

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

CHINALCO ALUMINUM FOIL (YUNNAN) CO., LTD.

CERTIFICATE NUMBER

174

ASI STANDARD

CHAIN OF CUSTODY
STANDARD
(V2 2022)

DATE OF ISSUE

13 JANUARY 2025

CERTIFICATION LEVEL

FULL
CERTIFICATION

DATE OF EXPIRY

31 MAY 2028

ASI ACCREDITED
AUDITING FIRM

TÜV RHEINLAND CERT
GMBH

CERTIFIED SINCE

13 JANUARY 2022

AUTHORISED BY

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

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

CERTIFICATION SCOPE

Aluminium re-melting, re-finishing
and semi-fabrication activities
associated with the manufacture
of Aluminium foils, plates, sheets
and strips (China).

SUMMARY AUDIT REPORT

CHAIN OF CUSTODY

STANDARD

OVERVIEW

MEMBER NAME	CHINALCO ALUMINUM FOIL (YUNNAN) CO., LTD.
ENTITY NAME	CHINALCO ALUMINUM FOIL (YUNNAN) CO., LTD.
CERTIFICATION SCOPE	Aluminium re-melting, re-refining and semi-fabrication activities associated with the manufacture of Aluminium foils, plates, sheets and strips (China).
SUPPLY CHAIN ACTIVITIES	- Aluminium Re-melting/Refining - Casthouses - Post-Casthouse
ASI STANDARD	Chain of Custody Standard V2
AUDIT TYPE	- Initial Certification Audit (24 - 26 November 2021) - Surveillance Audit (16 - 17 February 2023) - Re-Certification Audit and Scope Change (9 - 11 April 2025)
AUDIT FIRM	TÜV Rheinland Cert GmbH
AUDIT DATE	24 - 26 November 2021 (Initial Certification Audit) 16 - 17 February 2023 (Surveillance Audit) 9 - 11 April 2025 (Re-Certification Audit and Scope Change)
AUDIT REPORT SUBMISSION	25 December 2021 (Initial Certification Audit) 23 April 2023 (Surveillance Audit) 11 May 2025 (Re-Certification Audit and Scope Change)
AUDIT SCOPE	<u>Initial Certification Audit (24 - 26 November 2021)</u> The Audit Scope includes Aluminium re-melting, refining and semi-fabrication associated with the manufacture of Aluminium foil at the Yunnan Haoxin Aluminum Foil plant, China. The supply chain activities included in the Audit Scope: - Aluminium Re-melting/Refining - Casthouses - Post-Casthouse All relevant Criteria in the ASI Chain of Custody Standard were included in the Audit Scope. <u>Surveillance Audit (16 - 17 February 2023)</u> The Audit Scope includes Aluminium re-melting, refining and semi-fabrication associated with the manufacture of Aluminium foil at the Yunnan Haoxin Aluminum Foil plant, China. The supply chain activities included in the Audit Scope:

- Aluminium Re-melting/Refining
- Casthouses
- Post-Casthouse

All relevant Criteria in the ASI Chain of Custody Standard were included in the Audit Scope.

Re-Certification Audit and Scope Change (9 - 11 April 2025)

The Audit Scope includes production of the Aluminium re-melting, re-finishing and semi-fabrication activities associated with the manufacture of Aluminium foils, plates, sheets and strips.

The supply chain activities included in the Audit Scope:

- Aluminium Re-melting/Refining
- Casthouses
- Post-Casthouse

All relevant Criteria in the ASI Chain of Custody 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	13 January 2025 – 31 May 2028
NEXT AUDIT TYPE	Re-Certification Audit
NEXT AUDIT DUE DATE	31 May 2028
CERTIFICATE NUMBER	174



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

CHINALCO ALUMINUM FOIL (YUNNAN) CO., LTD. (the 'Entity'), established in March 1996, is located at Yangzonghai, Kunming City, Yunnan Province, China and covers a total area of 280,000 square metres. The Entity is a wholly owned subsidiary of CHINALCO Aluminum Group. It specialises in the processing, sales, and production technology research and development of Aluminium foil and plate. The main products include single and double zero Aluminium foil blanks, Aluminium decorative strips, cathode plates, electronics, power capacitor foils, sterile packaging foils, tobacco foils, pharmaceutical foils, battery foils, insulation material foils, etc. The products are widely used domestically and exported to Southeast Asia, South Asia, Europe, the United States of America and other countries.

