

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

THAI BEVERAGE CAN (THAILAND)

CERTIFICATE
NUMBER

141

ASI
STANDARD

CHAIN OF CUSTODY
(V1 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITOR

TÜV
RHEINLAND
CERT GmbH

DATE OF ISSUE

9 JULY 2021

DATE OF EXPIRY

8 JULY 2024

CERTIFIED SINCE

9 JULY 2021

AUTHORISED BY

A handwritten signature in white ink, appearing to be 'J. H.', with a long horizontal line 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

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

SUMMARY AUDIT REPORT

CHAIN OF CUSTODY STANDARD

OVERVIEW

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

9 July 2021 – 8 July 2024

NEXT AUDIT
TYPE

Surveillance Audit

NEXT AUDIT
DUE DATE

8 July 2022

CERTIFICATION
NUMBER

141

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	The Entity has been an ASI member in the "Production and Transformation" class since October 2020, verified on ASI website.
1.2 Management system	Conformance	The Entity has documented an integrated management system which describes applicability and compatibility with other management system standards. Specific standard operating procedures are documented to address Chain of Custody requirements.
1.3 Management system reviews	Conformance	The initial review of the management system has been conducted, chaired by the Entity's President and included participants from other department heads.
1.4 Management representative	Conformance	The Executive Vice President is designated as the management representative by the President through internal memorandum. The responsibilities are documented in the memorandum. The role is further assisted by personnel from Environment, Health and Safety (EHS) and People Development (HR) departments.
1.5 Training	Conformance	The ASI documents, such as standard operating procedures, have been communicated to responsible persons or process owners. In addition, training has been provided to the employees.
1.6 Record keeping	Conformance	The Entity has defined a record retention time of 5 years, as per ASI requirements.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	The Entity has defined the requirements in a standard operating procedure. However, being in the initial stage, this activity has not yet been performed and will be done at the required timeline.
1.7b Reporting to ASI (Input Percentage)	Conformance	The Entity has defined requirements for reporting to ASI in a standard operating procedure.
1.7c Reporting to ASI (Positive Balance)	Conformance	The Entity has defined requirements for reporting to ASI in a standard operating procedure.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	The Entity has defined requirements for reporting to ASI in a standard operating procedure.
1.7e Reporting to ASI (Eligible Scrap)	Conformance	The Entity has defined requirements for reporting to ASI in a standard operating procedure.

CRITERION	RATING	COMMENT
1.7f Reporting to ASI (ASI Credits from Casthouses)	Conformance	The Entity has defined requirements for reporting to ASI in a standard operating procedure.
1.7g Reporting to ASI (ASI Credits purchased)	Conformance	The Entity has defined requirements for reporting to ASI in a standard operating procedure.

2 OUTSOURCING CONTRACTORS

2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	The Entity does not use outsourcing contractors who take custody of CoC Material for the purposes of further processing, treatment or manufacturing and thus, is not applicable at present.
2.2a Control of CoC Material	Not Applicable	The Entity does not use outsourcing contractors who take custody of CoC Material for the purposes of further processing, treatment or manufacturing and thus, is not applicable at present.
2.2b No further outsourcing	Not Applicable	The Entity does not use outsourcing contractors who take custody of CoC Material for the purposes of further processing, treatment or manufacturing and thus, is not applicable at present.
2.2c Risk assessment	Not Applicable	The Entity does not use outsourcing contractors who take custody of CoC Material for the purposes of further processing, treatment or manufacturing and thus, is not applicable at present. The risk assessment aspects have been covered during due diligence or pre-qualification along with other suppliers.
2.3 Output Quantity	Not Applicable	The Entity does not use outsourcing contractors who take custody of CoC Material for the purposes of further processing, treatment or manufacturing and thus, is not applicable at present.
2.4 Verification and record-keeping	Not Applicable	The Entity does not use outsourcing contractors who take custody of CoC Material for the purposes of further processing, treatment or manufacturing and thus, is not applicable at present. However the requirements to verify quantity and consistency have been documented in the standard operating procedure.
2.5 Error management	Not Applicable	The Entity does not use outsourcing contractors who take custody of CoC Material for the purposes of further processing, treatment or manufacturing and thus, is not applicable at present. However the error management aspects have been documented in the standard operating procedure.

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 has engaged with its metal suppliers and taken their commitment to certify to ASI's Performance Standard and Chain of Custody Standard, with the majority of suppliers planning to

