

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

Capral Aluminium

CERTIFICATE NUMBER

288

ASI STANDARD

CHAIN OF CUSTODY
(V2 2022)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI ACCREDITED AUDITING
FIRM

DNV BUSINESS
ASSURANCE
SERVICES UK LTD.

DATE OF ISSUE

2 JUNE 2026

DATE OF EXPIRY

1 JUNE 2029

CERTIFIED SINCE

2 JUNE 2023

AUTHORISED BY

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

Aluminium Stewardship Initiative Ltd
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*Validity of this Certificate is subject to
continued conformance with the
applicable ASI Standard and can be
verified at
www.aluminium-stewardship.org*

CERTIFICATION SCOPE

Extrusion, warehousing and distribution of Aluminium Products and services across Capral Australia's operations including Angaston, Archerfield, Bremer Park, Bremer Park RDC, Burleigh Heads, Cairns, Campbellfield, Campbellfield RDC, Canning Vale, Canning Vale RDC, Capral Penrith, Cardiff, Deception Bay, Glenorchy, Huntingwood, Kilburn, Kunda Park, Laverton, Lynbrook, Noble Park, Rockdale, Smithfield, Springwood, Townsville, Wangara, Welshpool, Winnellie, and Wollongong.

AUDIT REPORT

CHAIN OF CUSTODY

STANDARD

OVERVIEW

MEMBER NAME	Capral Aluminium
ENTITY NAME	Capral Aluminium
CERTIFICATION SCOPE	Extrusion, warehousing and distribution of Aluminium Products and services across Capral Australia's operations including Angaston, Archerfield, Bremer Park, Bremer Park RDC, Burleigh Heads, Cairns, Campbellfield, Campbellfield RDC, Canning Vale, Canning Vale RDC, Capral Penrith, Cardiff, Deception Bay, Glenorchy, Huntingwood, Kilburn, Kunda Park, Laverton, Lynbrook, Noble Park, Rockdale, Smithfield, Springwood, Townsville, Wangara, Welshpool, Winnellie, and Wollongong.
SUPPLY CHAIN ACTIVITIES	Post-Casthouse
ASI STANDARD	Chain of Custody Standard V2
AUDIT TYPE	- Initial Certification Audit (6 – 17 March 2023) - Surveillance Audit and Scope Change (30 October – 20 November 2024) - Re-Certification Audit (20 April – 19 May 2026)
AUDIT FIRM	Sustainable Certification Pty Ltd
AUDIT DATE	6 – 17 March 2023 (Initial Certification Audit) 30 October – 20 November 2024 (Surveillance Audit and Scope Change) 20 April – 19 May 2026 (Re-Certification Audit)
AUDIT REPORT SUBMISSION	11 May 2023 (Initial Certification Audit) 20 December 2024 (Surveillance Audit and Scope Change) 25 June 2026 (Re-Certification Audit)
AUDIT SCOPE	<u>Initial Certification Audit (6 – 17 March 2023)</u> The Audit Scope covers the extrusion, warehousing and distribution of Aluminium Product and Services across Capral Australia's operations at Bremer Park, Bremer Park RDC, Campbellfield, Campbellfield RDC, Huntingwood, Laverton, Rockdale, Smithfield, and Springwood. The Entity uses the ASI multi-site sampling approach and sites Angaston, Burleigh Heads, Cairns, Canning Vale, Canning Vale RDC, Capral Penrith, Cardiff, Deception Bay, Glenorchy, Kilburn, Kunda Park, Lynbrook, Townsville, Wangara, Welshpool, Winnellie and Wollongong were not audited. The supply chain activities included in the Audit Scope: Post-Casthouse All relevant criteria in the ASI Performance Standard were included in the Audit Scope. <u>Surveillance Audit and Scope Change (30 October – 20 November 2024)</u>

The Audit Scope covers the extrusion, warehousing and distribution of Aluminium Product and Services across Capral Australia's operations at Bremer Park, Bremer Park RDC, Capral Penrith, Deception Bay, Huntingwood, Rockdale, Smithfield, and Townsville.

The Entity uses the ASI multi-site sampling approach and sites Angaston, Archerfield, Burleigh Heads, Cairns, Campbellfield, Campbellfield RDC, Canning Vale, Canning Vale RDC, Cardiff, Glenorchy, Kilburn, Kunda Park, Laverton, Lynbrook, Noble Park, Springwood, Townsville, Wangara, Welshpool, Winnellie and Wollongong were not audited.

