

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

GRÄNGES ALUMINIUM (SHANGHAI) CO., LTD.

CERTIFICATE NUMBER	ASI STANDARD	CERTIFICATION LEVEL	ASI ACCREDITED AUDITOR
165	CHAIN OF CUSTODY (V1 2017)	FULL CERTIFICATION	DNV BUSINESS ASSURANCE SERVICES UK LTD.
DATE OF ISSUE	DATE OF EXPIRY	CERTIFIED SINCE	
14 JANUARY 2022	13 JANUARY 2025	14 JANUARY 2022	

AUTHORISED BY

A stylized white signature on a dark grey background, representing the 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

Production of Aluminium strips and plates, used for the auto industry at Gränges Aluminium (Shanghai) Co., Ltd. (China).

SUMMARY AUDIT REPORT

CHAIN OF CUSTODY STANDARD

OVERVIEW

MEMBER NAME	Gränges
ENTITY NAME	Gränges Aluminium (Shanghai) Co., Ltd.
CERTIFICATION SCOPE	Production of Aluminium strips and plates, used for the auto industry at Gränges Aluminium (Shanghai) Co., Ltd. (China).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">• Casthouses• Post-Casthouse
ASI STANDARD	<ul style="list-style-type: none">• Chain of Custody Standard V1
AUDIT TYPE	<ul style="list-style-type: none">• Initial Certification Audit
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none">• 2 – 4 November 2021
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">• 6 November 2021
AUDIT SCOPE	<p>The audit scope covered the production of Aluminium strips and plates, used for the auto industry at Gränges Aluminium (Shanghai) Co., Ltd. (China).</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">• Casthouses• Post-Casthouse <p>All applicable criteria in the ASI Chain of Custody Standard were included in the audit scope.</p>
AUDIT OUTCOME	<ul style="list-style-type: none">• Certification
AUDIT METHODOLOGY DECLARATION	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"><input checked="" type="checkbox"/> The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this report.<input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.<input checked="" type="checkbox"/> The Audit Scope and audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope.

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

CERTIFICATION PERIOD 14 January 2022 – 13 January 2025

NEXT AUDIT TYPE Surveillance Audit

NEXT AUDIT DUE DATE 13 July 2023

CERTIFICATION NUMBER 165

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	<p>The Entity is an ASI Member committed to comply with ASI's membership obligations and the ASI Complaints Mechanism.</p> <p>The Entity is in the Production and Transformation category and holds an ASI Performance Standard Certification: https://aluminium-stewardship.org/about-asi/asi-members/granges</p>
1.2 Management system	Conformance	<p>The Entity has established policies, systems, procedures and processes that comply with ASI Chain of Custody Criteria regarding a Management System. The Management System observed has the capacity to handle CoC Material.</p>
1.3 Management system reviews	Conformance	<p>The Entity has established mechanisms for the periodic review of the Management System, in line with other management systems including ISO 9001, ISO 14001 and ISO 45001.</p> <p>The latest management review meeting was conducted in October 2021.</p>
1.4 Management representative	Conformance	<p>The Entity has appointed a member of the Senior Management team as the Management Representative for the ASI Chain of Custody Standard implementation and responsibility to manage the Entity's Chain of Custody system.</p>
1.5 Training	Conformance	<p>The Entity delivers training to relevant personnel to provide awareness of the ASI Chain of Custody Standard requirements and competence in their responsibilities.</p>
1.6 Record keeping	Conformance	<p>In line with other management systems, including ISO 9001, ISO 14001 and ISO 45001, the control of records for the effective implementation of the ASI Chain of Custody Standard is defined. All records related to the ASI Chain of Custody Standards are kept in the Entity's Enterprise Resource Planning (ERP, based on Oracle) system.</p>
1.7a Reporting to ASI (Inputs and Outputs)	Not Applicable	Not applicable for the Initial Certification Audit.
1.7b Reporting to ASI (Input Percentage)	Not Applicable	Not applicable for the Initial Certification Audit
1.7c Reporting to ASI (Positive Balance)	Not Applicable	Not applicable for the Initial Certification Audit

