

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

YUNNAN ALUMINIUM CO., LTD.

CERTIFICATE
NUMBER

261

ASI STANDARD

CHAIN OF CUSTODY
(V2 2022)

CERTIFICATION LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITING FIRM

DNV BUSINESS
ASSURANCE
SERVICES UK LTD.

DATE OF ISSUE

19 MAY 2023

DATE OF EXPIRY

31 MAY 2028

CERTIFIED SINCE

19 MAY 2023

AUTHORISED BY

A stylized, handwritten signature in black ink, likely representing the Aluminium Stewardship Initiative Ltd.

Aluminium Stewardship Initiative Ltd
ACN 606 661 125, Australia
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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

Yunnan Aluminium Co., Ltd. is located in Kunming, Yunnan Province (China). The seven entities included are distributed across six prefectures of Yunnan:

Yunnan Wenshan Aluminium Co., Ltd., located in the Wenshan Zhuang and Miao Autonomous Prefecture, is mainly engaged in bauxite mining, aluminium smelters and aluminium foundries.

Yangzonghai Aluminium Electrolysis Branch of Yunnan Aluminium Industry Co., Ltd. mainly operates aluminium smelters and aluminium foundries.

Yunnan Yunlv Runxin Aluminium Co., Ltd., located in the Honghe Prefecture, mainly operates aluminium smelters and aluminium foundries.

Yunnan Yunlv Zexin Aluminium Co., Ltd., located in Qujing City, mainly operates aluminium smelters and aluminium foundries.

Qujing Yunlv Yuxin Aluminium Co., Ltd., located in Qujing City, mainly operates aluminium smelters and aluminium foundries.

Yunnan Yunlv Haixin Aluminium Co., Ltd., located in Zhaotong City, mainly operates aluminium smelters and aluminium foundries.

Heqing Yixin Aluminium Co., Ltd., located in Dali Bai Autonomous Prefecture, mainly operates aluminium smelters and aluminium foundries.

AUDIT REPORT

CHAIN OF CUSTODY

STANDARD

OVERVIEW

MEMBER NAME	YUNNAN ALUMINIUM CO., LTD.
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ENTITY NAME	YUNNAN ALUMINIUM CO., LTD.
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CERTIFICATION SCOPE	Yunnan Aluminium Co., Ltd. is located in Kunming, Yunnan Province (China). The seven entities included are distributed across six prefectures of Yunnan: Yunnan Wenshan Aluminium Co., Ltd., located in the Wenshan Zhuang and Miao Autonomous Prefecture, is mainly engaged in bauxite mining, aluminium smelters and aluminium foundries. Yangzonghai Aluminium Electrolysis Branch of Yunnan Aluminium Industry Co., Ltd. mainly operates aluminium smelters and aluminium foundries. Yunnan Yunlv Runxin Aluminium Co., Ltd., located in the Honghe Prefecture, mainly operates aluminium smelters and aluminium foundries. Yunnan Yunlv Zexin Aluminium Co., Ltd., located in Qujing City, mainly operates aluminium smelters and aluminium foundries. Qujing Yunlv Yuxin Aluminium Co., Ltd., located in Qujing City, mainly operates aluminium smelters and aluminium foundries. Yunnan Yunlv Haixin Aluminium Co., Ltd., located in Zhaotong City, mainly operates aluminium smelters and aluminium foundries. Heqing Yixin Aluminium Co., Ltd., located in Dali Bai Autonomous Prefecture, mainly operates aluminium smelters and aluminium foundries.
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SUPPLY CHAIN ACTIVITIES	• Bauxite Mining • Alumina Refining • Aluminium Smelting • Aluminium Re-melting/Refining • Casthouses • Post-Casthouse
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ASI STANDARD	• Chain of Custody Standard V2
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AUDIT TYPE	• Initial Certification Audit
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AUDIT FIRM	DNV Business Assurance Services UK Ltd.
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AUDIT DATE	• 5 - 14 December 2022
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AUDIT REPORT SUBMISSION	• 19 January 2023
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AUDIT SCOPE	The audit scope covers the headquarters of Yunnan Aluminium Co., Ltd. and the seven entities of Yunnan Wenshan Aluminium Co., Ltd., Yunnan Aluminium Co., Ltd. - Yangzonghai Aluminium Electrolysis Branch, Yunnan Yunlv Runxin Aluminium Co., Ltd., Yunnan Yunlv Zexin Aluminium Co., Ltd., Qujing Yunlv Yuxin Aluminium Co., Ltd., Yunnan Yunlv Haixin Aluminium Co., Ltd. and Heqing Yixin Aluminium Co., Ltd..
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Supply chain activities included in the audit scope:

