

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# BALL CORPORATION

CERTIFICATE  
NUMBER

73

ASI  
STANDARD

CHAIN OF CUSTODY  
(V1 2017)

CERTIFICATION  
LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITOR

BUREAU  
VERITAS  
CERTIFICATION

DATE OF ISSUE

14 FEBRUARY 2020

DATE OF EXPIRY

13 FEBRUARY 2023

CERTIFIED SINCE

14 FEBRUARY 2020

AUTHORISED BY

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

Aluminium Stewardship Initiative Ltd  
ACN 606 661 125, Australia  
info@aluminium-stewardship.org

*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

The ASI CoC Scope for Ball Beverage Packaging EMEA includes regional managing activities conducted at the headquarters in Luton, UK. Engineering/quality insurance activities conducted in Tongwell, UK. Manufacturing of beverage can bodies at facilities located at Cabanillas del Campo, Spain; La Selva, Spain; Bierne, France; Nogara, Italy; Widnau, Switzerland; Ludesch, Austria; Gelsenkirchen, Germany; Ejpvovice, Czech Republic; Milton Keynes, UK; Wakefield, UK; Fredericia, Denmark; Fosie, Sweden; Belgrade, Serbia; Mantsala, Finland; Vsevolozhsk, Russia; Argayash, Russia; Manisa, Turkey; and, Cairo, Egypt. Manufacturing of beverage can ends at facilities in Mont, France, Waterford, Ireland and at Lublin, Poland. Manufacturing of beverage can bodies and ends at facilities in Naro Fominsk, Russia and at Dammam, Saudi Arabia.

# SUMMARY AUDIT REPORT

## CHAIN OF CUSTODY STANDARD

### OVERVIEW

MEMBER NAME	Ball Corporation
ENTITY NAME	Ball Beverage Packaging EMEA (Europe, Middle East and Africa)
CERTIFICATION SCOPE	<p>The ASI CoC Scope for Ball Beverage Packaging EMEA includes regional managing activities conducted at the headquarters in Luton, UK. Engineering/quality insurance activities conducted in Tongwell, UK. Manufacturing of beverage can bodies at facilities located at Cabanillas del Campo, Spain; La Selva, Spain; Bierne, France; Nogara, Italy; Widnau, Switzerland; Ludesch, Austria; Gelsenkirchen, Germany; Ejpovice, Czech Republic; Milton Keynes, UK; Wakefield, UK; Fredericia, Denmark; Fosie, Sweden; Belgrade, Serbia; Mantsala, Finland; Vsevolozhsk, Russia; Argayash, Russia; Manisa, Turkey; and, Cairo, Egypt. Manufacturing of beverage can ends at facilities in Mont, France, Waterford, Ireland and at Lublin, Poland. Manufacturing of beverage can bodies and ends at facilities in Naro Fominsk, Russia and at Dammam, Saudi Arabia.</p>
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>• Post-Casthouse</li></ul>
ASI STANDARD	<ul style="list-style-type: none"><li>• Chain of Custody Standard V1</li></ul>
AUDIT TYPE	<ul style="list-style-type: none"><li>• Initial Certification Audit</li></ul>
AUDIT FIRM	Bureau Veritas Certification
AUDIT DATE	13 August – 11 October 2019
AUDIT REPORT SUBMISSION	14 January 2020
AUDIT SCOPE	<p>The scope of the Certification Audit covers Ball Beverage Packaging EMEA (Europe, Middle East and Africa) at the Head Office Luton (United Kingdom) with site visits to Ball Beverage Packaging Belgrade (Serbia), Ball Beverage Packaging Gelsenkirchen (Germany), Ball Beverage Packaging Ludesch (Austria), Ball Beverage Packaging Nogara (Italy) and Ball Beverage Packaging Waterford (Ireland). Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"><li>• Post-Casthouse</li></ul> <p>All applicable criteria in the ASI Chain of Custody Standard were included in the audit scope.</p>

AUDIT OUTCOME	<ul style="list-style-type: none"> <li>• Certification</li> </ul>
AUDIT METHODOLOGY DECLARATION	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this report.</li> <li><input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.</li> <li><input checked="" type="checkbox"/> 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.</li> <li><input checked="" type="checkbox"/> The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.</li> </ul>
CERTIFICATION PERIOD	14 February 2020 – 13 February 2023
NEXT AUDIT TYPE	Re-certification
NEXT AUDIT DUE DATE	13 February 2023
CERTIFICATION NUMBER	73

## SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	BALL is a member of the Aluminium Stewardship Initiative ASI since 2013. The support and membership status are communicated in the sustainability report on the BALL website (see <a href="https://www.ball.com/eu/vision/sustainability/product-stewardship">https://www.ball.com/eu/vision/sustainability/product-stewardship</a> )
1.2 Management system	Conformance	BALL has well functioning management systems implemented with responsibilities both on local and central level. All Ball Beverage Packaging EMEA sites are either externally certified against different standards (ISO 14.001, OHSAS/ISO 45.001, BRC, ISO 22.000 etc.). The ASI requirements are covered by the existing management systems and additional policies and procedures.
1.3 Management system reviews	Conformance	Ball Beverage Packaging EMEA and the local BALL sites conduct annual management reviews, where the results of internal and external developments, internal and external audits etc. are reviewed.
1.4 Management representative	Conformance	Ball Beverage Packaging EMEA defined the overall responsibility for ASI with the vice president sourcing and a central team, local responsibilities are defined for all sites and documented in the organization charts.
1.5 Training	Conformance	BALL defined the persons that are relevant for the implementation and functioning of ASI requirements. It elaborated a training about the requirements of the ASI performance standard and the ASI chain-of-custody standard and trained all relevant personnel on these requirements.
1.6 Record keeping	Conformance	Based on legal requirements and the requirements of the ASI standard, Ball Beverage Packaging EMEA defined the retention time for ASI related documents as five years.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	Ball defines in its ASI related quality procedure, to report to the ASI Secretariat within 3 months after the end of each calendar year all ASI related input and output quantities. At the time of the ASI CoC audit, ASI certified material was not yet in use.
1.7b Reporting to ASI (Input Percentage)	Conformance	Ball defines in its ASI related quality procedure, to report to the ASI Secretariat within 3 months after the end of each calendar year all ASI related information, including the percentages calculated for

CRITERION	RATING	COMMENT
		the calendar year. At the time of the ASI CoC audit, ASI certified material was not yet in use.
1.7c Reporting to ASI (Positive Balance)	Conformance	Ball defines in its ASI related quality procedure, to report to the ASI Secretariat within 3 months after the end of each calendar year all ASI related information, including any positive material balance - if applicable. At the time of the ASI CoC audit, ASI certified material was not yet in use.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	Ball defines in its ASI related quality procedure, to report to the ASI Secretariat within 3 months after the end of each calendar year all ASI related information, including any internal overdraw of the positive material balance - if applicable. At the time of the ASI CoC audit, ASI certified material was not yet in use.
1.7e Reporting to ASI (Eligible Scrap)	Not Applicable	Not applicable, as Ball Beverage Packaging EMEA is not engaged in aluminium re-melting/refining to produce recycled aluminium.
1.7f Reporting to ASI (ASI Credits from Casthouses)	Not Applicable	Not applicable, as Ball Beverage Packaging EMEA does not intend to purchase ASI credits from casthouses but plans on relying on the mass balance system only.
1.7g Reporting to ASI (ASI Credits purchased)	Not Applicable	Not applicable, as Ball Beverage Packaging EMEA does not intend to purchase ASI credits from casthouses but plans on relying on the mass balance system only.
<b>2 OUTSOURCING CONTRACTORS</b>		
2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	Not applicable, as there are no outsourcing contractors without CoC certification that take custody of chain-of-custody material for the purposes of further processing, treatment or manufacturing.
2.2a Control of CoC Material	Not Applicable	Not applicable, as there are no outsourcing contractors without CoC certification that take custody of chain-of-custody material for the purposes of further processing, treatment or manufacturing.
2.2b No further outsourcing	Not Applicable	Not applicable, as there are no outsourcing contractors without CoC certification that take custody of chain-of-custody material for the purposes of further processing, treatment or manufacturing.
2.2c Risk assessment	Not Applicable	Not applicable, as there are no outsourcing contractors without CoC certification that take

CRITERION	RATING	COMMENT
		custody of chain-of-custody material for the purposes of further processing, treatment or manufacturing.
2.3 Output Quantity	Not Applicable	Not applicable, as there are no outsourcing contractors without CoC certification that take custody of chain-of-custody material for the purposes of further processing, treatment or manufacturing.
2.4 Verification and record-keeping	Not Applicable	Not applicable, as there are no outsourcing contractors without CoC certification that take custody of chain-of-custody material for the purposes of further processing, treatment or manufacturing.
2.5 Error management	Not Applicable	Not applicable, as there are no outsourcing contractors without CoC certification that take custody of chain-of-custody material for the purposes of further processing, treatment or manufacturing.