The supply chain activities included in the Audit Scope:

- Post-Casthouse

All relevant criteria in the ASI Performance Standard were included in the Audit Scope.

Re-Certification Audit (20 April - 19 May 2026)

The Audit Scope covers the extrusion, warehousing and distribution of Aluminium Product and services across Capral Australia's operations at Bremer Park, Bremer Park RDC, Capral Penrith, Deception Bay, Huntingwood, Rockdale, Smithfield, and Townsville.

The Entity uses the ASI multi-site sampling approach and sites Angaston, Archerfield, Burleigh Heads, Cairns, Campbellfield, Campbellfield RDC, Canning Vale, Canning Vale RDC, Cardiff, Glenorchy, Kilburn, Kunda Park, Laverton, Lynbrook, Noble Park, Springwood, Townsville, Wangara, Welshpool, Winnellie and Wollongong were not audited.

The supply chain activities included in the Audit Scope:

- Post-Casthouse

All relevant criteria in the ASI Performance Standard were included in the Audit Scope.

AUDIT OUTCOME

Certification

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.

CERTIFICATION PERIOD

2 June 2026 – 1 June 2029

NEXT AUDIT TYPE

Surveillance Audit

NEXT AUDIT DUE DATE

2 June 2028

CERTIFICATE NUMBER

288



If you have an inquiry or complaint about this Certification, go to the third-party EthicsPoint portal at: <https://aluminium-stewardship.ethicspoint.com/>

EthicsPoint is a comprehensive and confidential reporting tool that enables complaints to be securely raised, managed and responded to. This enables anonymity to be maintained where desired by complainants, or as relevant to whistleblowing situations.

Information is available in five languages – English, French, Chinese, German and Portuguese (Brazil). Translation services provided by EthicsPoint enable complaints and correspondence to be managed in multiple languages.

ENTITY OVERVIEW

Capral (the 'Entity') is an Australian Aluminium extrusion company, publicly listed on the Australian Stock Exchange (ASX:CAA). It commenced operations in Australia in 1936 and is Australia's largest manufacturer and distributor of Aluminium profiles, with net assets of approximately \$135 million.

The Entity has a national footprint of Aluminium extrusion plants, comprising nine operating presses with an annual capacity of 74,000 metric tonnes. The Entity's distribution network comprises major distribution facilities and regional and metropolitan centres, offering a wide range of products and logistics capabilities. The Entity is a major supplier to fabricators and distributors, focusing on the residential, commercial and industrial segments. The Entity employs over 1088 people, of whom 178 are women, within its operations throughout Australia, with significant industry skills and expertise.

For further information, refer to: <https://www.capral.com.au/about-capral/our-story/>

MATURITY RATINGS

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

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

OVERALL	
SYSTEMS	High
RISKS	High
PERFORMANCE	Medium
OVERALL	HIGH

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 membership class since June 2022. https://aluminium-stewardship.org/about-asi/members/CAPRAL-ALUMINIUM
1.2 CoC Management System	Conformance	The Entity has established a Chain of Custody (CoC) Management Practice that adequately and appropriately addresses all applicable requirements of the ASI Chain of Custody Standard, more specifically all Facilities within their CoC Certification Scope that take on custody of ASI Material.
1.3 CoC Management System Monitoring	Conformance	The Entity has reviewed and updated the CoC Management Practice in line with the ASI Chain of Custody requirements and their implementation experience.
1.4 Management Representative	Conformance	The Group ESG & Risk Manager remains the appointed senior manager with overall responsibility and authority for the Entity's conformance with all applicable requirements of the ASI Chain of Custody Standard.
1.5 Communications and Training	Conformance	The Entity has defined and established a procedure in the Integrated Management System to communicate training measures to ensure relevant personnel are aware of their responsibilities under the ASI Chain of Custody Standard. Moreover, the Entity has ensured that relevant personnel all meet a minimum competency threshold.
1.6 Records Management	Conformance	The Entity has maintained an up-to-date registry of all applicable requirements as defined in the ASI Chain of Custody Standard. This registry will be retained in the document Management System in electronic format indefinitely.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity has submitted a report on Inputs and Outputs of CoC Material to the ASI Secretariat in line with the appropriate reporting form (delivered by the 30 th of June following the end of each calendar year).
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	The Entity has submitted a report on the Inputs and Outputs of Eligible Scrap to the ASI Secretariat, in accordance with the appropriate reporting form (delivered by the 30 th of June following the end of each calendar year).
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity has submitted a report on Inflows and Outflows of Non-CoC Material to the ASI Secretariat in line with the appropriate reporting form (delivered by the 30 th of June following the end of each calendar year).
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity has submitted a report on the Positive Balance of CoC Material carried over to the ASI Secretariat in line with the appropriate reporting form (delivered by the 30 th of June following the end of each calendar year).