- Bauxite Mining
- Alumina Refining
- Aluminium Smelting
- Aluminium Re-melting/Refining
- Casthouses
- Post-Casthouse

All applicable 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

19 May 2023 – 31 May 2028

NEXT AUDIT TYPE

Re-Certification Audit

NEXT AUDIT DUE DATE

31 May 2028

CERTIFICATE NUMBER

261



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

Yunnan Aluminium Co., Ltd was founded in 1970 and listed in 1998 (Stock Code: 000807). In December 2018, Yunnan Aluminium Co., Ltd officially became a member of Aluminium Corporation of China (Chinalco). It is a state-owned group. All the sites in the certification scope are in Yunnan Province, China.

Over the years, Yunnan Aluminium Co., Ltd has been committed to the policy of green and low-carbon development. It followed the philosophy of building a low-carbon, clean and sustainable integrated aluminium industry for the whole industrial chain. Under this condition, resource guarantee became an important competitive advantage of the Entity.

Yunnan Aluminium Co., Ltd is a major supplier of hydropower aluminium in the domestic market, a major manufacturer of ultra-thin aluminium foil in China and a national industry standard maker of casting aluminium alloy ingot. Its high-grade, customised and standardised aluminium ingots and aluminium materials are widely used in the defence and military industry, aerospace, rail transportation, electronics industry and other fields, of which, A356 casting aluminium alloy has maintained its leading position in the domestic market.

The following provides an overview of the supply chain activities and products of each of the facilities within the certification scope: Yunnan Wenshan Aluminium Co., Ltd. is located in Gaodeng Road, North District of Wenshan City, Wenshan Zhuang and Miao Autonomous Prefecture, Yunnan Province. It is mainly engaged in bauxite mining, aluminium smelters and aluminium foundries for the production of aluminium oxide for electrolysis, liquid aluminium, aluminium ingots for remelting and aluminium alloy ingots for casting.

Yangzonghai Aluminium Electrolysis Branch of Yunnan Aluminium Industry Co., Ltd. is located in Yunnan Aluminium Industry Co., Ltd. and mainly operates aluminium smelters and aluminium foundries for the production of liquid aluminium, cast aluminium alloy ingots and electrician round aluminium rod, aluminium and aluminium alloy welding materials.

Yunnan Yunlv Runxin Aluminium Co., Ltd. is located in Datun Town, Gejiu City, Honghe Prefecture, Yunnan Province. It mainly operates aluminium smelters and aluminium foundries for the production of liquid aluminium, casting aluminium alloy ingots and deformed aluminium alloy ingots.

Yunnan Yunlv Zexin Aluminium Co., Ltd. is located in Situn community, Shengjing street, Fuyuan County, Qujing City, Yunnan Province. It mainly operates aluminium smelters and aluminium foundries for the production of liquid aluminium, remelting aluminium ingots, casting aluminium alloy ingots and deformed aluminium alloy ingots.

Qujing Yunlv Yuxin Aluminium Co., Ltd. is located in Baishui Town, Zhanyi District, Qujing City, Yunnan Province. It mainly operates aluminium smelters and aluminium foundries for the production of liquid aluminium and aluminium ingots for remelting.

Yunnan Yunlv Haixin Aluminium Co., Ltd. is located in the mining and metallurgical processing base of Zhaoyang Industrial Park, Zhaotong City, Yunnan Province. It mainly operates aluminium smelters and aluminium foundries for the production of liquid aluminium, aluminium ingots for remelting, cast aluminium alloy ingots and deformed aluminium alloy ingots.

Heqing Yixin Aluminium Co., Ltd. is located in Qiping village, Qiping village committee, Xiyi Town, Heqing County, Dali Bai Autonomous Prefecture, Yunnan Province. It mainly operates aluminium smelters and aluminium foundries for the production of liquid aluminium, aluminium ingots for remelting and cast aluminium alloy ingot.

