

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# Hydro Extrusions North America

CERTIFICATE NUMBER

465

ASI STANDARD

CHAIN OF CUSTODY  
(V2 2022)

CERTIFICATION LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED AUDITING  
FIRM

DNV BUSINESS  
ASSURANCE  
SERVICES UK LTD.

DATE OF ISSUE

26 MAY 2025

DATE OF EXPIRY

25 MAY 2028

CERTIFIED SINCE

26 MAY 2025

## AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. Hall'.

Aluminium Stewardship Initiative Ltd  
ACN 606 661 125, Australia  
[info@aluminium-stewardship.org](mailto:info@aluminium-stewardship.org)

*Validity of this Certificate is subject to continued conformance with the applicable ASI Standard and can be verified at [www.aluminium-stewardship.org](http://www.aluminium-stewardship.org)*

## CERTIFICATION SCOPE

All re-melting, Casthouses and extrusion activities for Hydro Extrusion North America at the following production sites:

Burlington (NC, USA), City of Industry (CA, USA), Connersville (IN, USA), Cressona (PA, USA), Delhi (LA, USA), Elkhart (IN, USA), Gainesville (GA, USA), Magnolia (AR, USA), Mississauga (ON, Canada), Monett (MO, USA), Montreal (QC, Canada), Moon Township (PA, USA), Mountain Top (PA, USA), North Liberty (IN, USA), Phoenix (AZ, USA), Phoenix Fabrication (AZ, USA), Portland (OR, USA), Sidney Fabrication (OH, USA), Spanish Fork (UT, USA), St Augustine (FL, USA), The Dalles (OR, USA), Toronto (ON, Canada), and Yankton (SD, USA).

# AUDIT REPORT

## CHAIN OF CUSTODY

### STANDARD

#### OVERVIEW

MEMBER NAME	Hydro
ENTITY NAME	Hydro Extrusions North America
CERTIFICATION SCOPE	<p>All re-melting, Casthouses and extrusion activities for Hydro Extrusion North America at the following production sites:</p> <p>Burlington (NC, USA), City of Industry (CA, USA), Connersville (IN, USA), Cressona (PA, USA), Delhi (LA, USA), Elkhart (IN, USA), Gainesville (GA, USA), Magnolia (AR, USA), Mississauga (ON, Canada), Monett (MO, USA), Montreal (QC, Canada), Moon Township (PA, USA), Mountain Top (PA, USA), North Liberty (IN, USA), Phoenix (AZ, USA), Phoenix Fabrication (AZ, USA), Portland (OR, USA), Sidney Fabrication (OH, USA), Spanish Fork (UT, USA), St Augustine (FL, USA), The Dalles (OR, USA), Toronto (ON, Canada), and Yankton (SD, USA).</p>
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>Aluminium Re-melting/Refining</li><li>Casthouses</li><li>Post-Casthouse</li></ul>
ASI STANDARD	Chain of Custody Standard V2
AUDIT TYPE	<ul style="list-style-type: none"><li>Initial Certification Audit</li></ul>
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none"><li>2 December 2024 – 31 January 2025</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>1 April 2025</li></ul>
AUDIT SCOPE	<p>The Audit Scope covered the re-melting, Casthouses and extrusion activities for the following sites using the ASI multi-site sampling approach, Cressona (PA, USA), Moon Township (PA, USA), Phoenix (AZ, USA), Spanish Fork (UT, USA), St Augustine (FL, USA), and The Dalles (OR, USA).</p> <p>The supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>Aluminium Re-melting/Refining</li><li>Casthouses</li><li>Post-Casthouse</li></ul> <p>All relevant Criteria in the Chain of Custody Standard were included in the Audit Scope.</p>
AUDIT OUTCOME	Certification
AUDIT METHODOLOGY DECLARATION	The Auditors confirm that:

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- ☑ The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this Report.
  - ☑ The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.
  - ☑ The Audit Scope and Audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope.
  - ☑ The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.
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CERTIFICATION PERIOD            26 May 2025 - 25 May 2028

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NEXT AUDIT TYPE                    Surveillance Audit

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NEXT AUDIT DUE DATE            26 November 2026

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CERTIFICATE NUMBER            465

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

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

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

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## ENTITY OVERVIEW

Hydro Extrusion North America (the 'Entity') provides custom solutions to the Aluminium bridge decking, automotive, commercial transportation and distribution industries, as well as the mass transit, solar and renewable energy markets. A nationwide network of production and supply Facilities enables the Entity to produce a selection of extruded Aluminium shapes, sizes, alloys and tempers, utilising both direct and indirect extrusion methods. In 2023, the Entity's production was approximately 1.33 million metric tonnes.