CRITERION	RATING	COMMENT
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity has submitted a report on Positive Balance of CoC Material used to the ASI Secretariat in line with the appropriate reporting form (delivered by the 30 th of June following the end of each calendar year).
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity has submitted a report on Internal Overdraw drawn down to the ASI Secretariat in line with the appropriate reporting form (delivered by the 30 th of June following the end of each calendar year).
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	The Entity has submitted a report on Intra-Entity Flows to the ASI Secretariat in line with the appropriate reporting form (delivered by the 30 th of June following the end of each calendar year).

2. OUTSOURCING CONTRACTORS

2.1 Certification Scope	Not Applicable	The Criterion is not applicable as the Entity, they do not engage in, nor intend to explore, the outsourcing of CoC Material.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	The Criterion is not applicable as the Entity, they do not engage in, nor intend to explore, the outsourcing of CoC Material.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	The Criterion is not applicable as the Entity, they do not engage in, nor intend to explore, the outsourcing of CoC Material.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	The Criterion is not applicable as the Entity, they do not engage in, nor intend to explore, the outsourcing of CoC Material.
2.3 Information on Quantity of CoC Material Output and Returned	Not Applicable	The Criterion is not applicable as the Entity, they do not engage in, nor intend to explore, the outsourcing of CoC Material.
2.4 Consistency in Inflow and Outflow Quantity of CoC Material to/from Outsourcing Contractor	Not Applicable	The Criterion is not applicable as the Entity, they do not engage in, nor intend to explore, the outsourcing of CoC Material.
2.5 Error (Outsourcing Contractor)	Not Applicable	The Criterion is not applicable as the Entity, they do not engage in, nor intend to explore, the outsourcing of CoC Material.

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.

CRITERION	RATING	COMMENT
3.2a ASI Alumina (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2b ASI Alumina (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2c ASI Alumina (Bauxite sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3a ASI Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3b ASI Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3c ASI Aluminium (Alumina sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4. RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP		
4.1a Recycled Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.1b Recycled Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2a Eligible Scrap (Pre-Consumer)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2b Eligible Scrap (Post-Consumer)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2c Eligible Scrap (Dross)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a ASI Aluminium (CoC Certification Scope)	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.

CRITERION	RATING	COMMENT
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.
6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The Entity is engaged in producing Post-Casthouse Products, has a valid ASI membership, and has highly secure extrusion, powder coating, anodising, and value-added Facilities that ensure ASI Aluminium produced from these Facilities is within their CoC Certification Scope.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity is engaged in producing Post-Casthouse Products, has a valid ASI membership, holds ASI Performance Standard Certification (Certificate #287), and operates highly secure extrusion, powder coating, anodising, and value-added Facilities that ensure ASI Aluminium produced in these Facilities is within its Performance Certification Scope.
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	The Entity sources all ASI Aluminium from other ASI CoC Certified Entities. The Entity has also established a system to track amounts of Input Aluminium coming from CoC and Non-CoC Certified suppliers.
7. DUE DILIGENCE FOR NON-COC MATERIAL, COC MATERIAL ACQUIRED THROUGH A TRADER AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible Sourcing Policy (Anti-corruption)	Conformance	The Entity has established a system by which the Due Diligence for suppliers is managed in terms of environmental and social performance criteria. Key Policies and practices on Responsible Sourcing (including Anti-Corruption) and Modern Slavery are in place and reviewed every five years, or as required. The Entity's Responsible Sourcing and Modern Slavery Policy is available at: https://www.capral.com.au/wp-content/uploads/2025/12/Responsible-Sourcing-and-Modern-Slavery-Policy-2025.pdf
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has established a system by which the Due Diligence for suppliers is managed in terms of environmental and social performance criteria. Key Policies and practices on Responsible Sourcing and Modern Slavery are in place and reviewed every five years, or as required. The Entity's Responsible Ethical Sourcing and Modern Slavery Policy is available at: https://www.capral.com.au/wp-content/uploads/2025/12/Responsible-Sourcing-and-Modern-Slavery-Policy-2025.pdf
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	The Entity has established a Responsible Sourcing and Modern Slavery Policy, which it has made publicly available and communicated to its suppliers. Furthermore, it has established a schedule for reviewing its suppliers against criteria that include compliance with both Human Rights and Due Diligence and local regulatory requirements. The Entity's Responsible Ethical Sourcing and Modern Slavery Policy is available at: https://www.capral.com.au/wp-content/uploads/2025/12/Responsible-Sourcing-and-Modern-Slavery-Policy-2025.pdf

