

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

MYTILINEOS S.A.

CERTIFICATE
NUMBER

229

ASI
STANDARD

CHAIN OF CUSTODY
(V1 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI
ACCREDITED
AUDITOR

EUROCERT
S.A.

DATE OF ISSUE

17 OCTOBER 2022

DATE OF EXPIRY

16 OCTOBER 2025

CERTIFIED SINCE

17 OCTOBER 2022

AUTHORISED BY

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

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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

Mytilineos S.A. - Metallurgy Business Unit
(Greece), including:

- Bauxite mining activities of Delphi Distomon site;
- Refining, smelting and casthouse activities at the Aluminium Of Greece Plant;
- Port Facilities at the Aluminium of Greece Plant;
- and,
- Mytilineos corporate headquarters in Athens.

SUMMARY AUDIT REPORT CHAIN OF CUSTODY STANDARD

OVERVIEW

MEMBER NAME MYTILINEOS S.A. Metallurgy Business Unit

ENTITY NAME Mytilineos S.A.

CERTIFICATION SCOPE Mytilineos S.A. - Metallurgy Business Unit (Greece), including:
- Bauxite mining activities of Delphi Distomon site;
- Refining, smelting and casthouse activities at the Aluminium Of Greece Plant;
- Port Facilities at the Aluminium of Greece Plant; and,
- Mytilineos corporate headquarters in Athens.

SUPPLY CHAIN ACTIVITIES Bauxite Mining
Alumina Refining
Aluminium Smelting
Aluminium Re-melting / Refining
Casthouses

ASI STANDARD Performance Standard V2

AUDIT TYPE Certification Audit

AUDIT FIRM EUROCERT S.A.

AUDIT DATE 25 – 27 July 2022

AUDIT SCOPE The audit scope covered Mytilineos S.A. - Metallurgy Business Unit (Greece), including Bauxite Mining activities of Delphi Distomon site and Alumina Refining, Aluminium Smelting, Aluminium Re-melting/Refining, Casthouses activities, Support Activities and Port Facilities at Aluminium Of Greece Plant and headquarters (Athens).

Supply chain activities included in the Audit Scope:

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

All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.

AUDIT
OUTCOME

Certification

AUDIT
METHODOLOGY
DECLARATION

The Auditors confirm that:

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

17 October 2022 – 16 October 2025

NEXT AUDIT
TYPE

Surveillance Audit

NEXT AUDIT
DATE

17 April 2024

CERTIFICATION
NUMBER

229

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	<p>Mytilineos S.A. is an ASI Member in the membership class of Production and Transformation since 2019. Mytilineos S.A. is committed to complying with the requirements of ASI.</p> <p>https://aluminium-stewardship.org/about-asi/asi-members/mytilineos-s-a-metallurgy-business-unit</p>
1.2 Management system	Conformance	<p>The Entity has established a Management System that addresses all applicable requirements of the ASI Chain of Custody (CoC) Standard. The Entity's Management System for ASI CoC Certification is linked to the existing Quality Management System. It is based on existing procedures that have been reviewed and new procedures have been developed for the implementation of the ASI CoC Standard. The procedure describes the objectives, governance model, scope, responsibilities, and handling of ASI CoC Materials and Non-CoC Materials, including calculation methods for the Material Accounting System. The Entity has an integrated supply chain and has direct control of Facilities from Bauxite Mine, Alumina production to Casting.</p>
1.3 Management system reviews	Conformance	<p>The Entity has established a Management System and implemented a CoC manual. The CoC manual describes in detail the Accounting System and its use. The Aluminium of Greece Plant has an Accounting System in which the amount of bauxite from the Delfoi Distomo mine is counted, as Aluminium of Greece Plant is its only client and belongs to the same company (Mytilineos).</p>
1.4 Management representative	Conformance	<p>The Entity has nominated a Senior Management Representative with the overall responsibility for the ASI CoC Standard. The Entity also identified a cross-functional operational team responsible for the operational implementation of the ASI CoC Standard.</p>
1.5 Training	Conformance	<p>The Entity has developed and implemented communication and training measures to ensure relevant personnel are aware of and competent in their responsibilities under the ASI CoC Standard. Adequate training was provided to the CoC operational team.</p>
1.6 Record keeping	Conformance	<p>The Entity maintains up-to-date records according to its procedures for document and records</p>