Hydro Extrusion North America consists of three primary sub-Entities:

1. Hydro Extrusion USA, LLC (USA)
2. Hydro Extrusion Canada, Inc. (Canada)
3. Hydro Extrusion Portland, Inc. (Portland)

For the purposes of this Chain of Custody Certification (Certificate #465) the 'Entity' consists of Facilities included in the Performance Standard Certification for Certificate #23 (Revision25) (Hydro Extrusions) and is comprised of the three primary Hydro Extrusions' sub-Entities operating in the United States and Canada noted above, including the following: production sites:

1. Burlington (USA). The Burlington, North Carolina extrusion site was established in 1972. The Facility has approximately 15 employees and produces specialized coiled Aluminium tubing.
2. City of Industry (USA). The City of Industry, California, extrusion site was established in 1958. The Facility has approximately 180 employees and produces extruded Aluminium products and fabrication services for a wide variety of industries.
3. Connersville (USA). The Connersville, Indiana extrusion site was established in 1958. The Facility has approximately 145 employees and produces specialised extruded Aluminium products for the commercial transportation industry.
4. Cressona (USA). The Cressona, Pennsylvania site was established in 1942 and employs more than 1,100 individuals. The Facility is the largest of its type outside of China with more than 1.7M square feet (15.8 ha) under roof. The site serves numerous industries and includes recycling, billet Casting, extrusion, and fabrication operations.
5. Delhi (USA). The Delhi, Louisiana production site was established in 1983 and has approximately 225 employees. The site serves numerous industries and includes extrusion, anodising, and fabrication operations.
6. Elkhart (USA). The Elkhart, Indiana production site was established in 1976 and has approximately 135 employees. The site serves numerous industries and includes extrusion and fabrication operations.
7. Gainesville (USA). The Gainesville, Georgia production site was established in 1987 and has approximately 325 employees. The site serves numerous industries and includes extrusion, powder coating, and fabrication operations.
8. Magnolia (USA). The Magnolia, Arkansas site was established in 1949 and has approximately 95 employees. The site operates as an assembly, warehousing, and distribution Facility for Hydro's Alumax shower enclosure products.
9. Mississauga (Canada). The Mississauga, Ontario production site was established in 1976 and has approximately 260 employees. The site serves numerous industries and includes extrusion, paint, and fabrication operations.
10. Monett (USA). The Monett, Missouri site was established in 1968 and has approximately 70 employees. The Facility serves as a stand-alone recycling and billet Casting Facility supplying ingot to Hydro's North American extrusion sites.
11. Montreal (Canada). The Montreal, Quebec production site was established in 1991 and has approximately 215 employees. The site serves numerous industries and includes extrusion, paint, and fabrication operations.
12. Mountain Top (USA). The Mountain Top, Pennsylvania production site was established in 1972 and has approximately 150 employees. The site serves numerous industries and includes extrusion, anodising, and fabrication operations.
13. North Liberty (USA). The North Liberty, Indiana production site was established in 1962 and has approximately 105 employees. The site serves numerous industries and includes extrusion, anodising, and fabrication operations.
14. Phoenix (USA). The Phoenix, Arizona production site was established in 1975 and has approximately 240 employees. The site serves numerous industries and includes recycling, billet Casting, and extrusion operations.
15. Phoenix Fabrication (USA). The Phoenix, Arizona fabrication site was established in 2020 and has approximately 275 employees. The site provides advanced fabricated Aluminium components to the automotive industry.
16. Portland (Portland). The Portland, Oregon production site was established in 1963 and has approximately 300 employees. The site serves numerous industries and includes extrusion, anodizing, paint, and fabrication operations.
17. Sidney Fabrication (USA). The Sidney, Ohio fabrication site was established in 1986 and has approximately 235 employees. The site provides advanced fabricated Aluminium components to the automotive and heavy truck industry.
18. Spanish Fork (USA). The Spanish Fork, Utah production site was established in 1978 and has approximately 250 employees. The site serves numerous industries and includes a distribution depot as well as recycling, billet Casting, and extrusion operations.