The Entity's main production processes include casting, extrusion and machining, with a designed production capacity of 350,000 tonnes per year. There are seven workshops and one office building, including 17 casting and rolling mills, three cold rolling mills, and 10 Aluminium foil rolling mills. The Entity is equipped with a reuse water treatment station, air compression station, hazardous waste warehouse, and general solid waste warehouse.

The Entity employs over 800 employees, and its main Stakeholders include shareholders, customers, partners, upstream supply chains, and government-related departments (such as the tax authorities). The Entity's continuous development plan provides employment opportunities for nearby residents, and drives the economic development of the surrounding areas.

The Entity is committed to the concept of green development and a sustainable Aluminium industry supply chain that covers the entire process of Aluminium recycling, casting, extrusion, and machining processing. The Entity has been awarded numerous honorary innovation titles.

MATURITY RATINGS

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

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

OVERALL	
SYSTEMS	Medium
RISKS	High
PERFORMANCE	Medium
OVERALL	MEDIUM

FINDINGS

CRITERION	RATING	COMMENT
1. MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI Membership	Conformance	The Entity is an ASI Member in the Production and Transformation class, committed to fulfilling ASI's membership obligations and adhering to the ASI Complaints Mechanism. It is certified against the ASI Performance Standard. Further information is available at: https://aluminium-stewardship.org/about-asi/members/CHINALCO-ALUMINUM-FOIL--YUNNAN--CO---LTD-
1.2 CoC Management System	Conformance	The Entity has established a Management System to meet all applicable requirements of the ASI Chain of Custody (CoC) Standard. The Entity's ASI System Manual with relevant procedures and records, outlines the System's purpose, scope, Policies, responsibilities, risk assessment, improvement objectives, training, communication, internal audits, corrective action plans, document and record management, supplier oversight and overall workflow.
1.3 CoC Management System Monitoring	Conformance	The Entity has established a process to periodically review its Management System to evaluate the effectiveness of the ASI System Manual and identify areas for improvement or Non-Conformance. Reviews are conducted at least annually in accordance with established procedures. The most recent internal audit was conducted in September 2024, followed by a management review in January 2025. All audit findings have been addressed and corrected.
1.4 Management Representative	Conformance	The Entity has appointed the Deputy General Manager as the Management Representative to oversee the implementation of the ASI CoC Standard and defined the roles and responsibilities for managing the Chain of Custody Management System.
1.5 Communications and Training	Conformance	The Entity conducts orientation and annual refresher training for relevant personnel to raise awareness of the ASI CoC Standard requirements. The annual training plan, materials, and records are available for review. The most recent training, covering the ASI System Manual and procedures, was conducted in May 2024.
1.6 Records Management	Conformance	The Entity's ASI System Manual requires all records to be retained for a minimum of five years.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity has implemented an annual reporting process and submitted the Input and Output Quantities of CoC Material to the ASI Secretariat in March 2025. Both the Input and Output Quantities in 2024 were zero.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	The Entity's ASI System Manual requires reporting CoC Material information to the ASI Secretariat by 30 June of each calendar year. This includes Input and Output Quantities of Eligible Scrap over the calendar year. The 2024 data was submitted in March 2025.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity's ASI System Manual requires reporting Non-CoC Material information to the ASI Secretariat by 30 June of each calendar year. This includes Inflow and Outflow Quantities of Non-CoC Materials

