

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

THAI BEVERAGE CAN (THAILAND)

CERTIFICATE
NUMBER

141

ASI
STANDARD

CHAIN OF CUSTODY
(V1 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITOR

LIBEROASSURANCE

DATE OF ISSUE

9 JULY 2021

DATE OF EXPIRY

8 JULY 2024

CERTIFIED SINCE

9 JULY 2021

AUTHORISED BY

A white handwritten signature on a dark grey background.

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

CERTIFICATION SCOPE

Manufacture of aluminium can body and end for
beverage and beer industry.

SUMMARY AUDIT REPORT

CHAIN OF CUSTODY STANDARD

OVERVIEW

MEMBER NAME	Thai Beverage Can Ltd.
ENTITY NAME	Thai Beverage Can (Thailand)
CERTIFICATION SCOPE	Manufacture of aluminium can body and end for beverage and beer industry.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">• Post-Casthouse
ASI STANDARD	<ul style="list-style-type: none">• Chain of Custody Standard V1
AUDIT TYPE	<ul style="list-style-type: none">• Initial Certification Audit (2 – 7 April 2021)• Surveillance Audit (5 – 6 September 2022)
AUDIT FIRM	<ul style="list-style-type: none">• LiberoAssurance
AUDIT DATE	<ul style="list-style-type: none">• 2 – 7 April 2021 (Initial Certification Audit)• 5 – 6 September 2022 (Surveillance Audit)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">• 11 June 2021 (Initial Certification Audit)• 4 November 2022 (Surveillance Audit)
AUDIT SCOPE	<p><u>Initial Certification Audit (2 – 7 April 2021)</u></p> <p>The audit scope covers Thai Beverage Can (Thailand) for the manufacture of aluminium can body and end for the beverage and beer industry.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">• Post-Casthouse <p>All applicable criteria in the ASI Chain of Custody Standard were included in the audit scope.</p> <p>At the time of the audit (April 2021), access to the site was not possible, due to COVID-19 related travel restrictions. The Audit has been undertaken as a 'desktop' exercise, in accordance with ASI Interim Policy regarding Audits, Audit-Related Travel and Coronavirus (v4), and included a remote review of relevant documentation.</p> <p><u>Surveillance Audit (5 – 6 September 2022)</u></p> <p>The audit scope covers Thai Beverage Can (Thailand) for the manufacture of aluminium can body and end for the beverage and beer industry.</p> <p>Supply chain activities included in the audit scope:</p>

-
- Post-Casthouse

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

AUDIT
OUTCOME

- Certification
-

AUDIT
METHODOLOGY
DECLARATION

The Auditors confirm that:

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

CERTIFICATION
PERIOD

9 July 2021 – 8 July 2024

NEXT AUDIT
TYPE

Re-Certification Audit

NEXT AUDIT
DUE DATE

8 July 2024

CERTIFICATION
NUMBER

141

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	The Entity has been an ASI member in the "Production and Transformation" class since October 2020.
1.2 Management system	Conformance	The Entity has documented an integrated Management System that describes its applicability and compatibility with other Management System standards. And the Entity implemented specific Standard Operating Procedures (SOPs) to address Chain of Custody (CoC) requirements.
1.3 Management system reviews	Conformance	The Entity has conducted the initial review of the Management System, chaired by the Entity's President, and included participants from other department heads. The Management System is reviewed at least annually. The Entity also conducts a periodic Sustainability Performance management review by the President and other personnel.
1.4 Management representative	Conformance	The Entity has designated the Executive Vice President as the Management Representative through an internal memorandum responsible for implementing the requirements of the CoC Standard. The responsibilities are documented in the memorandum. The role is assisted by personnel from Environment, Health, and Safety (EHS) and People Development (HR) departments.
1.5 Training	Conformance	The Entity has implemented ASI-related documents such as Standard Operating Procedures (SOPs) and has communicated them to responsible persons and process owners. In addition, training has been provided to employees and attendance records are maintained.
1.6 Record keeping	Conformance	The Entity has defined a record retention time of five years. Records are maintained according to a record matrix in a prescribed format.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	The Entity has defined the reporting requirements in a Standard Operating Procedure (SOP). However, being in the initial stage, the Entity has not yet reported to the ASI Secretariat and will be undertaken at the required timeline. The related information was communicated to and acknowledged by the Secretariat.
1.7b Reporting to ASI (Input Percentage)	Conformance	The Entity has defined the reporting requirements in a SOP. However, being in the initial stage, the Entity has not yet reported to the ASI Secretariat.