### 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.

CRITERION	RATING	COMMENT
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	Ball Beverage Packaging EMEA has all cans and ends plants certified within its scope. It can provide certified products to its customers through its own plants.
6.1b ASI Performance Standard – Post-Casthouse	Conformance	Ball Beverage Packaging EMEA has all cans and ends plants certified within its scope. It can provide certified products to its customers through its own plants. It sources aluminium for these products only from certified suppliers.
6.1c Sourcing ASI Aluminium	Conformance	Several of Ball Beverage Packaging EMEA suppliers are already certified against ASI performance and ASI chain-of-custody standard. Based on the SAP system, BALL implemented a mechanism to check upon delivery, if the supplied material is ASI certified, registers it accordingly for the further production to ensure, that ASI-certified products are produced with ASI-certified material.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	BALL has supplier guiding principles and a Business Code of Conduct. These documents cover employment practices, human rights, environment, health and safety, antitrust, bribery and anti-corruption. These principles have to be accepted and signed by the suppliers (see <a href="http://www.ball.com/responsible-sourcing-framework">www.ball.com/responsible-sourcing-framework</a> ).
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	BALL has supplier guiding principles and a Business Code of Conduct, that cover employment practices, human rights, environment, health and safety,

CRITERION	RATING	COMMENT
		<p>antitrust, bribery and anti-corruption. These principles have to be accepted and signed by the suppliers (see <a href="http://www.ball.com/responsible-sourcing-framework">www.ball.com/responsible-sourcing-framework</a>). BALL published a Slavery and Human Trafficking Statement to show the commitment to the UK Modern Slavery Act of 2015 and the California Transparency in Supply Chains Act of 2010 (see <a href="http://www.ball.com/human-trafficking">www.ball.com/human-trafficking</a> and <a href="http://www.ball.com/responsible-sourcing-framework">www.ball.com/responsible-sourcing-framework</a>).</p>
<p>7.1c Responsible sourcing policy (human rights due diligence)</p>	<p>Conformance</p>	<p>BALL has supplier guiding principles and a Business Code of Conduct, that cover employment practices, human rights etc. These principles have to be accepted and signed by the suppliers. BALL published a Slavery and Human Trafficking Statement to show the commitment to the UK Modern Slavery Act of 2015 and the California Transparency in Supply Chains Act of 2010. All new contracts include clauses on human trafficking and the Human Rights Policy addresses human rights due diligence, including the supply chain. All aluminium suppliers have to complete site-specific SEDEX risk assessments and site-specific ESG risk factors are assessed (see <a href="http://www.ball.com/human-trafficking">www.ball.com/human-trafficking</a> and <a href="http://www.ball.com/responsible-sourcing-framework">www.ball.com/responsible-sourcing-framework</a>).</p>
<p>7.1d Responsible sourcing policy (conflict affected and high risk areas)</p>	<p>Conformance</p>	<p>BALL has a conflict minerals policy and elaborated a conflict minerals report, which are both published on the website (<a href="https://www.ball.com/na/vision/sustainability/product-stewardship/supply-chain/responsible-sourcing-framework">https://www.ball.com/na/vision/sustainability/product-stewardship/supply-chain/responsible-sourcing-framework</a>). They address conflict affected and high risk areas and BALL's expectations towards suppliers of such materials. All aluminium suppliers have to complete site-specific SEDEX risk assessments and site-specific ESG risk factors are assessed.</p>
<p>7.2 Risk assessment</p>	<p>Minor Non-Conformance</p>	<p>BALL established a Responsible Sourcing Framework and maintains a Sustainability Category Profile for aluminium, which lists the most material ESG risk factors for aluminium, assessing these risks in terms of operational, reputational, and economic impacts. In addition, Ball assesses ESG risks and creates ESG risk profiles for every aluminium supplier on a site-specific basis. It uses the Supplier Ethical Data Exchange (Sedex) to perform these assessments. While the risks are assessed in a general way, BALL does not yet fully translate how any identified risks might affect individual sites, businesses or the company as a</p>