19. St. Augustine (USA). The Saint Augustine, Florida production site was established in 1972 and has approximately 355 employees. The site serves numerous industries and includes recycling, billet Casting, extrusion, coating, and fabrication operations.
20. The Dalles (USA). The Dalles, Oregon site was established in 1958 and has approximately 70 employees. The Facility serves as a stand-alone recycling and billet Casting Facility supplying ingot to Hydro's North American extrusion sites.
21. Toronto Cast (Canada). The North York, Ontario production site was established in 1974 and has approximately 80 employees. The Facility serves as a stand-alone recycling and billet Casting Facility supplying ingot to Hydro's North American extrusion sites.
22. Yankton (USA). The Yankton, South Dakota production site was established in 1979 and has approximately 370 employees. The site serves numerous industries and includes recycling, billet Casting, extrusion, coating, and fabrication operations.
23. Moon Township (USA). The Moon Township, Pennsylvania, office houses Hydro's support staff shared amongst several business areas and has approximately 200 employees.

## MATURITY RATINGS

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

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

OVERALL	
<b>SYSTEMS</b>	Medium
<b>RISKS</b>	Medium
<b>PERFORMANCE</b>	Medium
<b>OVERALL</b>	<b>MEDIUM</b>

## FINDINGS

CRITERION	RATING	COMMENT
<b>1. MANAGEMENT SYSTEM AND RESPONSIBILITIES</b>		
1.1 ASI Membership	Conformance	The Entity is an ASI Member committed to complying with ASI membership obligations and the ASI Complaints Mechanism. The Entity also holds Certification to the ASI Performance Standard.
1.2 CoC Management System	Conformance	The Entity has developed and implemented a Management System that addresses all applicable requirements of the Chain of Custody Standard. An ASI Management System Document is developed. The document describes the Management System, including its purpose, scope, responsibilities, functions, Management, Management Reviews, corrective and preventative measures and documentation and record retention, which gives governance of the CoC system.
1.3 CoC Management System Monitoring	Conformance	The Entity has developed and implemented a Management System that addresses all applicable requirements of the Chain of Custody Standard. An ASI Management System Document is developed. The document describes the Management System, including its purpose, scope, responsibilities, functions, Management, Management Reviews, corrective and preventative measures and documentation and record retention, which gives governance of the CoC system.
1.4 Management Representative	Conformance	The Entity has appointed a member of the management team as the responsible person for the implementation of the Chain of Custody Standard.
1.5 Communications and Training	Conformance	The Entity has developed and implemented communications and training measures that make relevant personnel aware of, and competent in their responsibilities under the Chain of Custody Standard.
1.6 Records Management	Conformance	The Entity maintains up-to-date records (Management System) addressing all applicable requirements of the Chain of Custody Standard.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity's operating procedure specifies that it reports Input and Output Quantities of CoC Material to the ASI Secretariat within three months after the end of each calendar year.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	The Entity's operating procedure specifies that it reports Input and Output Quantities of CoC Material to the ASI Secretariat within three months after the end of each calendar year.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity's operating procedure specifies that it reports Inflow and Outflow Quantities of Non-CoC Material/s to/from the Certified Entity over the calendar year to the ASI Secretariat within three months after the end of each calendar year.
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity's operating procedure specifies that it reports a Positive Balance carried over to the subsequent Material Accounting Period, if any, to the ASI Secretariat within three months after the end of each calendar year.

CRITERION	RATING	COMMENT
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity's operating procedure specifies that it reports on Positive Balance used, if any, to the ASI Secretariat within three months after the end of each calendar year.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity's operating procedure specifies that it reports on Internal Overdraw drawn down from the subsequent Material Accounting Period, if any, to the ASI Secretariat within three months after the end of each calendar year.
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	The Entity's operating procedure specifies that it reports on Quantities of CoC Material/s transferred between supply chain activities within the CoC Certified Entity (Intra-Entity Flows) over the calendar year to the ASI Secretariat within three months after the end of each calendar year.