CRITERION	RATING	COMMENT
		certify in Q-4 2021. The ASI metal material code in ERP/SAP is established in line with the Entity's traceability system.
6.1b ASI Performance Standard - Post-Casthouse	Conformance	The Entity has engaged with its metal suppliers and taken their commitment to certify to ASI's Performance Standard and Chain of Custody Standard, with the majority of suppliers planning to certify in Q-4 2021, the details verified. The Entity itself is undergoing an ASI Performance Standard certification audit, ahead of the 2 year certification timeline upon joining ASI.
6.1c Sourcing ASI Aluminium	Conformance	The Entity has documented standard operating procedures to address this requirement. There is an exclusivity contract which is signed by the Entity and its suppliers.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	The Entity has developed "Supplier Guiding Principles", applicable to all metal suppliers including Non-CoC Material and Recyclable Scrap Material and covering requirements such as legal compliance, anti-corruption, health and safety and human rights.
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity has developed "Supplier Guiding Principles" and a responsible sourcing policy, applicable to all metal suppliers and covering requirements such as legal compliance, anti-corruption, health and safety and human rights. It has been communicated to all the suppliers including suppliers of Non-CoC Material and Recyclable Scrap.
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	The Entity has developed "Supplier Guiding Principles" and a responsible sourcing policy, applicable to all metal suppliers and covering requirements such as human rights.
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity has developed "Supplier Guiding Principles", and a responsible sourcing policy, applicable to all metal suppliers and covering requirements such as conflict affected and high risk areas. It is further assessed during periodic assessment of suppliers.
7.2 Risk assessment	Conformance	The Entity has conducted risk management which cover governance, social and environmental risk in its supply chain, as per its Supplier Guiding Principle and responsible sourcing policy.

CRITERION	RATING	COMMENT
7.3 Complaints mechanism	Conformance	The Entity has documented a procedure to cover the compliant handling process for all stakeholders including suppliers. Contact information is available on the Entity's webpage: http://www.yourtbc.com/en/contact/Pages/default.aspx
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Material Accounting System is defined in a standard operating procedure. The Entity uses ERP/SAP for inventory management.
8.2a Post-Consumer Scrap	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.2b Pre-Consumer Scrap (total)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.2c Pre-Consumer Scrap (Eligible Scrap)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.3 Material Accounting Period	Conformance	The Entity has defined the material accounting period as 12 months.
8.4 Input Percentage	Conformance	The formula to calculate Input Percentage is defined in a standard operating procedure, as per ASI Chain of Custody Criterion.
8.5 Input Percentage (Aluminium Re-Melting/Refining)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.6 Output Quantity determination	Conformance	The Entity has developed a standard operating procedure to use Input Percentage to determine output percentage of CoC Material by mass in a specific Material Accounting Period.
8.7 Output Quantity designation	Conformance	The Entity has developed a standard operating procedure to describe requirements to designate Output Quantity as 100% CoC Material, as part or full of total quantity produced, dependent upon Input Percentage.
8.8 Output Quantity - Pre-Consumer Scrap	Conformance	The related requirements to consider pre-consumer scrap from manufacturing process have been taken as 'Eligible Scrap' and defined in a standard operating procedure.
8.9 Outputs not exceed Inputs	Conformance	The Entity has developed a standard operating procedure which describes that 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 over the Material Accounting Period.

CRITERION	RATING	COMMENT
8.10a Internal Overdraws (not exceed 20%)	Conformance	The Entity has defined the internal overdraw limit of up to 20% of total Input Quantity of CoC Material for the given Material Accounting Period.
8.10b Internal Overdraws (not exceed affected amount)	Conformance	The Entity has described in its standard operating procedure that internal overdraw quantity by mass will not exceed the amount of CoC Material affected by the force majeure situation with ceiling of 20% of total Input Quantity of CoC Material for given Material Accounting Period.
8.10c Internal Overdraws (period to make up)	Conformance	The Entity has developed a standard operating procedure which describes that Internal Overdraws will be made up within the subsequent Material Accounting Period.
8.11a Positive Balance (carry over)	Conformance	The Entity has developed a standard operating procedure which defines the requirement to clearly identify any carry over of a positive balance to the subsequent Material Accounting Period.
8.11b Positive Balance (expiry)	Conformance	The Entity has developed a standard operating procedure which defines the requirement that any positive balance carried over to the subsequent Material Accounting Period will expire automatically at the end of period if not drawn.
9 ISSUING COC DOCUMENTS		
9.1 Shipments and transfers	Conformance	The Entity's CoC procedure outlines requirements related to issuing ASI CoC Material documentation such as responsibility, format and requirement for 100% shipment. The Entity has not issued a CoC Document to date, as a request is yet to be received by customers or downstream value chain partners.
9.2a Date of issue	Conformance	The Entity has developed the ASI CoC Document to include information such as date of issue.
9.2b Reference number	Conformance	The Entity has developed the ASI CoC Document to include information such as reference number.
9.2c Issuing Entity	Conformance	The Entity has developed the ASI CoC Document to include information such as company name, address and CoC certification number.
9.2d Receiving customer	Conformance	The Entity has developed the ASI CoC Document to include information on the receiving customer (entity) such as name, address and CoC certification number.
9.2e Responsible employee	Conformance	The Entity has developed the ASI CoC document and a standard operating procedure which includes

