI Member under the Production and Transformation membership class since 2022 and is committed to complying with all ASI membership obligations, including the ASI Grievance Mechanism. For more information, refer to:</p> <p><a href="https://aluminium-stewardship.org/wp-content/uploads/2022/12/ASI-Summary-Audit-Report-Guangyuan-Linfeng-Certificate-224-PS-.pdf">https://aluminium-stewardship.org/wp-content/uploads/2022/12/ASI-Summary-Audit-Report-Guangyuan-Linfeng-Certificate-224-PS-.pdf</a></p>
1.2 CoC Management System	Conformance	<p>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 Custody. The Entity has developed an ASI Manual for Guangyuan Linfeng Aluminum &amp; Electricity Co, LTD.</p>
1.3 CoC Management System Monitoring	Conformance	<p>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 Custody. The Entity has developed an ASI Manual for Guangyuan Linfeng Aluminum &amp; Electricity Co, LTD.</p>
1.4 Management Representative	Conformance	<p>The Entity has nominated its Vice General Manager as the Management Representative. The roles and responsibilities are documented in writing and communicated throughout the Entity, with a supporting team assisting in the implementation of the ASI Chain of Custody Standard.</p>
1.5 Communications and Training	Conformance	<p>The Entity has established an annual training plan for the ASI CoC Management System that makes relevant personnel aware of and competent in their responsibilities. The training plan includes the ASI Chain of Custody Standard, ASI manual and training procedure. Related training has been implemented according to the training plan.</p>
1.6 Records Management	Conformance	<p>The Entity has implemented a procedure 'ASI CoC Documents and Records Controlling', which specifies that all records be retained for a minimum of five years.</p>
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	<p>The Entity has established a procedure that defines how to report information, including Inputs and Outputs of CoC Material. To date, the Entity has not handled any CoC Material as input or output.</p>
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	<p>The Entity has established a procedure that defines how to report information, including Inputs and Outputs of Eligible Scrap.</p>
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	<p>The Entity has established a procedure that defines how to report information, including Inflows and Outflows of Non-CoC Material.</p>

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.
<b>2. OUTSOURCING CONTRACTORS</b>		
2.1 Certification Scope	Not Applicable	The Criterion is not applicable to the Entity as it 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 to the Entity as it 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 to the Entity as it 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 to the Entity as it 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 to the Entity as it 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 to the Entity as it 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 to the Entity as it does not utilise any Outsourcing Contractors. However, the Entity has developed a CoC Outsourcing Contractor Management Procedure.
<b>3. PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI ALUMINIUM</b>		
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)	Conformance	The Entity engages in Aluminium Smelting and its smelting Facilities are included in the CoC Certification Scope.
3.3b ASI Aluminium (Performance Standard)	Conformance	The Entity 'Guangyuan Linfeng Aluminum & Electricity Co, LTD' has obtained ASI Performance Standard Certification (Certificate Number 224) in 2022.
3.3c ASI Aluminium (Alumina sourcing)	Conformance	The Entity has established an ASI CoC Management System to ensure that its Alumina sourcing is ASI Certified whether it is from another ASI CoC Certified Entity or via a Trader.
<b>4. RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP</b>		
4.1a Recycled Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.1b Recycled Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2a Eligible Scrap (Pre-Consumer)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2b Eligible Scrap (Post-Consumer)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2c Eligible Scrap (Dross)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
<b>5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM</b>		

