

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# HYDRO ALUMINIUM EXTRUDED SOLUTIONS

CERTIFICATE  
NUMBER

80

ASI  
STANDARD

CHAIN OF CUSTODY  
(V1 2017)

CERTIFICATION  
LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITOR

DNV BUSINESS  
ASSURANCE  
SERVICES UK  
LTD.

DATE OF ISSUE

7 APRIL 2020

DATE OF EXPIRY

6 APRIL 2023

CERTIFIED SINCE

7 APRIL 2020

AUTHORISED BY

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

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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

Hydro Extruded Solutions for activities including ingot casting, extrusion, fabrication and surface finishing of aluminium profiles, and manufacture of aluminium tubes. The Certification Scope cover the Hydro sites: Albi (France), Avintes (Portugal), Birtley (UK), Bedwas (UK), Chateauroux (France), Cheltenham (UK), Chrzanów (Poland), Feltre (Italy), Finspång (Sweden), La Roca (Spain), La Selva (Spain), Łódź (Poland), Lucé Extrusion (France), Navarra (Spain), Nenzing (Austria), Offenburg (Germany), Ornago (Italy), Puget sur Argens (France), Rackwitz (extrusion) (Germany), Sjunnen (Sweden), Székesfehérvár (Hungary), Tibshelf (UK), Tønder Extrusion (Denmark), Tønder Precision Tubing (Denmark), Trzcianka (Poland) and Uphusen (Germany) and Vetlanda (Sweden).

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# SUMMARY AUDIT REPORT

## CHAIN OF CUSTODY

## STANDARD

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### OVERVIEW

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MEMBER NAME Hydro

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ENTITY NAME Hydro Aluminium Extruded Solutions

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CERTIFICATION SCOPE Hydro Extruded Solutions for activities including ingot casting, extrusion, fabrication and surface finishing of aluminium profiles, and manufacture of aluminium tubes. The Certification Scope cover the Hydro sites: Albi (France), Avintes (Portugal), Birtley (UK), Bedwas (UK), Chateauroux (France), Cheltenham (UK), Chrzanów (Poland), Feltre (Italy), Finspång (Sweden), La Roca (Spain), La Selva (Spain), Łódź (Poland), Lucé Extrusion (France), Navarra (Spain), Nenzing (Austria), Offenburg (Germany), Ornago (Italy), Puget sur Argens (France), Rackwitz (extrusion) (Germany), Sjunnen (Sweden), Székesfehérvár (Hungary), Tibshelf (UK), Tønder Extrusion (Denmark), Tønder Precision Tubing (Denmark), Trzcianka (Poland) and Uphusen (Germany) and Vetlanda (Sweden).

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SUPPLY CHAIN ACTIVITIES

- Aluminium Re-melting/Refining
- Casthouses
- Post-Casthouse

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ASI STANDARD

- Chain of Custody Standard V1

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AUDIT TYPE

- First Certification Audit (12 November 2019 – 24 January 2020)
- Scope Change Audit (5 – 6 May 2020)
- Scope Change Audit (18 – 19 June 2020)
- Scope Change Audit (17 – 21 August 2020)
- Scope Change Audit (12 November 2020)
- Scope Change Audit (7 December 2020)
- Scope Change Audit (20 January 2021)
- Surveillance Audit (27 April – 3 June 2021)
- Scope Change Audit (6 - 9 July 2021)
- Scope Change Audit (11 - 12 November 2021)
- Scope Change Audit (26 - 27 October 2021)
- Scope Change Audit (28 February – 1 March 2022)

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AUDIT FIRM DNV Business Assurance Services UK Ltd.

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AUDIT DATE

- 12 November 2019 – 24 January 2020 (Certification Audit)
- 5 – 6 May 2020 (Scope Change Audit)
- 18 – 19 June 2020 (Scope Change Audit)
- 17 – 21 August 2020 (Scope Change Audit)
- 12 November 2020 (Scope Change Audit)
- 7 December 2020 (Scope Change Audit)
- 20 January 2021 (Scope Change Audit)
- 27 April – 3 June 2021 (Surveillance Audit)
- 6 – 9 July 2021 (Scope Change Audit)
- 11- 12 November 2021 (Scope Change Audit)
- 26 - 27 October 2021 (Scope Change Audit)
- 28 February – 1 March 2022 (Scope Change Audit)

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AUDIT REPORT  
SUBMISSION

- 4 April 2020 (Certification Audit)
- 8 July 2020 (Scope Change Audit)
- 31 August 2020 (Scope Change Audit)
- 25 September 2020 (Scope Change Audit)
- 3 December 2020 (Scope Change Audit)
- 26 January 2021 (Scope Change Audit)
- 10 February 2021 (Scope Change Audit)
- 28 June 2021 (Surveillance Audit)
- 1 August 2021 (Scope Change Audit)
- 3 January 2022 (Scope Change Audit)
- 16 February 2022 (Scope Change Audit)
- 1 April 2022 (Scope Change Audit)

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AUDIT SCOPE

Initial Certification Audit (12 November 2019 – 24 January 2020)

The audit scope covered the activities at the Hydro sites: Birtley (UK), Bedwas (UK), Cheltenham (UK), Chrzanów (Poland), Tibshelf (UK), Tønder Precision Tubing (Denmark) and Trzcianka (Poland).

