

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# HYDRO ALUMINIUM METAL

CERTIFICATE  
NUMBER

42

ASI  
STANDARD

CHAIN OF CUSTODY  
(V1 2017)

CERTIFICATION  
LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITOR

DNV BUSINESS  
ASSURANCE  
SERVICES UK  
LTD.

DATE OF ISSUE

14 AUGUST 2022

DATE OF EXPIRY

13 AUGUST 2025

CERTIFIED SINCE

14 AUGUST 2019

AUTHORISED BY

A handwritten signature in white ink on a dark grey background. The signature is stylized and appears to be 'J. H.' followed by a long horizontal line.

Aluminium Stewardship Initiative Ltd  
ACN 606 661 125, Australia  
info@aluminium-stewardship.org

*Validity of this Certificate is subject to continued  
conformance with the applicable ASI Standard  
and can be verified at*

[www.aluminium-stewardship.org](http://www.aluminium-stewardship.org)

CERTIFICATION SCOPE

Hydro Aluminium Metal including the smelting, re-smelting/refining and Casthouse activities at the production sites Årdal (Norway), Azuqueca (Spain), Clervaux (Luxembourg), Commerce (USA), Deeside (UK), Henderson (USA), Lucé (Casthouse) (France), Rackwitz (Casthouse) (Germany), Husnes (Norway), Høyanger (Norway), Karmøy (Norway), Slovalco (Slovakia), Sunndal (Norway) and the functions of the Aluminium Metal Business Area of Hydro Corporate Office (Norway).

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# SUMMARY AUDIT REPORT

## CHAIN OF CUSTODY

## STANDARD

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### OVERVIEW

MEMBER NAME	Hydro
ENTITY NAME	Hydro Aluminium Metal
CERTIFICATION SCOPE	Hydro Aluminium Metal including the smelting, re-smelting/refining and Casthouse activities at the production sites Årdal (Norway), Azuqueca (Spain), Clervaux (Luxembourg), Commerce (USA), Deeside (UK), Henderson (USA), Lucé (Casthouse) (France), Rackwitz (Casthouse) (Germany), Husnes (Norway), Høyanger (Norway), Karmøy (Norway), Slovalco (Slovakia), Sunndal (Norway) and the functions of the Aluminium Metal Business Area of Hydro Corporate Office (Norway).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>• Aluminium Smelting</li><li>• Aluminium Re-melting/Refining</li><li>• Casthouses</li></ul>
ASI STANDARD	<ul style="list-style-type: none"><li>• Chain of Custody Standard V1</li></ul>
AUDIT TYPE	<ul style="list-style-type: none"><li>• Initial Certification Audit (19 October 2018, 3 November 2018, 21 November 2018, 18 December 2018, 18 – 19 February 2019, 10 – 13 May 2019)</li><li>• Scope Change Audit (24 September 2019 – 14 May 2020)</li><li>• Surveillance Audit (30 June 2020 – 30 April 2021)</li><li>• Re-Certification and Scope Change Audit (3 November 2020 – 30 June 2022)</li></ul>
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none"><li>• 19 October 2018, 3 November 2018, 21 November 2018, 18 December 2018, 18 – 19 February 2019, 10 – 13 May 2019 (Initial Certification Audit)</li><li>• 24 September 2019 – 14 May 2020 (Scope Change Audit)</li><li>• 30 June 2020 – 30 April 2021 (Surveillance Audit)</li><li>• 3 November 2020 – 30 June 2022 (Re-Certification and Scope Change Audit)</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>• 24 July 2019 (First Certification Audit)</li><li>• 9 September 2020 (Scope Change Audit)</li><li>• 9 August 2021 (Surveillance Audit)</li></ul>

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- 13 August 2022 (Re-Certification and Scope Change Audit)
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AUDIT  
SCOPE

Initial Certification Audit (19 October 2018, 3 November 2018, 21 November 2018, 18 December 2018, 18 – 19 February 2019, 10 – 13 May 2019)

Chain of Custody for Hydro Aluminium Primary Metal including the smelting, Re-smelting/Refining and Casthouse activities at the production sites Clervaux, Høyanger, Karmøy, Sunndal and Årdal, and the functions of the Aluminium Metal Business Area of Hydro Corporate Office.