CRITERION	RATING	COMMENT
		whole (see <a href="http://www.ball.com/responsible-sourcing-framework">www.ball.com/responsible-sourcing-framework</a> ).
7.3 Complaints mechanism	Conformance	BALL communicates in its Business Ethics Code of Conduct multiple ways to submit complaints via compliance hotlines, including country-specific phone numbers. The hotlines can be reached by Ball employees, suppliers and any other external stakeholders (see code of conduct in several languages at <a href="https://www.ball.com/codeofconduct">https://www.ball.com/codeofconduct</a> ). In addition, BALL provides contacts for various topics on ball.com that can be contacted by interested parties to voice concerns about non-compliance with Ball's responsible sourcing framework (see <a href="http://www.ball.com/na/about-ball/contact-us/ball-contact-information/sustainability">www.ball.com/na/about-ball/contact-us/ball-contact-information/sustainability</a> )
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	BALL records in the SAP system on plant level all incoming aluminium coils with relevant data and implemented an additional field to record, if coils are ASI certified or not. At the end of each accounting period, a report can be generated that shows the weights and percentages of ASI and non-ASI inputs in the period. The average gross and net weight of cans and ends is registered in the SAP system and it will be updated in the future on a quarterly basis (can bodies) and on annual basis (can ends) with data obtained for each accounting period from the Quality Assurance System (QAS). At the end of each accounting period, a sales report can be generated that shows the weights and percentages of ASI and non-ASI outputs in the period.
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	BALL defined to report internally on a quarterly basis and to report to ASI on an annual basis.
8.4 Input Percentage	Conformance	BALL records delivered material as either ASI or non-ASI material. Based on this classification, a report can be generated at the end of each accounting period that shows the weights and percentages of ASI and non-ASI inputs in the period.

CRITERION	RATING	COMMENT
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	BALL records the input of certified and non-certified material. At the end of each accounting period it calculates the amount of certified and non-certified material and compares it with the ASI and non-ASI input of the period.
8.7 Output Quantity designation	Conformance	BALL has procedures and instructions in place, to guarantee the compliance with ASI requirements. The ASI-certified subset of production is classified as 100% CoC material.
8.8 Output Quantity – Pre-Consumer Scrap	Conformance	Scrap is collected at each plant, scrap data is recorded on plant level and consolidated centrally on a monthly basis. The weight of scrap is checked between plant and the suppliers receiving scrap in return. Once ASI-certified aluminium is processed at the plants, within the existing accounting system for scrap, an equivalent amount of scrap will be classified as ASI material and will be assigned to those suppliers BALL buys ASI certified aluminium from.
8.9 Outputs not exceed inputs	Conformance	BALL adopted its material accounting system to ensure, that the total output of CoC material and eligible scrap does not exceed the input percentage as applied to total input of CoC material and eligible scrap over the material accounting period.
8.10a Internal Overdraws (not exceed 20%)	Conformance	BALL defined in its ASI procedure, that in the case of a force majeure situation, the material accounting system can carry over an internal overdraw (not to exceed 20% of total input quantity of CoC material) to the subsequent accounting period. The material accounting system is in compliance with ASI requirements, the effectiveness of the system has to be checked once ASI-certified aluminium is processed.
8.10b Internal Overdraws (not exceed affected amount)	Conformance	BALL defined in its ASI procedure, that in the case of a force majeure situation, the material accounting system can carry over an internal overdraw to the subsequent accounting period. The material accounting system is in compliance with ASI requirements, the effectiveness of the system has to be checked once ASI-certified aluminium is processed.
8.10c Internal Overdraws (period to make up)	Conformance	BALL defined in its ASI procedure, that in the case of a force majeure situation, the material accounting system can carry over an internal overdraw to the

