

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

BALL BEVERAGE PACKAGING SOUTH AMERICA (BPSA)

CERTIFICATE
NUMBER

157

ASI
STANDARD

CHAIN OF CUSTODY
(V1 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI
ACCREDITED
AUDITOR

DNV
BUSINESS
ASSURANCE
SERVICES UK
LTD.

DATE OF ISSUE

8 NOVEMBER 2021

DATE OF EXPIRY

7 NOVEMBER 2024

CERTIFIED SINCE

8 NOVEMBER 2021

AUTHORISED BY

A handwritten signature in white ink, consisting of a stylized 'J' followed by a long horizontal stroke.

Aluminium Stewardship Initiative Ltd
ACN 606 661 125, Australia
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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

Regional managing activities conducted at the headquarters in Sao Jose dos Campos (Brazil).
Manufacturing of beverage can bodies at the Argentina (Argentina), Aguas Claras (Brazil), Brasilia (Brazil), Chile (Chile), Extrema (Brazil), Frutal (Brazil), Jacarei (Brazil) and Santa Cruz (Brazil) facilities.
Manufacturing of beverage can ends at the Manaus (Brazil) facility.
Manufacturing of beverage can bodies and ends at the Paraguay Can Bodies and Can Ends (Paraguay), Pouso Alegre (Brazil), Recife Can Bodies and Can Ends (Brazil) and Tres Rios (Brazil) facilities.

SUMMARY AUDIT REPORT

CHAIN OF CUSTODY STANDARD

OVERVIEW

MEMBER NAME	Ball Corporation
ENTITY NAME	Ball Beverage Packaging South America (BPSA)
CERTIFICATION SCOPE	<p>Regional managing activities conducted at the headquarters in Sao Jose dos Campos (Brazil).</p> <p>Manufacturing of beverage can bodies at the Argentina (Argentina), Aguas Claras (Brazil), Brasilia (Brazil), Chile (Chile), Extrema (Brazil), Frutal (Brazil), Jacarei (Brazil) and Santa Cruz (Brazil) facilities.</p> <p>Manufacturing of beverage can ends at the Manaus (Brazil) facility.</p> <p>Manufacturing of beverage can bodies and ends at the Paraguay Can Bodies and Can Ends (Paraguay), Pouso Alegre (Brazil), Recife Can Bodies and Can Ends (Brazil) and Tres Rios (Brazil) facilities.</p>
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
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none">• 20 July – 13 August 2021
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">• 14 September 2021
AUDIT SCOPE	<p>The audit scope covers Ball Beverage Packaging South America (BPSA) at headquarters in Sao Jose dos Campos (Brazil) with virtual site tours of Aguas Claras (Brazil), Brasilia (Brazil), Extrema (Brazil) and Recife Can Bodies (Brazil) for beverage can bodies manufacturing and Recife Can Ends (Brazil) for beverage can ends manufacturing.</p> <p>The ASI multi-site sampling approach was undertaken to include the Argentina (Argentina), Chile (Chile), Frutal (Brazil), Jacarei (Brazil), Manaus (Brazil), Paraguay Can Bodies and Can Ends (Paraguay), Pouso Alegre (Brazil), Santa Cruz (Brazil) and Tres Rios (Brazil) facilities.</p> <p>The supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">• Post-Casthouse

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

At the time of the Audit (July - August 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 and Webex Video Conferencing to provide a site tour and enable interviews.

