
ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

SIG COMBIBLOC

CERTIFICATE
NUMBER

8

ASI
STANDARD

CHAIN OF CUSTODY
(V1 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI
ACCREDITED
AUDITOR

DNV GL

DATE OF ISSUE

12 OCTOBER 2018

DATE OF EXPIRY

11 OCTOBER 2021

CERTIFIED SINCE

12 OCTOBER 2018

AUTHORISED BY

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

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

www.aluminium-stewardship.org

CERTIFICATION SCOPE

SIG Combibloc including Head Office (Department Corporate Responsibility, Linnich, Germany), the centralised Procurement Organisation (Procurement AG, Neuhausen, Switzerland) and the production sites in Saalfelden (Austria), Wittenberg (Germany) and Linnich (Germany).

SUMMARY AUDIT REPORT CHAIN OF CUSTODY STANDARD

OVERVIEW

MEMBER NAME	SIG Combibloc
ENTITY NAME	SIG Combibloc
CERTIFICATION SCOPE	SIG Combibloc including Head Office (Department Corporate Responsibility, Linnich, Germany), the centralised Procurement Organisation (Procurement AG, Neuhausen, Switzerland) and the production sites in Saalfelden (Austria), Wittenberg (Germany) and Linnich (Germany).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">• Post-Casthouses
ASI STANDARD	<ul style="list-style-type: none">• Chain of Custody Standard V1
AUDIT TYPE	<ul style="list-style-type: none">• Certification Audit• Surveillance Audit – Scope Change
AUDIT FIRM	DNV GL
AUDIT DATE	<ul style="list-style-type: none">• Certification Audit: 23 August 2018 and 17 September 2018• Surveillance Audit: Scope Change 5 – 6 March 2019
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">• Certification Audit: 26 September 2018• Surveillance Audit: Scope Change 13 March 2019
AUDIT SCOPE	<p>The audit scope covered the activities at the Head Office (Department Corporate Responsibility, Linnich, Germany), the centralised Procurement Organisation (Procurement AG, Neuhausen, Switzerland) and the production sites in Saalfelden (Austria), Wittenberg (Germany) and Linnich (Germany).</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">• Post-casthouse (this includes Semi-Fabricators, Material Conversion, and other Manufacturing or sale of products containing aluminium) <p>Relevant criteria from the ASI Chain of Custody Standard were included in the audit scope.</p>
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

12 October 2018 – 11 October 2021

NEXT AUDIT
TYPE

Surveillance

NEXT AUDIT
DUE DATE

11 April 2020

CERTIFICATION
NUMBER

8

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	SIG Combibloc holds an ASI Membership in the Industrial User category.
1.2 Management system	Conformance	The Entity has created a management system for handling ASI-material and use of ASI logo. A standard operating procedure is developed. The procedure describes in the detail SIG management system, responsibilities, functions, processes and workflows, documentation and record retention and handling of non-conforming product deliveries. A Responsibility Matrix (RACI) has been developed addressing different task related to the management of the ASI CoC Standard implementation connected with the roles/functions in the organisation.
1.3 Management system reviews	Conformance	The Entity has established policies, systems, procedures and processes to comply with ASI CoC criteria regarding the periodic review of the management system and associated updates as required.
1.4 Management representative	Conformance	The Entity has appointed a member of management as the responsible person for ASI CoC Standard implementation and defined a chart of responsibilities for different tasks through 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 CoC Standard. The Entity has developed and maintains communication measures to keep all personnel updated about their roles and responsibilities, as well as provides adequate training for them to carry out these tasks.
1.6 Record keeping	Conformance	The Entity maintains up-to-date records (Management System) covering all applicable requirements of the CoC Standard. The Entity's standard operating procedure defines the retention time as required by the ASI CoC Standard. The Entity has adequate record management practices.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	The Entity's operating procedure specified that the Entity will report Input and Output Quantities of CoC Material to ASI Secretariat within 3 months after the end of each calendar year which conforms to ASI CoC requirements.

