
ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

HYDRO BAUXITE & ALUMINA

CERTIFICATE
NUMBER

29

ASI
STANDARD

CHAIN OF CUSTODY
(V1 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI
ACCREDITED
AUDITOR

DNV GL

DATE OF ISSUE

29 MAY 2019

DATE OF EXPIRY

28 MAY 2022

CERTIFIED SINCE

29 MAY 2019

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. H.', written over a white background.

Aluminium Stewardship Initiative Ltd
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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](http://www.aluminium-
stewardship.org)*

CERTIFICATION SCOPE

Hydro Bauxite & Alumina Chain of Custody certification including the Paragominas bauxite mine (Brazil), the Alunorte alumina refinery (Brazil), the Bauxite & Alumina Commercial Office (Switzerland) and Hydro Corporate Office (Norway).

SUMMARY AUDIT REPORT CHAIN OF CUSTODY STANDARD

OVERVIEW

MEMBER NAME	Hydro
ENTITY NAME	Hydro Bauxite & Alumina
CERTIFICATION SCOPE	Hydro Bauxite & Alumina Chain of Custody certification including the Paragominas bauxite mine (Brazil), the Alunorte alumina refinery (Brazil), the Bauxite & Alumina Commercial Office (Switzerland) and Hydro Corporate Office (Norway).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">• Bauxite Mining• Alumina Refining
ASI STANDARD	<ul style="list-style-type: none">• Chain of Custody Standard V1
AUDIT TYPE	<ul style="list-style-type: none">• Certification Audit
AUDIT FIRM	DNV GL
AUDIT DATE	26 – 29 November 2018, 7 February 2019, 15 March 2019
AUDIT REPORT SUBMISSION	24 April 2019
AUDIT SCOPE	<p>The audit scope covered Hydro Bauxite & Alumina Chain of Custody certification including the Paragominas bauxite mine (Brazil), the Alunorte alumina refinery (Brazil), the Bauxite & Alumina Commercial Office (Switzerland) and Hydro Corporate Office (Norway).</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">• Bauxite Mining• Alumina Refining <p>All relevant criteria in the ASI Performance Standard were included in the audit scope.</p>
AUDIT OUTCOME	<ul style="list-style-type: none">• Certification
AUDIT METHODOLOGY DECLARATION	The Auditors confirm that:

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- The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this report.
 - The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.
 - The Audit Scope and audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope.
 - The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.
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CERTIFICATION PERIOD	29 May 2019 – 28 May 2022
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NEXT AUDIT TYPE	Surveillance Audit
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NEXT AUDIT DUE DATE	26 November 2020
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CERTIFICATION NUMBER	29
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SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	The Entity is an ASI Member committed to comply with ASI's membership obligations and the ASI Complaints Mechanism. The Entity is in the Bauxite Mining and Alumina Refining category and holds certification on the Performance Standard as well.
1.2 Management system	Conformance	The Entity has created a management system for handling ASI-material and use of ASI logo. A Management System Documentation Procedure is developed. The procedure describes objective, scope, responsibilities and the general system and workflow which gives governance of the CoC system.
1.3 Management system reviews	Conformance	The Entity has established procedures and processes to comply with ASI CoC criteria regarding the periodic review of the management system and associated updates as required. A yearly review following the regular Management Review process is established.
1.4 Management representative	Conformance	The Entity has appointed the Marketing Manager as the responsible person for ASI CoC Standard implementation and conformance with the requirements in the standard. A nominated team, the Normative Committee, is responsible for the continuous management of the ASI certification system.
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. Adequate training is performed.
1.6 Record keeping	Conformance	The Entity maintains up-to-date records covering all applicable requirements of the CoC Standard. The Entity's standard operating procedures define the retention time as required by the ASI CoC Standard.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	The Entity's operating procedure specifies 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.
1.7b Reporting to ASI (Input Percentage)	Conformance	The Entity's operating procedure specifies that the Entity will report Input Percentage to ASI Secretariat

CRITERION	RATING	COMMENT
		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 specifies 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 specifies 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 does not engage in Aluminium Remelting/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 the Entity does not intend to utilise the ASI market credits system.
2 OUTSOURCING CONTRACTORS		
2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	The criterion is not applicable as the Entity does not have any outsourcing contractors.
2.2a Control of CoC Material	Not Applicable	The criterion is not applicable as the Entity does not have any outsourcing contractors.
2.2b No further outsourcing	Not Applicable	The criterion is not applicable as the Entity does not have any outsourcing contractors.
2.2c Risk assessment	Not Applicable	The criterion is not applicable as the Entity does not have any outsourcing contractors.
2.3 Output Quantity	Not Applicable	The criterion is not applicable as the Entity does not have any outsourcing contractors.
2.4 Verification and record-keeping	Not Applicable	The criterion is not applicable as the Entity does not have any outsourcing contractors.
2.5 Error management	Not Applicable	The criterion is not applicable as the Entity does not have any outsourcing contractors.
3 PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI LIQUID METAL		
3.1a CoC Certification Scope – Bauxite Mining	Conformance	The Entity is engaged in Bauxite Mining and is part of the Entity scope of CoC certification.