CRITERION	RATING	COMMENT
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has established Responsible Sourcing and Modern Slavery Business Practices, which address Conflict-Affected and High-Risk Areas (CAHRAs) and outline the use of tools to identify potential high-risk areas and materials, as well as the implementation of the OECD's five-step process. The Entity ensures that risk mitigation measures are actioned if any potential high-risk issues are identified. The Responsible Sourcing and Modern Slavery Policy is available at: https://www.capral.com.au/wp-content/uploads/2025/12/Responsible-Sourcing-and-Modern-Slavery-Policy-2025.pdf
7.2 Risk Assessment and Mitigation	Conformance	The Entity conducts annual risk assessments on all suppliers, as mandated in the Responsible Sourcing and Modern Slavery Business Practices Policy and procedure.
7.3 Complaints Resolution Mechanism	Conformance	The Entity has implemented an accessible, transparent, understandable and culturally and gender sensitive Dispute Settlement and Complaints Resolution practices, adequate to address all relevant Stakeholder complaints, grievances and requests for information relating to its operations. Corporate Governance Statement: https://www.capral.com.au/wp-content/uploads/2023/12/Corporate-Governance-Statement-2023.pdf Whistleblower Policy: https://www.capral.com.au/wp-content/uploads/2025/12/Whistleblower-Policy-2025.pdf Code of Conduct: https://www.capral.com.au/wp-content/uploads/2025/12/Capral-Code-of-Conduct-2025.pdf
8. MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity has established and implemented a Chain of Custody Management Practice and a CoC Material Accounting System to identify all ASI CoC Materials purchased.
8.2 Material Accounting Period	Conformance	The Entity has established a Chain of Custody Management Practice that defines how it manages CoC mass balance, and it has also set the Material Accounting Period to 12 months for each calendar year.
8.3 Input and Inflow Quantities	Conformance	The Entity has implemented an online Integrated Management System that records all Input and Inflow Quantities and facilitates accurate reporting of material flow.
8.4 Output Quantities of CoC Material	Conformance	The Entity has implemented an online Integrated Management System that records Output Quantities of CoC Material that are proportional to total Inflows of CoC and Non-CoC Materials by mass.
8.5 Indivisibility of CoC Material	Conformance	The Entity has established a system that will ensure the Output Quantity of CoC Material, which may be a subset of total production, will be designated as 100% CoC Material.
8.6 Output Quantity of Eligible Scrap	Not Applicable	The Criterion is not applicable to the Entity, it does not make claims from Eligible Scrap or use Scrap as an Input material.

CRITERION	RATING	COMMENT
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity maintains a Material Accounting System ensuring that the total Output of CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage of CoC Material over the Material Accounting Period.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity has established a system that ensures Internal Overdraw will not exceed 20% of 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 system that ensures Internal Overdraw will 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 system that ensures Internal Overdraw will be made up within the subsequent Material Accounting Period.
8.9a Positive Balance (Carry over)	Conformance	The Entity has established a system to clearly identify any carry over of a Positive Balance at the end of a Material Accounting Period, if any.
8.9b Positive Balance (Expiry)	Conformance	The Entity has established a system that ensures any Positive Balance generated in one Material Accounting Period and carried over to the subsequent Material Accounting Period will expire at the end of that Period if not drawn down.
9. ISSUING COC DOCUMENTS		
9.1 CoC Document	Conformance	The Entity has all necessary procedures and documentation for CoC accounting, documentation, and claims.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity has all necessary procedures and documentation for CoC accounting, documentation, and claims. All documentation related to CoC Aluminium will include a date of issue.
9.2b CoC Document Content (Reference number)	Conformance	The Entity has all necessary procedures and documentation for CoC accounting, documentation, and claims. All documentation related to CoC Aluminium will include a reference number.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity has all necessary procedures and documentation for CoC accounting, documentation, and claims. All documentation related to CoC Aluminium will include the Issuing Entity.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity has all necessary procedures and documentation for CoC accounting, documentation, and claims. All documentation related to CoC Aluminium will include details of the receiving customer.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity has all necessary procedures and documentation for CoC accounting, documentation, and claims. All documentation related to CoC Aluminium will include details of the responsible employee.