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

8 November 2021 – 7 November 2024

NEXT AUDIT
TYPE

Re-Certification Audit

NEXT AUDIT
DUE DATE

7 November 2024

CERTIFICATE
NUMBER

157

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	<p>Evidenced that the Entity is registered as an ASI Member, The Entity, BALL BPSA, is under the control of Ball Corporation, Member of ASI in good standing since 2015 and associated in the Production and Transformation Class. Ball Corporation, as well as Ball Corporation BPSA, is committed to complying with all obligations to ASI membership and the ASI Grievance Mechanism.</p> <p>For more information access the links: https://aluminium-stewardship.org/about-asi/asi-members/ball-corporation/ https://www.ball.com/responsible-sourcing</p>
1.2 Management system	Conformance	<p>Evidenced that the Entity has a Management System that meets all applicable requirements of the ASI Chain of Custody Standard, in all Facilities under the Entity's control that have CoC Material Custody, being evidenced that the Entity has developed the ASI Manual for Ball Corporation BPSA.</p>
1.3 Management system reviews	Conformance	<p>Evidenced that the Entity has a Management System that meets all applicable requirements of the ASI Chain of Custody Standard, in all Facilities under the Entity's Control that have CoC Material Custody, being evidenced that the Entity has developed the ASI Manual for Ball Corporation BPSA which is updated periodically and to address areas that may generate potential non-conformance risks.</p>
1.4 Management representative	Conformance	<p>Evidenced that the Entity appointed the VP of Procurement of Ball Corporation BPSA as the Management Representative who holds responsibility and authority for compliance with all requirements of the ASI Chain of Custody Standard applicable to Ball Corporation BPSA, with full support from the Sustainability team, Lean/IMS, ASI Change Management team, ASI Representatives at the plants and BPSA Internal Auditors to ensure an integrated view of the organization, compliance with the criteria and implementation of processes.</p>
1.5 Training	Conformance	<p>Evidenced that the Entity implemented communication and training measures for all involvement with the ASI Chain of Custody Certification, through training between 2020 and 2021 with the objective of making all the organization aware of the importance and objectives of Ball in relation to the Certification.</p>

CRITERION	RATING	COMMENT
1.6 Record keeping	Conformance	Evidenced that the Entity defined in the ASI Manual to Ball Corporation BPSA and in the BPSA Certified Metal Processes Procedure that all documents related to the ASI Chain of Custody Standard must be stored for a minimum of 5 years.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	Evidenced that the Entity defined in the ASI Manual for Ball Corporation BPSA and in the BPSA Certified Metal Processes Procedure the method to provide the Input and Output Quantity of CoC Materials during the calendar year, reporting the information no later than 3 months after each calendar year to the ASI Secretariat.
1.7b Reporting to ASI (Input Percentage)	Conformance	Evidenced that the Entity defined in the ASI Manual for Ball Corporation BPSA and in the BPSA Certified Metal Processes Procedure the method to provide the incoming quantity of CoC Materials during the calendar year, reporting the information within a maximum period of 3 months after each calendar year for the ASI Secretariat.
1.7c Reporting to ASI (Positive Balance)	Conformance	Evidenced that the Entity defined in the ASI Manual for Ball Corporation BPSA and in the BPSA Certified Metal Processes Procedure the method to provide the maximum Positive Balance in the calendar year carried over to the subsequent Material Accounting Period (if applicable), reporting the information no later than 3 months after each calendar year to the ASI Secretariat.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	Evidenced that the Entity defined in the ASI Manual for Ball Corporation BPSA and in the BPSA Certified Metal Processes Procedure the method for providing the maximum Internal Overdraw within the calendar year (if applicable), and the CoC Material Input Quantity percentage that this represents, reporting the information no later than 3 months after each calendar year to the ASI Secretariat.
1.7e Reporting to ASI (Eligible Scrap)	Not Applicable	The Entity is not involved in Aluminium Re-melting/Refining activities.
1.7f Reporting to ASI (ASI Credits from Casthouses)	Not Applicable	The Entity is not engaged in producing Casthouse Products.
1.7g Reporting to ASI (ASI Credits purchased)	Not Applicable	The Entity is not using ASI Credits.
2 OUTSOURCING CONTRACTORS		
2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	The Entity decided not to use Outsourcing Contractors for CoC Material.

CRITERION	RATING	COMMENT
2.2a Control of CoC Material	Not Applicable	The Entity decided not to use Outsourcing Contractors for CoC Material.
2.2b No further outsourcing	Not Applicable	The Entity decided not to use Outsourcing Contractors for CoC Material.
2.2c Risk assessment	Not Applicable	The Entity decided not to use Outsourcing Contractors for CoC Material.
2.3 Output Quantity	Not Applicable	The Entity decided not to use Outsourcing Contractors for CoC Material.
2.4 Verification and record-keeping	Not Applicable	The Entity decided not to use Outsourcing Contractors for CoC Material.
2.5 Error management	Not Applicable	The Entity decided not to use Outsourcing Contractors for CoC Material.