CRITERION	RATING	COMMENT
		information such as responsibility i.e. Warehouse Logistics Officer.
9.2f Conformance statement	Conformance	The Entity has developed the ASI CoC Document to include statement that “The information provided in the CoC Document are in conformance with the ASI CoC Standard.”
9.2g Type of CoC Material	Conformance	The Entity has developed the ASI CoC Document to include information on the type of CoC Material in the accompanying shipment.
9.2h Mass of CoC Material	Conformance	The Entity has developed the ASI CoC Document to include information on the mass of CoC Material in the accompanying shipment.
9.2i Mass of total material	Conformance	The Entity has developed the ASI CoC Document to include information about mass of total material in the accompanying shipment.
9.3a Sustainability Data (optional)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.3b Sustainability Data (passing on)	Conformance	The Entity has developed the ASI CoC Document to include additional information about GHG/ carbon footprint (kgCO ₂ ^{eq}) per 1000 cans or equivalent weight.
9.3c Post-Casthouse ASI Certification status	Conformance	The Entity has developed the ASI CoC Document to include information on the Entity's ASI Certification status for the ASI Performance Standard.
9.4 Supplementary Information (optional)	Conformance	The Entity has developed the ASI CoC Document to contain supplementary information such as the Entity's certification to ISO 14001 and ISO 45001 and a web reference to the Sustainable Development Report.
9.5 Response to verification requests	Conformance	The Entity has developed the ASI CoC Document to contain information on the mechanism to handle requests for verification of disclosed information in ASI CoC Document.
9.6 Error management	Conformance	The Entity has developed standard operating procedures which contain information on the internal mechanism (responsibility, process to be followed) to handle any error encountered in disclosed information in ASI CoC Document and other aspects of the Entity's ASI Certification.

CRITERION	RATING	COMMENT
10.1 Verify required information included	Conformance	The Entity has developed a standard operating procedure containing relevant information such as responsibility defined to conduct a "completeness check" on received shipment/CoC Documents.
10.2 Verify consistency with shipments	Conformance	The Entity has developed a standard operating procedure. The responsibility is defined to conduct "consistency check" on received shipment/CoC Documents accompanying shipment before entry into the Material Accounting System (ERP/SAP).
10.3 Verify supplier CoC Certification status	Conformance	The Entity has developed a standard operating procedure. The responsibility is defined for the ASI manager/representative to quarterly review the validity and scope of the supplier's ASI CoC Certification and any changes that might affect the status of the supplied CoC Material or Eligible Scrap.
10.4 Error management	Conformance	The Entity has developed a standard operating procedure and work instructions which contain information on the internal mechanism (responsibility, process to be followed) to handle any error found in the ASI CoC Document, CoC Material or Eligible Scrap received and other aspects of supplier ASI Certification.
11 MARKET CREDITS SYSTEM: ASI CREDITS		
11.1a Material Accounting System – allocation	Not Applicable	The Entity does not engage in the Market Credits System at present.
11.1b Link to Casthouse Products	Not Applicable	The Entity does not engage in the Market Credits System at present.
11.1c No double counting	Not Applicable	The Entity does not engage in the Market Credits System at present.
11.1d No Positive Balance for ASI Credits	Not Applicable	The Entity does not engage in the Market Credits System at present.
11.2a Date of issue	Not Applicable	The Entity does not engage in the Market Credits System at present.
11.2b Reference number	Not Applicable	The Entity does not engage in the Market Credits System at present.
11.2c Issuing Entity	Not Applicable	The Entity does not engage in the Market Credits System at present.
11.2d Receiving Entity	Not Applicable	The Entity does not engage in the Market Credits System at present.

CRITERION	RATING	COMMENT
11.2e Conformance statement	Not Applicable	The Entity does not engage in the Market Credits System at present.
11.2f ASI Credits statement	Not Applicable	The Entity does not engage in the Market Credits System at present.
11.2g Quantity	Not Applicable	The Entity does not engage in the Market Credits System at present.
11.3a CoC Certification Scope – purchasing ASI Credits	Not Applicable	The Entity does not engage in the Market Credits System at present.
11.3b Material Accounting System – purchasing	Not Applicable	The Entity does not engage in the Market Credits System at present.
11.3c Expiry	Not Applicable	The Entity does not engage in the Market Credits System at present.
11.3d No re-trading	Not Applicable	The Entity does not engage in the Market Credits System at present.
11.3e No allocation to physical products	Not Applicable	The Entity does not engage in the Market Credits System at present.
11.3f Verify supplier CoC Certification status	Not Applicable	The Entity does not engage in the Market Credits System at present.
11.3g Five years maximum for ASI Credits purchasing	Not Applicable	The Entity does not engage in the Market Credits System at present.

12 CLAIMS AND COMMUNICATIONS

12.1a ASI Claims Guide	Conformance	The Entity has developed a standard operating procedure which references any claim about ASI material is consistent with the ASI Claims Guide. A related procedure on graphic design (responsibility of sales and marketing department) has been developed. Relevant personnel have been trained.
12.1b Verifiable evidence	Conformance	The Entity has developed a standard operating procedure outlining requirements to maintain records and verifiable evidence in order to support the claims and/or representations made by the Entity.
12.1c Employee training	Conformance	The Entity has delivered training to relevant employees to help them understand the ASI claim/representation process in line with ASI CoC requirements.

Document Control and Version History

Revision	Date	Notes
0	9 July 2021	Issued (Full Certification)