Supply chain activities included in the audit scope:

- Casthouses
- Post-Casthouse

All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.

First Scope Change Audit (5 – 6 May 2020)

The audit scope covered the activities at the Hydro Aluminium Extruded Solutions site at Łódź (Poland).

Supply chain activities included in the audit scope:

- Post-Casthouse

All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.

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At the time of the audit (May 2020), 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.

#### Second Scope Change Audit (18 – 19 June 2020)

The audit scope covered the activities at the Hydro Aluminium Extruded Solutions site at Székesfehérvár (Hungary).

Supply chain activities included in the audit scope:

- Post-Casthouse

All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.

At the time of the audit (June 2020), 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.

#### Third Scope Change Audit (17 – 21 August 2020)

The audit scope covered the activities at the Hydro Aluminium Extruded Solutions site at Nenzing (Austria).

Supply chain activities included in the audit scope:

- Post-Casthouse

All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.

#### Fourth Scope Change Audit (12 November 2020)

The audit scope covered the activities at the Hydro Aluminium Extruded Solutions site at Tønder Extrusion (Denmark).

Supply chain activities included in the audit scope:

- Post-Casthouse

All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.

#### Fifth Scope Change Audit (7 December 2020)

The audit scope covered the activities at the Hydro Aluminium Extruded Solutions site at Offenberg (Germany).

Supply chain activities included in the audit scope:

- Post-Casthouse

All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.

#### Sixth Scope Change Audit (20 January 2021)

The audit scope covered the activities at the Hydro Aluminium Extruded Solutions sites at Rackwitz (extrusion) (Germany) and Uphusen (Germany).

Supply chain activities included in the audit scope:

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- Post-Casthouse

All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.

At the time of the audit (January 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.

Surveillance Audit (27 April – 3 June 2021)

The audit scope covered the activities at the Hydro Aluminium Extruded Solutions sites at Cheltenham (UK), Tibshelf (UK) and Tønder Precision Tubing (Denmark).

Supply chain activities included in the audit scope:

- Casthouses
- Post-Casthouse

All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.

At the time of the audit (April - June 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.

Seventh Scope Change Audit (6 – 9 July 2021)

The audit scope covered the activities at the Hydro Aluminium Extruded Solutions Iberia sites Avintes (Portugal) and La Roca, La Selva and Navarra (Spain).

The ASI multi-site sampling approach was undertaken with the Avintes and La Roca sites audited but not visited.

Supply chain activities included in the audit scope:

- Aluminium Re-melting/Refining
- Casthouses
- Post-Casthouse

All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.

At the time of the audit (July 2021), access to the La Selva site was not possible, due to COVID-19 related travel restrictions. The La Selva 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.

Eight Scope Change Audit (11 – 12 November 2021)

The audit scope covered the activities at the Hydro Aluminium Extruded Solutions sites Ornago and Feltre (Italy).

Supply chain activities included in the audit scope:

- Aluminium Re-melting/Refining
  - Casthouses
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- Post-Casthouse

All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.

Ninth Scope Change Audit (26 - 27 October 2021)

The audit scope covered the activities at the Hydro Aluminium Extruded Solutions sites Vetlanda, Finspång and Sjunnen (Sweden).

Supply chain activities included in the audit scope:

- Aluminium Re-melting/Refining
- Casthouses
- Post-Casthouse

All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.

Tenth Scope Change Audit (28 February – 1 March 2022)

The audit scope covered the activities at the Hydro Aluminium Extruded Solutions sites including the casthouse and extrusion facility at Puget sur Argens and extrusion facilities at Albi, Chateauroux and Lucé (France).

Supply chain activities included in the audit scope:

- Aluminium Re-melting/Refining
- Casthouses
- Post-Casthouse

All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.

At the time of the audit (February - March 2022), access to the sites 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 and interviews with relevant personnel.

AUDIT  
OUTCOME

- Certification

AUDIT  
METHODOLOGY  
DECLARATION

The Auditors confirm that:

- The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this report.
- The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.
- The Audit Scope and audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope.
- The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.