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	Medium
RISKS	Medium
PERFORMANCE	Medium

OVERALL

MEDIUM

FINDINGS

CRITERION	RATING	COMMENT
1. MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI Membership	Conformance	Yunnan Aluminium Co., Ltd joined ASI in May 2022 in the Production and Transformation class. Per the ASI PS Management Manual, the Entity commits to complying with ASI's membership obligations and the ASI Complaints Mechanism. Membership details are shown at: https://aluminium-stewardship.org/about-asi/asi-members/yunnan-aluminium-co-ltd
1.2 CoC Management System	Conformance	The Entity has a documented ASI CoC Management System based on the requirements of the ASI Chain of Custody Standard, which covers all sites within the CoC Certification Scope. The Entity has demonstrated how the Management System operates through a simulation. At the time of the audit, no CoC Material had been received, nor ASI Aluminium delivered.
1.3 CoC Management System Monitoring	Minor Non-Conformance	The Entity has established the process to periodically review the ASI CoC Management System to ensure its continual adequacy, adaptability and effectiveness. However, one Minor Non-Conformance is raised as, to date there has been no management review conducted.
1.4 Management Representative	Conformance	The Entity has appointed a senior manager as the Management Representative with responsibility for the implementation of the ASI Chain of Custody Standard and has defined the roles and responsibilities to manage the Entity's ASI CoC Management System.
1.5 Communications and Training	Conformance	The Entity has identified the key employees for the ASI CoC Management System, and provides these employees with training to make them aware of and competent in their responsibilities under the ASI Chain of Custody Standard.
1.6 Records Management	Conformance	The document and record management in the ASI CoC Management System aligns with the processes in the Quality, Environment and Safety (QES) Management System. The retention time is defined as a minimum of five years.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Not Applicable	This Criterion is not applicable for the initial Certification Audit, as reporting to the ASI Secretariat is not yet required.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Not Applicable	This Criterion is not applicable for the initial Certification Audit, as reporting to the ASI Secretariat is not yet required.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Not Applicable	This Criterion is not applicable for the initial Certification Audit, as reporting to the ASI Secretariat is not yet required.

CRITERION	RATING	COMMENT
1.7d Reporting to ASI (Positive Balance carried over)	Not Applicable	This Criterion is not applicable for the initial Certification Audit, as reporting to the ASI Secretariat is not yet required.
1.7e Reporting to ASI (Positive Balance used)	Not Applicable	This Criterion is not applicable for the initial Certification Audit, as reporting to the ASI Secretariat is not yet required.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Not Applicable	This Criterion is not applicable for the initial Certification Audit, as reporting to the ASI Secretariat is not yet required.
1.7g Reporting to ASI (Intra-Entity Flows)	Not Applicable	This Criterion is not applicable for the initial Certification Audit, as reporting to the ASI Secretariat is not yet required.
2. OUTSOURCING CONTRACTORS		
2.1 Certification Scope	Not Applicable	This Criterion is not applicable, as the Entity does not have any Outsourcing Contractors.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	This Criterion is not applicable, as the Entity does not have any Outsourcing Contractors.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	This Criterion is not applicable, as the Entity does not have any Outsourcing Contractors.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	This Criterion is not applicable, as the Entity does not have any 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 have any 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 have any Outsourcing Contractors.
2.5 Error (Outsourcing Contractor)	Not Applicable	This Criterion is not applicable, as the Entity does not have any Outsourcing Contractors.
3. PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI ALUMINIUM		
3.1a ASI Bauxite (CoC Certification Scope)	Conformance	The Entity's Wenshan Aluminium site, which operates two Bauxite Mining sites, is within the Entity's CoC Certification Scope. The Entity has defined within its ASI CoC Management Manual that the Bauxites from the two mining sites are ASI Bauxites.
3.1b ASI Bauxite (Performance Standard)	Conformance	The Entity was audited against the ASI Performance Standard in October 2022. The Entity's two mining sites were visited and audited. Certification to the ASI Performance Standard was recommended and has been submitted to the ASI Secretariat for review.