CRITERION	RATING	COMMENT
		subsequent accounting period but has to be made up within the subsequent material accounting period. The material accounting system is in compliance with ASI requirements, the effectiveness of the system has to be checked once ASI-certified aluminium is processed.
8.11a Positive Balance (carry over)	Conformance	BALL defined in its ASI procedure that in the case of a positive balance of output CoC material at the end of a material accounting period, this can be carried over to the subsequent material accounting period and expires at the end of the period, if it is not drawn down. The material accounting system is in compliance with ASI requirements, the effectiveness of the system has to be checked once ASI-certified aluminium is processed.
8.11b Positive Balance (expiry)	Conformance	BALL defined in its ASI procedure that in the case of a positive balance of output CoC material at the end of a material accounting period, this can be carried over to the subsequent material accounting period and expires at the end of the period, if it is not drawn down. The material accounting system is in compliance with ASI requirements, the effectiveness of the system has to be checked once ASI-certified aluminium is processed.
9 ISSUING COC DOCUMENTS		
9.1 Shipments and transfers	Conformance	All shipments are clearly identified and traceable throughout the production process. All shipments are accompanied by delivery notes that clearly identify ASI-certified cans and ends and non-certified material by using two separate line items. In addition to the delivery notes, BALL can generate quarterly summary reports for each ASI customer that will cover all required data points and information required for ASI documentation.
9.2a Date of issue	Conformance	All delivery notes carry the date of delivery. A quarterly summary report will be issued during the first week after an accounting period has ended and will carry the date of issue of the ASI documentation.
9.2b Reference number	Conformance	All documentations carry reference numbers that are linked to BALLs material accounting system. Through this number it is possible to verify, that ASI certified material was used.
9.2c Issuing Entity	Conformance	All documents related to the ASI certified material carry the identity, address and CoC certification number of the entity issuing the CoC documents.

CRITERION	RATING	COMMENT
9.2d Receiving customer	Conformance	All shipping documents carry the identity and the address of the customer. The quarterly reports carry the name and CoC certification number of the CoC certified customers.
9.2e Responsible employee	Conformance	All shipping documents carry reference numbers to trace back all shipments to the persons who handled the shipments. All relevant personal is trained on ASI requirements. BALL will elaborate quarterly summary reports for its clients that carry the names of the responsible employees, who can verify the information in the CoC documents.
9.2f Conformance statement	Conformance	It is foreseen, that all shipping documents for ASI certified material and the quarterly summary report will carry the claim "The information provided in the CoC Document is in accordance with the ASI CoC standard".
9.2g Type of CoC Material	Conformance	All shipping documents for ASI certified material contain information about the type of CoC material in the shipment.
9.2h Mass of CoC Material	Conformance	All shipping documents for ASI certified material and the quarterly summary report will provide information about the mass of CoC material in the shipment.
9.2i Mass of total material	Conformance	All shipping documents for ASI certified material and the quarterly summary report will provide information about the mass of CoC material and of total material in the shipment. The quarterly summary will inform about the weight of all aluminium products shipped to the respective customer during the reporting period.
9.3a Sustainability Data (optional)	Not Applicable	Not applicable due to the type of business (post-cathouse entity)
9.3b Sustainability Data (passing on)	Not Applicable	BALL currently does not plan to provide additional sustainability data on CoC documents.
9.3c Post-Casthouse ASI Certification status	Conformance	BALL communicates its support for ASI on its website (see <a href="https://www.ball.com/na/vision/sustainability/product-stewardship">https://www.ball.com/na/vision/sustainability/product-stewardship</a> ) and in the sustainability report ( <a href="https://www.ball.com/Ball/media/Ball/Ball2018_SustainabilityReport-Web.pdf">https://www.ball.com/Ball/media/Ball/Ball2018_SustainabilityReport- Web.pdf</a> , p. 33). It plans to communicate the ASI certification status related to the ASI performance standard and the ASI chain of custody standard on the website and in the internal quarterly summary report.