CRITERION	RATING	COMMENT
		management and the ASI CoC manual. This procedure and the CoC manual describe the Material Accounting System (software/tools used) and its relevant records filing system.
1.7a Reporting to ASI (Inputs and Outputs)	Not Applicable	This Criterion is not applicable, as the Entity has recently held a valid ASI CoC Certification and has not yet reported to the ASI Secretariat.
1.7b Reporting to ASI (Input Percentage)	Not Applicable	This Criterion is not applicable, as the Entity has recently held a valid ASI CoC Certification and has not yet reported to the ASI Secretariat.
1.7c Reporting to ASI (Positive Balance)	Not Applicable	This Criterion is not applicable, as the Entity has recently held a valid ASI CoC Certification and has not yet reported to the ASI Secretariat.
1.7d Reporting to ASI (Internal Overdraw)	Not Applicable	This Criterion is not applicable, as the Entity has recently held a valid ASI CoC Certification and has not yet reported to the ASI Secretariat.
1.7e Reporting to ASI (Eligible Scrap)	Not Applicable	This Criterion is not applicable, as the Entity has recently held a valid ASI CoC Certification and has not yet reported to the ASI Secretariat.
1.7f Reporting to ASI (ASI Credits from Casthouses)	Not Applicable	This Criterion is not applicable as the Entity does not use ASI Market Credits System.
1.7g Reporting to ASI (ASI Credits purchased)	Not Applicable	This Criterion is not applicable as the Entity does not use ASI Market Credits System.
2 OUTSOURCING CONTRACTORS		
2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors.
2.2a Control of CoC Material	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors.
2.2b No further outsourcing	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors.
2.2c Risk assessment	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors.
2.3 Output Quantity	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors.
2.4 Verification and record-keeping	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors.
2.5 Error management	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors.

CRITERION	RATING	COMMENT
3 PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI LIQUID METAL		
3.1a CoC Certification Scope – Bauxite Mining	Conformance	The Entity's Bauxite Mining Units (Delfi-Distomon) are ASI Performance Standard Certified and within the Entity's CoC Certification Scope. Delfi-Distomon transfers all its production to the Aluminium of Greece Plant without mixing it with Non-CoC Material. Therefore, the entire Bauxite quantities produced by the Entity's mining units are CoC Bauxite. Mytilineos S.A. mines Bauxite from its mines (Delphi Distomo) located in Ano Kounouklia Eleonas, in the Prefecture of Fokida.
3.1b ASI Performance Standard – Bauxite Mining	Conformance	The Entity's Bauxite Mining Units (Delfi-Distomon) are ASI Performance Standard Certified and within the Entity's CoC Certification Scope. Delfi-Distomon transfers all its production to the Aluminium of Greece Plant, without mixing it with Non-CoC Material. Therefore, the entire Bauxite quantities produced by the Entity's mining units are CoC Bauxite. Mytilineos S.A. mines Bauxite from its mines (Delphi Distomo) that are ASI Performance Standard certified. https://aluminium-stewardship.org/wp-content/uploads/2021/10/ASI-Summary-Audit-Report-Mytilineos-S.A-Certificate-156-PS.pdf
3.2a CoC Certification Scope – Alumina Refining	Conformance	The Entity's Alumina Refining occurs at the Aluminium of Greece plant located in Agios Nikolaos, Viotia, which is included in the Entity's CoC Certification Scope.
3.2b ASI Performance Standard – Alumina Refining	Conformance	The Entity's Alumina is produced at the Aluminium of Greece plant which is part of its Performance Standard Certification Scope. https://aluminium-stewardship.org/wp-content/uploads/2021/10/ASI-Summary-Audit-Report-Mytilineos-S.A-Certificate-156-PS.pdf
3.3a CoC Certification Scope – Aluminium Smelting	Conformance	The Entity's Aluminium is produced at its Electrolysis Facilities at the Aluminium of Greece plant which is included in the Entity's ASI CoC Certification Scope. https://aluminium-stewardship.org/about-asi/asi-members/mytilineos-s-a-metallurgy-business-unit
3.3b ASI Performance Standard – Aluminium Smelting	Conformance	The Entity's Electrolysis Facilities are in the Aluminium of Greece Plant and is ASI Performance Standard Certified. https://aluminium-stewardship.org/wp-content/uploads/2021/10/ASI-Summary-Audit-Report-Mytilineos-S.A-Certificate-156-PS.pdf