Supply chain activities included in the audit scope:

- Aluminium Smelting
- Aluminium Re-melting/Refining
- Casthouses

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

Scope Change Audit (24 September 2019 – 14 May 2020)

Chain of Custody for Hydro Aluminium Primary Metal including the smelting, Re-smelting/Refining and Casthouse activities at the production sites Rackwitz (Casthouse), Azuqueca, Commerce, Deeside, Henderson, Husnes and Luce (Casthouse).

Supply chain activities included in the audit scope:

- Aluminium Smelting
- Aluminium Re-melting/Refining
- Casthouses

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

Surveillance Audit (30 June 2020 – 30 April 2021)

The Audit Scope for Hydro Aluminium Metal includes the production sites Clearvaux, Commerce, Deeside, Henderson, Lucé (Casthouse) and the functions of the Aluminium Metal Business Area of Hydro Corporate Office.

Supply chain activities included in the audit scope:

- Aluminium Smelting
- Aluminium Re-melting/Refining
- Casthouses

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

At the time of the audit (June 2020 – April 2021), access to the sites was not possible, due to COVID-19 related travel restrictions. The audit has been undertaken as a 'desktop' exercise, in accordance with the ASI Interim Policy regarding Audits, Audit-Related Travel and Coronavirus (v4), and included a remote review of relevant documentation.

Re-Certification and Scope Change Audit (3 November 2020 – 30 June 2022)

The Audit Scope for Hydro Aluminium Metal includes the production sites at Årdal (Norway), Clervaux (Luxembourg), Høyanger (Norway), Karmøy

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(Norway), Slovalco (Slovakia), Sunndal (Norway) and the functions of the Aluminium Metal Business Area of Hydro Corporate Office (Norway).

The Entity uses the ASI multi-site sampling approach and sites at Azuqueca (Spain), Commerce (USA), Deeside (UK), Henderson (USA), Lucé (Casthouse) (France), Rackwitz (Casthouse) (Germany), Husnes (Norway) were not included in the audit scope.

Supply chain activities included in the audit scope:

- Aluminium Smelting
- Aluminium Re-melting/Refining
- Casthouses

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

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AUDIT  
OUTCOME

- Certification

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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

14 August 2022 – 13 August 2025

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NEXT AUDIT  
TYPE

Re-Certification Audit

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NEXT AUDIT  
DUE DATE

13 August 2025

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CERTIFICATION  
NUMBER

42

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## SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	The Entity is an ASI Member committed to complying with ASI's membership obligations and the ASI Complaints Mechanism. The Entity is in the Smelting, Re-melting/Refining and Casthouse category and holds a valid Certificate for ASI Performance Standard.
1.2 Management system	Conformance	The Entity has implemented a Management System that addresses all applicable requirements of the ASI Chain of Custody (CoC) Standard. The Management System Procedures describe the objective, scope, responsibilities, the general system, and workflow which gives governance of the Chain of Custody system.
1.3 Management system reviews	Conformance	The Entity has implemented Procedures and processes to comply with the ASI Chain of Custody Standard regarding the periodic review of the Management System and associated updates as required. Internal audits are conducted regularly.
1.4 Management representative	Conformance	The Entity has appointed a member of Management to be responsible for the implementation and conformance to the ASI Chain of Custody Standard and roles and responsibilities are defined for different tasks throughout the organisation.
1.5 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 ASI Chain of Custody Standard.
1.6 Record keeping	Conformance	The Entity has maintained up-to-date records covering all applicable requirements of the ASI Chain of Custody Standard. The Entity has developed standard operating Procedures to define the retention time and systems used.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	The Entity has implemented a Metal Accounting and System Procedure for the preparation of the ASI Annual Report. The Entity has reported the Input and Output Quantities of ASI CoC Material to the ASI Secretariat annually.
1.7b Reporting to ASI (Input Percentage)	Conformance	The Entity has reported the Input Percentage of ASI CoC Material on an annual basis to the ASI Secretariat.
1.7c Reporting to ASI (Positive Balance)	Conformance	The Entity has reported its positive ASI CoC Material balance on an annual basis to the ASI Secretariat.