CRITERION	RATING	COMMENT
3.1b ASI Performance Standard – Bauxite Mining	Conformance	The Entity is engaged in Bauxite Mining and holds an ASI Performance Standard certification.
3.2a CoC Certification Scope – Alumina Refining	Conformance	The Entity is engaged in Alumina Refining and part of the Entity scope of CoC certification.
3.2b ASI Performance Standard – Alumina Refining	Conformance	The Entity is engaged in Alumina Refining and holds an ASI Performance Standard certification.
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	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.1b ASI Performance Standard – Post-Casthouse	Not Applicable	This criterion is not applicable to the Entity's certification scope.

CRITERION	RATING	COMMENT
6.1c Sourcing ASI Aluminium	Not Applicable	This criterion is not applicable to the Entity's certification scope.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	The Entity has established a supplier code of conduct addressing anti-corruption. The code of conduct is mandatory to be signed by suppliers. https://www.hydro.com/globalassets/08-about-hydro/our-business/hydro-supplier-code-of-conduct.pdf
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity has established a supplier code of conduct addressing responsible sourcing. The code of conduct is mandatory to be signed by suppliers and due diligence risk assessment is always done prior to starting business with the Entity. https://www.hydro.com/globalassets/08-about-hydro/our-business/hydro-supplier-code-of-conduct.pdf
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	The Entity has established a supplier code of conduct addressing human rights due diligence. The code of conduct is mandatory to be signed by suppliers and due diligence risk assessment is always done prior to starting business with the Entity. https://www.hydro.com/globalassets/08-about-hydro/our-business/hydro-supplier-code-of-conduct.pdf
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity has established a supplier responsible sourcing framework including assessment of conflict affected and high risk areas. The code of conduct is mandatory to be signed by suppliers and due diligence risk assessment is always conducted prior to starting business with the Entity. https://www.hydro.com/globalassets/08-about-hydro/our-business/hydro-supplier-code-of-conduct.pdf
7.2 Risk assessment	Conformance	The Entity has established a supplier code of conduct including a risk-assessment and qualification process. The code of conduct is mandatory to be signed by suppliers and a due-diligence risk assessment is always conducted prior to starting business with the Entity.
7.3 Complaints mechanism	Conformance	The Entity has established complaint mechanisms allowing to raise concerns through different channels, such as the company website:

CRITERION	RATING	COMMENT
		https://www.hydro.com/en/contact-us or email: Compliance@hydro.com Alunorte also holds a valid SA8000 certificate.
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity has a Material Accounting System developed to govern and report on input quantity as well as output quantity of CoC Material and non-CoC Material.
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 decided to use the period from January to December as their accounting period. This is in line with the requirement in the standard.
8.4 Input Percentage	Conformance	The Entity Material Accounting System calculates the input percentage in line with the requirements in the standard.
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 Material Accounting System calculates the output quantity by mass in line with the requirements in the standard.
8.7 Output Quantity designation	Conformance	The Entity's output quantity of CoC Material is designated as 100%. The Material Accounting System is designed to control this and the necessary training in the organisation has been given.
8.8 Output Quantity – Pre-Consumer Scrap	Not Applicable	This criterion is not applicable to the Entity's certification scope as there is no pre-consumer scrap in the chain.
8.9 Outputs not exceed inputs	Conformance	The Entity Material Accounting System and internal control mechanisms will assure that outputs do not exceed inputs in line with the requirements in the standard.

CRITERION	RATING	COMMENT
8.10a Internal Overdraws (not exceed 20%)	Conformance	The Entity has established procedures and systems to control the material accounting and make sure that Internal Overdraws do not exceed 20%.
8.10b Internal Overdraws (not exceed affected amount)	Conformance	The Entity Material Accounting System and internal control mechanisms will assure that the Internal Overdraw does not exceed the amount of CoC Material affected by a force majeure situation.
8.10c Internal Overdraws (period to make up)	Conformance	The Entity Material Accounting System and internal control mechanisms will assure that Internal Overdraw to be made up within the subsequent Material Accounting Period.
8.11a Positive Balance (carry over)	Conformance	The Entity Material Accounting System and internal control mechanisms will assure that a positive balance is carried over to the subsequent Material Accounting Period.
8.11b Positive Balance (expiry)	Conformance	The Entity Material Accounting System and internal control mechanisms will assure that a positive balance carried over to the subsequent Material Accounting Period will expire at the end of that period if not drawn down.
9 ISSUING COC DOCUMENTS		
9.1 Shipments and transfers	Conformance	The Entity has developed documents and records to follow shipments and transfer of CoC Material.
9.2a Date of issue	Conformance	The Entity has developed documents and records to follow shipments and transfer of CoC Material with information on the issue date.
9.2b Reference number	Conformance	The Entity has developed documents and records to follow shipments and transfer of CoC Material with information including a reference number and material code.
9.2c Issuing Entity	Conformance	The Entity has developed documents and records to follow shipments and transfer of CoC Material with information on issuing Entity.
9.2d Receiving customer	Conformance	The Entity has developed documents and records to follow shipments and transfer of CoC Material with information about the receiving customer.
9.2e Responsible employee	Conformance	The Entity has developed documents and records to follow shipments and transfer of CoC Material with information on issuing Entity and the responsible employees of the Entity who can verify information in the CoC Document.