CRITERION	RATING	COMMENT
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity has all necessary procedures and documentation for CoC accounting, documentation, and claims. All documentation related to CoC Aluminium will include 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 all necessary procedures and documentation for CoC accounting, documentation, and claims. All documentation related to CoC Aluminium will include the type of CoC Material in the shipment.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity has all necessary procedures and documentation for CoC accounting, documentation, and claims. All documentation related to CoC Aluminium will include the mass of CoC Material.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity has all necessary procedures and documentation for CoC accounting, documentation, and claims. All documentation related to CoC Aluminium will include the mass of the total material in the shipment.
9.3a Sustainability Data (optional) – Carbon footprint	Not Applicable	This Criterion is not applicable to the Entity, they do not intend to include Sustainability Data in the CoC Document for their CoC Material.
9.3b Sustainability Data (optional) – Origin information	Not Applicable	This Criterion is not applicable to the Entity, they do not intend to include Sustainability Data in the CoC Document for their CoC Material.
9.3c Sustainability Data (optional) – Recycled content	Not Applicable	This Criterion is not applicable to the Entity, they do not intend to include Sustainability Data in the CoC Document for their CoC Material.
9.3d Sustainability Data (optional) – Post-Casthouse ASI Certification status	Not Applicable	This Criterion is not applicable to the Entity, they do not intend to include Sustainability Data in the CoC Document for their CoC Material.
9.4 Supplementary Information (optional) – Objective evidence	Not Applicable	This Criterion is not applicable to the Entity, they do not intend to include Sustainability Data in the CoC Document for their CoC Material.
9.5 Verification of Information	Conformance	The Entity has implemented all the necessary procedures and documentation for CoC accounting, documentation, and claims. This includes specific procedures on responding to verification from all internal and external Stakeholders regarding the information reflected on all CoC Documents originating from the Entity through existing communication channels.
9.6 Error (Shipping)	Conformance	Through the ASI Chain of Custody Management Practice, the Entity has established a system to ensure that any error discovered after CoC Material has been shipped will be documented by both the Entity and the receiving party. To avoid recurrence, corrective actions will be implemented and agreed upon by relevant parties.

10. RECEIVING COC DOCUMENTS

CRITERION	RATING	COMMENT
10.1 Verification of CoC Documents	Conformance	The Entity has implemented all necessary procedures and documentation for CoC accounting, documentation, and claims. This includes specific procedures to verify that all required information in the received CoC Documents is complete.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity has established the ASI Chain of Custody Management Practice to ensure verification of the consistency of the CoC Documents and the accompanying CoC Material prior to recording information in the SAP Material Accounting System.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity conducts a quarterly review of the ASI website to verify and validate the scope of its supplier ASI CoC Certification and monitor any changes that could affect the status of the CoC Material/Eligible Scrap supplied.
10.4 Error (Reception)	Conformance	Through the ASI Chain of Custody Management Practice, the Entity has established a system to ensure that any error discovered after CoC Material has been received is documented by both the Entity and the supplying party. Corrective actions to prevent recurrence will also be implemented and agreed upon by the same parties.
11. CLAIMS AND COMMUNICATIONS		
11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity's procedures and training programmes meet the requirements of the ASI CoC Claims Guide.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity's procedures and training programmes meet the requirements of the ASI CoC Claims Guide.
11.1c Claims and Communications (Employee training)	Conformance	The Entity's procedures and training programmes meet the requirements of the ASI CoC Claims Guide.

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	2 June 2023	Initial Certification Audit – Full Certification
1	7 January 2025	Surveillance Audit and Scope Change Scope Change to include Archerfield and Noble Park sites. Change of Auditing Firm to SUSTAINABLE CERTIFICATION PTY LTD. Correction to Revision 0 to list all sites included in the Certification Scope and list the sites audited in the Audit Scope description.
2	20 July 2026	Re-Certification Audit