CRITERION	RATING	COMMENT
		to/from the Entity over the calendar year. The 2024 data was submitted in March 2025.
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity's ASI System Manual requires reporting CoC Material information to the ASI Secretariat by 30 June of each calendar year. This includes the Positive Balance carried over to the subsequent Material Accounting Period, if any. The 2024 data was submitted in March 2025. No Positive Balance was generated in previous years.
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity's ASI System Manual requires reporting CoC Material information to the ASI Secretariat by 30 June of each calendar year. This includes Positive Balance used, if any. The 2024 data was submitted in March 2025. No Positive Balance was generated in previous years.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity's ASI System Manual requires reporting CoC Material information to the ASI Secretariat by 30 June of each calendar year. This includes Internal Overdraw drawn down from the subsequent Material Accounting Period, if any. The 2024 data was submitted in March 2025. No internal Overdraw was generated in previous years.
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	The Entity's ASI System Manual requires reporting CoC Material information to the ASI Secretariat by 30 June of each calendar year. This includes Quantities of CoC Materials transferred between supply chain activities within the CoC Certified Entity (Intra-Entity Flows) over the calendar year. The 2024 data was submitted in March 2025. No CoC Materials were transferred between supply chain activities in previous years.
2. OUTSOURCING CONTRACTORS		
2.1 Certification Scope	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors.
2.3 Information on Quantity of CoC Material Output and Returned	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors.
2.4 Consistency in Inflow and Outflow Quantity of CoC Material to/from Outsourcing Contractor	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors.

CRITERION	RATING	COMMENT
2.5 Error (Outsourcing Contractor)	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors.
3. PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI ALUMINIUM		
3.1a ASI Bauxite (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.1b ASI Bauxite (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.1c ASI Bauxite (Bauxite sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2a ASI Alumina (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2b ASI Alumina (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2c ASI Alumina (Bauxite sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3a 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's Scrap Material Management Procedure requires that Recycled Aluminium is produced only from CoC Certified Entities. The Entity's ASI CoC Certification Scope includes its re-melting/refining activities for production of Recycled Aluminium. As of the Audit date, no CoC Certified Recycled Aluminium has been processed or recorded in previous years.
4.1b Recycled Aluminium (Performance Standard)	Conformance	The Entity's Scrap Material Management Procedure requires that Recycled Aluminium is produced only at Facilities certified against the ASI Performance Standard. The Entity's ASI Performance Standard Certification Scope includes its re-melting/refining activities for production of Recycled Aluminium. As of the Audit date, no CoC Certified Recycled Aluminium has been processed or recorded in previous years.
4.2a Eligible Scrap (Pre-Consumer)	Conformance	The Entity's Material Accounting System controls and tracks Eligible Scrap entering the value chain. Eligible Scrap includes only Pre-Consumer Scrap from suppliers or traders with a CoC Document, or ASI Aluminium Output from the Entity's Certification Scope that is traced through an uncertified Facility and returned to the Entity as

