

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# BALL BEVERAGE PACKAGING INDIA PVT LTD (SRICITY)

CERTIFICATE  
NUMBER

168

ASI  
STANDARD

CHAIN OF CUSTODY  
(V1 2017)

CERTIFICATION  
LEVEL

FULL  
CERTIFICATION

ASI  
ACCREDITED  
AUDITOR

TÜV  
RHEINLAND  
CERT GmbH

DATE OF ISSUE

17 DECEMBER 2021

DATE OF EXPIRY

16 DECEMBER 2024

CERTIFIED SINCE

17 DECEMBER 2021

AUTHORISED BY

A handwritten signature in white ink, appearing to be 'J. Ball', written over a dark grey background.

Aluminium Stewardship Initiative Ltd  
ACN 606 661 125, Australia  
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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

Manufacture and supply of Aluminium Beverage  
Can Bodies and procurement and supply of  
Beverage Can Ends at Sricity facility (India).

# SUMMARY AUDIT REPORT

## CHAIN OF CUSTODY STANDARD

### OVERVIEW

MEMBER NAME	Ball Corporation
ENTITY NAME	Ball Beverage Packaging India Pvt Ltd (Sricity)
CERTIFICATION SCOPE	Manufacturing and Supply of Aluminium Beverage Can Bodies and procurement and supply of Beverage Can Ends at Sricity facility (India).
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	TÜV Rheinland Cert GmbH
AUDIT DATE	<ul style="list-style-type: none"><li>• 18 May – 17 June 2021</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>• 23 November 2021</li></ul>
AUDIT SCOPE	<p>The audit scope includes the manufacture and supply of Aluminium Beverage Can Bodies and procurement and supply of Beverage Can Ends at Sri City facility (India).</p> <p>The supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"><li>• Post-Casthouse</li></ul> <p>All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.</p> <p>The Audit has been undertaken as a combined 'desktop' and on-site exercise, in accordance with ASI Interim Policy regarding Audits, Audit-Related Travel and Coronavirus (v4), and included a remote review of relevant documentation and an on-site audit (15 – 17 June 2021).</p>
AUDIT OUTCOME	Certification
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></ul>

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- ☑ 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      17 December 2021 – 16 December 2024

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NEXT AUDIT TYPE              Surveillance Audit

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NEXT AUDIT DUE DATE        16 December 2022

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CERTIFICATE NUMBER        168

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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 in the Production and Transformation class, details are available on the ASI website.
1.2 Management system	Conformance	The Entity has developed procedures covering all relevant topics such as management review and record keeping. Internal training is conducted for team members. The procedures have been communicated to responsible persons or process owners.
1.3 Management system reviews	Conformance	The Management Review is conducted twice yearly. The recent review was held virtually due to coronavirus restrictions and included participation of the leadership team.
1.4 Management representative	Conformance	The Management Representative has been designated by top management. Additionally, there is an ASI Governance Committee which includes personnel from Environment, Health and Safety, Human Resources and the Plant Head acting as ASI Manager.
1.5 Training	Conformance	The ASI CoC internal training is conducted for relevant employees.
1.6 Record keeping	Conformance	The record retention time is defined as five years as per the ASI Chain of Custody Standard requirements.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	The Entity has developed a procedure to report the Input and Output Quantities of CoC Material to the ASI Secretariat within three months after the end of each calendar year.
1.7b Reporting to ASI (Input Percentage)	Conformance	The Entity has developed a procedure to report the Input Percentage to the ASI Secretariat within 3 months after the end of each calendar year.
1.7c Reporting to ASI (Positive Balance)	Conformance	The Entity has developed a procedure to report the maximum Positive Balance in the calendar year carried over to the subsequent Material Accounting Period to the ASI Secretariat within 3 months after the end of each calendar year.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	The Entity has developed a procedure to report the maximum Internal Overdraw within the calendar year, if any, and the percentage of Input Quantity of CoC Material this represents to the

CRITERION	RATING	COMMENT
		ASI Secretariat within 3 months after the end of each calendar year.
1.7e Reporting to ASI (Eligible Scrap)	Not Applicable	The Entity is not engaged in Aluminium Re-melting/Refining to produce Recycled Aluminium.
1.7f Reporting to ASI (ASI Credits from Casthouses)	Not Applicable	The Entity is not engaged in producing Casthouse Products.
1.7g Reporting to ASI (ASI Credits purchased)	Conformance	The Entity has developed a procedure to report the ASI Credits should the ASI Market Credit System be used.
<b>2 OUTSOURCING CONTRACTORS</b>		
2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	The Entity has no Outsourcing Contractors that take Custody of CoC Material for the purposes of further processing, treatment or manufacturing. Thus, this Criterion is not applicable at present.
2.2a Control of CoC Material	Not Applicable	The Entity has no Outsourcing Contractors that take Custody of CoC Material for the purposes of further processing, treatment or manufacturing. Thus, this Criterion is not applicable at present.
2.2b No further outsourcing	Not Applicable	The Entity has no Outsourcing Contractors that take Custody of CoC Material for the purposes of further processing, treatment or manufacturing. Thus, this Criterion is not applicable at present.
2.2c Risk assessment	Not Applicable	The Entity has no Outsourcing Contractors that take Custody of CoC Material for the purposes of further processing, treatment or manufacturing. The risk assessment aspects have been covered during due-diligence activity or pre-qualification along with other suppliers. Thus, this Criterion is not applicable at present.
2.3 Output Quantity	Not Applicable	The company has not any outsourcing contractors that take Custody of CoC Material for the purposes of further processing, treatment or manufacturing. Thus, this Criterion is not applicable at present.
2.4 Verification and record-keeping	Not Applicable	The Entity has no Outsourcing Contractors that take Custody of CoC Material for the purposes of further processing, treatment or manufacturing. However, the requirements to verify the Output and Input Quantities has been documented in a procedure. Thus, this Criterion is not applicable at present.
2.5 Error management	Not Applicable	The Entity has no Outsourcing Contractors that take Custody of CoC Material for the purposes of