CRITERION	RATING	COMMENT
4 RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP AND ASI LIQUID METAL		
4.1a CoC Certification Scope – Aluminium Re-Melting/Refining	Conformance	The Entity has designated internal Scrap as an ASI Eligible Input, produced at the Aluminium of Greece Plant that is part of the Entity's ASI CoC and Performance Standard Certification Scope. The Entity has established robust processes to monitor the quantities of Recycled Aluminium and designated Eligible Inputs and Non-CoC Materials in the Material Accounting System.
4.1b ASI Performance Standard – Aluminium Re-Melting/Refining	Conformance	The Entity's internal Scrap metal is used as Input to the Aluminium Re-melting/Refining process and is included in the ASI Performance Standard Certification Scope. The Entity is engaged in Aluminium Re-melting/Refining activities to produce Recycled Aluminium at the Aluminium of Greece Plant, which is certified against the ASI Performance Standard. https://aluminium-stewardship.org/wp-content/uploads/2021/10/ASI-Summary-Audit-Report-Mytilineos-S.A-Certificate-156-PS.pdf
4.2a Pre-Consumer Scrap and Dross	Conformance	The Entity has implemented a procedure that describes the categories of Scrap and its classification. The Entity uses a mix of Pre-Consumer, and Post-Consumer Scrap as Input that contains Dross and treated Dross residues. After this classification, the Certification Status of Materials is checked for eligibility. The incoming Material is accounted for in the Material Accounting System.
4.2b Post-Consumer Scrap	Conformance	The Entity uses a mix of Pre-consumer, and Post-Consumer Scrap as Input that contains Dross and treated Dross residues. The Entity has implemented diligence and risk evaluation procedures to screen its critical suppliers and to conduct risk assessments according to specific criteria. The Entity has recently assessed all its Scrap suppliers and documented these results.
4.3a Supplier records	Conformance	The Entity has established procedures to record the identity, place of operation, and principles of all direct suppliers of Recyclable Scrap Material. The Entity screens, monitors, and periodically evaluates all direct suppliers of Recyclable Scrap Material. There are detailed records for every supplier of Recyclable Scrap Material.
4.3b Cash payments	Conformance	The Entity does not conduct cash transactions with the supplies of its products.