## 2. OUTSOURCING CONTRACTORS

2.1 Certification Scope	Conformance	The Entity has identified all applicable Outsourced Contractors in its Certification Scope.
2.2a Control of CoC Material (Legal ownership or control)	Conformance	The Entity has established procedures and tools to govern and control ownership of Coc Material used by their outsourcing partners.
2.2b Control of CoC Material (No further outsourcing)	Conformance	The Entity has established procedures and tools to govern and control ownership of Coc Material used by outsourcing partners, including that the Outsourcing Contractor will not outsource any processing, treatment or manufacturing of CoC Material to any other Contractor.
2.2c Control of CoC Material (Risk assessment)	Conformance	The Entity has assessed the risk of potential non-conformance with the Chain of Custody Standard resulting from the engagement of each Outsourcing Contractor. The ASI CoC Management System includes relevant guidelines and procedures including Due Diligence procedure, procurement risk assessment tools and Supplier risk assessment tools.
2.3 Information on Quantity of CoC Material Output and Returned	Conformance	The Entity has processes to ensure that the Outsourcing Contractor provides information on the Output Quantity of CoC Material to the Entity at the conclusion of the Material Accounting Period.
2.4 Consistency in Inflow and Outflow Quantity of CoC Material to/from Outsourcing Contractor	Conformance	The Entity has processes to verify that the Output Quantity of CoC Material is consistent with the Input Quantity of CoC Material provided to the Outsourcing Contractor and record it in its Material Accounting System.
2.5 Error (Outsourcing Contractor)	Conformance	The Entity has processes to verify that if an error is discovered after CoC Material has been shipped, the Entity and the Outsourcing Contractor shall document the error and the agreed steps to correct it and implement actions to avoid a recurrence.

## 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.
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CRITERION	RATING	COMMENT
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 has systems in place to ensure that ASI Aluminium is produced only from Facilities that are within the Entity's CoC Certification Scope, and/or in which the Entity holds a legal interest and are within the CoC Certification Scope of another CoC Certified Entity.
4.1b Recycled Aluminium (Performance Standard)	Conformance	The Entity has systems in place to ensure that ASI Aluminium is produced only from Facilities that are Certified against the ASI Performance Standard.
4.2a Eligible Scrap (Pre-Consumer)	Conformance	The Entity has procedures and Policies defining that it will only use CoC Material for Re-melting/Refining as part of the annual Output of CoC Material.
4.2b Eligible Scrap (Post-Consumer)	Conformance	The Entity has established procedures and an accounting system to govern the qualification of eligible Post-Consumer Scrap. Due Diligence processes are in place for qualifying and following up on Scrap suppliers.
4.2c Eligible Scrap (Dross)	Conformance	The Entity has procedures and Policies that define it will only use CoC Material for Re-melting/Refining as part of the annual Output of CoC Material.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Conformance	The Entity has an accounting system to record the identity and place/s of operation of all Recyclable Scrap Material direct suppliers.

CRITERION	RATING	COMMENT
4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions)	Conformance	The Entity does not make cash payments, and systems are in place to ensure that financial transactions are undertaken in accordance with relevant legislation.
<b>5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM</b>		
5.1a ASI Aluminium (CoC Certification Scope)	Conformance	The Entity has implemented a Material Accounting System that ensures ASI Aluminium is produced only from Casthouses within the Entity's CoC Certification Scope or are Certified against the ASI Performance Standard.
5.1b ASI Aluminium (Performance Standard)	Conformance	The Entity has implemented a Material Accounting System that ensures ASI Aluminium is produced only from Casthouses within the Entity's CoC Certification Scope or are Certified against the ASI Performance Standard.
5.1c ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has implemented a Material Accounting System that ensures Casthouses source ASI Aluminium directly from other ASI CoC Certified Entities or via Traders who can provide evidence of CoC Documentation. This ensures that the origin of all ASI Aluminium used by the Entity can be traced back to a Certified source.
5.2 Unique Identification	Conformance	The Entity has implemented a Material Accounting System to ensure that unique identification numbers are linked to the Input Quantity of CoC Material for that Material Accounting Period.
<b>6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM</b>		
6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The Entity has implemented an operating procedure and cooperates with ASI Certified Suppliers to secure the supply and production of ASI CoC Materials.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity has implemented an operating procedure and cooperates with ASI Certified Suppliers to secure the supply and production of ASI CoC Materials.
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has implemented an operating procedure and cooperates with ASI Certified Suppliers to secure the supply and production of ASI CoC Materials.
<b>7. DUE DILIGENCE FOR NON-COC MATERIAL, COC MATERIAL ACQUIRED THROUGH A TRADER AND RECYCLABLE SCRAP MATERIAL</b>		
7.1a Responsible Sourcing Policy (Anti-corruption)	Conformance	The Entity has implemented a Responsible Sourcing Policy that addresses all aspects of the ASI Chain of Custody Standard and the ASI Performance Standard.
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has implemented a Responsible Sourcing Policy for Aluminium, which conforms to the ASI Chain of Custody Criteria and relevant Criterion of the ASI Performance Standard.