CRITERION	RATING	COMMENT
3.1c ASI Bauxite (Bauxite sourcing)	Conformance	ASI Bauxite is defined in the Entity's ASI CoC Management Manual, and the definition of ASI Bauxite meets the ASI Chain of Custody Standard requirements. The responsible persons are aware of the requirements.
3.2a ASI Alumina (CoC Certification Scope)	Conformance	The Entity's Wenshan Aluminium site, which operates the Alumina refinery, is within the Entity's CoC Certification Scope.
3.2b ASI Alumina (Performance Standard)	Conformance	The Entity was audited against the ASI Performance Standard in October 2022. The Entity's Alumina refinery was visited and audited. Certification to the ASI Performance Standard was recommended and has been submitted to the ASI Secretariat for review.
3.2c ASI Alumina (Bauxite sourcing)	Conformance	ASI Alumina is defined in the Entity's ASI CoC Management Manual, and the definition of ASI Alumina meets the ASI Chain of Custody Standard requirements. The responsible persons are aware of the requirements.
3.3a ASI Aluminium (CoC Certification Scope)	Conformance	The Entity has defined within its ASI CoC Management Manual that ASI Aluminium is produced only from Aluminium Smelters that are within the Entity's CoC Certification Scope. All smelters within the Entity's CoC Certification Scope are owned by Yunnan Aluminium Co., Ltd.
3.3b ASI Aluminium (Performance Standard)	Conformance	The Entity was audited against the ASI Performance Standard in October 2022. The Entity's Aluminium Smelting sites were visited and audited. Certification to the ASI Performance Standard was recommended and has been submitted to the ASI Secretariat for review.
3.3c ASI Aluminium (Alumina sourcing)	Conformance	ASI Aluminium is defined in the Entity's ASI CoC Management Manual, and the definition of ASI Aluminium meets the ASI Chain of Custody Standard requirements. The responsible persons are aware of the requirements.
4. RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP		
4.1a Recycled Aluminium (CoC Certification Scope)	Conformance	The Entity has processes and systems in place to ensure that Liquid Metal is produced only from Facilities that are within the Entity's CoC Certification Scope.
4.1b Recycled Aluminium (Performance Standard)	Conformance	The observed Material Accounting System ensures production of Liquid Metal is only from Facilities within the Entity's ASI Performance Standard Certification Scope.
4.2a Eligible Scrap (Pre-Consumer)	Conformance	The Entity's Material Accounting System is designed to control and account for Eligible Scrap coming into the value chain. Pre-Consumer Scrap that is designated as CoC Material is supplied directly from their Facilities, which is included in the Entity's CoC Certification Scope. This was evidenced in CoC Material Management Procedures and Material Accounting System.
4.2b Eligible Scrap (Post-Consumer)	Not Applicable	This Criterion is not applicable, as the Entity does not use Post-Consumer Scrap.

CRITERION	RATING	COMMENT
4.2c Eligible Scrap (Dross)	Not Applicable	This Criterion is not applicable, as at present, the Entity has not produced Recycled Aluminium from Aluminium ash and other Aluminium containing wastes.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Not Applicable	This Criterion is not applicable, as the Entity does not source Recyclable Scrap Material from suppliers.
4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions)	Not Applicable	This Criterion is not applicable, as there are no cash payments.
5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a ASI Aluminium (CoC Certification Scope)	Conformance	The observed system ensures production of ASI Aluminium is only from Casthouses that are within the Entity's CoC Certification Scope.
5.1b ASI Aluminium (Performance Standard)	Conformance	The observed system ensures production of ASI Aluminium is only from Casthouses that are within the Entity's ASI Performance Standard Certification Scope.
5.1c ASI Aluminium (Aluminium sourcing)	Not Applicable	This Criterion is not applicable, as the Entity does not source ASI Aluminium from entities outside its own CoC Certification Scope.
5.2 Unique Identification	Conformance	The Entity has systems in place to ensure that unique identification numbers, either physically stamped and/or printed on ASI Aluminium products' packaging, can be linked to their Material Accounting System.
6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The observed system ensures production of ASI Aluminium is only from Post-Casthouse Facilities that are within the Entity's CoC Certification Scope.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The observed system ensures production of ASI Aluminium is only from Post-Casthouse Facilities that are within the Entity's ASI Performance Standard Certification Scope.
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Not Applicable	This Criterion is not applicable, as the Entity does not source ASI Aluminium from entities outside its own CoC Certification Scope. Information in the Material Accounting System confirms this.
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 developed a Suppliers Code of Conduct to address the ASI Performance Standard criteria of anti-Corruption. The Suppliers Code of Conduct is available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318568589.pdf