CRITERION	RATING	COMMENT
		Scrap within a Closed Loop. This Scrap is subject to supplier Due Diligence.
4.2b Eligible Scrap (Post-Consumer)	Minor Non-Conformance	The Entity's Material Accounting System controls and tracks Eligible Scrap entering the value chain. Only Post-Consumer Scrap subject to supplier Due Diligence and verified by the Entity as Post-Consumer in origin qualifies as Eligible Scrap. However, whilst the Entity undertakes a visual inspection to verify the Post-Consumer Scrap, no method was documented.
4.2c Eligible Scrap (Dross)	Conformance	The Entity's Material Accounting System tracks and controls Eligible Scrap entering the value chain. Only Aluminium recovered from Dross and other Aluminium-containing Wastes, subject to supplier Due Diligence, qualifies as Eligible Scrap.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Conformance	The Entity has established a supplier management procedure and maintains a repository of qualified suppliers, including documentation for all suppliers, such as those providing Recyclable Scrap Materials.
4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions)	Conformance	All financial transactions with direct Scrap suppliers are conducted via bank transfer; cash payments are not permitted. Regardless, the Entity ASI System Manual defines a financial threshold, in accordance with Applicable Law or US\$10,000 (or equivalent), for identifying cash payment made in a single operation or in multiple, linked transactions.
5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a ASI Aluminium (CoC Certification Scope)	Conformance	The Entity has established processes to ensure that ASI Aluminium is produced only in the Casthouse within its CoC Certification Scope.
5.1b ASI Aluminium (Performance Standard)	Conformance	The Entity has implemented a Manufacturing Execution System (MES) to trace the Input material sources. Only Aluminium from the Entity's Casthouse included in its ASI Performance Standard Certification Scope is acceptable. Certified Aluminium is identified with special markings, such as labels or lot numbers.
5.1c ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has established supply chain control processes and implemented a procurement management procedure to ensure all ASI Aluminium is sourced, directly or indirectly, from an ASI CoC Certified Entity. No CoC Material has been purchased to date.
5.2 Unique Identification	Conformance	The Entity has implemented systems to enable the linkage of unique identification numbers to its Material Accounting System. The system at the Casthouse site is operational and has been tested. At the time of the Audit, the system had not yet been utilised as no CoC Material had been produced.
6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The Entity has implemented a system to ensure that it produces ASI Aluminium only from the Post-Casthouse Facility within its CoC Certification Scope. Currently, the Entity permits only ASI Aluminium from the certified Casthouses.

CRITERION	RATING	COMMENT
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity has implemented systems to ensure that ASI Aluminium is produced only at its Facilities within its ASI Performance Standard Certification Scope.
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has established systems to ensure ASI Aluminium is sourced only from eligible Entities or Facilities, either directly or indirectly through a metals trader or warehouse. At the time of the Audit, the system had not yet been utilised, as no CoC Material had been sourced or transferred.
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 implemented both an Anti-Corruption Policy and a Responsible Sourcing Policy, which includes anti-Corruption as a core principle. The Policies affirm the Entity's commitment to responsible Aluminium sourcing and its opposition to all forms of Corruption. Relevant training is provided to employees. All identified major next-tier suppliers are informed of these Policies and are required to sign an 'integrity contract'.
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has implemented a Responsible Sourcing Policy and provides relevant training to employees. All identified key next-tier suppliers are informed of the Policy and required to sign a commitment letter.
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	The Entity has implemented a Responsible Purchasing Policy addressing the ASI Performance Standard's Human Rights Due Diligence requirements. All major next-tier suppliers have been notified and must sign a commitment letter to comply.
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has implemented a mechanism to manage minerals from Conflict-Affected and High-Risk Areas. Relevant training is provided to employees. All major next-tier suppliers have been informed of the Policy and are required to sign a commitment letter to ensure compliance.
7.2 Risk Assessment and Mitigation	Conformance	The Entity has implemented a Due Diligence process to manage supply chain risks, including supplier risk assessments and relevant mitigation measures. It also conducts second-party audits of its key next-tier suppliers.
7.3 Complaints Resolution Mechanism	Conformance	The Entity has established a Complaints Mechanism for reporting non-compliance with its Responsible Sourcing Policy in the Aluminium supply chain. The complaints channels, including email and hotline, are listed in the Entity's annual Sustainability Report.
8. MATERIAL ACCOUNTING SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity has implemented the MES to record the Input and Output Quantities by mass for both CoC and Non-CoC Materials, including Eligible Scrap, and employs an offline format to automatically trigger balance alarms. At the time of the Audit, no CoC Material had been produced. The Entity also conducted a simulation to demonstrate the Mass Balance System, which was reviewed during the Audit.