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

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

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

4.1a CoC Certification Scope - Aluminium Re-Melting/Refining	Not Applicable	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.

CRITERION	RATING	COMMENT
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	Evidenced that all Ball Corporation BPSA's operating plants are part of the Entity's CoC Certification Scope, all plants will be able to receive and produce ASI Aluminium, as established by the ASI Chain of Custody Standard.
6.1b ASI Performance Standard - Post-Casthouse	Conformance	Evidenced that all Ball Corporation BPSA's operating plants are part of the Entity's CoC Certification Scope, all plants will be able to receive and produce ASI Aluminium, as established by the ASI Chain of Custody Standard. Evidenced that the Entity is working to get its entire supply chain certified to ASI Performance and Chain of Custody Standards so it can buy aluminum from certified sources.
6.1c Sourcing ASI Aluminium	Conformance	Evidenced that all Ball Corporation BPSA's operating plants are part of the Entity's CoC Certification Scope, all plants will be able to receive and produce ASI Aluminium, as established by the ASI Chain of Custody Standard.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	Evidenced that the Entity requires its suppliers, mainly metal, to comply with Ball's Supplier Guiding Principles. The principles have been developed with input from key stakeholders, including customers and investors, and require suppliers to comply and demonstrate them. These principles cover legal, labor, human rights, environment, health and safety, antitrust, bribery and anti-corruption, tax compliance, sanctions and compliance practices. The document is available on the Entity's website, shared with

CRITERION	RATING	COMMENT
		<p>suppliers and incorporates references to the same or similar practices in contractual relationships. For more information, access Ball's Supplier Guiding Principles at the link: https://www.ball.com/responsible-sourcing</p>
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	<p>Evidenced that the Entity requires its suppliers to comply with Ball's Supplier Guiding Principles. The principles have been developed with input from key stakeholders, including customers and investors, and require suppliers to comply and demonstrate them. These principles cover legal, labor, human rights, environment, health and safety, antitrust, bribery and anti-corruption, tax compliance, sanctions and compliance practices. The document is available on the Entity's website, shared with suppliers and incorporates references to the same or similar practices in contractual relationships. For more information, access Ball's Supplier Guiding Principles at the link: https://www.ball.com/responsible-sourcing</p>
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	<p>Evidenced that the Entity requires its suppliers to comply with Ball's Supplier Guiding Principles. The principles have been developed with input from key stakeholders, including customers and investors, and require suppliers to comply and demonstrate them. These principles cover legal, labor, human rights, environment, health and safety, antitrust, bribery and anti-corruption, tax compliance, sanctions and compliance practices. The document is available on the Entity's website, shared with suppliers and incorporates references to the same or similar practices in contractual relationships. For more information access the Code of Conduct on the link: https://www.ball.com/codeofconduct For more information access the Human Rights Due Diligence at the link: www.ball.com/human-trafficking</p>
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	<p>Evidenced that the Entity requires its suppliers to comply with Ball's Supplier Guiding Principles. The principles have been developed with input from key stakeholders, including customers and investors, and require suppliers to comply and demonstrate them. These principles cover legal, labor, human rights, environment, health and safety, antitrust, bribery and anti-corruption, tax compliance, sanctions and compliance practices. The document is available on the Entity's website, shared with suppliers and</p>