CRITERION	RATING	COMMENT
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	The Entity has implemented Policies, procedures, and processes for Responsible Sourcing and Human Rights Due Diligence that conform to the requirements of the ASI Chain of Custody and relevant Criterion of the ASI Performance Standard.
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has implemented Policies, procedures and processes that conform to the requirements of the ASI Chain of Custody Standard and ASI Performance Standard.
7.2 Risk Assessment and Mitigation	Conformance	The Entity has implemented a procurement Risk Assessment and ASI CoC Management System file, including relevant guidelines and procedures (e.g. Due Diligence procedure, procurement Risk Assessment tools and supplier risk assessment tools).
7.3 Complaints Resolution Mechanism	Conformance	The Entity has implemented an accessible, transparent, understandable, and culturally and gender-sensitive Complaints Resolution Mechanism to address Stakeholder complaints, grievances and requests for information relating to its operations. This is available at: <a href="https://www.hydro.com/en/contact-us">https://www.hydro.com/en/contact-us</a>
<b>8. MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM</b>		
8.1 Material Accounting System	Conformance	The Entity has established a Material Accounting System that records the Input Quantity and Output Quantity of CoC Material and Non-CoC Material by mass.
8.2 Material Accounting Period	Conformance	The Entity has defined a 12-month rolling period as its Material Accounting Period (i.e. January–December).
8.3 Input and Inflow Quantities	Conformance	The Entity has established a Material Accounting System that effectively tracks and records Input and Inflow Quantities.
8.4 Output Quantities of CoC Material	Conformance	The Entity has established a Material Accounting System that effectively tracks and records the Output Quantities of CoC Material.
8.5 Indivisibility of CoC Material	Conformance	The Entity has designated its Output Quantity as 100% CoC Material per its Material Accounting System procedures and processes.
8.6 Output Quantity of Eligible Scrap	Conformance	The Entity has established a Material Accounting System that, where relevant tracks and records Output Quantity of Eligible Scrap. =
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity has established a Material Accounting System in conformance with ASI Chain of Custody Standard requirements, and to have updated information on its inventory balance monthly.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity has established a Material Accounting System that ensures any Internal Overdraw will not exceed 20 percent.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity has established a Material Accounting System that ensures any Internal Overdraw will not exceed any force majeure situation.

CRITERION	RATING	COMMENT
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Entity has established a Material Accounting System that ensures any Internal Overdraw is made up within the subsequent Material Accounting Period.
8.9a Positive Balance (Carry over)	Conformance	The Entity has established a Material Accounting System that prescribed how any Positive Balance is carried over to the next accounting period for utilisation.
8.9b Positive Balance (Expiry)	Conformance	The Entity has established a Material Accounting System that prescribes it is carried to the next accounting period, where it must be utilised.

## 9. ISSUING CoC DOCUMENTS

9.1 CoC Document	Conformance	The Entity has established both a procedure and an ASI CoC Document template, ensuring that Coc Documents are controlled, issued and stored as per ASI Chain of Custody requirements.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity has established both a procedure and an ASI CoC Document template, ensuring that the Entity's CoC Documents provide the Date of issue.
9.2b CoC Document Content (Reference number)	Conformance	The Entity has established both a procedure and an ASI CoC Document template, ensuring that the Entity's CoC Documents provide a Reference Number.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity has established both a procedure and an ASI CoC Document template, ensuring that the Entity's CoC Documents provide details of the Issuing Entity.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity has established both a procedure and an ASI CoC Document template, ensuring that the Entity's CoC Documents provide details of the receiving customer.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity has established both a procedure and an ASI CoC Document template, ensuring the Entity's CoC Documents provide details of responsible employees(s).
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity has established both a procedure and an ASI CoC Document template, ensuring that CoC Documents provide a conformance statement.
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity has established both a procedure and an ASI CoC Document template, ensuring the Entity's CoC Documents provide details on the type of CoC Material being dispatched.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity has established both a procedure and an ASI CoC Document template, ensuring the Entity's CoC Documents provide details on the mass of CoC Material being dispatched.