CRITERION	RATING	COMMENT
1.7c Reporting to ASI (Positive Balance)	Conformance	The Entity has defined the reporting requirements in a SOP. However, being in the initial stage, the Entity has not yet reported to the ASI Secretariat.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	The Entity has defined the reporting requirements in a SOP. However, being in the initial stage, the Entity has not yet reported to the ASI Secretariat.
1.7e Reporting to ASI (Eligible Scrap)	Conformance	The Entity has defined the reporting requirements in a SOP. However, being in the initial stage, the Entity has not yet reported to the ASI Secretariat.
1.7f Reporting to ASI (ASI Credits from Casthouses)	Conformance	The Entity has defined the reporting requirements in a SOP. However, being in the initial stage, the Entity has not yet reported to the ASI Secretariat.
1.7g Reporting to ASI (ASI Credits purchased)	Conformance	The Entity has defined the reporting requirements in a SOP. However, being in the initial stage, the Entity has not yet reported to the ASI Secretariat.

2 OUTSOURCING CONTRACTORS

2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope as the Entity does not use Outsourcing Contractors.
2.2a Control of CoC Material	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope as the Entity does not use Outsourcing Contractors.
2.2b No further outsourcing	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope as the Entity does not use Outsourcing Contractors.
2.2c Risk assessment	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope as the Entity does not use Outsourcing Contractors.
2.3 Output Quantity	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope as the Entity does not use Outsourcing Contractors.
2.4 Verification and record-keeping	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope as the Entity does not use Outsourcing Contractors.
2.5 Error management	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope as the Entity does not use Outsourcing Contractors.

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

3.1a CoC Certification Scope – Bauxite Mining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
---	----------------	---

CRITERION	RATING	COMMENT
3.1b ASI Performance Standard – Bauxite Mining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2a CoC Certification Scope – Alumina Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2b ASI Performance Standard – Alumina Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3a CoC Certification Scope – Aluminium Smelting	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3b ASI Performance Standard – Aluminium Smelting	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4 RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP AND ASI LIQUID METAL		
4.1a CoC Certification Scope – Aluminium Re-Melting/Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.1b ASI Performance Standard – Aluminium Re-Melting/Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2a Pre-Consumer Scrap and Dross	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2b Post-Consumer Scrap	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a Supplier records	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3b Cash payments	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a CoC Certification Scope – Casthouses	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.1b ASI Performance Standard – Casthouses	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.2 Casthouse Products	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a CoC Certification Scope - Post-Casthouse	Conformance	The Entity has engaged with its metal suppliers and taken their commitment to certify to ASI's Performance Standard and Chain of Custody Standard. The ASI metal material code in Enterprise Resource Planning (ERP)/ systems, applications, and products (SAP) is established in line with the Entity's traceability system. The Entity

CRITERION	RATING	COMMENT
		has developed and regularly update its "Metal Supplier ASI certification road map". The material code is assigned in the SAP Production system for each ASI CoC Material/ per specification.
6.1b ASI Performance Standard - Post-Casthouse	Conformance	<p>The Entity has engaged with its metal suppliers and taken their commitment to certify to ASI's Performance Standard and Chain of Custody Standard. Most suppliers are planning to be certified in Quarter 4, 2021.</p> <p>The Entity has developed and regularly update its 'Metal Supplier ASI certification road map.' The material code is assigned in the SAP Production system for each ASI CoC Material per specification.</p>
6.1c Sourcing ASI Aluminium	Conformance	The Entity has documented SOPs for sourcing ASI Aluminium. The Entity has established an exclusivity contract that is signed by the Entity and its suppliers.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	The Entity has implemented 'Supplier Guiding Principles,' applicable to all metal suppliers, including Non-CoC Material and Recyclable Scrap Material and covering requirements such as legal compliance, Anti-Corruption, Health and Safety and Human Rights.
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity has developed 'Supplier Guiding Principles' and a Responsible Sourcing Policy, applicable to all metal suppliers covering requirements such as legal compliance, Anti-Corruption, Health and Safety and Human Rights. It has been communicated to all suppliers, including suppliers of Non-CoC Material and Recyclable Scrap.
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	The Entity has developed 'Supplier Guiding Principles' and a Responsible Sourcing Policy, applicable to all metal suppliers and covering Human Rights.
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Minor Non-Conformance	The Entity has implemented 'Supplier Guiding Principles' and a Responsible Sourcing Policy, applicable to all metal suppliers and covering conflict-affected and high-risk areas. It is further reviewed during periodic assessments of suppliers. However, it was identified there is no mechanism or process to check the conformance status of its Supplier Guiding Principle (SGP) within its supply chain specially belonging to Conflict-Affected and High-Risk Areas (CAHRAs).