CRITERION	RATING	COMMENT
1.7d Reporting to ASI (Internal Overdraw)	Conformance	The Entity has not needed to use Internal CoC Material overdraws from one year to another.
1.7e Reporting to ASI (Eligible Scrap)	Conformance	The Entity has reported its total Input Quantity of Eligible scrap designated as CoC Material supplied directly from a CoC Certified Entity on annual basis 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 engage in purchasing/selling ASI Credits.
1.7g Reporting to ASI (ASI Credits purchased)	Not Applicable	This Criterion is not applicable as the Entity does not engage in purchasing/selling ASI Credits.
<b>2 OUTSOURCING CONTRACTORS</b>		
2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	This Criterion is not applicable as the Entity does not have Outsourcing Contractors included within the Entity's Certification Scope.
2.2a Control of CoC Material	Not Applicable	This Criterion is not applicable as the Entity does not have Outsourcing Contractors included within the Entity's Certification Scope.
2.2b No further outsourcing	Not Applicable	This Criterion is not applicable as the Entity does not have Outsourcing Contractors included within the Entity's Certification Scope.
2.2c Risk assessment	Not Applicable	This Criterion is not applicable as the Entity does not have Outsourcing Contractors included within the Entity's Certification Scope.
2.3 Output Quantity	Not Applicable	This Criterion is not applicable as the Entity does not have Outsourcing Contractors included within the Entity's Certification Scope.
2.4 Verification and record-keeping	Not Applicable	This Criterion is not applicable as the Entity does not have Outsourcing Contractors included within the Entity's Certification Scope.
2.5 Error management	Not Applicable	This Criterion is not applicable as the Entity does not have Outsourcing Contractors included within the Entity's Certification Scope.
<b>3 PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI LIQUID METAL</b>		
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.

CRITERION	RATING	COMMENT
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	Conformance	The Entity is engaged in Aluminium Smelting and the Certification Scope consists of fully owned Smelters and the Slovalco plant (55.3% owned by Norsk Hydro). All plants hold a valid ASI Chain of Custody Standard Certificate.
3.3b ASI Performance Standard – Aluminium Smelting	Conformance	The Entity is engaged in Aluminium Smelting and the Certification Scope consists of fully owned smelters and the Slovalco plant (55.3% owned by Norsk Hydro). All plants hold a valid ASI Performance Standard Certificate.
<b>4 RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP AND ASI LIQUID METAL</b>		
4.1a CoC Certification Scope – Aluminium Re-Melting/Refining	Conformance	The Entity is engaged in Aluminium Re-Melting/Refining and the Certification Scope consists of fully owned plants and the Slovalco plant (55.3% owned by Norsk Hydro). All plants hold a valid ASI Chain of Custody Standard Certificate.
4.1b ASI Performance Standard – Aluminium Re-Melting/Refining	Conformance	The Entity is engaged in Aluminium Re-Melting/Refining and the Certification Scope consists of fully owned plants and the Slovalco plant (55.3% owned by Norsk Hydro). All plants hold a valid ASI Performance Standard Certificate.
4.2a Pre-Consumer Scrap and Dross	Conformance	The Entity has designed and implemented a Material Accounting System to control and account for all sources of scrap coming into the value chain. A Due Diligence process and transparent traceability system to cover both eligible Pre-Consumer Scrap and Dross is established. Pre-consumer scrap and metal from Dross Re-melting are not included in the CoC Mass Balance.
4.2b Post-Consumer Scrap	Conformance	The Entity has implemented a Due Diligence process and transparent traceability system to cover eligible Post-Consumer Scrap.
4.3a Supplier records	Conformance	The Entity has implemented a Material Accounting System designed to control and account for all sources of scrap and their origin coming into the value chain. All suppliers are pre-qualified and there is full traceability to control the identity, principles, and places of operation of all direct suppliers of Recyclable Scrap Material.