CRITERION	RATING	COMMENT
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity developed a Suppliers Code of Conduct to address the ASI Performance Standard criteria of responsible sourcing. The Suppliers Code of Conduct is available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318568589.pd
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	The Entity has established a supplier responsible sourcing framework that addresses Human Rights Due Diligence. The Suppliers Code of Conduct is available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318568589.pd
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has established a supplier responsible sourcing framework that includes the assessment of Conflict-Affected and High-Risk Areas. The Suppliers Code of Conduct is available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318568589.pd
7.2 Risk Assessment and Mitigation	Conformance	The Entity has established a supplier responsible sourcing framework that includes a risk-assessment and qualification process. The Entity has assessed the risks of non-compliance with its responsible sourcing policy through on-site audits and supplier self-assessments. The Suppliers Code of Conduct is available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318568589.pd
7.3 Complaints Resolution Mechanism	Conformance	The Entity has established a mechanism to address complaints and concerns related to ASI matters. The Entity has a dedicated hotline and email address (as shown on their website) to process any complaints and requests for information. hotline: +86-871-67455668 or +86-871-67455878 email: office@ylgf.com or sales@ylgf.com
8. MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity has established a Material Accounting System that safeguards the integrity of CoC Material and Eligible Scrap Mass Balance within the Certification Scope by ensuring that it can record the Input Quantity and Output Quantity of CoC Material and Non-CoC Material to and from the Entity's Certification Scope, as well as Input and Output Quantities of Eligible Scrap, and CoC Material Intra-Entity Flows and Non-CoC Material flows.
8.2 Material Accounting Period	Conformance	The Material Accounting Period is defined in the Entity's CoC Management Manual as a calendar year, from January 01 to December 31.
8.3 Input and Inflow Quantities	Conformance	The Entity has a Material Accounting System that can record the Quantities of each CoC Material and Eligible Scrap Input and the Quantities of Non-CoC Material and Recyclable Scrap Material Inflow, and determine the Inflow Quantity of Eligible Scrap and Recyclable Scrap Material based on an assessment of Aluminium content.

CRITERION	RATING	COMMENT
		At the time of the audit, there was no CoC Material available in the Entity's supply chain.
8.4 Output Quantities of CoC Material	Conformance	In the Entity's Material Accounting System, the available Quantities of CoC Material for Output will be determined by the Input Quantities for each CoC Material proportional to the total Inflows of CoC and Non-CoC Materials by mass.
8.5 Indivisibility of CoC Material	Conformance	The Entity has defined within its CoC Management Manual that the Output Quantity of CoC Material shall be designated as 100% CoC Material. The stimulation of the Material Accounting System confirmed that the Entity understands and can conform to the requirement.
8.6 Output Quantity of Eligible Scrap	Conformance	The Entity has defined within its CoC Management Manual that it can designate the relevant proportion of Scrap generated in the production processes as Eligible Scrap, using the same percentage share as for its Output of ASI Aluminium. The stimulation of the Material Accounting System confirmed that the Entity understands and can conform to the requirement.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity has defined within its CoC Management Manual that the total Output of CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage of CoC Material and/or Eligible Scrap over the Material Accounting Period. In the Material Account System, a formula is set to raise a notification when there is an exceedance in the percentage of various types of CoC Materials.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity has defined within its CoC Management Manual that the Internal Overdraw shall not exceed 20% of total Input Quantity of CoC Material for the Material Accounting Period in the case that the Internal Overdraw has to be made.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity has defined within its CoC Management Manual that an Internal Overdraw is only permitted when CoC Material has been contracted to be delivered to the Entity. But if a Force Majeure situation has prevented timely delivery, 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 defined within its CoC Management Manual that the Internal Overdraw shall be made up within the subsequent Material Accounting Period.
8.9a Positive Balance (Carry over)	Conformance	The Entity has defined within its CoC Management Manual that the carry-over of a Positive Balance shall be clearly identified in the Entity's Material Accounting System. The stimulation of the Material Accounting System confirmed that the Entity understands and can conform to the requirement.
8.9b Positive Balance (Expiry)	Conformance	The Entity has defined within its CoC Management Manual that the Positive Balance generated in one Material Accounting Period and carried over to the subsequent Material Accounting Period shall expire at the end of that Period if not drawn down.