CRITERION	RATING	COMMENT
		<p>incorporates references to the same or similar practices in contractual relationships.</p> <p>For more information access the Code of Conduct on the link: https://www.ball.com/codeofconduct</p> <p>For more information access the Human Rights Due Diligence at the link: www.ball.com/human-trafficking</p>
7.2 Risk assessment	Conformance	Evidenced that the Entity assesses the risks of non-compliance with its Responsible Sourcing Policy for CoC Materials, Non-CoC Materials and Recyclable Scrap Materials, through the use of Ball's Responsible Sourcing Framework. Evidenced that the Corporate Sustainability team also monitors the SEDEX profile (Sedex Members Ethical Trade Audit) of suppliers, especially for aluminium, ink and coatings suppliers. Evidenced that the Entity, in its supplier approval process, checks the aspects of social responsibility, as well as the applicable environmental licenses.
7.3 Complaints mechanism	Conformance	Evidenced that the Entity's Code of Business Ethics Conduct, posted on the company's website lists several ways to submit complaints through the compliance hotlines, including specific telephone numbers for each country, as well as the address for our Hotline website. Hotlines can be accessed by Ball employees, suppliers and any other outside parties.
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	Evidenced that the Entity has developed a certified metal Mass Balance System, with analysis reports and spreadsheets, integrated with its existing control systems (SAP and with Metal Balance support) controlling ASI Aluminium inputs and outputs, determining the input and output volumes and percentages in the system.
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	Evidenced that the Entity has developed a certified metal Mass Balance System with a 12 month Material Accounting Period and with validations every 3 months, with analysis reports and spreadsheets, integrated with its existing control systems (SAP and

CRITERION	RATING	COMMENT
		with Metal Balance support) controlling ASI Aluminium inputs and outputs, determining the input and output volumes and percentages in the system balances.
8.4 Input Percentage	Conformance	Evidenced that the Entity determined the method to calculate and record the Input Percentage for the 12-month Material Accounting Period, using the Calculation: $\text{Input Percentage} = (\text{Input Quantity of CoC Material}) \times 100 / (\text{Input Quantity of CoC Material}) + (\text{Input Quantity of Non-CoC Material})$
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	Evidenced that the Entity determined the method to calculate and record the Input Percentage for the 12-month Material Accounting Period. Evidenced that the Entity, with the information on the percentage and volume of the ASI Aluminium under the control of Ball Corporation BPSA, will carry out the calculations of the mass balance and availability of the metal for sale (cans and ends) discounting process losses (scrap).
8.7 Output Quantity designation	Conformance	Evidenced that the Entity determined the method to calculate and record the Output Quantity for the 12-month Material Accounting Period, being considered as 100% CoC Material. Evidenced that the Entity, with the information on the percentage and volume of the ASI Aluminium under the control of Ball Corporation BPSA, will carry out the calculations of the mass balance and availability of the metal for sale (cans and ends) discounting process losses (scrap).
8.8 Output Quantity - Pre-Consumer Scrap	Conformance	Evidenced that the Entity produces Pre-Consumer Scrap during its production process, being possible to use the Input Percentage for the Material Accounting Period provided to determine the Output Quantity of Eligible Scrap.
8.9 Outputs not exceed Inputs	Conformance	Evidenced that the Entity has determined the method to calculate and record the total percentage of CoC Materials for the 12-month Accounting period, ensuring that the total output of CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage as applied to total input of CoC Material and/or Eligible Scrap during the Material Accounting Period.

CRITERION	RATING	COMMENT
8.10a Internal Overdraws (not exceed 20%)	Conformance	<p>Evidenced that the Entity has determined the method to calculate and record the total percentage of CoC Materials for the 12-month Accounting period, ensuring that the total output of CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage as applied to total input of CoC Material and/or Eligible Scrap input during the Material Accounting Period.</p> <p>Evidenced that the Entity has determined that the Internal Overdraw must not exceed 20% of the total Input Quantity of CoC Material for the Material Accounting Period.</p>
8.10b Internal Overdraws (not exceed affected amount)	Conformance	<p>Evidenced that the Entity has determined the method to calculate and record the total percentage of CoC Materials for the 12-month Accounting period, ensuring that the total output of CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage as applied to total input of CoC Material and/or Eligible Scrap during the Material Accounting Period.</p> <p>Evidenced that the Entity has determined that the Internal Overdraw must not exceed the total amount of CoC Material for the Material Accounting Period.</p>
8.10c Internal Overdraws (period to make up)	Conformance	<p>Evidenced that the Entity has determined the method to calculate and record the total percentage of CoC Materials for the 12-month Accounting period, ensuring that the total output of CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage as applied to total input of CoC Material and/or Eligible Scrap during the Material Accounting Period.</p> <p>Evidenced that the Entity determined that the Internal Overdraw shall be made up within the subsequent Material Accounting Period.</p>
8.11a Positive Balance (carry over)	Conformance	<p>Evidenced that the Entity has developed a certified metal Mass Balance System with a 12 month Material Accounting Period and with validations every 3 months, with analysis reports and spreadsheets, integrated with its existing control systems (SAP and with Metal Balance support) controlling ASI Aluminium inputs and outputs, determining the input and output volumes and percentages in the system balances.</p>
8.11b Positive Balance (expiry)	Conformance	<p>Evidenced that the Entity has developed a certified metal Mass Balance System with a 12 month Material Accounting Period and with validations every 3 months, with analysis reports and spreadsheets, integrated with its existing control systems (SAP and with Metal Balance support) controlling ASI certified metal inputs and outputs, determining the input and</p>