CRITERION	RATING	COMMENT
		further processing, treatment or manufacturing. However, the error management aspects have been documented in a procedure. Thus, this Criterion is not applicable at present.
<b>3 PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI LIQUID METAL</b>		
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.
<b>4 RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP AND ASI LIQUID METAL</b>		
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.
<b>5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM</b>		
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.

CRITERION	RATING	COMMENT
6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a CoC Certification Scope - Post-Casthouse	Conformance	The Entity has systems and procedures in place to ensure that it produces ASI Aluminium only from an Entity and/or Facility within the Entity's CoC Certification Scope, and/or in which the Entity holds a legal interest and are within the CoC Certification Scope of another CoC Certified Entity.
6.1b ASI Performance Standard - Post-Casthouse	Conformance	The Entity has interacted with its metal suppliers to source ASI Aluminium and has received commitment from Suppliers to obtain certification against the ASI Performance Standard and ASI Chain of Custody Standard, with the majority of Suppliers planning for Q1 2022. The Entity is currently seeking certification against the ASI Performance Standard.
6.1c Sourcing ASI Aluminium	Conformance	The Entity has a procedure which includes the requirement for sourcing ASI Aluminium directly from another ASI CoC Certified Entity, or via a metals trader or warehouse where the ASI CoC Certified Entity can supply or verify the associated CoC Document containing Supplementary Information sufficient to identify the corresponding shipment.
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' which are applicable to Suppliers and includes requirements on Anti-Corruption. The principles are communicated to Suppliers via email.
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity has developed 'Supplier Guiding Principles' which are applicable to Suppliers and includes requirements on Responsible Sourcing practices. The principles are communicated to Suppliers via email.
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	The Entity has developed 'Supplier Guiding Principles' which are applicable to Suppliers and includes requirements on Human Rights Due Diligence. The principles are communicated to Suppliers via email.
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity has developed 'Supplier Guiding Principles' which are applicable to Suppliers and includes requirements related to Conflict-Affected and High-Risk Areas. The principles are communicated to Suppliers via email.

CRITERION	RATING	COMMENT
7.2 Risk assessment	Conformance	The Entity has conducted a risk assessment to assess the risks of non-compliance with its Responsible Sourcing Policy by its Suppliers of Non-CoC Material and Recyclable Scrap Material.
7.3 Complaints mechanism	Conformance	The Entity has documented a complaints handling procedure to cover all stakeholders including Suppliers.
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Material Accounting System that records CoC Material and Non-CoC Material is defined in a procedure. The Entity uses an Enterprise Resource Planning system (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 Material Accounting Period is specified as quarterly.
8.4 Input Percentage	Conformance	The Entity has developed a procedure which specifies the calculation for Input Percentage for a given Material Accounting Period in accordance with the ASI Chain of Custody Standard.
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 procedure which specifies how to determine the Output Quantity of CoC Material in accordance with the ASI Chain of Custody Standard.
8.7 Output Quantity designation	Conformance	The Entity has developed a procedure which specifies the Output Quantity of CoC Material is to be designated as 100% CoC Material in accordance with the ASI Chain of Custody Standard.
8.8 Output Quantity - Pre-Consumer Scrap	Conformance	The Entity has developed a procedure which covers the consideration of Pre-Consumer Scrap (process scrap) in calculating the Output Quantity of Eligible Scrap in accordance with the ASI Chain of Custody Standard.