CRITERION	RATING	COMMENT
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity has established both a procedure and an ASI CoC Document template, ensuring the Entity's CoC Documents provide details on the mass of total Material being dispatched.
9.3a Sustainability Data (optional) - Carbon footprint	Conformance	The Entity has established a procedure and an ASI CoC Document template to ensure that CoC Documents are controlled, issued, and stored according to the ASI Chain of Custody Standard requirements, including applicable Sustainability Data in the CoC Document for CoC Material.
9.3b Sustainability Data (optional) - Origin information	Conformance	The Entity has established a procedure and an ASI CoC Document template to ensure that CoC Documents are controlled, issued, and stored according to the ASI Chain of Custody Standard requirements, including applicable Sustainability Data in the CoC Document for CoC Material.
9.3c Sustainability Data (optional) - Recycled content	Conformance	The Entity has established a procedure and an ASI CoC Document template to ensure that CoC Documents are controlled, issued, and stored according to the ASI Chain of Custody Standard requirements, including applicable Sustainability Data in the CoC Document for CoC Material.
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Conformance	The Entity has established a procedure and an ASI CoC Document template to ensure that CoC Documents are controlled, issued, and stored according to the ASI Chain of Custody Standard requirements, including applicable Sustainability Data in the CoC Document for CoC Material.
9.4 Supplementary Information (optional) - Objective evidence	Conformance	The Entity has established a procedure and an ASI CoC Document template to ensure that CoC Documents are controlled, issued, and stored according to the ASI Chain of Custody Standard requirements.
9.5 Verification of Information	Conformance	The Entity has established a procedure for responding to requests for verification of information in CoC Documents issued by the Entity.
9.6 Error (Shipping)	Conformance	The Entity has established procedures that include error management. The Entity informs relevant Stakeholders of errors and agrees on Corrective Actions and improvements.

## 10. RECEIVING COC DOCUMENTS

10.1 Verification of CoC Documents	Conformance	The Entity has established processes to ensure the amount of Material, and the Material details are verified.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity has established processes to ensure the amount of Material, and the Material details are verified.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has established processes to ensure the Supplier's ASI CoC Certification details are verified.

CRITERION	RATING	COMMENT
10.4 Error (Reception)	Conformance	The Entity has established processes to ensure that any errors are identified and managed.
<b>11. CLAIMS AND COMMUNICATIONS</b>		
11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity has developed Policies, systems, procedures, and processes to ensure that claims and/or representations about CoC Material outside of CoC Documents are consistent with the ASI Claims Guide.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity has developed Policies, systems, procedures, and processes to ensure that claims and/or representations about CoC Material outside of CoC Documents are consistent with the ASI Claims Guide.
11.1c Claims and Communications (Employee training)	Conformance	The Entity has developed Policies, systems, procedures, and processes to ensure that claims and/or representations about CoC Material outside of CoC Documents are consistent with the ASI Claims Guide.

#### ASI LIMITATION OF LIABILITY DISCLAIMER

Organisations that make ASI-related claims are each responsible for their own compliance with Applicable Law, including laws and regulations related to labelling, advertisement, and consumer protection, and competition or antitrust laws, at all times. ASI does not accept liability for any violations of Applicable Law or any infringement of third-party rights (each a Breach) by other organisations, even where such Breach arises in relation to, or in reliance upon, any ASI Standard, document or other material, recommendation or directive issued by or on behalf of ASI. ASI gives no undertaking, representation or warranty that compliance with an ASI Standard, document or other material, recommendation or directive issued by or on behalf of ASI will result in compliance with any Applicable law, or will avoid any Breach from occurring.

#### DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	26 May 2025	Initial Certification Audit - Full Certification