

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# BALL BEVERAGE PACKAGING INDIA PVT. LTD (TALOJA)

CERTIFICATE  
NUMBER

172

ASI  
STANDARD

CHAIN OF CUSTODY  
(V1 2017)

CERTIFICATION  
LEVEL

FULL  
CERTIFICATION

ASI  
ACCREDITED  
AUDITOR

TÜV  
RHEINLAND  
CERT GmbH

DATE OF ISSUE

10 JANUARY 2022

DATE OF EXPIRY

9 JANUARY 2025

CERTIFIED SINCE

10 JANUARY 2022

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  
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

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

# SUMMARY AUDIT REPORT

## CHAIN OF CUSTODY STANDARD

### OVERVIEW

MEMBER NAME	Ball Corporation
ENTITY NAME	Ball Beverage Packaging India Pvt. Ltd (Taloja)
CERTIFICATION SCOPE	Manufacture and supply of Aluminium Beverage Can Bodies and procurement and supply of Beverage Can Ends at Taloja 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>• 12 – 16 July 2021</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>• 21 December 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 Taloja 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>
AUDIT OUTCOME	Certification
AUDIT METHODOLOGY DECLARATION	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"><li>☑ The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this Report.</li><li>☑ The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.</li><li>☑ 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></ul>

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The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.

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CERTIFICATION PERIOD      10 January 2022 – 9 January 2025

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NEXT AUDIT TYPE      Surveillance Audit

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NEXT AUDIT DUE DATE      9 July 2023

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CERTIFICATE NUMBER      172

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## SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	The Entity is Production and Transformation member, verified on the ASI website.
1.2 Management system	Conformance	The Entity has developed Standard Operating Procedures (SOP), addressing all relevant topics like 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 a year, with participation of the leadership team.
1.4 Management representative	Conformance	The Management Representative is designated by senior management. Additionally there is an ASI Governance Committee, involving personnel from EHS, HR and the Plant Head acting as ASI Manager.
1.5 Training	Conformance	The ASI CoC Internal training is conducted for relevant personnel.
1.6 Record keeping	Conformance	The record retention time is defined as 5 years, as per ASI requirements.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	The Entity has developed a procedure which covers reporting requirements to ASI concerning Inputs and Outputs.
1.7b Reporting to ASI (Input Percentage)	Conformance	The Entity has developed a procedure which covers ASI reporting requirements concerning Input Percentage within 3 months after the end of each calendar year.
1.7c Reporting to ASI (Positive Balance)	Conformance	The Entity has developed a procedure which covers ASI reporting requirements concerning maximum Positive Balance in the calendar year carried over to the subsequent Material Accounting Period, within 3 months after the end of each calendar year.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	The Entity has developed a procedure which covers ASI reporting requirements concerning the maximum Internal Overdraw within the calendar year, and the percentage of Input Quantity of CoC Material this represents, 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.

CRITERION	RATING	COMMENT
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 which cover ASI reporting requirements about the ASI Credits purchased.
<b>2 OUTSOURCING CONTRACTORS</b>		
2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	The Entity does not use any Outsourcing Contractors that take custody of CoC material for the purposes of further processing, treatment or manufacturing. Thus the Criterion is not applicable at present.
2.2a Control of CoC Material	Not Applicable	The Entity does not use any Outsourcing Contractors that take custody of CoC material for the purposes of further processing, treatment or manufacturing. Thus the Criterion is not applicable at present.
2.2b No further outsourcing	Not Applicable	The Entity does not use any Outsourcing Contractors that take custody of CoC material for the purposes of further processing, treatment or manufacturing. Thus the Criterion is not applicable at present.
2.2c Risk assessment	Not Applicable	The Entity does not use any 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 of other suppliers. Thus the Criterion is not applicable at present.
2.3 Output Quantity	Not Applicable	The Entity does not use any Outsourcing Contractors that take custody of CoC material for the purposes of further processing, treatment or manufacturing. Thus the Criterion is not applicable at present.
2.4 Verification and record-keeping	Not Applicable	The Entity does not use any Outsourcing Contractors that take custody of CoC material for the purposes of further processing, treatment or manufacturing. However the requirements to verify quantity, consistency etc. have been documented in SOP. Thus the Criterion is not applicable at present.
2.5 Error management	Not Applicable	The Entity does not use any Outsourcing Contractors that take custody of CoC material for the purposes of further processing, treatment or manufacturing. However the error management