CRITERION	RATING	COMMENT
8.2 Material Accounting Period	Conformance	The Entity's Material Accounting Period is a 12-month calendar year, 1 January to 31 December.
8.3 Input and Inflow Quantities	Conformance	The Entity will record the Quantities of CoC Material and Eligible Scrap Inputs, as well as Non-CoC Material and Recyclable Scrap Inflows, and determine the Inflow of Eligible Scrap and Recyclable Scrap based on Aluminium content. At the time of the Audit, no CoC Material was present in the Entity's supply chain.
8.4 Output Quantities of CoC Material	Conformance	The Entity's Material Accounting System tracks available Quantities of CoC Material. Input Quantities determine Output availability, proportional to the total mass of CoC and Non-CoC Inflows. At the time of the Audit, no CoC Material was present in the Entity's supply chain.
8.5 Indivisibility of CoC Material	Conformance	The Entity's CoC Material Assessment and Data Management Procedure defines the Output Quantity of CoC Material as 100% CoC Material.
8.6 Output Quantity of Eligible Scrap	Conformance	The Entity's CoC Assessment and Data Management Procedure requires designating the relevant proportion of Scrap generated during production as Eligible Scrap, using the same percentage share as the ASI Aluminium Output.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity's CoC Material Assessment and Data Management Procedure ensures that the total Output of CoC Material and/or Eligible Scrap does not exceed the Input Percentage of CoC Material and/or Eligible Scrap during the Material Accounting Period.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity's CoC Material Assessment and Data Management Procedure states that Internal Overdraw shall 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's CoC Material Assessment and Data Management Procedure states that an Internal Overdraw shall not exceed the amount of CoC Material affected by the Force Majeure situation for the relevant Material Accounting Period. The Entity's Material Accounting System should draw down the Internal Overdraw from the subsequent Material Accounting Period.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Entity's CoC Material Assessment and Data Management Procedure states that Internal Overdraws must be made up within the subsequent Material Accounting Period. At the time of the Audit, there was no evidence of effective system implementation, as no CoC Material was present in the Entity's supply chain.
8.9a Positive Balance (Carry over)	Conformance	The Entity's CoC Material Assessment and Data Management Procedure outlines how to manage Positive Balances, which may be carried over to the next Material Accounting Period. At the time of the Audit, no CoC Materials were present in the Entity's supply chain, so there were no examples of the system's effective implementation.
8.9b Positive Balance (Expiry)	Conformance	The Entity's CoC Material Assessment and Data Management Procedure states that a Positive Balance generated in one Material Accounting Period and carried over to the next must expire at the end

CRITERION	RATING	COMMENT
		of that subsequent period if not drawn down. At the time of the Audit, there was no evidence of effective implementation, as no CoC Material was present in the Entity's supply chain.
9. ISSUING COC DOCUMENTS		
9.1 CoC Document	Conformance	The Entity has a system to compile CoC Documents for each shipment and transfer, ensuring they are controlled, issued, and stored in accordance with ASI CoC Standard requirements. At the time of the Audit, there was no evidence of effective implementation, as no ASI CoC Material was present in the Entity's supply chain.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity uses the ASI CoC Document template, which includes the date of issue. At the time of the Audit, there was no evidence of effective implementation, as no CoC Material was present in the Entity's supply chain.
9.2b CoC Document Content (Reference number)	Conformance	The Entity uses the ASI CoC Document template, which includes the reference number. At the time of the Audit, there was no evidence of effective implementation, as no CoC Material was present in the Entity's supply chain.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity uses the ASI CoC Document template, which includes the identity, address and CoC Certification number of the Entity. At the time of the Audit, there was no evidence of effective implementation, as no CoC Material was present in the Entity's supply chain.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity uses the ASI CoC Document template, which includes the identity and address of the customer receiving the CoC Material. If the customer is another CoC-Certified Entity, their Certification Number is also included. At the time of the Audit, there was no evidence of effective implementation, as no CoC Material was present in the Entity's supply chain.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity uses the ASI CoC Document template, which includes the responsible employee to verify the information. At the time of the Audit, there was no evidence of effective implementation, as no CoC Material was present in the Entity's supply chain.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity uses the ASI CoC Document template, which includes a statement confirming compliance with the ASI CoC Standard. At the time of the Audit, there was no evidence of effective implementation, as no CoC Material was present in the Entity's supply chain.
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity uses the ASI CoC Document template, which includes the types of CoC Material in the shipment. At the time of the Audit, there was no evidence of effective implementation, as no CoC Material was present in the Entity's supply chain.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity uses the ASI CoC Document template, which includes the mass of CoC Material. At the time of the Audit, there was no evidence of effective implementation, as no CoC Material was present in the Entity's supply chain.