CRITERION	RATING	COMMENT
1.7b Reporting to ASI (Input Percentage)	Conformance	The Entity's operating procedure specified that the Entity will report Input Percentage to ASI Secretariat within 3 months after the end of each calendar year which conforms to ASI CoC requirements.
1.7c Reporting to ASI (Positive Balance)	Conformance	The Entity's operating procedure specified that the Entity will report any Positive Balance to ASI Secretariat within 3 months after the end of each calendar year which conforms to ASI CoC requirements.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	The Entity's operating procedure specified that the Entity will report any Internal Overdraw to ASI Secretariat within 3 months after the end of each calendar year which conforms to ASI CoC requirements.
1.7e Reporting to ASI (Eligible Scrap)	Not Applicable	The Entity is not engaged in Aluminium Re-melting/Refining to produce Recycled Aluminium
1.7f Reporting to ASI (ASI Credits from Casthouses)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
1.7g Reporting to ASI (ASI Credits purchased)	Not Applicable	Not applicable as SIG does not intend to utilise the ASI market credits system.
2 OUTSOURCING CONTRACTORS		
2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	Not applicable as no outsourcing activity takes place.
2.2a Control of CoC Material	Not Applicable	Not applicable as no outsourcing activity takes place.
2.2b No further outsourcing	Not Applicable	Not applicable as no outsourcing activity takes place.
2.2c Risk assessment	Not Applicable	Not applicable as no outsourcing activity takes place.
2.3 Output Quantity	Not Applicable	Not applicable as no outsourcing activity takes place.
2.4 Verification and record-keeping	Not Applicable	Not applicable as no outsourcing activity takes place.
2.5 Error management	Not Applicable	Not applicable as no outsourcing activity takes place.
3 PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI LIQUID METAL		

CRITERION	RATING	COMMENT
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.
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's operating procedures and strategic cooperation with ASI certified suppliers will secure the supply and production of ASI CoC materials.

CRITERION	RATING	COMMENT
6.1b ASI Performance Standard – Post-Casthouse	Conformance	The Entity's operating procedures and strategic cooperation with ASI certified suppliers will secure the supply and production of ASI CoC materials. The SIG Combibloc AG (SIG Group) is certified against the ASI Performance Standard which fulfils the CoC Standard criteria.
6.1c Sourcing ASI Aluminium	Conformance	The Entity's operating procedures and strategic cooperation with ASI certified suppliers will secure the supply and production of ASI CoC materials.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	The Entity has developed a responsible sourcing policy covering all aspects of the ASI CoC and applicable ASI Performance Standard criteria.
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity has adopted a responsible sourcing policy covering Aluminium, which conforms to the requirements of ASI CoC criteria and applicable ASI Performance Standard criteria. Further information on SIG and Amcor's aluminium supply chain project and responsible sourcing of aluminium can be found here: https://www.sig.biz/en/media/press-releases/sig-and-amcor-push-responsible-aluminium-sourcing-further
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	The Entity has developed policies, procedures and processes regarding responsible sourcing, Human Rights Due Diligence that conform to ASI CoC criteria and applicable ASI Performance Standard criteria.
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity has developed and maintains policies, procedures and processes that conform to ASI CoC criteria and applicable ASI Performance Standard criteria.
7.2 Risk assessment	Conformance	The Entity's Responsible Sourcing Directive, describes how the Entity is performing a risk screening of their suppliers. Aluminium suppliers are identified as significant suppliers in 2016 and become part of a program for continuous reviews of performance. The Entity is also conducting an EcoVadis assessment and Sedex/SMETA audits within its supply chain. Further information is available on the Entity's supply chain engagement programme in their annual sustainability report: https://signals.sig.biz/category/responsibility/