CRITERION	RATING	COMMENT
7.2 Risk assessment	Conformance	The Entity has conducted a risk management review for each major function and activity addressing Environmental, Governance and Social (ESG) risks in its supply chain according to its Supplier Guiding Principle and Responsible Sourcing Policy.
7.3 Complaints mechanism	Conformance	The Entity has implemented and documented a procedure to manage the complaint handling process for all Stakeholders including suppliers. Any Stakeholder may contact the Entity through the contact form on the Entity's website: https://thaibeveragecan.com/contact-us
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity has implemented a SOP for its Material Accounting System. The Entity uses ERP/SAP for inventory management. The Entity has developed the SAP Production system with specific material code to ASI metal. In addition, the Entity has established an excel based tool to record, Input, Output, spoilage, sales quantities etc..
8.2a Post-Consumer Scrap	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.2b Pre-Consumer Scrap (total)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.2c Pre-Consumer Scrap (Eligible Scrap)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.3 Material Accounting Period	Conformance	The Entity has defined the material accounting period as 12 months.
8.4 Input Percentage	Conformance	The Entity has established a formula to calculate Input Percentage as defined in its SOP. The Input Percentage is calculated monthly.
8.5 Input Percentage (Aluminium Re-Melting/Refining)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.6 Output Quantity determination	Conformance	The Entity has developed a SOP to use Input Percentage to determine the Output percentage of CoC Material by mass in a specific Material Accounting Period. The Output Quantity is calculated by mass and number (unit of Cans).
8.7 Output Quantity designation	Conformance	The Entity has developed a SOP to describe requirements to designate Output Quantity as 100% CoC Material, as part or full of total quantity produced, dependent upon Input Percentage.

CRITERION	RATING	COMMENT
8.8 Output Quantity - Pre-Consumer Scrap	Conformance	The Entity has implemented and defined within a SOP to consider Pre-Consumer Scrap from manufacturing processes have been taken and defined as 'Eligible Scrap.'
8.9 Outputs not exceed Inputs	Conformance	The Entity has developed a SOP that describes that the total Output of CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage as applied to the total input of CoC Material and/or Eligible Scrap over the Material Accounting Period.
8.10a Internal Overdraws (not exceed 20%)	Conformance	The Entity has developed a SOP that describes that Internal Overdraws will be made up within the subsequent Material Accounting Period.
8.10b Internal Overdraws (not exceed affected amount)	Conformance	The Entity has described in its SOP that Internal Overdraw quantity by mass will not exceed the amount of CoC Material affected by the Force Majeure situation with a ceiling of 20% of the total Input Quantity of CoC Material for the given Material Accounting Period.
8.10c Internal Overdraws (period to make up)	Conformance	The Entity has developed a SOP that describes that Internal Overdraws will be made up within the subsequent Material Accounting Period.
8.11a Positive Balance (carry over)	Conformance	The Entity has developed a SOP that defines the requirement to identify any carry over of a Positive Balance to the subsequent Material Accounting Period.
8.11b Positive Balance (expiry)	Conformance	The Entity has developed a SOP that defines the requirement that any Positive Balance carried over to the subsequent Material Accounting Period will expire automatically at the end of the period if not drawn.
9 ISSUING COC DOCUMENTS		
9.1 Shipments and transfers	Conformance	The Entity has implemented a CoC procedure that outlines requirements related to issuing ASI CoC Material documentation such as defined responsibilities, format, and requirements for shipments. The Entity has not issued a CoC Document to date, as a request has not been received by customers or by downstream value chain partners.
9.2a Date of issue	Conformance	The Entity has developed the ASI CoC Document to include information such as the date of issue.
9.2b Reference number	Conformance	The Entity has developed the ASI CoC Document to include information such as reference numbers.