CRITERION	RATING	COMMENT
		aspects have been documented in SOP. Thus the 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.
<b>6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM</b>		

CRITERION	RATING	COMMENT
6.1a CoC Certification Scope - Post-Casthouse	Conformance	The Entity has systems and procedures in place to ensure that it is itself producing ASI Aluminium only from an Entity and/or Facility/ies 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 to take commitment to get certified against ASI Performance Standard and ASI CoC Standard, the majority of them have plans until Quarter 1 of 2022.
6.1c Sourcing ASI Aluminium	Conformance	A procedure describes requirements in terms of 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", covering requirements like anti-corruption, and are communicated via email to its suppliers.
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity has developed "Supplier Guiding Principles", applicable to all suppliers and covering requirements like responsible sourcing practices, and are communicated via email to its suppliers.
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	The Entity has developed "Supplier Guiding Principles", applicable to all suppliers and covering requirements like Human Rights Due Diligence, and are communicated via email to its suppliers.
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity has developed "Supplier Guiding Principles", applicable to all suppliers and covering requirements related to Conflict and High Risk Areas, and are communicated via email to its suppliers.
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. At present the risk mitigation measures taken are communication of and commitment of supplier

CRITERION	RATING	COMMENT
		management to Ball's "Supplier Guiding Principles", which enlists major risk areas, like legal compliance, environmental protection, with an open option of supplier audits to check any residual risks and their acceptable level.
7.3 Complaints mechanism	Conformance	The Entity has a documented complaint handling procedure, covering all relevant stakeholders including suppliers.
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Material Accounting System is defined in a procedure. The Entity uses SAP (System Application and Product in Processing) for inventory management. The Material Tracking System following ASI requirements is defined.
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 formula for Input Percentage for a given Material Accounting Period as per ASI requirements.
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 Output Quantity as per ASI requirements.
8.7 Output Quantity designation	Conformance	The Entity has developed a procedure which includes Output Quantity designation as per ASI requirements.
8.8 Output Quantity - Pre-Consumer Scrap	Conformance	The Entity has developed a procedure which includes consideration of Pre-Consumer Scrap (Process Scrap) while calculating Output Quantity as per ASI requirements.
8.9 Outputs not exceed Inputs	Conformance	The Entity has developed a procedure which prescribes that the total output of CoC Material and/or Eligible Scrap does not proportionally



CRITERION	RATING	COMMENT
		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 the 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 the Internal Overdraw shall not exceed the affected amount due to the force majeure situation.
8.10c Internal Overdraws (period to make up)	Conformance	The Entity has developed a procedure which specifies that the 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 that 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 Positive Balance generated in a single 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 developed a procedure which specifies that a CoC Document accompanies 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 procedure which specifies that a CoC Document includes Date of issue of the CoC Document.
9.2b Reference number	Conformance	The Entity has developed a procedure which specifies that a CoC Document includes a reference number which is linked to the Entity's Material Accounting System for verification purposes.
9.2c Issuing Entity	Conformance	The Entity has developed a procedure which specifies that a CoC Document includes the identity, address and CoC Certification number of the Entity issuing the CoC Document.

CRITERION	RATING	COMMENT
9.2d Receiving customer	Conformance	The Entity has developed a procedure which specifies that a CoC Document includes the identity, address and CoC Certification number of the customer receiving the CoC Document.
9.2e Responsible employee	Conformance	The Entity has developed a procedure which specifies that a CoC Document includes the responsible employee of the Entity who can verify information in the CoC Document.
9.2f Conformance statement	Conformance	The Entity has developed a procedure which specifies that a CoC Document includes 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 procedure which specifies that a CoC Document includes type of CoC Material in the shipment.
9.2h Mass of CoC Material	Conformance	The Entity has developed a procedure which specifies that a CoC Document includes Mass of CoC Material in the shipment.
9.2i Mass of total material	Conformance	The Entity has developed a procedure which specifies that a CoC Document includes 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, by including it in the issued CoC Documents.
9.3c Post-Casthouse ASI Certification status	Conformance	The Entity's CoC Document also includes the applicable Sustainability Data of CoC Material along with ASI Certification status for the ASI Performance Standard for the Entity and/or Facility issuing the CoC Document.
9.4 Supplementary Information (optional)	Conformance	The Entity has developed a procedure which includes the Entity's CoC Document, mentioning supplementary information, which is supported by objective evidence.
9.5 Response to verification requests	Conformance	The Entity has developed a procedure which describes the systems in place to enable it to respond to reasonable requests for verification of information in CoC Documents issued by the Entity.