CRITERION	RATING	COMMENT
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity uses the ASI CoC Document template, which includes the mass of total material. At the time of the Audit, there was no evidence of effective implementation, as no CoC Material was present in the Entity's supply chain.
9.3a Sustainability Data (optional) – Carbon footprint	Conformance	The Entity uses the ASI CoC Document template, which includes the average carbon footprint of the CoC Material and the applied accounting method.
9.3b Sustainability Data (optional) – Origin information	Conformance	The Entity uses the ASI CoC Document template, which includes information to support the origin of Aluminium.
9.3c Sustainability Data (optional) – Recycled content	Conformance	The Entity uses the ASI CoC Document template, which includes the recycled content of the CoC Material and the methodology regarding Pre-Consumer Scrap and Post-Consumer Scrap.
9.3d Sustainability Data (optional) – Post-Casthouse ASI Certification status	Conformance	The Entity uses the ASI CoC Document template, which includes the Entity's ASI Certification Status.
9.4 Supplementary Information (optional) – Objective evidence	Conformance	The Entity uses the ASI CoC Document template, which includes a column for Supplementary Information. The Entity can provide this Supplementary Information as required by the customer.
9.5 Verification of Information	Conformance	The Entity has established processes and assigned responsibility for verifying information in its issued CoC Documents. Contact details are included in the CoC Document template.
9.6 Error (Shipping)	Conformance	The Entity has defined the process for managing and communicating errors in the CoC Document Management Procedure. It has integrated error management processes to handle errors and prevent recurrence.
10. RECEIVING COC DOCUMENTS		
10.1 Verification of CoC Documents	Conformance	The Entity's CoC Document Management Procedure outlines the process and responsibilities for verifying information on received CoC Documents.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity's CoC Document Management Procedure outlines the process and assigns responsibility for verifying that received CoC Documents are consistent with the accompanying CoC Material or Eligible Scrap before recording the information in the Material Accounting System.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has assigned a Purchase Department Specialist to regularly monitor the ASI website to verify the validity and scope of the supplier's ASI CoC Certification for any changes that could impact the status of the supplied CoC Material or Eligible Scrap.

CRITERION	RATING	COMMENT
10.4 Error (Reception)	Conformance	The Entity has integrated an error management process into its current systems, documenting errors, corrective actions, and potential preventive measures.

11. CLAIMS AND COMMUNICATIONS

11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity's CoC Claims and Communications Management Procedure outlines the claims and communication process in compliance with ASI requirements.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity's CoC Claims and Communications Management Procedure outlines the claims and communication process. All ASI claims must be approved by the Deputy General Manager, with verifiable evidence required for approval.
11.1c Claims and Communications (Employee training)	Conformance	The Entity has trained relevant employees in claims and communication procedures. Employees were interviewed to confirm the need for these procedures.

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	12 January 2022	Initial Certification Audit – Full Certification
1	8 May 2023	Surveillance Audit
2	11 June 2025	Re-Certification Audit and Scope Change – Full Certification Scope Change to apply ASI CoC V2. Update to Member and Entity Name following the company name change from Yunnan Haoxin Aluminum Foil Co., Ltd. Update to Certification Scope to align with Entity's ASI Performance Standard Certification. An extension to the original Certification expiry date was granted by ASI.
3	8 July 2026	Extension to the Certification expiry date (from 12 January 2028) and the Next Audit Type and Due Date, consistent with ASI's voluntary option for CoC Standard Certification extension