CRITERION	RATING	COMMENT
7.3 Complaints mechanism	Conformance	The Entity has a documented complaint procedure and processes to address complaints and concerns related to ASI.
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity has established a Material Accounting System that records Input Quantity and Output Quantity of CoC Material and Non-CoC Material, by mass which conforms to ASI CoC requirement.
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 will use a 12 month rolling period, as their accounting period. This is clearly stated in the Volume Accounting Table that has been developed for the ASI CoC Standard.
8.4 Input Percentage	Conformance	The Entity has established a Material Accounting system in compliance with ASI CoC requirements.
8.5 Input Percentage (Aluminium Re-Melting and Refining)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
8.6 Output Quantity determination	Conformance	The Entity has established a Material Accounting system in compliance with ASI CoC requirements.
8.7 Output Quantity designation	Conformance	Entity's output quantity is designated as 100% CoC material as per Material Account System procedures and processes. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC material are available on the market.
8.8 Output Quantity – Pre-Consumer Scrap	Not Applicable	At present SIG does not intend to determine waste material as ASI pre-consumer scrap
8.9 Outputs not exceed inputs	Conformance	The Entity's accounting system is developed to have updated information on inventory balance on a monthly basis which conforms to the ASI Chain of Custody Standard requirement.
8.10a Internal Overdraws (not exceed 20%)	Conformance	The Entity has established a Material Accounting system in compliance with the ASI Chain of Custody requirements.

CRITERION	RATING	COMMENT
8.10b Internal Overdraws (not exceed affected amount)	Conformance	The Entity has established a Material Accounting system in compliance with ASI Chain of Custody Standard requirements.
8.10c Internal Overdraws (period to make up)	Conformance	The Entity has established a Material Accounting system in compliance with ASI Chain of Custody Standard requirements.
8.11a Positive Balance (carry over)	Conformance	The Entity has established a Material Accounting system in compliance with the ASI Chain of Custody Standard requirements.
8.11b Positive Balance (expiry)	Conformance	The Entity has established a Material Accounting system in compliance with ASI Chain of Custody Standard requirements.
9 ISSUING COC DOCUMENTS		
9.1 Shipments and transfers	Conformance	The Entity has established a checklist for its procurement and order department, ensuring that CoC documents are controlled, issued and stored as per ASI Chain of Custody Standard requirements.
9.2a Date of issue	Conformance	The Entity's procedures conform to the ASI Chain of Custody Standard requirements regarding indicating the Date of issue of the CoC Document.
9.2b Reference number	Conformance	The Entity will issue information on invoice documents as required by ASI Chain of Custody Standard requirements.
9.2c Issuing Entity	Conformance	The Entity will issue information on invoice documents as per ASI Chain of Custody Standard requirements.
9.2d Receiving customer	Conformance	The Entity will issue invoice documents in line with ASI Chain of Custody Standard requirements.
9.2e Responsible employee	Conformance	The Entity will issue information on invoice documents as per ASI Chain of Custody Standard requirements.
9.2f Conformance statement	Conformance	The Entity will issue information on invoice documents as per ASI Chain of Custody requirements.
9.2g Type of CoC Material	Conformance	The Entity will issue information on invoice documents as per ASI CoC Standard requirements.
9.2h Mass of CoC Material	Conformance	The Entity will issue information on invoice documents as per ASI CoC Standard requirements.