CRITERION	RATING	COMMENT
9.4 Supplementary Information (optional)	Not Applicable	BALL currently does not plan to provide additional sustainability data on CoC documents.
9.5 Response to verification requests	Conformance	BALL has systems in place to give follow up and response to reasonable requests for the verification of information in CoC documents.
9.6 Error management	Conformance	BALL has detailed systems to handle non-compliances, quality problems etc. If an error is discovered after CoC Material has been shipped, BALL will document the error and agree on steps with the receiving party to correct it. As it is regulated in the quality procedures, detailed analysis are conducted to avoid a recurrence of the error.
10 RECEIVING COC DOCUMENTS		
10.1 Verify required information included	Conformance	BALL verifies all the information provided by suppliers and feeds it in its electronic database. The verification will include also all the required information in received CoC documents as soon as ASI certified material will be delivered. BALL will review this information also in the quarterly overview reports of its suppliers.
10.2 Verify consistency with shipments	Conformance	BALL verifies on each delivery the consistency of received material with the accompanying documents. This is also done with CoC material and the CoC documents before recording the information in the material accounting system.
10.3 Verify supplier CoC Certification status	Conformance	BALL checks and documents on a regular basis quality, environment and sustainability data of its suppliers. In the future, the ASI status of BALL suppliers will be checked on a regular basis on the ASI website to identify any changes that might affect the status of the supplied CoC Material.
10.4 Error management	Conformance	BALL has systems and procedures in place to inspect incoming goods, to document any findings and to follow up with any non-compliances. If an error is discovered after CoC material is received, BALL will document the error, investigate it together with the supplier and agree on steps to correct the error and to avoid the recurrence.
11 MARKET CREDITS SYSTEM: ASI CREDITS		
11.1a Material Accounting System – allocation	Not Applicable	Not applicable, as BALL does not apply the ASI credits system.
11.1b Link to Casthouse Products	Not Applicable	Not applicable, as BALL does not apply the ASI credits system.

CRITERION	RATING	COMMENT
11.1c No double counting	Not Applicable	Not applicable, as BALL does not apply the ASI credits system.
11.1d No Positive Balance for ASI Credits	Not Applicable	Not applicable, as BALL does not apply the ASI credits system.
11.2a Date of issue	Not Applicable	Not applicable, as BALL does not apply the ASI credits system.
11.2b Reference number	Not Applicable	Not applicable, as BALL does not apply the ASI credits system.
11.2c Issuing Entity	Not Applicable	Not applicable, as BALL does not apply the ASI credits system.
11.2d Receiving Entity	Not Applicable	Not applicable, as BALL does not apply the ASI credits system.
11.2e Conformance statement	Not Applicable	Not applicable, as BALL does not apply the ASI credits system.
11.2f ASI Credits statement	Not Applicable	Not applicable, as BALL does not apply the ASI credits system.
11.2g Quantity	Not Applicable	Not applicable, as BALL does not apply the ASI credits system.
11.3a CoC Certification Scope – purchasing ASI Credits	Not Applicable	Not applicable, as BALL does not apply the ASI credits system.
11.3b Material Accounting System – purchasing	Not Applicable	Not applicable, as BALL does not apply the ASI credits system.
11.3c Expiry	Not Applicable	Not applicable, as BALL does not apply the ASI credits system.
11.3d No re-trading	Not Applicable	Not applicable, as BALL does not apply the ASI credits system.
11.3e No allocation to physical products	Not Applicable	Not applicable, as BALL does not apply the ASI credits system.
11.3f Verify supplier CoC Certification status	Not Applicable	Not applicable, as BALL does not apply the ASI credits system.
11.3g Five years maximum for ASI Credits purchasing	Not Applicable	Not applicable, as BALL does not apply the ASI credits system.
<b>12 CLAIMS AND COMMUNICATIONS</b>		
12.1a ASI Claims Guide	Conformance	BALL regulated in its ASI procedures that all ASI related claims have to follow the rules and guidance laid out in the ASI Claims Guide. Any on-product claims need to be discussed with the BPEMEA legal

CRITERION	RATING	COMMENT
		and graphics department and must be cleared by ASI before the design is approved.
12.1b Verifiable evidence	Conformance	BALL regulates in its procedures, that all ASI related claims have to be consistent with the ASI Claims Guide and have to be verified through the legal department with ASI. This will fulfil all requirements of the ASI Claims Guide.
12.1c Employee training	Conformance	BALL regulates in its procedures, that all ASI related claims have to be consistent with the ASI Claims Guide and have to be verified through the legal department with ASI. BALL trained relevant staff on the correct process and communication of claims. This will fulfil all requirements of the ASI Claims Guide.

**Document Control and Version History**

Revision	Date	Notes
0	14 February 2020	Issued (Full Certification)
1	22 June 2021	Audit scope corrected to reference the specific Entities audited