CRITERION	RATING	COMMENT
8.9 Outputs not exceed Inputs	Conformance	The Entity has developed a procedure which specifies that the total output of CoC Material and/or Eligible Scrap shall not proportionally exceed the Input Percentage as applied to total input of CoC Material and/or Eligible Scrap over the Material Accounting Period.
8.10a Internal Overdraws (not exceed 20%)	Conformance	The Entity has developed a procedure which specifies that an Internal Overdraw shall not exceed 20% of total Input Quantity of CoC Material for the Material Accounting Period.
8.10b Internal Overdraws (not exceed affected amount)	Conformance	The Entity has developed a procedure which specifies that an Internal Overdraw shall not exceed the amount of CoC Material affected by a force majeure situation.
8.10c Internal Overdraws (period to make up)	Conformance	The Entity has developed a procedure which specifies that Internal Overdraw shall be made up within the subsequent Material Accounting Period
8.11a Positive Balance (carry over)	Conformance	The Entity has developed a procedure which specifies the Material Accounting System must clearly identify any carry over of a Positive Balance.
8.11b Positive Balance (expiry)	Conformance	The Entity has developed a procedure which specifies that a Positive Balance generated in one Material Accounting Period and carried over to the subsequent Material Accounting Period shall expire at the end of that Period if not drawn down.
9 ISSUING COC DOCUMENTS		
9.1 Shipments and transfers	Conformance	The Entity has defined in its procedures that a CoC Document shall accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Outsourcing Contractors.
9.2a Date of issue	Conformance	The Entity has developed a CoC Document containing all mandatory information including the date of issue.
9.2b Reference number	Conformance	The Entity has developed a CoC Document containing all mandatory information including the reference number.
9.2c Issuing Entity	Conformance	The Entity has developed a CoC Document containing all mandatory information including the identity, address and CoC Certification number of the Entity.

CRITERION	RATING	COMMENT
9.2d Receiving customer	Conformance	The Entity has developed a CoC Document containing all mandatory information including the identity and address of the receiving customer.
9.2e Responsible employee	Conformance	The Entity has developed a CoC Document containing all mandatory information including the responsible employee of the Entity who verify information in the CoC Document for adequacy and correctness.
9.2f Conformance statement	Conformance	The Entity has developed a CoC Document containing all mandatory information including a statement confirming that 'The information provided in the CoC Document is in conformance with the ASI CoC Standard.'
9.2g Type of CoC Material	Conformance	The Entity has developed a CoC Document containing all mandatory information including the type of CoC Material in the shipment.
9.2h Mass of CoC Material	Conformance	The Entity has developed a CoC Document containing all mandatory information including the mass of CoC Material in the shipment.
9.2i Mass of total material	Conformance	The Entity has developed a CoC Document containing all mandatory information including the 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)	Conformance	The Entity intends to pass on the Sustainability Data received by including in the issued CoC Documents.
9.3c Post-Casthouse ASI Certification status	Conformance	The Entity has developed a CoC Document which contains information on the Entity's ASI Performance Standard Certification status.
9.4 Supplementary Information (optional)	Not Applicable	This Criterion is not applicable as the Entity will not include Supplementary Information in the CoC Document.
9.5 Response to verification requests	Conformance	The Entity has developed a procedure to respond to requests for verification of information in the CoC Documents. There has been no such request received to date.
9.6 Error management	Conformance	The Entity has developed a procedure to address any errors discovered after CoC Material has been shipped and includes requirements for root cause analyses, correction and corrective and preventive action.

CRITERION	RATING	COMMENT
10 RECEIVING COC DOCUMENTS		
10.1 Verify required information included	Conformance	The Entity has developed a procedure which defines the responsibility for conducting a completeness check on received CoC Documents. There have been no CoC Documents received to date.
10.2 Verify consistency with shipments	Conformance	The relevant requirements are documented in a procedure that defines the responsibility for conducting a consistency check on received CoC Documents.
10.3 Verify supplier CoC Certification status	Conformance	The relevant requirements are documented in a procedure that defines the responsibility for conducting a consistency check on received CoC Documents.
10.4 Error management	Conformance	The Entity defines the requirement for error management in its procedures which also address corrective action to be taken.
11 MARKET CREDITS SYSTEM: ASI CREDITS		
11.1a Material Accounting System - allocation	Not Applicable	The Entity does not utilise the ASI Market Credits System.
11.1b Link to Casthouse Products	Not Applicable	The Entity does not utilise the ASI Market Credits System.
11.1c No double counting	Not Applicable	The Entity does not utilise the ASI Market Credits System.
11.1d No Positive Balance of ASI Credits	Not Applicable	The Entity does not utilise the ASI Market Credits System.
11.2a Date of issue	Not Applicable	The Entity does not utilise the ASI Market Credits System.
11.2b Reference number	Not Applicable	The Entity does not utilise the ASI Market Credits System.
11.2c Issuing Entity	Not Applicable	The Entity does not utilise the ASI Market Credits System.
11.2d Receiving Entity	Not Applicable	The Entity does not utilise the ASI Market Credits System.
11.2e Conformance statement	Not Applicable	The Entity does not utilise the ASI Market Credits System.
11.2f ASI Credits statement	Not Applicable	The Entity does not utilise the ASI Market Credits System.

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

## 12 CLAIMS AND COMMUNICATIONS

12.1a ASI Claims Guide	Conformance	The Entity has developed a procedure to ensure that any claims and/or representations that are made are consistent with the ASI Claims Guide.
12.1b Verifiable evidence	Conformance	The Entity has developed a procedure to address the requirement that there is verifiable evidence to support claims and/or representations made.
12.1c Employee training	Conformance	Training has been undertaken by relevant personnel to properly understand and communicate claims and/or representations.

### Document Control and Version History

Revision	Date	Notes
0	17 December 2021	Initial Certification Audit - Full Certification