CRITERION	RATING	COMMENT
9.6 Error management	Conformance	The Entity has developed a procedure which describes the scenario when an error is discovered after CoC Material has been shipped, the Entity and the receiving party document the error and the agreed steps taken to correct it, and implement actions to avoid a recurrence.
10 RECEIVING COC DOCUMENTS		
10.1 Verify required information included	Conformance	The Entity has developed a procedure which specifies that all required information in received CoC Documents as set out in criteria, are verified.
10.2 Verify consistency with shipments	Conformance	The Entity has developed a procedure which specifies the requirements about verifying the consistency of received CoC Documents with the accompanying CoC Material or Eligible Scrap before recording information in their Material Accounting System.
10.3 Verify supplier CoC Certification status	Conformance	The Entity has developed a procedure which specifies the requirements about checking the ASI website on a regular basis to verify the validity and scope of the supplier's ASI CoC Certification for 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 procedure which specifies the requirements about handling the situation when an error is discovered after CoC Material or Eligible Scrap has been received. The Entity and the supplying party document the error and the agreed steps taken to correct it, and implement actions to avoid a recurrence.
11 MARKET CREDITS SYSTEM: ASI CREDITS		
11.1a Material Accounting System - allocation	Not Applicable	The Entity does not apply the ASI Market Credits System.
11.1b Link to Casthouse Products	Not Applicable	The Entity does not apply the ASI Market Credits System.
11.1c No double counting	Not Applicable	The Entity does not apply the ASI Market Credits System.
11.1d No Positive Balance of ASI Credits	Not Applicable	The Entity does not apply the ASI Market Credits System.
11.2a Date of issue	Not Applicable	The Entity does not apply the ASI Market Credits System.
11.2b Reference number	Not Applicable	The Entity does not apply the ASI Market Credits System.

CRITERION	RATING	COMMENT
11.2c Issuing Entity	Not Applicable	The Entity does not apply the ASI Market Credits System.
11.2d Receiving Entity	Not Applicable	The Entity does not apply the ASI Market Credits System.
11.2e Conformance statement	Not Applicable	The Entity does not apply the ASI Market Credits System.
11.2f ASI Credits statement	Not Applicable	The Entity does not apply the ASI Market Credits System.
11.2g Quantity	Not Applicable	The Entity does not apply the ASI Market Credits System.
11.3a CoC Certification Scope - purchasing ASI Credits	Not Applicable	The Entity does not apply the ASI Market Credits System.
11.3b Material Accounting System - purchasing	Not Applicable	The Entity does not apply the ASI Market Credits System.
11.3c Expiry	Not Applicable	The Entity does not apply the ASI Market Credits System.
11.3d No re-trading	Not Applicable	The Entity does not apply the ASI Market Credits System.
11.3e No allocation to physical products	Not Applicable	The Entity does not apply the ASI Market Credits System.
11.3f Verify supplier CoC Certification status	Not Applicable	The Entity does not apply the ASI Market Credits System.
11.3g Five year maximum for ASI Credits purchasing	Not Applicable	The Entity does not apply the ASI Market Credits System.
<b>12 CLAIMS AND COMMUNICATIONS</b>		
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 which addresses the requirements of verifiable evidence to support the claims and/or representations made.
12.1c Employee training	Conformance	The training was provided to relevant personnel to properly understand and communicate the claims and/or representations.

## **Document Control and Version History**

Revision	Date	Notes
0	10 January 2022	Initial Certification Audit - Full Certification