CRITERION	RATING	COMMENT
9.2i Mass of total material	Conformance	The Entity will issue information on invoice documents as per ASI CoC Standard requirements.
9.3a Sustainability Data (optional)	Not Applicable	The Entity opted not to include Sustainability Data. The Entity is utilising finished aluminium foil.
9.3b Sustainability Data (passing on)	Not Applicable	Not Applicable to SIG
9.3c Post-Casthouse ASI Certification status	Not Applicable	Not Applicable to SIG
9.4 Supplementary Information (optional)	Not Applicable	Not intended to be undertaken by the Entity.
9.5 Response to verification requests	Conformance	The Entity's Standard Operating Procedure (SOP) for handling ASI material and use of the ASI logo, addresses responsibilities on request for information.
9.6 Error management	Conformance	The Entity's Standard Operation Procedure (SOP) for handling ASI material and use of the ASI logo, specifies the process. The central office will inform different stakeholders on the situation regarding the error and agree on necessary corrective actions.
10 Receiving CoC Documents		
10.1 Verify required information included	Conformance	The Entity has established processes to ensure that CoC documents are controlled, issued and stored as per ASI CoC requirements.
10.2 Verify consistency with shipments	Conformance	The Entity has established processes to ensure that CoC documents are controlled, issued and stored which is conformant to ASI CoC requirements.
10.3 Verify supplier CoC Certification status	Conformance	The Entity will verify supplier CoC Certification status and responsibility rests with the purchasing department.
10.4 Error management	Conformance	The Entity's operating procedures describe the handling of non-conforming product deliveries in line with ASI CoC requirements.
11 MARKET CREDITS SYSTEM: ASI CREDITS		
11.1a Material Accounting System – allocation	Not Applicable	Not applicable as SIG does not intend to utilise the ASI market credits system
11.1b Link to Casthouse Products	Not Applicable	Not applicable as SIG does not intend to utilise the ASI market credits system
11.1c No double counting	Not Applicable	Not applicable as SIG does not intend to utilise the ASI market credits system

CRITERION	RATING	COMMENT
11.1d No Positive Balance for ASI Credits	Not Applicable	Not applicable as SIG does not intend to utilise the ASI market credits system
11.2a Date of issue	Not Applicable	Not applicable as SIG does not intend to utilise the ASI market credits system
11.2b Reference number	Not Applicable	Not applicable as SIG does not intend to utilise the ASI market credits system
11.2c Issuing Entity	Not Applicable	Not applicable as SIG does not intend to utilise the ASI market credits system
11.2d Receiving Entity	Not Applicable	Not applicable as SIG does not intend to utilise the ASI market credits system
11.2e Conformance statement	Not Applicable	Not applicable as SIG does not intend to utilise the ASI market credits system
11.2f ASI Credits statement	Not Applicable	Not applicable as SIG does not intend to utilise the ASI market credits system
11.2g Quantity	Not Applicable	Not applicable as SIG does not intend to utilise the ASI market credits system
11.3a CoC Certification Scope – purchasing ASI Credits	Not Applicable	Not applicable as SIG does not intend to utilise the ASI market credits system
11.3b Material Accounting System – purchasing	Not Applicable	Not applicable as SIG does not intend to utilise the ASI market credits system
11.3c Expiry	Not Applicable	Not applicable as SIG does not intend to utilise the ASI market credits system
11.3d No re-trading	Not Applicable	Not applicable as SIG does not intend to utilise the ASI market credits system
11.3e No allocation to physical products	Not Applicable	Not applicable as SIG does not intend to utilise the ASI market credits system
11.3f Verify supplier CoC Certification status	Not Applicable	Not applicable as SIG does not intend to utilise the ASI market credits system
11.3g Five years maximum for ASI Credits purchasing	Not Applicable	Not applicable as SIG does not intend to utilise the ASI market credits system
12 CLAIMS AND COMMUNICATIONS		
12.1a ASI Claims Guide	Conformance	The Entity has developed policies, systems, procedures and processes to ensure that claims and/or representations about CoC Material outside of CoC Documents are made in a manner and form consistent with the ASI Claims Guide.

CRITERION	RATING	COMMENT
12.1b Verifiable evidence	Conformance	The Entity's operation procedures and the training of key personnel will ensure the correct use of ASI claims.
12.1c Employee training	Conformance	The Entity's operation procedures and the training of key personnel will ensure the correct use of ASI claims.

Document Control and Version History

Revision	Date	Notes
0	12 October 2018	Issued
1	28 March 2019	Updated for Certification Scope change (addition of Wittenberg and Linnich sites).