CRITERION	RATING	COMMENT
1.7d Reporting to ASI (Internal Overdraw)	Not Applicable	Not applicable for the Initial Certification Audit
1.7e Reporting to ASI (Eligible Scrap)	Not Applicable	Not applicable for the Initial Certification Audit
1.7f Reporting to ASI (ASI Credits from Casthouses)	Not Applicable	Not applicable for the Initial Certification Audit
1.7g Reporting to ASI (ASI Credits purchased)	Not Applicable	Not applicable for the Initial Certification Audit
2 OUTSOURCING CONTRACTORS		
2.1 Outsourcing Contractors in CoC Certification Scope	Minor Non-Conformance	<p>The Entity has two Outsourcing Contractors - a cutting supplier and a cleaning supplier. The Entity sends the work-in-process to and collects all CoC Material from both Outsourcing Contractors, including finished goods and scrap. The Entity's Mass Balance System tracks and controls the CoC Material involved. The CoC Material is not delivered by Outsourcing Contractors to any other customers. The Due Diligence process has been implemented in this part of the supply chain and includes both sub-contractors' compliance in meeting the requirements of the ASI Performance Standard and applicable legal requirements.</p> <p>Currently however, both Outsourcing Contractors had not been formally included in the Entity's CoC Certification Scope, although the Entity undertakes appropriate assessment and mass balance reporting for both Outsourced Contractors.</p> <p>The Entity will now formally include both Outsourcing Contractors in its CoC Certification Scope.</p>
2.2a Control of CoC Material	Conformance	The contract signed between the Entity and Outsourcing Contractors defines that the Entity has legal ownership or control of all CoC Material handled by Outsourcing Contractors. The Entity sends the CoC Material to the Outsourcing Contractors and collects back all Materials including finished goods and scrap.
2.2b No further outsourcing	Conformance	The Entity prohibits the Outsourcing Contractors from further outsourcing. The product pre-approval rules clearly define the Entity's policy.
2.2c Risk assessment	Minor Non-Conformance	The Entity has a Supplier Code of Conduct and ASI Management Procedure. The Entity has assessed the risk of potential non-conformance with the ASI Chain of Custody Standard resulting from the engagement of Outsourcing Contractors. A Minor Non-Conformance is raised as the risk assessment did not cover all risks associated with potential non-conformance with the ASI Chain of Custody Standard.

CRITERION	RATING	COMMENT
2.3 Output Quantity	Conformance	All CoC Material sent to Outsourcing Contractors is returned to the Entity and registered in the Entity's Mass Balance System. The CoC Material is not delivered by Outsourcing Contractors to subsequent customers. The Outsourcing Contractors provide the Output Quantity of CoC Materials delivered to the Entity for verification of CoC Material quantities.
2.4 Verification and record-keeping	Conformance	Integrated with the Quality Management System, the Input Quantity and Output Quantity of each lot of materials outsourced, for both CoC Material and Non-CoC Material, are registered in the Entity's Enterprise Resource Planning (ERP) system and in Excel files maintained at the Entity and at the Outsourcing Contractors.
2.5 Error management	Conformance	The non-conformance management procedure in the Quality Management System defines that the Entity and Outsourcing Contractor will document any error discovered after CoC Material has been shipped and take the agreed steps to correct it, and implement actions to avoid a recurrence.

3 PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI LIQUID METAL

3.1a CoC Certification Scope - Bauxite Mining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.1b ASI Performance Standard - Bauxite Mining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2a CoC Certification Scope - Alumina Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2b ASI Performance Standard - Alumina Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3a CoC Certification Scope - Aluminium Smelting	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3b ASI Performance Standard - Aluminium Smelting	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

4 RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP AND ASI LIQUID METAL

4.1a CoC Certification Scope - Aluminium Re-Melting/Refining	Not Applicable	Not applicable as the Entity does not receive Liquid Metal.
4.1b ASI Performance Standard - Aluminium Re-Melting/Refining	Not Applicable	Not applicable as the Entity does not receive ASI Liquid Metal.
4.2a Pre-Consumer Scrap and Dross	Conformance	In the Entity's ASI Custody of Chain Management Manual, it is clearly defined how to conduct the supplier Due Diligence as per section 7 in the ASI