CRITERION	RATING	COMMENT
4.3b Cash payments	Conformance	The Entity's financial transactions are processed via the Enterprise resource planning (ERP) system. No cash payments are made to suppliers of recycling scrap material.
5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a CoC Certification Scope – Casthouses	Conformance	The Entity produces Casthouse Products from Primary Aluminium and Recycled Aluminium. The Certification Scope consists of twelve fully owned plants and the Slovalco plant (55.3% owned by Norsk Hydro). All plants are ASI Performance Standard and ASI Chain of Custody Standard Certified.
5.1b ASI Performance Standard – Casthouses	Conformance	The Entity produces Casthouse Products from Primary Aluminium and Recycled Aluminium. The Certification Scope consists of twelve fully owned plants and the Slovalco plant (55.3% owned by Norsk Hydro). All plants are ASI Performance Standard and ASI Chain of Custody Standard Certified.
5.2 Casthouse Products	Conformance	The Entity has implemented a Material Accounting System which allows full traceability and Product identification on all shipments and deliveries from the Casthouse. A traceability system is established to give detailed information to clients on the unique history of the product.
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 Supplier Code of Conduct addressing Anti-Corruption. The Code of Conduct must be signed by suppliers and the Due Diligence risk assessment is always completed before conducting business with the Entity. The Supplier Code of Conduct is available at: <a href="https://www.hydro.com/globalassets/download-center/supplier-code-of-conduct/hydro-supplier-code-of-conduct2.pdf">https://www.hydro.com/globalassets/download-center/supplier-code-of-conduct/hydro-supplier-code-of-conduct2.pdf</a>
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity has established a supplier responsible sourcing framework and all suppliers must sign the Supplier Code of Conduct.



CRITERION	RATING	COMMENT
		<a href="https://www.hydro.com/globalassets/download-center/supplier-code-of-conduct/hydro-supplier-code-of-conduct2.pdf">https://www.hydro.com/globalassets/download-center/supplier-code-of-conduct/hydro-supplier-code-of-conduct2.pdf</a>
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	The Entity has established a supplier responsible sourcing framework and Human Rights are addressed within the Supplier Code of Conduct. <a href="https://www.hydro.com/globalassets/download-center/supplier-code-of-conduct/hydro-supplier-code-of-conduct2.pdf">https://www.hydro.com/globalassets/download-center/supplier-code-of-conduct/hydro-supplier-code-of-conduct2.pdf</a>
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity has established a supplier responsible sourcing framework including the assessment of Conflict-Affected and High-Risk Areas (CAHRAs). <a href="https://www.hydro.com/globalassets/download-center/supplier-code-of-conduct/hydro-supplier-code-of-conduct2.pdf">https://www.hydro.com/globalassets/download-center/supplier-code-of-conduct/hydro-supplier-code-of-conduct2.pdf</a> More information about the Responsible Supply Chain is available in the Annual report 2021, page 96: <a href="https://www.hydro.com/globalassets/download-center/investor-downloads/ar21/annual-report-2021.pdf">https://www.hydro.com/globalassets/download-center/investor-downloads/ar21/annual-report-2021.pdf</a>
7.2 Risk assessment	Conformance	The Entity has established a Supplier Code of Conduct, a due-diligence risk assessment is always completed before starting business activities with the Entity. If a supplier is not compliant with the requirements and repeatedly fails to correct critical findings, contracts will be terminated.
7.3 Complaints mechanism	Conformance	The Entity has established Complaints Mechanisms to raise concerns through different channels such as via the website ( <a href="https://www.hydro.com/en/sustainability/environmental-social-and-governance/report-a-concern-through-alertline2/">https://www.hydro.com/en/sustainability/environmental-social-and-governance/report-a-concern-through-alertline2/</a> ) and <a href="https://www.hydro.com/en/contact-us/">https://www.hydro.com/en/contact-us/</a> ) or by email: <a href="mailto:Compliance@hydro.com">Compliance@hydro.com</a>
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity has implemented a Material Accounting System to govern and report on Input Quantity as well as Output Quantity of CoC Material and Non-CoC Material.
8.2a Post-Consumer Scrap	Conformance	The Entity has established a Material Accounting System for the Entity's remelters to record the Input of recycled scrap in three parts: i. Post-Consumer Scrap, ii. Pre-Consumer Scrap (total), and iii. Pre-Consumer Scrap that is Eligible Scrap (supplied directly from a Chain of Custody Certified Entity).