CRITERION	RATING	COMMENT
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)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
<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 has publicly disclosed its Responsible Sourcing Policy which includes anti-Corruption at:</p> <p><a href="https://www.zfsy.com.cn/News_detail/120.html">https://www.zfsy.com.cn/News_detail/120.html</a></p> <p>The Responsible Sourcing Policy has been distributed to the Entity's suppliers of Non-CoC Material, Recyclable Scrap Material and CoC Material that is supplied through a Trader.</p>
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	<p>The Entity has publicly disclosed its Responsible Sourcing Policy at:</p> <p><a href="https://www.zfsy.com.cn/News_detail/120.html">https://www.zfsy.com.cn/News_detail/120.html</a></p> <p>The Responsible Sourcing Policy has been distributed to the Entity's suppliers of Non-CoC Material, Recyclable Scrap Material and CoC Material that is supplied through a Trader.</p>
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	<p>The Entity commits, through its Responsible Sourcing Policy, to respecting Human Rights and has publicly disclosed both its Responsible Mineral Supply Chain Due Diligence Report and its Responsible Sourcing Policy, available at:</p> <p><a href="https://www.zfsy.com.cn/News_detail/216.html">https://www.zfsy.com.cn/News_detail/216.html</a></p> <p><a href="https://www.zfsy.com.cn/News_detail/120.html">https://www.zfsy.com.cn/News_detail/120.html</a></p> <p>The Responsible Sourcing Policy has been distributed to the Entity's suppliers of Non-CoC Material, Recyclable Scrap Material and 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 which addresses risks relating to Conflict-Affected and High-Risk Areas at:</p> <p><a href="https://www.zfsy.com.cn/News_detail/120.html">https://www.zfsy.com.cn/News_detail/120.html</a></p>

CRITERION	RATING	COMMENT
		<p>The Responsible Sourcing Policy has been distributed to the Entity's suppliers of Non-CoC Material, Recyclable Scrap Material and CoC Material supplied through a Trader.</p> <p>The Entity commits, through its Responsible Sourcing Policy, to respecting Human Rights and has publicly disclosed its Responsible Mineral Supply Chain Due Diligence Report, available at:</p> <p><a href="https://www.zfsy.com.cn/News_detail/216.html">https://www.zfsy.com.cn/News_detail/216.html</a></p>
7.2 Risk Assessment and Mitigation	Conformance	<p>The Entity has established a Responsible Sourcing Policy and an ASI CoC Supplier Due Diligence Procedure to assess risks of non-Compliance with its Responsible Sourcing Policy. The Entity's supplier survey also covers non-Compliance related to environmental, social, and governance issues.</p>
7.3 Complaints Resolution Mechanism	Minor Non-Conformance	<p>The Entity has established a Complaints Resolution Mechanism. The Entity's website lists several channels for submitting complaints, including the General Manager's mailbox and a hotline accessible to employees, suppliers, and external parties, as described in the Entity's Responsible Sourcing Policy, available at:</p> <p><a href="https://www.zfsy.com.cn/News_detail/120.html">https://www.zfsy.com.cn/News_detail/120.html</a></p> <p>In addition, a physical complaint box is available on site for visitors to the Entity's factory.</p> <p>The Entity, however, has not clearly defined timelines for the acknowledgment and resolution of complaints from external Stakeholders, nor has it assigned responsibilities for managing different types of complaints.</p>
8.1 Material Accounting System	Conformance	<p>The Entity has established a CoC Material Mass Balance System and ASI Aluminium Management Procedure and implemented a Business Innovation Platform (BIP) for the Material Accounting System to record the Input Quantity and Output Quantity of Aluminium material by mass.</p>
8.2 Material Accounting Period	Conformance	<p>The Entity's BIP has set a Material Accounting Period of twelve 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 to record the Input Quantity of CoC Material and Eligible Scrap and the Inflow of Non-CoC Material and Recyclable Scrap Material. 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 an internal Metal Management System including metal statistics and metal balance of material management reports and a BIP system to manage Inputs and Outputs. The Entity has also established a Statistical Management System and methods of calculating statistical indicators.</p>
8.5 Indivisibility of CoC Material	Conformance	<p>The Entity has established a Mass Balance System for CoC Material, including an ASI Aluminium Management Procedure to define the Output Quantity of CoC Material, which may be a subset of total production and shall be designated as 100% CoC Material.</p>

