
ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

TETRA PAK

CERTIFICATE
NUMBER

9

ASI
STANDARD

PERFORMANCE
STANDARD
(V2 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITOR

DNV BUSINESS
ASSURANCE
SERVICES UK
LTD.

DATE OF ISSUE

29 OCTOBER 2021

DATE OF EXPIRY

28 OCTOBER 2024

CERTIFIED SINCE

29 OCTOBER 2018

AUTHORISED BY

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

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*

CERTIFICATION SCOPE

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

SUMMARY AUDIT REPORT

PERFORMANCE

STANDARD

OVERVIEW

MEMBER NAME	Tetra Pak
ENTITY NAME	Tetra Pak Central Functions
CERTIFICATION SCOPE	Tetra Pak Central Functions at the company's main offices (Lund, Sweden; Modena, Italy and Lausanne, Switzerland) covering all sites manufacturing Packaging Material and Additional Materials for Material Stewardship related activities.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">• Other manufacturing or sale of products containing Aluminium
ASI STANDARD	<ul style="list-style-type: none">• Performance Standard V2
AUDIT TYPE	<ul style="list-style-type: none">• Initial Certification Audit (25 – 26 September 2018)• Re-Certification Audit (1 – 3 September 2021)
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none">• 25 – 26 September 2018 (Initial Certification Audit)• 1 – 3 September 2021 (Re-Certification Audit)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">• 18 October 2018 (Initial Certification Audit)• 1 October 2021 (Re-Certification Audit)

AUDIT SCOPE	<p><u>Initial Certification Audit (25 – 26 September 2018)</u></p> <p>The audit scope covers Tetra Pak's Central Functions at the company's main offices in Lund (Sweden), Moderna (Italy) and Lausanne (Switzerland), for Material Stewardship related activities across all Tetra Pak Packaging Material and Additional Materials sites.</p> <p>All criteria from Principle 4 Material Stewardship in the ASI Performance Standard were included in the audit scope.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"> • Other manufacturing or sale of products containing Aluminium
	<p><u>Re-Certification Audit (1 - 3 September 2021)</u></p> <p>The audit scope covers Tetra Pak's Central Functions at the company's main offices in Lund (Sweden), Modena (Italy) and Lausanne (Switzerland) for Material Stewardship related activities across all Packaging Materials and Additional Materials sites.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"> • Other manufacturing or sale of products containing Aluminium <p>All criteria from Principle 4 Material Stewardship in the ASI Performance Standard were included in the audit scope.</p> <p>At the time of the audit (September 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 the 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	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"> <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. <input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous. <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. <input checked="" type="checkbox"/> The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.
CERTIFICATION PERIOD	29 October 2021 – 28 October 2024
NEXT AUDIT TYPE	Re-Certification Audit
NEXT AUDIT DUE DATE	28 October 2024

CERTIFICATE
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SUMMARY OF FINDINGS

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

CRITERION	RATING	COMMENT
3.2 Non-compliance and liabilities	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3a Payments to governments (legal and contractual)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3b Payments to governments (disclosure – bauxite mining)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.4 Stakeholder complaints, grievances and requests for information	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

PRINCIPLE 4 MATERIAL STEWARDSHIP

4.1a Environmental Life Cycle Assessment (life cycle impacts)	Conformance	<p>The Entity has a systematic approach to evaluating life cycle impacts from its major product lines, conforming to ASI Performance Standard requirements. Its approach to life cycle impacts is stated in the Entity's environmental policy, LCA methodologies used, documentation and declarations provided.</p> <p>Information on product Life Cycle Assessment is available via the link: https://www.tetrapak.com/sustainability/planet/environmental-impact/a-value-chain-approach/life-cycle-assessment</p>
4.1b Environmental Life Cycle Assessment (cradle to gate)	Conformance	<p>The Entity has performed LCA studies, for product lines that include aluminium, meeting the ASI Performance Standard requirements. These are publicly available via the link below: https://www.tetrapak.com/sustainability/planet/environmental-impact/a-value-chain-approach/life-cycle-assessment</p> <p>A more detailed CO₂ calculator developed for the main product lines and verified by the Carbon Trust is publicly available via the link: https://www.tetrapak.com/sustainability/planet/environmental-impact/a-value-chain-approach/carton-co2e-footprint</p>
4.1c Environmental Life Cycle Assessment (public communication)	Conformance	<p>The Entity has made publicly available the LCA studies and a guideline on how to communicate LCA and carbon footprint data. All claims follow international standards and are verified by the third-party Carbon Trust. For more information, please see the link: https://www.tetrapak.com/sustainability/planet/environmental-impact/a-value-chain-approach/life-cycle-assessment</p>