CRITERION	RATING	COMMENT
5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a CoC Certification Scope – Casthouses	Conformance	The Entity produces Casthouse Products from Primary Aluminium and Recycled Aluminium at its Casthouse Facilities in the factory Aluminium of Greece Plant located in Agios Nikolaos, Viotia, Greece, which are included in the Entity's CoC Certification Scope. More information is available at: https://aluminium-stewardship.org/about-asi/asi-members/mytilineos-s-a-metallurgy-business-unit https://www.mytilineos.gr/what-we-do/metallurgy/aluminium-of-greece
5.1b ASI Performance Standard – Casthouses	Conformance	The Entity's Casthouse Products are produced at its Casthouse Facilities in the factory Aluminium of Greece Plant which are included in the Entity's ASI Performance Standard Certification Scope. https://aluminium-stewardship.org/wp-content/uploads/2021/10/ASI-Summary-Audit-Report-Mytilineos-S.A-Certificate-156-PS.pdf
5.2 Casthouse Products	Conformance	The Entity's Casthouse has implemented a hard-marking system to ensure that unique identification numbers appear on products (e.g., slabs and columns). This information is linked to the Material Accounting System. A printed tag is included with each package and the information on the tag is described in the related Casthouses procedures.
6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a CoC Certification Scope – Post-Casthouse	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.1b ASI Performance Standard – Post-Casthouse	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.1c Sourcing ASI Aluminium	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	The Entity has established a Responsible Sourcing Policy which is documented in the Suppliers/Business Partners Code of Conduct which addresses Anti-Corruption and Bribery: https://www.mytilineos.gr/media/14hbtss2/mytilineos_suppliers_code_of_conduct_2022_en.pdf The Entity's Mytilineos Code of Business Conduct (2019) includes a Clause that addresses 'Dealing with Corruption and Bribery':

CRITERION	RATING	COMMENT
		<p>https://www.mytilneos.gr/media/hwdhvhaw/kodikas_deontologias_omilou_2019_en_web.pdf</p> <p>The Entity has established procedures for the evaluation of suppliers and communication with new and existing suppliers regarding the Codes of Conduct.</p>
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	<p>The Entity has established a Responsible Sourcing Policy which is documented in the Suppliers/Business Partners Code of Conduct which addresses responsible sourcing:</p> <p>https://www.mytilneos.gr/media/14hbtss2/mytilneos_suppliers_code_of_conduct_2022_en.pdf</p> <p>The Entity's Mytilneos Code of Business Conduct (2019) includes a Clause that addresses 'Relations with the supply chain':</p> <p>https://www.mytilneos.gr/media/hwdhvhaw/kodikas_deontologias_omilou_2019_en_web.pdf</p>
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	<p>The Entity has established a Responsible Sourcing Policy which is documented in the Suppliers/Business Partners Code of Conduct which addresses Human Rights:</p> <p>https://www.mytilneos.gr/media/14hbtss2/mytilneos_suppliers_code_of_conduct_2022_en.pdf</p> <p>The Entity's Mytilneos Code of Business Conduct (2019) includes a Clause that addresses 'Respect for Human Rights':</p> <p>https://www.mytilneos.gr/media/hwdhvhaw/kodikas_deontologias_omilou_2019_en_web.pdf</p> <p>The Entity has established a Human Rights Policy, available at:</p> <p>https://www.mytilneos.gr/media/rp3edd3u/politiki_an_thrwpinwn_dikaiwmatwn_en.pdf</p>
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	<p>The Entity has established a Responsible Sourcing Policy which is documented in the Suppliers/Business Partners Code of Conduct which addresses responsible sourcing:</p> <p>https://www.mytilneos.gr/media/14hbtss2/mytilneos_suppliers_code_of_conduct_2022_en.pdf</p> <p>The Entity's Mytilneos Code of Business Conduct (2019) includes a Clause that addresses 'Relations with the supply chain':</p> <p>https://www.mytilneos.gr/media/hwdhvhaw/kodikas_deontologias_omilou_2019_en_web.pdf</p> <p>The Entity's Mytilneos Suppliers and Business Partners Code of Conduct contains a Clause that addresses Conflict Minerals, and the Entity has committed that it does not cooperate with suppliers situated in Conflict-Affected and High-Risk Areas.</p>

