
ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

TETRA PAK

CERTIFICATE
NUMBER

9

ASI
STANDARD

PERFORMANCE
STANDARD
(V2 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI
ACCREDITED
AUDITOR

DNV GL

DATE OF ISSUE

29 OCTOBER 2018

DATE OF EXPIRY

28 OCTOBER 2021

CERTIFIED SINCE

29 OCTOBER 2018

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. Hall', written over a horizontal line.

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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

Tetra Pak central functions at the company's main offices (Lund, Sweden; Modena, Italy and Lausanne, Switzerland) and all Packaging Material and Additional Materials sites for Material Stewardship related activities.

SUMMARY AUDIT REPORT PERFORMANCE STANDARD

OVERVIEW

MEMBER NAME	Tetra Pak
ENTITY NAME	Tetra Pak Central Functions
CERTIFICATION SCOPE	Tetra Pak central functions at the company's main offices (Lund, Sweden; Modena, Italy and Lausanne, Switzerland) and all Packaging Material and Additional Materials sites for Material Stewardship related activities.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">• Other manufacturing or sale of products containing Aluminium
ASI STANDARD	<ul style="list-style-type: none">• Performance Standard V2
AUDIT TYPE	<ul style="list-style-type: none">• Certification Audit
AUDIT FIRM	DNV GL
AUDIT DATE	25 – 26 September 2018
AUDIT REPORT SUBMISSION	18 October 2018
AUDIT SCOPE	<p>Tetra Pak audit covered review of the Central Functions at the company's main offices (Lund, Sweden; Modena, Italy and Lausanne, Switzerland) and all Packaging Material and Additional Materials sites for Material Stewardship related activities. All criteria from Principle 4 Material Stewardship in the ASI Performance Standard were included in the audit scope.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">• Other manufacturing or sale of products containing Aluminium
AUDIT OUTCOME	<ul style="list-style-type: none">• 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

29 October 2018 – 28 October 2021

NEXT AUDIT
TYPE

Re-Certification

NEXT AUDIT
DUE DATE

28 April 2021

CERTIFICATION
NUMBER

9

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
PRINCIPLE 1 BUSINESS INTEGRITY		
1.1 Legal Compliance	Not Applicable	This criterion is not applicable to the Entity's certification scope.
1.2 Anti-Corruption	Not Applicable	This criterion is not applicable to the Entity's certification scope.
1.3 Code of Conduct	Not Applicable	This criterion is not applicable to the Entity's certification scope.
PRINCIPLE 2 POLICY & MANAGEMENT		
2.1a Environmental, Social, and Governance Policy (implement and maintain)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
2.1b Environmental, Social, and Governance Policy (senior management)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
2.1c Environmental, Social, and Governance Policy (communication)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
2.2 Leadership	Not Applicable	This criterion is not applicable to the Entity's certification scope.
2.3a Environmental and Social Management Systems (environmental)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
2.3b Environmental and Social Management Systems (social)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
2.4 Responsible Sourcing	Not Applicable	This criterion is not applicable to the Entity's certification scope.
2.5 Impact Assessments	Not Applicable	This criterion is not applicable to the Entity's certification scope.
2.6 Emergency Response Plan	Not Applicable	This criterion is not applicable to the Entity's certification scope.
2.7 Mergers and Acquisitions	Not Applicable	This criterion is not applicable to the Entity's certification scope.
2.8 Closure, Decommissioning and Divestment	Not Applicable	This criterion is not applicable to the Entity's certification scope.
PRINCIPLE 3 TRANSPARENCY		
3.1 Sustainability Reporting	Not Applicable	This criterion is not applicable to the Entity's certification scope.