CRITERION	RATING	COMMENT
8.6 Output Quantity of Eligible Scrap	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity has established a Mass Balance System to ensure that the total CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage as applied to the total Input of CoC Material and/or Eligible Scrap over the Material Accounting Period.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity has established a Mass Balance System for CoC Materials, including an ASI Aluminium Management Procedure that defines that the Internal Overdraw shall not exceed 20% of the total Input Quantity of CoC Material for the Material Accounting Period.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity has established a Mass Balance System for CoC Material, including an ASI Aluminium Management Procedure that defines 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 Material, including an ASI Aluminium Management Procedure that defines the Internal Overdraw shall be made up within the subsequent Material Accounting Period. It is included 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 Material, including an ASI Aluminium Management Procedure that defines the Positive Balance of Output CoC Material at the end of a Material Accounting Period may be carried over to the subsequent Material Accounting Period. The Procedure also specifies that the Entity's Material Accounting System must clearly identify any carry over of a Positive Balance.
8.9b Positive Balance (Expiry)	Conformance	<p>The Entity has established a Mass Balance System for CoC Material as well as an ASI Aluminium Management Procedure which defines that a Positive Balance of Output CoC Material at the end of a Material Accounting Period may be carried over to the subsequent Material Accounting Period.</p> <p>The procedure specifies that a Positive Balance generated in one Material Accounting Period and carried over to the subsequent Material Accounting Period shall expire at the end of that Period if not drawn down.</p>

#### 9. ISSUING COC DOCUMENTS

9.1 CoC Document	Conformance	The Entity has implemented a CoC Documents Issuing Management Procedure that defines that a CoC document must accompany each shipment of CoC Material dispatched to other CoC Certificated Entities. Until now, there have been no CoC Material Outputs from the Entity Facilities.
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CRITERION	RATING	COMMENT
9.2a CoC Document Content (Date of issue)	Conformance	The Entity has implemented a CoC Documents Issuing Management Procedure that defines the CoC Document must include the date of issue.
9.2b CoC Document Content (Reference number)	Conformance	The Entity has implemented a CoC Documents Issuing Management Procedure that defines the CoC Document must include the number of the CoC Document, which is linked to the Entity's Material Accounting System for verification purposes.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity has implemented a CoC Documents Issuing Management Procedure that defines the CoC Document must 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 that defines the CoC Document must include the identity and address of the customer receiving the CoC Material, and if it is another ASI 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 that defines the CoC Document must include the 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 that defines the CoC document information must include the conformance statement.
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity has implemented a CoC Documents Issuing Management Procedure that defines the CoC Document must 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 that defines the CoC Document must 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 that defines the CoC Document must include the mass of total material in the shipment.
9.3a Sustainability Data (optional) - Carbon footprint	Conformance	The Entity has implemented a CoC Documents Issuing Management Procedure that defines the CoC Document will include Sustainability Data when applicable.
9.3b Sustainability Data (optional) - Origin information	Conformance	The Entity has implemented a CoC Documents Issuing Management Procedure that defines the CoC Document will include applicable Sustainability Data when applicable.
9.3c Sustainability Data (optional) - Recycled content	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.3d Sustainability Data (optional) - Post-	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
Casthouse ASI Certification status		
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 parties. The Entity has appointed a responsible employee to issue CoC Documents and respond to any 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 (returns, retaining of shipment etc) for any error discovered after the 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 to correct them.
<b>10. RECEIVING COC DOCUMENTS</b>		
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 should verify the consistency of received CoC Documents with the accompanying CoC Material or Eligible Scrap before recording information in the Material Accounting System.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has implemented a procedure that stipulates the Production Management Office should 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 defining the disposal process (returns, retaining of shipment etc.) for when an error is discovered after CoC Material is received. The Entity and the supplying party will document the error, agree on steps taken to correct it and implement actions to avoid recurrence.
<b>11. CLAIMS AND COMMUNICATIONS</b>		
11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity has established an ASI CoC Claim and Communication Management Procedure which defines all 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 claim or communication about ASI CoC Certification.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity has established an ASI CoC Claim and Communication Management Procedure which defines all claims and communications are made in a manner and form consistent with the ASI Claims Guide.

CRITERION	RATING	COMMENT
11.1c Claims and Communications (Employee training)	Conformance	Relevant employees have received training to understand and communicate any claims and representations made by the Entity.

#### 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	3 June 2024	Initial Certification Audit – Full Certification
1	13 January 2026	Surveillance Audit