CRITERION	RATING	COMMENT
		Chain of Custody Standard for Pre-Consumer Scrap. The Purchasing Department is responsible for verifying the ASI Certification status of Suppliers. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain.
4.2b Post-Consumer Scrap	Conformance	In the Entity's ASI Custody of Chain Management Manual, it is clearly defined that only Post-Consumer Scrap from Suppliers that have undergone Due Diligence assessment and the risks have been identified and accepted by the Entity, are considered Eligible Scrap. At the time of the audit, no Post-Consumer Scrap was identified as CoC Material.
4.3a Supplier records	Conformance	The Entity has a system where information on the Suppliers of Recyclable Scrap Material is input and maintained in the Enterprise Resource Planning (ERP) system. Supplier information includes the identity, principals and place/s of operation.
4.3b Cash payments	Conformance	The Entity defines in its Policy that cash payment is not permitted for transactions with Suppliers of Recyclable Scrap Material, and formal invoices are to be received for all purchases.
5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a CoC Certification Scope - Casthouses	Conformance	The Entity holds a valid ASI Performance Standard Certificate. The Purchasing Department is responsible for verifying the ASI Certification status of the Suppliers which provide ASI Aluminium.
5.1b ASI Performance Standard - Casthouses	Conformance	The Entity holds a valid ASI Performance Standard Certificate: https://aluminium-stewardship.org/about-asi/asi-members/granges
5.2 Casthouse Products	Conformance	The Entity has a Quality Management System certified against ISO 9001 in which the identification and traceability of products are controlled effectively. The lot number and roll number are used for the different stages of the production process. Based on the identification mechanism, ASI Aluminium is identified on site and recorded in the Material Accounting System (ERP system) linked to the Input Quantity of CoC Material for that Material Accounting Period.
6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a CoC Certification Scope - Post-Casthouse	Conformance	The Entity has established a system to ensure that ASI Aluminium is only produced from the Facility within its CoC Certification Scope.

CRITERION	RATING	COMMENT
6.1b ASI Performance Standard - Post-Casthouse	Conformance	The Entity holds a valid ASI Performance Standard certificate: https://aluminium-stewardship.org/about-asi/asi-members/granges
6.1c Sourcing ASI Aluminium	Conformance	The Entity has established a system to ensure that ASI Aluminium is sourced directly from another ASI CoC Certified Entity, or via a metals trader or warehouse where supplies can provide the associated CoC Document containing Supplementary Information sufficient to identify the corresponding shipment and verify the validity of the CoC Documents.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	In compliance with the ASI Performance Standard, the Entity has established Policies on Responsible Sourcing and Anti-Corruption and has a Supplier Code of Conduct, available on the Entity's website: https://www.granges.com/sustainability/policies
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	In compliance with the ASI Performance Standard, the Entity has established Policies on Responsible Sourcing and Anti-Corruption and has a Supplier Code of Conduct, available on the Entity's website: https://www.granges.com/sustainability/policies
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	In compliance with the ASI Performance Standard, the Entity has established Policies on Responsible Sourcing and Anti-Corruption and has a Supplier Code of Conduct, available on the Entity's website: https://www.granges.com/sustainability/policies
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity has established a management procedure for the Prohibition of the Use of Minerals in Conflict Area. The policy and management requirements are communicated to the Suppliers with a Commitment Letter of Conflict-Affected and High-Risk Areas and Quality Assurance Agreement. All Suppliers of Non-CoC Material and Recyclable Scrap Material sign the documents to commit to the requirements.
7.2 Risk assessment	Conformance	The Entity has established criteria to identify Suppliers with high risk of non-compliance and conducts a risk assessment. For the identified Suppliers with high risks, on-site audits against the relevant ASI Performance Standard requirements are conducted and corrective actions are established and are in progress.
7.3 Complaints mechanism	Conformance	The Entity has established a whistle-blower channel for internal and external stakeholders. The channels are published on the Entity's website at:

CRITERION	RATING	COMMENT
		https://www.granges.com/about-granges/corporate-governance/whistleblower There have been no complaints received to date.
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity has established a Material Accounting System that records Input Quantity and Output Quantity of CoC Material and Non-CoC Material by mass which conforms to the ASI Chain of Custody requirement.
8.2a Post-Consumer Scrap	Conformance	The Entity's Material Accounting System records the Input Quantity of Post-Consumer Scrap. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain.
8.2b Pre-Consumer Scrap (total)	Conformance	The Entity's Material Accounting System records the total Input Quantity of Pre-Consumer Scrap and the status of CoC Material and Non-CoC Material. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain.
8.2c Pre-Consumer Scrap (Eligible Scrap)	Conformance	The Entity's Material Accounting System records the Input Quantity of Pre-Consumer Scrap that is Eligible Scrap. CoC Documents are required to be provided from external Suppliers of Eligible Scrap. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain.
8.3 Material Accounting Period	Conformance	The Material Accounting Period is defined in the ASI Chain of Custody Management Manual as 12 months, the calendar year from January – December.
8.4 Input Percentage	Conformance	The Entity's Material Accounting System defines how to calculate and record the Input Percentage of the CoC Material in compliance with the ASI Chain of Custody Standard requirements. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain.
8.5 Input Percentage (Aluminium Re-Melting/Refining)	Conformance	The Entity's ASI Custody of Chain Management Manual defines that the units used in the numerator and the denominator when calculating the Input Percentage must be the same. The Input Quantity of Eligible Scrap and Recyclable Scrap Material shall be based on an assessment of aluminium content.

CRITERION	RATING	COMMENT
8.6 Output Quantity determination	Conformance	<p>The Entity's ASI Chain of Custody Management Manual defines the determination of Output Quantity. The simulation cases demonstrated the process. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain.</p>
8.7 Output Quantity designation	Conformance	<p>The Entity's ASI Chain of Custody Management Manual defines that the Entity's Output Quantity is designated as 100% CoC Material. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain.</p>
8.8 Output Quantity - Pre-Consumer Scrap	Conformance	<p>Each transfer of the eligible Pre-Consumer Scrap from the Entity shall be accompanied with a CoC Document and the calculation of the Input Percentage follows the formula defined in ASI Chain of Custody Standard.</p>
8.9 Outputs not exceed Inputs	Conformance	<p>The Entity's ASI Chain of Custody Management Manual defines the principle that the output of CoC Material must be calculated using the Input Percentage and must not proportionally exceed the total input of CoC Material.</p> <p>There is an automated error-proof measure in the Material Accounting System (ERP system) to avoid the total output quantity exceeding the total input quantity. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain</p>
8.10a Internal Overdraws (not exceed 20%)	Conformance	<p>The Entity's ASI Chain of Custody Management Manual defines that the Internal Overdraw shall not exceed 20% of total Input Quantity of CoC Material for the Material Accounting Period.</p> <p>The Entity matches all output materials to the input materials available. There is a setting in the Material Accounting System (ERP system) to avoid an overdraw.</p>
8.10b Internal Overdraws (not exceed affected amount)	Conformance	<p>The Entity's ASI Chain of Custody Management Manual defines that in a force majeure situation, the Entity's Material Accounting System may carry over an Internal Overdraw to the subsequent Material Accounting Period. The Internal Overdraw shall not exceed the amount of CoC Material affected by the force majeure situation.</p> <p>However, it is the Entity's intention to match all output materials to the input materials available. There is a setting in the Material Accounting System (ERP system) to avoid an Overdraw.</p>