CRITERION	RATING	COMMENT
9. ISSUING CoC DOCUMENTS		
9.1 CoC Document	Conformance	The Entity intends to use the CoC Document template defined in the ASI Chain of Custody Standard to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity intends to use the CoC Document template defined in the ASI Chain of Custody Standard to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders, and include the date of issue.
9.2b CoC Document Content (Reference number)	Conformance	The Entity intends to use the CoC Document template defined in the ASI Chain of Custody Standard for each lot of material/product, and include a reference number using the formula: 'YL-COC-CATEGORY-YEAR-MONTH-DAY-XXXXXX-WEIGHT' (XXXXXX is the serial number starting from 000001).
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity intends to use the CoC Document template defined in the ASI Chain of Custody Standard to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders, and include details of the issuing Entity.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity intends to use the CoC Document template defined in the ASI Chain of Custody Standard for each lot of material/product, and the CoC Document shall include details of the receiving customer and its CoC Certification number if it is a CoC Certified Entity.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity intends to use the CoC Document template defined in the ASI Chain of Custody Standard, and the Sales Representative is responsible for verifying the information in the CoC Documents and signing them.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity has defined within its CoC Management Manual that if the customer requires the CoC Document to be issued in its own format, the Entity shall follow the requirement. If not, the Entity shall have a CoC Document for each lot of material/product using the CoC Document template defined in the ASI Chain of Custody Standard. Both forms shall include the conformance statement: "The information provided in the CoC Document is in Conformance with the ASI CoC Standard".
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity intends to use the CoC Document template defined in the ASI Chain of Custody Standard for each lot of material/product, and include the type of CoC Material in the shipment.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity intends to use the CoC Document template defined in the ASI Chain of Custody Standard for each lot of material/product, and include the mass of CoC Material in the shipment.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity intends to use the CoC Document template defined in the ASI Chain of Custody Standard for each lot of material/product, and include the mass of total material in the shipment.

CRITERION	RATING	COMMENT
9.3a Sustainability Data (optional) – Carbon footprint	Conformance	The Entity has defined in its CoC Management Manual that it will not provide Sustainability Data by default. Should a customer raise a request, the Manager of the International Trade Operation Department will share the Life Cycle Assessment report with the customer.
9.3b Sustainability Data (optional) – Origin information	Conformance	The Entity has defined in its CoC Management Manual that it will not provide Sustainability Data by default. Should a customer raise a request, the Manager of the International Trade Operation Department will share the information with the customer, including the origin of the Aluminium.
9.3c Sustainability Data (optional) – Recycled content	Conformance	The Entity has defined in its CoC Management Manual that it will not provide Sustainability Data by default. Should a customer raise a request, the Manager of the International Trade Operation Department will share the information with the customer, including the information on the recycled content.
9.3d Sustainability Data (optional) – Post-Casthouse ASI Certification status	Conformance	The Entity has defined in its CoC Management Manual that it will not provide Sustainability Data by default. Should a customer raise a request, the Manager of the International Trade Operation Department will share the information with the customer, including ASI Certification Status.
9.4 Supplementary Information (optional) – Objective evidence	Conformance	The Entity has defined in its CoC Management Manual that it will not provide Sustainability Data by default. Should a customer raise a request, the Manager of the International Trade Operation Department will share the information with the customer and provide objective evidence per request.
9.5 Verification of Information	Conformance	The Entity has defined the responsibility and the process to respond to requests for verification of information in CoC Documents issued by the Entity.
9.6 Error (Shipping)	Conformance	Integrated with the ISO 9001 Quality Management System, the Entity has a process to record errors, analyse the root cause, and take appropriate corrective action to prevent a recurrence.
10. RECEIVING COC DOCUMENTS		
10.1 Verification of CoC Documents	Conformance	The Entity has established the process to verify that all required information in received CoC Documents has been included.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity has established the process to verify the required information in received CoC Documents as consistent 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 established the process to verify the supplier's ASI CoC Certification status on the ASI website: https://aluminium-stewardship.org/about-asi/asi-member-listing

CRITERION	RATING	COMMENT
10.4 Error (Reception)	Conformance	The Entity has a process to record errors, provide feedback to suppliers and require appropriate corrective action to correct the error and prevent a recurrence.

11. CLAIMS AND COMMUNICATIONS

11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity has defined in its CoC Management Manual that all claims and communications shall be consistent with the ASI Claims Guide, including communication with the ASI Secretariat. The Management Representative is responsible for conformance with the claims requirements.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity has committed to following the requirements regarding claims and communications. They have assigned roles and responsibilities to ensure that claims are made in a manner consistent with the ASI Claims Guide, and that the claims and/or representations made are supported by verifiable evidence.
11.1c Claims and Communications (Employee training)	Conformance	The Entity has provided training to relevant employees on the requirements for claims and communications.

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	19 May 2023	Initial Certification Audit – Full Certification
1	8 January 2025	Extension to the Certification expiry date of 18 May 2026 and next audit type and due date has been approved, consistent with ASI's eligibility for CoC Standard Certification extension requests.
2	3 September 2026	Extension to the Certification expiry date (from 1 March 2027), consistent with ASI's voluntary option for CoC Standard Certification extensions.