CRITERION	RATING	COMMENT
		The Entity has demonstrated all the suppliers have been assessed using a specialised tool and confirmed that none of the suppliers is in Conflict-Affected and High-Risk Areas (CAHRAs).
7.2 Risk assessment	Conformance	The Entity has demonstrated it periodically evaluates its suppliers by using Refinitiv (formerly Thomson Reuters) Worldcheck One platform which allows new business partners (customers/suppliers) to be audited. The latest risk assessments of Bauxite and Scrap suppliers are documented in appropriate records according to established procedures. These risk assessments have not identified any adverse impacts that require measurable risk mitigation.
7.3 Complaints mechanism	Conformance	The Entity has established a Complaints Mechanism and internal compliance processes, interested parties can communicate with Mytilineos S.A through the following channels: <ul style="list-style-type: none"> - Webpage at https://www.mytilineos.gr/contact-us/ - Requests & Complaints Form at https://www.mytilineos.gr/what-we-do/metallurgy/aluminium-of-greece/requests-complaints-form/ - Email at compliance@mytilineos.gr More information is available at: https://www.mytilineos.gr/who-we-are/governance/compliance/#section10
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity has established a Material Accounting System based on Oracle Applications for the production process and has implemented a manual that describes the use of the System. The CoC internal control system describes the Material flow, from the Bauxite Mines to the Casthouses, via the Refineries and the Smelters. The Material Accounting System has been evaluated using random data as no actual CoC data were present. The full functionality of the Material Accounting System will be assessed at the next Surveillance Audit.
8.2a Post-Consumer Scrap	Conformance	The Entity has established a Material Accounting System that collects data on the Input for Post-Consumer Scrap. As no actual CoC data were present, the Material Accounting System has been

CRITERION	RATING	COMMENT
		evaluated using random data related to Post-Consumer Scrap.
8.2b Pre-Consumer Scrap (total)	Conformance	The Entity has established a Material Accounting System that collects data on the Input for Pre-Consumer Scrap. As no actual CoC data were present, the Material Accounting System has been evaluated using random data related to the total Input of Pre-Consumer Scrap.
8.2c Pre-Consumer Scrap (Eligible Scrap)	Conformance	The Entity has established a Material Accounting System that collects data on the Input Quantity of Pre-Consumer Scrap that is Eligible Scrap. As no actual CoC data were present, the Material Accounting System has been evaluated using random data related to the Input of eligible Pre-Consumer Scrap.
8.3 Material Accounting Period	Conformance	The Entity has defined its Material Accounting Period as 1 January to 31 December, a 12-month calendar year.
8.4 Input Percentage	Conformance	The Entity calculates and records the Input Percentage for a given Material Accounting Period. The Entity uses consistent units (tonnes) and adequate Material Conversion rates in its calculations as defined by its ASI CoC Manual.
8.5 Input Percentage (Aluminium Re-Melting and Refining)	Conformance	The Entity has implemented an ASI CoC manual which defines the process and the Input Percentage using Eligible Scrap for a given Material Accounting Period. The Entity uses consistent units (tonnes) and adequate Material Conversion rates in its calculations. The Input Quantity of Eligible Scrap and Recyclable Scrap Material shall be based on an assessment of Aluminium content.
8.6 Output Quantity determination	Conformance	The Entity has established a Material Accounting System that calculates the Output Quantity by mass and uses the Input Percentage calculated. This Output Percentage is compared with the Input Percentage to ensure that it does not exceed it. This is verified monthly as defined within the Entity's ASI CoC Manual.
8.7 Output Quantity designation	Conformance	The Entity has designated its Output Quantity of CoC Material as 100%. The Material Accounting System is designed to automatically calculate the Output percentage. This Output percentage is