CRITERION	RATING	COMMENT
		output volumes and percentages in the system balances.
9 ISSUING COC DOCUMENTS		
9.1 Shipments and transfers	Conformance	Evidenced that the Entity has defined the CoC Document that will be sent in all shipments of CoC Material, considering that the aluminum cans are accompanied by invoices / delivery notes, which contain information about the shipment, issuing company, recipient, product type, net shipping weight, date and reference number. Ends and scrap may also be accompanied by those invoices / guides and will be reported in the CoC Document.
9.2a Date of issue	Conformance	Evidenced that the Entity has defined the CoC Document that will be sent in all shipments of CoC Material containing information on the date of issuance of the CoC Document, considering that aluminum cans are accompanied by invoices / delivery notes, which contain shipping information such as issuing company, recipient, product type, net shipping weight, date, and reference number. Ends and scrap may also be accompanied by those invoices / guides and will be reported in the CoC Document.
9.2b Reference number	Conformance	Evidenced that the Entity has defined the CoC Document that will be sent in all shipments of CoC Material containing a Reference Number for the CoC Document, which is linked to the Entity's Material, considering that aluminum cans are accompanied by invoices / delivery notes, which contain information about the shipment, such as issuing company, recipient, product type, net weight of shipment, date, and reference number. Ends and scrap may also be accompanied by those invoices / guides and will be reported in the CoC Document.
9.2c Issuing Entity	Conformance	Evidenced that the Entity has defined the CoC Document that will be sent in all shipments of CoC Material containing the identity, address and CoC Certification number of the Entity issuing the CoC Document, considering that the aluminum cans are accompanied by invoices / delivery notes, which contain information about the shipment, such as issuing company, recipient, product type, net shipment weight, date, and reference number. Ends and scrap may also be accompanied by those invoices / guides and will be reported in the CoC Document.

CRITERION	RATING	COMMENT
9.2d Receiving customer	Conformance	Evidenced that the Entity has defined the CoC Document that will be sent in all shipments of CoC Material containing the identity and address of the customer receiving the CoC Material and, if it is another CoC Certified Entity, its CoC Certification number, considering that the aluminium cans are accompanied by invoices / delivery notes, which contain information about the shipment, such as issuing company, recipient, product type, net weight of the shipment, date and reference number. Ends and scrap may also be accompanied by those invoices / guides and will be reported in the CoC Document.
9.2e Responsible employee	Conformance	Evidenced that the Entity has defined that every quarter, the Sustainability team will carry out a pre-validation of the mass balance and will issue an electronic CoC Document, in accordance with ASI specifications and referring to shipments of aluminium cans, ends and scrap sent composed of certified metal, for each customer who has received a certified volume of cans.
9.2f Conformance statement	Conformance	Evidenced that the Entity has defined the CoC Document that will be sent in all shipments of CoC Material, its CoC Certification number and conformance statement, considering that aluminum cans are accompanied by invoices / delivery notes, which contain information about the shipment, such as issuing company, recipient, product type, net shipment weight, date, and reference number. Ends and scrap may also be accompanied by those invoices / guides and will be reported in the CoC Document.
9.2g Type of CoC Material	Conformance	Evidenced that the Entity has defined the CoC Document that will be sent in all shipments of CoC Material, its CoC Certification number and type of CoC Material in the shipment, considering that aluminum cans are accompanied by invoices / delivery notes, which contain information about the shipment, such as issuing company, recipient, product type, net shipment weight, date, and reference number. Ends and scrap may also be accompanied by those invoices / guides and will be reported in the CoC Document.
9.2h Mass of CoC Material	Conformance	Evidenced that the Entity has defined the CoC Document that will be sent in all shipments of CoC Material, its CoC Certification number and mass of CoC Material in the shipment, considering that aluminum cans are accompanied by invoices / packing slips, which contain information about the