CRITERION	RATING	COMMENT
3.2 Non-compliance and liabilities	Not Applicable	This criterion is not applicable to the Entity's certification scope.
3.3a Payments to governments (legal and contractual)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
3.3b Payments to governments (disclosure – bauxite mining)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
3.4 Stakeholder complaints, grievances and requests for information	Not Applicable	This criterion is not applicable to the Entity's certification scope.
PRINCIPLE 4 MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment (life cycle impacts)	Conformance	<p>The Entity has a systematic approach to evaluating life cycle impacts from its major product lines, conforming to ASI Performance Standard requirements. Its approach to life cycle impacts is stated in the Entity's environmental policy, LCA methodologies used, documentation and declarations provided. More information is available via the link below:</p> <p>https://www.tetrapak.com/sustainability/environmental-impact/a-value-chain-approach/life-cycle-assessment</p>
4.1b Environmental Life Cycle Assessment (cradle to gate)	Conformance	<p>The Entity has performed LCA studies, including aluminium, meeting ASI Performance Standard criteria. These are publicly available via the link below:</p> <p>https://www.tetrapak.com/sustainability/environmental-impact/a-value-chain-approach/carton-co2e-footprint</p> <p>A more detailed CO₂ calculator, verified by the third party Carbon Trust, is available on the web for the main product lines.</p>
4.1c Environmental Life Cycle Assessment (public communication)	Conformance	<p>The Entity has made publicly available LCA studies and a guideline on how to communicate LCA and carbon footprint data. All claims follow international standards and are verified by the third party Carbon Trust.</p> <p>For more information, please see link below:</p> <p>https://www.tetrapak.com/sustainability/environmental-impact/a-value-chain-approach/life-cycle-assessment/lca-examples.</p>

CRITERION	RATING	COMMENT
4.2 Product design	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to ASI Performance Standard's product design requirements. The Entity demonstrated clear objectives in their policy to drive sustainable and environmental product design and development. An integrated product development process is established to govern the environmental impact of products, investigations and results as part of decision gates.
4.3a Aluminium Process Scrap (targets)	Conformance	The Entity has high focus on World Class Manufacturing and reduction of waste from all their production sites. Improvement targets are set on every factory on reduction on defects and waste.
4.3b Aluminium Process Scrap (alloy separation)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to ASI Performance Standard's Aluminium Process Scrap requirements. The Entity continuously works towards waste reduction and recycling of materials in the production, also including aluminium scrap/production waste. The World Class Manufacturing philosophy and working method is well established within the organization.
4.4a Collection and recycling of products at end-of-life (strategy)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to ASI Performance Standard's Collection and recycling of products at end-of-life requirements. The Entity has established a recycling strategy and defined targets and actions. The Entity has a defined organizational structure of their recycling objectives and guidance documents on reporting. Please follow the link for more information: https://www.tetrapak.com/recycling-activities/
4.4b Collection and recycling of products at end-of-life (engagement)	Conformance	The Entity has a recycling strategy that engage stakeholders on different levels, markets and product lines. The strategy covers increasing consumer awareness, supporting infrastructure, boosting business opportunities and expanding the opportunities for recycled materials in a circular economy perspective. For more information, please see link below: https://www.tetrapak.com/recycling-activities/

CRITERION	RATING	COMMENT
PRINCIPLE 5 GREENHOUSE GAS EMISSIONS		
5.1 Disclosure of GHG emissions and energy use	Not Applicable	This criterion is not applicable to the Entity's certification scope.
5.2 GHG emissions reductions	Not Applicable	This criterion is not applicable to the Entity's certification scope.
5.3a Aluminium Smelting (management system)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
5.3b Aluminium Smelting (up to and including 2020)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
5.3c Aluminium Smelting (after 2020)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
PRINCIPLE 6 EMISSIONS, EFFLUENTS AND WASTE		
6.1 Emissions to Air	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.2 Discharges to Water	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.3a Assessment and Management of Spills and Leakage (assessment)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.3b Assessment and Management of Spills and Leakage (management)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.4a Reporting of Spills (immediate disclosure)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.4b Reporting of Spills (regular reporting)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.5a Waste management and reporting (strategy)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.5b Waste management and reporting (disclosure)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.6a Bauxite Residue (storage construction)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.6b Bauxite Residue (integrity checks and controls)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.6c Bauxite Residue (water discharge)	Not Applicable	This criterion is not applicable to the Entity's certification scope.

CRITERION	RATING	COMMENT
6.6d Bauxite Residue (marine and aquatic environments)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.6e Bauxite Residue (start of the art technologies)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.6f Bauxite Residue (remediation)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.7a Spent Pot Lining (SPL) (storage and management)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.7b Spent Pot Lining (SPL) (recovery and recycling)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.7c Spent Pot Lining (SPL) (Untreated SPL)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.7d Spent Pot Lining (SPL) (review of alternatives)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.7e Spent Pot Lining (SPL) (marine and aquatic environments)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.8a Dross (recovery)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.8b Dross (recycling)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.8c Dross (review of alternatives)	Not Applicable	This criterion is not applicable to the Entity's certification scope.