CRITERION	RATING	COMMENT
9.2c Issuing Entity	Conformance	The Entity has developed the ASI CoC Document to include information such as the company name, address, and CoC Certification number.
9.2d Receiving customer	Conformance	The Entity has developed the ASI CoC Document to include information about the receiving customer (Entity) such as name, address, and CoC Certification number.
9.2e Responsible employee	Conformance	The Entity has developed the ASI CoC document and a SOP which includes information on the responsible employee (i.e., Warehouse Logistics Officer).
9.2f Conformance statement	Conformance	The Entity has developed the ASI CoC Document to include the statement that "The information provided in the CoC Document is in conformance with the ASI CoC Standard."
9.2g Type of CoC Material	Conformance	The Entity has developed the ASI CoC Document to include information on the type of CoC Material with the accompanying shipment.
9.2h Mass of CoC Material	Conformance	The Entity has developed the ASI CoC Document to include information on the mass of CoC Material with the accompanying shipment.
9.2i Mass of total material	Conformance	The Entity has developed the ASI CoC Document to include information about the mass of total material with the accompanying shipment.
9.3a Sustainability Data (optional)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.3b Sustainability Data (passing on)	Conformance	The Entity has developed the ASI CoC Document to include additional information about Greenhouse Gases (GHG)/ carbon footprint (kgCO ₂ ^{eq}) per 1000 cans or equivalent weight.
9.3c Post-Casthouse ASI Certification status	Conformance	The Entity has developed the ASI CoC Document to include information on the Entity's ASI Certification status for the ASI Performance Standard.
9.4 Supplementary Information (optional)	Conformance	The Entity has developed the ASI CoC Document to contain Supplementary Information such as the Entity's certification to ISO 14001 and ISO 45001 and an online reference to the Sustainable Development Report.
9.5 Response to verification requests	Conformance	The Entity has developed the ASI CoC Document to contain information on the mechanism to

CRITERION	RATING	COMMENT
		manage requests for verification of disclosed information in the ASI CoC Document.
9.6 Error management	Conformance	The Entity has implemented SOPs which contain information on internal mechanisms (e.g., responsibilities and processes to be followed) to manage any error encountered regarding the disclosed information in the ASI CoC Document and other aspects of the Entity's ASI Certification.
10 RECEIVING COC DOCUMENTS		
10.1 Verify required information included	Minor Non-Conformance	The Entity has developed a SOP to define the responsibilities to conduct a completeness check on received shipment/CoC Documents. However, it was identified there is no satisfactory evidence to confirm who has conducted the verification of received CoC Documents and the outcome of the verification process.
10.2 Verify consistency with shipments	Conformance	The Entity has developed a SOP to define the responsibilities to conduct a consistency check on received shipments and CoC Documents accompanying shipment before entry into the Material Accounting System (ERP/SAP).
10.3 Verify supplier CoC Certification status	Conformance	The Entity has developed a SOP to define the responsibilities of the ASI manager/representative to review quarterly the validity and scope of the supplier's ASI CoC Certification and any changes that might affect the status of the supplied CoC Material or Eligible Scrap.
10.4 Error management	Conformance	The Entity has developed a SOP and work instructions for internal mechanisms (e.g., responsibility and process to be followed) to manage any errors found in the ASI CoC Document, with CoC Material, Eligible Scrap received and other aspects of supplier ASI Certification.
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.

CRITERION	RATING	COMMENT
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.
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.

12 CLAIMS AND COMMUNICATIONS

12.1a ASI Claims Guide	Conformance	The Entity has developed a SOP that references any claim about ASI Material to be consistent with the ASI Claims Guide. The Entity has developed a related procedure for graphic design for the sales and marketing department. Relevant personnel have been trained.
12.1b Verifiable evidence	Conformance	The Entity has developed a SOP outlining requirements to maintain records and verifiable

CRITERION	RATING	COMMENT
		evidence for claims made to support the claims and/or representations.
12.1c Employee training	Conformance	The Entity has delivered training to relevant employees to help them understand the ASI claim/representation process in line with ASI CoC requirements.

Document Control and Version History

Revision	Date	Notes
0	9 July 2021	Initial Certification Audit – Full Certification
1	18 November 2022	Surveillance Audit (change of Audit Firm - LiberoAssurance)