CRITERION	RATING	COMMENT
9.2f Conformance statement	Conformance	The Entity has developed documents and records to follow shipments and transfer of CoC Material with information on a statement of conformance related to ASI requirements.
9.2g Type of CoC Material	Conformance	The Entity has developed documents and records to follow shipments and transfer of CoC Material with information on type of CoC Material shipped.
9.2h Mass of CoC Material	Conformance	The Entity has developed documents and records to follow shipments and transfer of CoC material with information on mass of CoC Material in the shipment.
9.2i Mass of total material	Conformance	The Entity has developed documents and records to follow shipments and transfer of CoC Material with information on mass of total material in the 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)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
9.3c Post-Casthouse ASI Certification status	Not Applicable	This criterion is not applicable to the Entity's certification scope.
9.4 Supplementary Information (optional)	Not Applicable	The Entity is not planning to add supplementary information.
9.5 Response to verification requests	Conformance	The Entity has close cooperation with client buying CoC Material, will report on a regular basis and support if request for further verification of information is needed.
9.6 Error management	Conformance	The Entity has developed an error management procedure.
10 RECEIVING COC DOCUMENTS		
10.1 Verify required information included	Conformance	The Entity has a management system procedure and established routines to regularly check and verify receiving documents.
10.2 Verify consistency with shipments	Conformance	The Entity has a management system procedure and established routines to regularly check the consistency of the CoC Documents before recording information in the Accounting System.
10.3 Verify supplier CoC Certification status	Conformance	The Entity has a management system procedure and established routines to regularly check the ASI

CRITERION	RATING	COMMENT
		website to verify validity and scope of supplier's ASI certification.
10.4 Error management	Conformance	The Entity has developed an error management procedure.
11 MARKET CREDITS SYSTEM: ASI CREDITS		
11.1a Material Accounting System – allocation	Not Applicable	This criterion is not applicable to the Entity's certification scope.
11.1b Link to Casthouse Products	Not Applicable	This criterion is not applicable to the Entity's certification scope.
11.1c No double counting	Not Applicable	This criterion is not applicable to the Entity's certification scope.
11.1d No Positive Balance for ASI Credits	Not Applicable	This criterion is not applicable to the Entity's certification scope.
11.2a Date of issue	Not Applicable	This criterion is not applicable to the Entity's certification scope.
11.2b Reference number	Not Applicable	This criterion is not applicable to the Entity's certification scope.
11.2c Issuing Entity	Not Applicable	This criterion is not applicable to the Entity's certification scope.
11.2d Receiving Entity	Not Applicable	This criterion is not applicable to the Entity's certification scope.
11.2e Conformance statement	Not Applicable	This criterion is not applicable to the Entity's certification scope.
11.2f ASI Credits statement	Not Applicable	This criterion is not applicable to the Entity's certification scope.
11.2g Quantity	Not Applicable	This criterion is not applicable to the Entity's certification scope.
11.3a CoC Certification Scope – purchasing ASI Credits	Not Applicable	This criterion is not applicable to the Entity's certification scope.
11.3b Material Accounting System – purchasing	Not Applicable	This criterion is not applicable to the Entity's certification scope.
11.3c Expiry	Not Applicable	This criterion is not applicable to the Entity's certification scope.
11.3d No re-trading	Not Applicable	This criterion is not applicable to the Entity's certification scope.

CRITERION	RATING	COMMENT
11.3e No allocation to physical products	Not Applicable	This criterion is not applicable to the Entity's certification scope.
11.3f Verify supplier CoC Certification status	Not Applicable	This criterion is not applicable to the Entity's certification scope.
11.3g Five years maximum for ASI Credits purchasing	Not Applicable	This criterion is not applicable to the Entity's certification scope.
12 CLAIMS AND COMMUNICATIONS		
12.1a ASI Claims Guide	Conformance	The Entity's claims and/or representations about CoC Material outside of CoC Documents, will be coordinated from the Head Office to ensure that this is done in a manner and form consistent with the ASI Claims Guide.
12.1b Verifiable evidence	Conformance	The Entity's claims and/or representations about CoC Material outside of CoC Documents, will be coordinated from the Head Office to ensure that this is done in a manner and form consistent with the ASI Claims Guide and is supported by verifiable evidence.
12.1c Employee training	Conformance	The Entity's claims and/or representations about CoC Material outside of CoC Documents, will be coordinated from the Head Office to ensure that this is done in a manner and form consistent with the ASI Claims Guide. Information and training of key personnel have been done accordingly.