PRINCIPLE 7 WATER STEWARDSHIP

7.1a Water assessment (mapping)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
7.1b Water assessment (risk assessment)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
7.2a Water management (management plans)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
7.2b Water management (monitoring)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
7.3 Disclosure of water usage and risks	Not Applicable	This criterion is not applicable to the Entity's certification scope.

PRINCIPLE 8 BIODIVERSITY

CRITERION	RATING	COMMENT
8.1 Biodiversity assessment	Not Applicable	This criterion is not applicable to the Entity's certification scope.
8.2a Biodiversity management (biodiversity action plans)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
8.2b Biodiversity management (consultation and mitigation hierarchy)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
8.2c Biodiversity management (reporting)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
8.3 Alien Species	Not Applicable	This criterion is not applicable to the Entity's certification scope.
8.4a Commitment to "No Go" in World Heritage properties (exploration and new mines)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
8.4b Commitment to "No Go" in World Heritage properties (existing operations)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
8.5a Mine rehabilitation (best available techniques)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
8.5b Mine rehabilitation (financial provisions)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
PRINCIPLE 9 HUMAN RIGHTS		
9.1a Human Rights Due Diligence (policy)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
9.1b Human Rights Due Diligence (process)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
9.1c Human Rights Due Diligence (remediation)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
9.2 Women's Rights	Not Applicable	This criterion is not applicable to the Entity's certification scope.
9.3 Indigenous Peoples	Not Applicable	This criterion is not applicable to the Entity's certification scope.
9.4 Free, Prior, and Informed Consent (FPIC)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
9.5 Cultural and sacred heritage	Not Applicable	This criterion is not applicable to the Entity's certification scope.
9.6a Resettlements (avoid or minimise)	Not Applicable	This criterion is not applicable to the Entity's certification scope.

CRITERION	RATING	COMMENT
9.6b Resettlements (where unavoidable)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
9.7a Local Communities (rights and interests)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
9.7b Local Communities (impacts)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
9.7c Local Communities (livelihoods)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
9.8 Conflict-Affected and High-Risk Areas	Not Applicable	This criterion is not applicable to the Entity's certification scope.
9.9 Security practice	Not Applicable	This criterion is not applicable to the Entity's certification scope.
PRINCIPLE 10 LABOUR RIGHTS		
10.1a Freedom of Association and Right to Collective Bargaining (freedom of association)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
10.1b Freedom of Association and Right to Collective Bargaining (collective bargaining)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
10.1c Freedom of Association and Right to Collective Bargaining (alternative means)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
10.2a Child Labour (minimum age)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
10.2b Child Labour (hazardous)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
10.2c Child Labour (worst forms)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
10.3a Forced Labour (human trafficking)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
10.3b Forced Labour (deposits, fees, advances)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
10.3c Forced Labour (migrant workers)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
10.3d Forced Labour (debt bondage)	Not Applicable	This criterion is not applicable to the Entity's certification scope.

CRITERION	RATING	COMMENT
10.3e Forced Labour (freedom of movement)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
10.3f Forced Labour (retention of identity papers, permits, certificates)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
10.3g Forced Labour (freedom to terminate employment)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
10.4 Non-Discrimination	Not Applicable	This criterion is not applicable to the Entity's certification scope.
10.5 Communication and engagement	Not Applicable	This criterion is not applicable to the Entity's certification scope.
10.6 Disciplinary practices	Not Applicable	This criterion is not applicable to the Entity's certification scope.
10.7a Remuneration (living wage)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
10.7b Remuneration (method of payment)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
10.8 Working Time	Not Applicable	This criterion is not applicable to the Entity's certification scope.
PRINCIPLE 11 OCCUPATIONAL HEALTH AND SAFETY		
11.1a Occupational Health and Safety (OH&S) Policy (policy)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
11.1b Occupational Health and Safety (OH&S) Policy (workers and visitors)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
11.1c Occupational Health and Safety (OH&S) Policy (applicable law and standards)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
11.1d Occupational Health and Safety (OH&S) Policy (right to stop unsafe work)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
11.2 OH&S Management System	Not Applicable	This criterion is not applicable to the Entity's certification scope.
11.3 Employee engagement on health and safety	Not Applicable	This criterion is not applicable to the Entity's certification scope.
11.4 OH&S performance	Not Applicable	This criterion is not applicable to the Entity's certification scope.