CRITERION	RATING	COMMENT
8.2b Pre-Consumer Scrap (total)	Conformance	The Entity has established a Material Accounting System for the Entity's Re-melters to record the Input of total Pre-Consumer Scrap.
8.2c Pre-Consumer Scrap (Eligible Scrap)	Conformance	The Entity has established a Material Accounting System for the Entity's Re-melters to record the Input of the total of Eligible Scrap supplied directly from a Chain of Custody Certified Entity.
8.3 Material Accounting Period	Conformance	The Entity has defined the period from January to December as their Material Accounting Period.
8.4 Input Percentage	Conformance	The Entity has established a Material Accounting System to calculate the Input Percentage in compliance with the ASI Chain of Custody Standard requirements.
8.5 Input Percentage (Aluminium Re-Melting and Refining)	Conformance	The Entity's Material Accounting System calculates the Input Percentage in compliance with the ASI Chain of Custody Standard requirements.
8.6 Output Quantity determination	Conformance	The Entity's Material Accounting System calculates the Output Quantity by mass.
8.7 Output Quantity designation	Conformance	The Entity has designated its Output Quantity of CoC Material as 100%. The Entity's established Material Accounting System is designed to manage Outputs designations and provided necessary training within the organisation.
8.8 Output Quantity – Pre-Consumer Scrap	Conformance	The Entity has established a Material Accounting System to calculate the Output Quantity from internal Eligible Pre-Consumer Scrap in compliance with the ASI Chain of Custody Standard requirements.
8.9 Outputs not exceed inputs	Conformance	The Entity's Material Accounting System and internal control mechanisms will assure that Outputs do not exceed Inputs in compliance with the ASI Chain of Custody Standard. An internal ASI Committee ensures that the Mass Balance is correctly calculated.
8.10a Internal Overdraws (not exceed 20%)	Conformance	The Entity has established Procedures and systems to control to ensure that Internal Overdraws do not exceed 20%.
8.10b Internal Overdraws (not exceed affected amount)	Conformance	The Entity has established internal control mechanisms to ensure that the Internal Overdraw does not exceed the amount of CoC Material affected by Force Majeure.
8.10c Internal Overdraws (period to make up)	Conformance	The Entity has established internal control mechanisms to ensure that the Internal Overdraw will be made up within the subsequent Material Accounting Period.

CRITERION	RATING	COMMENT
8.11a Positive Balance (carry over)	Conformance	The Entity has established 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 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 developed documents and records to follow shipments and transfer of CoC Material.
9.2a Date of issue	Conformance	The Entity has implemented a digital system, documents, and records to follow shipments and transfer of CoC Material with the issue date. The documentation is available for the customer via the Customer Portal or by an agreement with Customer Technical Support at Hydro Aluminium Commercial.
9.2b Reference number	Conformance	The Entity has implemented a digital system and maintained documents and records for shipments and transfers of CoC Material with a Reference number and Material code.
9.2c Issuing Entity	Conformance	The Entity has implemented a digital system and maintained documents and records for shipments and transfers of CoC Material with its CoC information as the issuing Entity.
9.2d Receiving customer	Conformance	The Entity has implemented a digital system and maintained documents and records for shipments and transfers of CoC Material with the information of receiving customer.
9.2e Responsible employee	Conformance	The Entity has implemented a digital system and maintained documents and records for shipments and transfers of Chain of Custody Material with CoC information and details of responsible employees of the Entity who can verify information in the CoC Document.
9.2f Conformance statement	Conformance	The Entity has implemented a digital system and maintained documents and records for shipments and transfers of CoC Material with the statement of conformance.
9.2g Type of CoC Material	Conformance	The Entity has implemented a digital system and maintained documents and records for shipments and transfers of CoC Material with information on the type of CoC Material shipped.