CRITERION	RATING	COMMENT
8.10c Internal Overdraws (period to make up)	Conformance	<p>The Entity's ASI Chain of Custody Management Manual defines that the Internal Overdraw shall be made up within the subsequent Material Accounting Period.</p> <p>The Entity matches all output materials to the input materials available. There is a setting in the Material Accounting System (ERP system) to avoid an overdraw.</p>
8.11a Positive Balance (carry over)	Conformance	<p>The Entity's ASI Chain of Custody Management Manual defines the Positive Balance of output CoC Material at the end of a Material Accounting Period. Any carry over of a Positive Balance is identified in the Entity's Material Accounting System (ERP system). At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain.</p>
8.11b Positive Balance (expiry)	Conformance	<p>The Entity's ASI Chain of Custody Management Manual defines Positive Balance of output CoC Material at the end of a Material Accounting Period. A Positive Balance generated in one Material Accounting Period and carried over to the subsequent Material Accounting Period expires at the end of that Period if not drawn down.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain.</p>
9 ISSUING CoC DOCUMENTS		
9.1 Shipments and transfers	Conformance	<p>The Entity issues CoC Documents in the format defined in ASI Chain of Custody Standard. The responsibility and authority of issuing the CoC Documents are defined in the Entity's ASI Chain of Custody Management Manual.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain.</p>
9.2a Date of issue	Conformance	<p>The Entity issues a CoC Document for each shipment or transfer of CoC Material using the CoC Document template defined in ASI Chain of Custody Standard, which includes the date of issue.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain.</p>
9.2b Reference number	Conformance	<p>The Entity issues a CoC Document for each shipment or transfer of CoC Material using the CoC Document template defined in ASI Chain of Custody Standard, which includes the reference number: GASCoC + year + month + date + serial number.</p>

CRITERION	RATING	COMMENT
9.2c Issuing Entity	Conformance	<p>The Entity issues a CoC Document for each shipment or transfer of CoC Material using the CoC Document template defined in ASI Chain of Custody Standard, which includes the issuing entity.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain.</p>
9.2d Receiving customer	Conformance	<p>The Entity issues a CoC Document for each shipment or transfer of CoC Material using the CoC Document template defined in ASI Chain of Custody Standard, which includes the receiving customer.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain.</p>
9.2e Responsible employee	Conformance	<p>The Entity issues a CoC Document for each shipment or transfer of CoC Material using the CoC Document template defined in ASI Chain of Custody Standard, which includes the responsible employee.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain.</p>
9.2f Conformance statement	Conformance	<p>The Entity issues a CoC Document for each shipment or transfer of CoC Material using the CoC Document template defined in ASI Chain of Custody Standard, which includes the conformance statement.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain.</p>
9.2g Type of CoC Material	Conformance	<p>The Entity issues a CoC Document for each shipment or transfer of CoC Material using the CoC Document template defined in ASI Chain of Custody Standard, which includes the type of CoC Material.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain.</p>
9.2h Mass of CoC Material	Conformance	<p>The Entity issues a CoC Document for each shipment or transfer of CoC Material using the CoC Document template defined in ASI Chain of Custody Standard, which includes the mass of CoC Material.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain.</p>
9.2i Mass of total material	Conformance	<p>The Entity issues a CoC Document for each shipment or transfer of CoC Material using the CoC Document template defined in ASI Chain of Custody Standard, which includes the mass of total material.</p> <p>At the time of the audit, there were no examples of</p>

CRITERION	RATING	COMMENT
		effective implementation of the system as no CoC Material was available in the Entity's supply chain.
9.3a Sustainability Data (optional)	Conformance	<p>The Entity issues a CoC Document for each shipment or transfer of CoC Material using the CoC Document template defined in ASI Chain of Custody Standard, which includes the Sustainability Data. The Sustainability Data is based on the GHG emission calculation report which is published on the Entity's official website.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain.</p>
9.3b Sustainability Data (passing on)	Not Applicable	<p>The Entity issues a CoC Document for each shipment or transfer of CoC Material using the CoC Document template defined in ASI Chain of Custody Standard, which includes the Sustainability Data. The Sustainability Data is based on the GHG emission calculation report which is published on the Entity's official website.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain.</p>
9.3c Post-Casthouse ASI Certification status	Not Applicable	<p>The Entity issues a CoC Document for each shipment or transfer of CoC Material using the CoC Document template defined in ASI Chain of Custody Standard, which includes the ASI Certification status. The Entity holds a valid ASI Performance Standard Certificate.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain</p>
9.4 Supplementary Information (optional)	Conformance	<p>The Entity implements and maintains a Management System for the ASI Performance Standard and a GHG emission calculation. Supplementary Information in CoC Documents is based on the output of the Management System upon customer request.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain.</p>
9.5 Response to verification requests	Conformance	<p>The Entity defines how to control CoC Documents issued and respond to requests for verification of information in CoC Documents issued by the Entity and the associated responsibilities in the ASI Chain of Custody Management Manual.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain.</p>