CRITERION	RATING	COMMENT
		compared with the Input Percentage to ensure that it does not exceed it.
8.8 Output Quantity – Pre-Consumer Scrap	Not Applicable	This Criterion is not applicable as the Entity recycles its internal Scrap back into the system.
8.9 Outputs not exceed inputs	Conformance	The Entity has established a Material Accounting System and internal control mechanisms to ensure that Outputs do not exceed Inputs, this is reviewed monthly. The Entity determines the maximum Outputs of ASI CoC Material, based on CoC Material Inputs, conversion factors, and Eligible Scrap.
8.10a Internal Overdraws (not exceed 20%)	Not Applicable	This Criterion is not applicable as the Entity does not wish to use the option of carrying over an Internal Overdraw to the subsequent Material Accounting Period.
8.10b Internal Overdraws (not exceed affected amount)	Not Applicable	This Criterion is not applicable as the Entity does not wish to use the option of carrying over an Internal Overdraw to the subsequent Material Accounting Period.
8.10c Internal Overdraws (period to make up)	Not Applicable	This Criterion is not applicable as the Entity does not wish to use the option of carrying over an Internal Overdraw to the subsequent Material Accounting Period.
8.11a Positive Balance (carry over)	Conformance	The Entity has established a Material Accounting System and internal control mechanisms to ensure that a Positive Balance is carried over to the subsequent material accounting period.
8.11b Positive Balance (expiry)	Conformance	The Entity has established a Material Accounting System and internal control mechanisms to ensure that a Positive Balance carried over to the subsequent Material Accounting Period will expire at the end of that period if not drawn down.
9 ISSUING COC DOCUMENTS		
9.1 Shipments and transfers	Conformance	The Entity has implemented a procedure to ensure that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The Entity will include CoC information in the accompanying invoice to CoC Certified Entities. As there has been no shipment and transfer of CoC Material, the effectiveness of these documents and records will be assessed at the next Surveillance Audit.

CRITERION	RATING	COMMENT
9.2a Date of issue	Conformance	The Entity's CoC Document template includes the date of issue which will be the same as the shipping documentation.
9.2b Reference number	Conformance	The Entity's CoC Document template includes the reference number that will be the same as the shipping documentation number.
9.2c Issuing Entity	Conformance	The Entity's CoC Document template includes the Entity's identity, address, and CoC Certification number.
9.2d Receiving customer	Conformance	The Entity's CoC Document template includes the identity and address of the customer receiving the CoC Material, and if it is another CoC Certified Entity, their CoC Certification number is included in the CoC Document.
9.2e Responsible employee	Conformance	The Entity's CoC Document template includes the identity and address of the customer receiving the CoC Material, and if it is another CoC Certified Entity, the details of the Responsible Employee.
9.2f Conformance statement	Conformance	The Entity's CoC Document template includes the required conformance statement.
9.2g Type of CoC Material	Conformance	The Entity's CoC Document template includes the type of CoC Material of the shipment.
9.2h Mass of CoC Material	Conformance	The Entity's CoC Document template includes the Mass of CoC Material of the shipment.
9.2i Mass of total material	Conformance	The Entity's CoC Document template includes the Mass of total Material of the shipment.
9.3a Sustainability Data (optional)	Not Applicable	This Criterion is not applicable as the Entity does not wish to include Sustainability Data in CoC Documents.
9.3b Sustainability Data (passing on)	Not Applicable	This Criterion is not applicable as the Entity does not wish to include Sustainability Data in CoC Documents.
9.3c Post-Casthouse ASI Certification status	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.4 Supplementary Information (optional)	Not Applicable	This Criterion is not applicable as the Entity does not wish to include Supplementary Information in CoC Documents.
9.5 Response to verification requests	Conformance	The Entity has designated Sales personnel responsible for the management of CoC requests