CRITERION	RATING	COMMENT
9.2h Mass of CoC Material	Conformance	The Entity has implemented a digital system and maintained documents and records for shipments and transfers of CoC Material with information on the mass of CoC Material.
9.2i Mass of total material	Conformance	The Entity has implemented a digital system and maintained documents and records for shipments and transfers of CoC Material with information on the Mass of total Material in the shipment.
9.3a Sustainability Data (optional)	Not Applicable	This Criterion is not applicable to the Entity, as it is not adding supplementary Sustainability Data information in the CoC Document for CoC Material.
9.3b Sustainability Data (passing on)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
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)	Conformance	The Entity is not currently adding Supplementary Information on CoC Documents.
9.5 Response to verification requests	Conformance	The Entity has implemented a system to respond to verification requests of information within CoC Documents issued.
9.6 Error management	Conformance	The Entity has developed an error management Procedure. No errors were identified since the Entity has been Certified.
<b>10 RECEIVING COC DOCUMENTS</b>		
10.1 Verify required information included	Conformance	The Entity has implemented a Management System Procedure and established routines to regularly check the consistency of the CoC Documents before recording the information in the accounting system.
10.2 Verify consistency with shipments	Conformance	The Entity has implemented a Management System Procedure and established routines to regularly check the consistency of the CoC Documents before recording the information in the accounting system.
10.3 Verify supplier CoC Certification status	Conformance	The Entity has implemented a Management System Procedure and routinely checks the ASI website to verify the validity and scope of the supplier's ASI Chain of Custody Certificate.
10.4 Error management	Conformance	The Entity has developed an error management Procedure. No errors have been recorded since the Entity has been Certified.

CRITERION	RATING	COMMENT
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 Market Credit System.
11.1b Link to Casthouse Products	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.1c No double counting	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.1d No Positive Balance for ASI Credits	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.2a Date of issue	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.2b Reference number	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.2c Issuing Entity	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.2d Receiving Entity	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.2e Conformance statement	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.2f ASI Credits statement	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.2g Quantity	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.3a CoC Certification Scope – purchasing ASI Credits	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.3b Material Accounting System – purchasing	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.3c Expiry	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.3d No re-trading	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.3e No allocation to physical products	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.3f Verify supplier CoC Certification status	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.

CRITERION	RATING	COMMENT
11.3g Five years maximum for ASI Credits purchasing	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
<b>12 CLAIMS AND COMMUNICATIONS</b>		
12.1a ASI Claims Guide	Conformance	The Entity has developed a claims and communication Procedure to be followed when or if they make any claims. The Procedure is structured and follows the principles of the ASI Claim Guide.
12.1b Verifiable evidence	Conformance	The Entity has developed a claims and communication Procedure to be followed when or if they make any claims. The Procedure is structured and follows the principles in the ASI Claims Guide and is supported by verifiable evidence.
12.1c Employee training	Conformance	The Entity has developed a claims and communication Procedure to be followed when or if they make any claims. The Procedure is structured and follows the principles of the ASI Claim Guide and includes training instructions.

#### **Document Control and Version History**

Revision	Date	Notes
0	14 August 2019	Issued (Initial Certification)
1	21 September 2020	Updated to reflect Certification Scope change with the addition of the Rackwitz (Cathouse), Azuqueca, Commerce, Deeside, Henderson, Husnes and Luce (Cathouse) Facilities, and a correction to the 'Next Audit Date' from the previous Certificate (Rev 0).
2	15 September 2021	Surveillance Audit: updated Entity Name to remove 'Primary' from 'Hydro Aluminium Primary Metal'; refinement to the Hydro Corporate Office in the Certification Scope and Audit Scope of the Initial Certification Audit with the inclusion of the relevant activity area of the Aluminium Metal Business Area.
3	29 August 2022	Re-Certification Audit and Scope Change Audit to include production site in Slovalco (Slovakia).