CRITERION	RATING	COMMENT
		shipment such as issuing company, recipient, product type, net weight of shipment, date, and reference number. Ends and scrap may also be accompanied by those invoices / guides and will be reported in the CoC Document.
9.2i Mass of total material	Conformance	Evidenced that the Entity has defined the CoC Document that will be sent in all shipments of CoC Material, its CoC Certification number and mass of total Material in the shipment, considering that aluminum cans are accompanied by invoices / guides that contain information about the shipment, such as issuing company, recipient, product type, net shipment weight, date, and reference number. Ends and scrap may also be accompanied by those invoices / guides and will be reported in the CoC Document.
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	Evidenced that the Entity has defined the CoC Document that will be sent in all shipments of CoC Material, its CoC Certification number and mass of the total Material in the shipment, considering that aluminum cans are accompanied by invoices / guides that contain information about the shipment, such as issuing company, recipient, product type, net shipment weight, date, and reference number. Ends and scrap may also be accompanied by those invoices / guides and will be reported in the CoC Document.
9.3c Post-Casthouse ASI Certification status	Conformance	Evidenced that the Entity defined that every quarter, the Sustainability team will carry out a pre-validation of the mass balance and will issue an electronic CoC Document, in accordance with ASI specifications and referring to shipments of aluminium cans, ends and scrap sent composed of certified metal, for each customer who has received a certified volume of cans.
9.4 Supplementary Information (optional)	Conformance	Evidenced that the Entity defined that every quarter, the Sustainability team will carry out a pre-validation of the mass balance and will issue an electronic CoC Document, in accordance with ASI specifications and referring to shipments of aluminium cans, ends and scrap sent composed of certified metal, for each customer who has received a certified volume of cans, with the possibility of containing additional information disclosed in the sustainability report or other publicly disclosed documents.

CRITERION	RATING	COMMENT
9.5 Response to verification requests	Conformance	Evidenced that the Entity defined that every quarter, the Sustainability team will carry out a pre-validation of the mass balance and will issue an electronic CoC Document and respond to reasonable requests for verification of information from the CoC Documents issued by the Entity, in accordance with the ASI Chain of Custody specifications and for shipments of aluminium cans, ends and scrap shipped composed of certified metal, for each customer who has received a certified volume of cans.
9.6 Error management	Conformance	Evidenced that the Entity defined the method for correcting possible non-conformities identified after sending the CoC Material or Eligible Scrap, being documented, corrected and having to implement actions to avoid recurrence. It was found that the Entity does not yet receive CoC Material from suppliers and, therefore, is still in the process of aligning with suppliers on how CoC Material and, consequently, the CoC Document will be sent to the Entity.
10 RECEIVING COC DOCUMENTS		
10.1 Verify required information included	Conformance	Evidenced that the Entity does not yet receive CoC Material from suppliers and, therefore, is still in the process of aligning with suppliers on how CoC Material and, consequently, the CoC Document will be sent to the Entity. Evidenced that the Procurement team is responsible for the alignment with suppliers on the shipment of CoC Material and CoC documentation necessary to comply with the ASI Chain of Custody Standard.
10.2 Verify consistency with shipments	Conformance	Evidenced that the Entity does not yet receive CoC Material from suppliers and, therefore, is still in the process of aligning with suppliers on how CoC Material and, consequently, the CoC Document will be sent to the Entity. Evidenced that the Procurement team is responsible for the alignment with suppliers on the shipment of CoC Material and CoC documentation necessary to comply with the ASI Chain of Custody Standard.
10.3 Verify supplier CoC Certification status	Conformance	Evidenced that the Entity has defined the method for regular verification of the validity and scope of the supplier's ASI CoC Certification for any changes that may affect the status of the CoC Material supplied. Evidenced that the Entity does not yet receive CoC certified material from suppliers and, therefore, is still in the process of aligning with suppliers on how CoC Material and, consequently, the CoC Document will be sent to the Entity.