CRITERION	RATING	COMMENT
		from customers aligned to the Entity's Quality Management System. In any case of CoC-related issues, the ASI CoC Representative is informed and takes appropriate decisions for Corrective Actions if needed. The relevant personnel were trained on their duties under the ASI CoC Standard. The system is robust to document errors, Corrective Actions, and any potential preventive measures according to the existing procedures.
9.6 Error management	Conformance	The Entity has implemented an error management process as part of its Quality Management System. The Entity's ASI team identifies non-conformities, regularly monitors root causes and Corrective Actions.
10 RECEIVING COC DOCUMENTS		
10.1 Verify required information included	Conformance	The Entity has established a Management System procedure and actions to regularly check and verify CoC Documents received from other Certified Entities. As the Entity has not yet received CoC Documents, the effectiveness of the procedures will be assessed at the next Surveillance Audit.
10.2 Verify consistency with shipments	Conformance	The Entity has established procedures and controls to regularly check the consistency of the CoC Documents before recording information in the Oracle-based Material Accounting System.
10.3 Verify supplier CoC Certification status	Conformance	The Entity has established a Management System procedure to regularly check the ASI website to verify the validity and scope of its suppliers' ASI Certification.
10.4 Error management	Conformance	The Entity has established an error management process as part of its Quality Management System. Identified non-conformities, root causes, and Corrective Actions are monitored regularly by the Entity's ASI team.
11 MARKET CREDITS SYSTEM: ASI CREDITS		
11.1a Material Accounting System – allocation	Not Applicable	This Criterion is not applicable as the Entity does not use the ASI Market Credits System.
11.1b Link to Casthouse Products	Not Applicable	This Criterion is not applicable as the Entity does not use the ASI Market Credits System.
11.1c No double counting	Not Applicable	This Criterion is not applicable as the Entity does not use the ASI Market Credits System.

CRITERION	RATING	COMMENT
11.1d No Positive Balance for ASI Credits	Not Applicable	This Criterion is not applicable as the Entity does not use the ASI Market Credits System.
11.2a Date of issue	Not Applicable	This Criterion is not applicable as the Entity does not use the ASI Market Credits System.
11.2b Reference number	Not Applicable	This Criterion is not applicable as the Entity does not use the ASI Market Credits System.
11.2c Issuing Entity	Not Applicable	This Criterion is not applicable as the Entity does not use the ASI Market Credits System.
11.2d Receiving Entity	Not Applicable	This Criterion is not applicable as the Entity does not use the ASI Market Credits System.
11.2e Conformance statement	Not Applicable	This Criterion is not applicable as the Entity does not use the ASI Market Credits System.
11.2f ASI Credits statement	Not Applicable	This Criterion is not applicable as the Entity does not use the ASI Market Credits System.
11.2g Quantity	Not Applicable	This Criterion is not applicable as the Entity does not use the ASI Market Credits System.
11.3a CoC Certification Scope – purchasing ASI Credits	Not Applicable	This Criterion is not applicable as the Entity does not use the ASI Market Credits System.
11.3b Material Accounting System – purchasing	Not Applicable	This Criterion is not applicable as the Entity does not use the ASI Market Credits System.
11.3c Expiry	Not Applicable	This Criterion is not applicable as the Entity does not use the ASI Market Credits System.
11.3d No re-trading	Not Applicable	This Criterion is not applicable as the Entity does not use the ASI Market Credits System.
11.3e No allocation to physical products	Not Applicable	This Criterion is not applicable as the Entity does not use the ASI Market Credits System.
11.3f Verify supplier CoC Certification status	Not Applicable	This Criterion is not applicable as the Entity does not use the ASI Market Credits System.
11.3g Five years maximum for ASI Credits purchasing	Not Applicable	This Criterion is not applicable as the Entity does not use the ASI Market Credits System.
12 CLAIMS AND COMMUNICATIONS		
12.1a ASI Claims Guide	Conformance	The Entity has integrated the ASI Claims Guide requirements into its internal procedures and communication mechanisms.

CRITERION	RATING	COMMENT
12.1b Verifiable evidence	Conformance	The Entity has integrated the ASI Claims Guide requirements into its internal procedures and communication mechanisms.
12.1c Employee training	Conformance	The Entity has trained relevant personnel on their duties regarding ASI claims and representation.

Document Control and Version History

Revision	Date	Notes
0	17 October 2022	Initial Certification Audit – Full Certification