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

CRITERION	RATING	COMMENT
		https://www.tetrapak.com/sustainability/planet/recycling/building-recycling-value-chains and: https://www.tetrapak.com/en-pl/sustainability/planet/recycling and, on page 110: https://www.tetrapak.com/content/dam/tetrapak/publicweb/gb/en/sustainability/TetraPak_Sustainability_Report_2021.pdf
PRINCIPLE 5 GREENHOUSE GAS EMISSIONS		
5.1 Disclosure of GHG emissions and energy use	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.2 GHG emissions reductions	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.3a Aluminium Smelting (management system)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.3b Aluminium Smelting (up to and including 2020)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.3c Aluminium Smelting (after 2020)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
PRINCIPLE 6 EMISSIONS, EFFLUENTS AND WASTE		
6.1 Emissions to Air	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.2 Discharges to Water	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.3a Assessment and Management of Spills and Leakage (assessment)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.3b Assessment and Management of Spills and Leakage (management)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.4a Reporting of Spills (immediate disclosure)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.4b Reporting of Spills (regular reporting)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.5a Waste management and reporting (strategy)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.5b Waste management and reporting (disclosure)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
6.6a Bauxite Residue (storage construction)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6b Bauxite Residue (integrity checks and controls)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6c Bauxite Residue (water discharge)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6d Bauxite Residue (marine and aquatic environments)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6e Bauxite Residue (start of the art technologies)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6f Bauxite Residue (remediation)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7a Spent Pot Lining (SPL) (storage and management)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7b Spent Pot Lining (SPL) (recovery and recycling)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7c Spent Pot Lining (SPL) (Untreated SPL)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7d Spent Pot Lining (SPL) (review of alternatives)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7e Spent Pot Lining (SPL) (marine and aquatic environments)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.8a Dross (recovery)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.8b Dross (recycling)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.8c Dross (review of alternatives)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
PRINCIPLE 7 WATER STEWARDSHIP		
7.1a Water assessment (mapping)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
7.1b Water assessment (risk assessment)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
7.2a Water management (management plans)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
7.2b Water management (monitoring)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
7.3 Disclosure of water usage and risks	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
PRINCIPLE 8 BIODIVERSITY		
8.1 Biodiversity assessment	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.2a Biodiversity management (biodiversity action plans)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.2b Biodiversity management (consultation and mitigation hierarchy)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.2c Biodiversity management (reporting)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.3 Alien Species	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.4a Commitment to "No Go" in World Heritage properties (exploration and new mines)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.4b Commitment to "No Go" in World Heritage properties (existing operations)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.5a Mine rehabilitation (best available techniques)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.5b Mine rehabilitation (financial provisions)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
PRINCIPLE 9 HUMAN RIGHTS		
9.1a Human Rights Due Diligence (policy)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.1b Human Rights Due Diligence (process)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.1c Human Rights Due Diligence (remediation)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.2 Women's Rights	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.3 Indigenous Peoples	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
9.4 Free, Prior, and Informed Consent (FPIC)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.5 Cultural and sacred heritage	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.6a Resettlements (avoid or minimise)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.6b Resettlements (where unavoidable)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.7a Local Communities (rights and interests)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.7b Local Communities (impacts)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.7c Local Communities (livelihoods)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.8 Conflict-Affected and High-Risk Areas	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.9 Security practice	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
PRINCIPLE 10 LABOUR RIGHTS		
10.1a Freedom of Association and Right to Collective Bargaining (freedom of association)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.1b Freedom of Association and Right to Collective Bargaining (collective bargaining)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.1c Freedom of Association and Right to Collective Bargaining (alternative means)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.2a Child Labour (minimum age)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.2b Child Labour (hazardous)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.2c Child Labour (worst forms)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.3a Forced Labour (human trafficking)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
10.3b Forced Labour (deposits, fees, advances)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.3c Forced Labour (migrant workers)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.3d Forced Labour (debt bondage)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.3e Forced Labour (freedom of movement)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.3f Forced Labour (retention of identity papers, permits, certificates)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.3g Forced Labour (freedom to terminate employment)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.4 Non-Discrimination	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.5 Communication and engagement	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.6 Disciplinary practices	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.7a Remuneration (living wage)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.7b Remuneration (method of payment)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.8 Working Time	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
PRINCIPLE 11 OCCUPATIONAL HEALTH AND SAFETY		
11.1a Occupational Health and Safety (OH&S) Policy (policy)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
11.1b Occupational Health and Safety (OH&S) Policy (workers and visitors)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
11.1c Occupational Health and Safety (OH&S) Policy (applicable law and standards)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
11.1d Occupational Health and Safety (OH&S) Policy (right to stop unsafe work)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
11.2 OH&S Management System	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
11.3 Employee engagement on health and safety	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
11.4 OH&S performance	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

Document Control and Version History

Revision	Date	Notes
0	29 October 2018	Initial Certification Audit – Full Certification (Material Stewardship)
1	29 November 2018	Correction – Update to the Certification Scope and Audit Scope description to better represent 'Central Functions' as its provision across multiple locations.
2	4 August 2019	Correction – Update to the Next Audit Due Date for the Re-Certification Audit from April 2021 to October 2021 to align with the expiry of the Certification Period.
13	29 October 2021	Re-Certification Audit; Correction of the Certification Scope included in Revision 2 which incorrectly contained the Certification Scope from Revision 0, not the revised and corrected Certification Scope contained in Revision 1.