CRITERION	RATING	COMMENT
		Evidenced that the Procurement team is responsible for the alignment with suppliers on the shipment of CoC Material and CoC documentation necessary to comply with the ASI Chain of Custody Standard.
10.4 Error management	Conformance	<p>Evidenced that the Entity defined the method for correction of possible non-conformities identified after the CoC Material has been received, being documented, corrected and having to implement actions to avoid a recurrence.</p> <p>Evidenced that the Entity does not yet receive CoC Material from suppliers and, therefore, is still in the process of aligning with suppliers on how CoC Material and, consequently, the CoC Document will be sent to the Entity.</p> <p>Evidenced that the Procurement team is responsible for the alignment with suppliers on the shipment of CoC Material and CoC documentation necessary to comply with the ASI Chain of Custody Standard.</p>

11 MARKET CREDITS SYSTEM: ASI CREDITS

11.1a Material Accounting System - allocation	Not Applicable	The Entity does not engage with the Market Credits System.
11.1b Link to Casthouse Products	Not Applicable	The Entity does not engage with the Market Credits System.
11.1c No double counting	Not Applicable	The Entity does not engage with the Market Credits System.
11.1d No Positive Balance of ASI Credits	Not Applicable	The Entity does not engage with the Market Credits System.
11.2a Date of issue	Not Applicable	The Entity does not engage with the Market Credits System.
11.2b Reference number	Not Applicable	The Entity does not engage with the Market Credits System.
11.2c Issuing Entity	Not Applicable	The Entity does not engage with the Market Credits System.
11.2d Receiving Entity	Not Applicable	The Entity does not engage with the Market Credits System.
11.2e Conformance statement	Not Applicable	The Entity does not engage with the Market Credits System.
11.2f ASI Credits statement	Not Applicable	The Entity does not engage with the Market Credits System.
11.2g Quantity	Not Applicable	The Entity does not engage with the Market Credits System.

CRITERION	RATING	COMMENT
11.3a CoC Certification Scope - purchasing ASI Credits	Not Applicable	The Entity does not engage with the Market Credits System.
11.3b Material Accounting System - purchasing	Not Applicable	The Entity does not engage with the Market Credits System.
11.3c Expiry	Not Applicable	The Entity does not engage with the Market Credits System.
11.3d No re-trading	Not Applicable	The Entity does not engage with the Market Credits System.
11.3e No allocation to physical products	Not Applicable	The Entity does not engage with the Market Credits System.
11.3f Verify supplier CoC Certification status	Not Applicable	The Entity does not engage with the Market Credits System.
11.3g Five year maximum for ASI Credits purchasing	Not Applicable	The Entity does not engage with the Market Credits System.

12 CLAIMS AND COMMUNICATIONS

12.1a ASI Claims Guide	Conformance	Evidenced that the Entity has defined an ASI Pre-approved Claims Guide will be prepared for Ball Corporation BPSA for dissemination to relevant areas containing standard and pre-approved claims. Any other complaint that differs from those contained in the document must be approved by the Communication and Sustainability team and, if necessary, will be taken for evaluation by the ASI Secretariat.
12.1b Verifiable evidence	Conformance	Evidenced that the Entity has defined an ASI Pre-approved Claims Guide will be prepared for Ball Corporation BPSA for dissemination to relevant areas containing standard and pre-approved claims. Any other complaint that differs from those contained in the document must be approved by the Communication and Sustainability team and, if necessary, will be taken for evaluation by the ASI Secretariat.
12.1c Employee training	Conformance	Evidenced that the entity has defined an ASI Pre-approved Claims Guide will be prepared for Ball Corporation BPSA for dissemination to relevant areas containing standard and pre-approved claims. Any other complaint that differs from those contained in the document must be approved by the Communication and Sustainability team and, if necessary, will be taken for evaluation by the ASI Secretariat. Evidenced that the Entity has provided appropriate training so that those responsible understand and

CRITERION	RATING	COMMENT
		properly communicate the claims and / or representations.

Document Control and Version History

Revision	Date	Notes
0	8 November 2021	Initial Certification Audit - Full Certification