CRITERION	RATING	COMMENT
9.6 Error management	Conformance	Integrated with the ISO 9001 Quality Management System, the Entity has a process to record the errors, analyse the root cause and take the associated corrective action to prevent reoccurrence.
10 RECEIVING COC DOCUMENTS		
10.1 Verify required information included	Conformance	The Entity defines the responsibility for and process of verifying that all required information is included in the received CoC Documents. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
10.2 Verify consistency with shipments	Conformance	The Entity defines the responsibility for and process of verifying the consistency of received CoC Documents with the accompanying CoC Material before recording in the Material Accounting System.
10.3 Verify supplier CoC Certification status	Conformance	The Entity will implement the developed process to verify the supplier CoC Certification status. The Entity defines the responsibility for and process of verifying the CoC Certification status of Suppliers. The Purchasing Department periodically checks the status.
10.4 Error management	Conformance	Integrated with the ISO 9001 Quality Management System, the Entity has a process to record the errors, analyse the root cause and take the associated corrective action to prevent reoccurrence.
11 MARKET CREDITS SYSTEM: ASI CREDITS		
11.1a Material Accounting System – allocation	Not Applicable	The Entity does not utilize the ASI Market Credits System.
11.1b Link to Casthouse Products	Not Applicable	The Entity does not utilize the ASI Market Credits System.
11.1c No double counting	Not Applicable	The Entity does not utilize the ASI Market Credits System.
11.1d No Positive Balance for ASI Credits	Not Applicable	The Entity does not utilize the ASI Market Credits System.
11.2a Date of issue	Not Applicable	The Entity does not utilize the ASI Market Credits System.
11.2b Reference number	Not Applicable	The Entity does not utilize the ASI Market Credits System.
11.2c Issuing Entity	Not Applicable	The Entity does not utilize the ASI Market Credits System.

CRITERION	RATING	COMMENT
11.2d Receiving Entity	Not Applicable	The Entity does not utilize the ASI Market Credits System.
11.2e Conformance statement	Not Applicable	The Entity does not utilize the ASI Market Credits System.
11.2f ASI Credits statement	Not Applicable	The Entity does not utilize the ASI Market Credits System.
11.2g Quantity	Not Applicable	The Entity does not utilize the ASI Market Credits System.
11.3a CoC Certification Scope – purchasing ASI Credits	Not Applicable	The Entity does not utilize the ASI Market Credits System.
11.3b Material Accounting System – purchasing	Not Applicable	The Entity does not utilize the ASI Market Credits System.
11.3c Expiry	Not Applicable	The Entity does not utilize the ASI Market Credits System.
11.3d No re-trading	Not Applicable	The Entity does not utilize the ASI Market Credits System.
11.3e No allocation to physical products	Not Applicable	The Entity does not utilize the ASI Market Credits System.
11.3f Verify supplier CoC Certification status	Not Applicable	The Entity does not utilize the ASI Market Credits System.
11.3g Five years maximum for ASI Credits purchasing	Not Applicable	The Entity does not utilize the ASI Market Credits System.
12 CLAIMS AND COMMUNICATIONS		
12.1a ASI Claims Guide	Conformance	The Entity's ASI CoC Management Manual defines that all claims and communications shall follow the ASI Claims Guide including communication with ASI Secretariat, and the relevant roles and responsibilities are defined.
12.1b Verifiable evidence	Conformance	The Entity assigns roles and responsibilities to ensure that claims are made in a manner consistent with the ASI Claims Guide.
12.1c Employee training	Conformance	The Entity provides training to relevant employees to properly communicate claims and/or representations.

Document Control and Version History

Revision	Date	Notes
0	14 January 2022	Issued - Full Certification