CERTIFICATION  
PERIOD

7 April 2020 – 6 April 2023

NEXT AUDIT  
TYPE

Re-Certification Audit

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NEXT AUDIT  
DUE DATE

6 April 2023

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CERTIFICATE  
NUMBER

80

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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 committed to comply with ASI's membership obligations and the ASI complaints mechanism. The Entity also holds certification for the ASI Performance Standard.
1.2 Management system	Conformance	The Entity has implemented a Management System that addresses all applicable requirements of the ASI Chain of Custody Standard. An ASI Management System document is developed. The document describes in detail the management system, purpose, scope, responsibilities, functions, management, management reviews, corrective and preventative measures and documentation and record retention, which gives governance of the CoC system.
1.3 Management system reviews	Conformance	The Entity has implemented a Management System that addresses all applicable requirements of the ASI Chain of Custody Standard. An ASI Management System document is developed. The document describes in detail the management system, purpose, scope, responsibilities, functions, management, management reviews, corrective and preventative measures and documentation and record retention, which gives governance of the CoC system.
1.4 Management representative	Conformance	The Entity has appointed a member of management as the responsible person for ASI Chain of Custody Standard implementation and defined a chart of responsibilities for different tasks through the organization.
1.5 Training	Conformance	The Entity has developed and implemented communications and training measures that make relevant personnel aware of and competent in their responsibilities under the ASI Chain of Custody Standard.
1.6 Record keeping	Conformance	The Entity maintains up-to-date records (Management System) addressing all applicable requirements of the ASI Chain of Custody Standard.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	The Entity's operating procedure specifies that the Entity will report Input and Output Quantities of CoC Material to ASI Secretariat within 3 months after the end of each calendar year which conforms to ASI CoC requirements.

CRITERION	RATING	COMMENT
1.7b Reporting to ASI (Input Percentage)	Conformance	The Entity's operating procedure specifies that the Entity will report Input and Output Quantities of CoC Material to ASI Secretariat within 3 months after the end of each calendar year which conforms to ASI CoC requirements.
1.7c Reporting to ASI (Positive Balance)	Conformance	The Entity's operating procedure specifies that the Entity will report Positive Balance of CoC Material to ASI Secretariat within 3 months after the end of each calendar year which conforms to ASI CoC requirements.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	The Entity's operating procedure specifies that the Entity will report any Internal Overdraw of CoC Material to ASI Secretariat within 3 months after the end of each calendar year which conforms to ASI CoC requirements.
1.7e Reporting to ASI (Eligible Scrap)	Conformance	The Entity's operating procedure specifies that the Entity will report on total Input Quantities of Eligible Scrap to ASI Secretariat within 3 months after the end of each calendar year which conforms to ASI CoC requirements.
1.7f Reporting to ASI (ASI Credits from Casthouses)	Not Applicable	The Entity will not engage in purchasing/selling credits.
1.7g Reporting to ASI (ASI Credits purchased)	Not Applicable	The Entity will not engage in purchasing/selling credits.
<b>2 OUTSOURCING CONTRACTORS</b>		
2.1 Outsourcing Contractors in CoC Certification Scope	Conformance	The Entity has identified all applicable Outsourcing Contractors in their Certification Scope.
2.2a Control of CoC Material	Conformance	The Entity has established procedures and tools to govern and control ownership of CoC Material used by outsourcing partners.
2.2b No further outsourcing	Conformance	The Entity has established procedures and tools to govern and control ownership of CoC Material used by outsourcing partners.
2.2c Risk assessment	Conformance	The Entity has assessed the risk of potential non-conformance with the ASI Chain of Custody Standard resulting from the engagement of each Outsourcing Contractor. The CoC Management System includes relevant guidelines and procedures – e.g. due diligence procedure, procurement risk assessment tools and supplier risk assessment tools.
2.3 Output Quantity	Conformance	The Entity has established processes to ensure that the Outsourcing Contractor provides information on

CRITERION	RATING	COMMENT
		Output Quantity of CoC Material to the Entity at the conclusion of the Entity's Material Accounting Period.
2.4 Verification and record-keeping	Conformance	The Entity has established processes to verify that the Output Quantity of CoC Material is consistent with the Input Quantity of CoC Material provided to the Outsourcing Contractor and records it in its Material Accounting System.
2.5 Error management	Conformance	The Entity has established processes to verify that if an error is discovered after CoC Material has been shipped, the Entity and the Outsourcing Contractor shall document both and the corrective action.
<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	Conformance	The Entity is engaged in Aluminium Re-melting/Refining to produce recycled Aluminium. The production sites are inside the scope of the ASI Chain of Custody Certification Scope.
4.1b ASI Performance Standard – Aluminium Re-Melting/Refining	Conformance	The Entity is engaged in Aluminium Re-melting/Refining to produce recycled Aluminium. The production sites are inside the scope of the ASI Chain of Custody Certification Scope and certified against the ASI Performance Standard.
4.2a Pre-Consumer Scrap and Dross	Conformance	The Entity has procedures and policies stating that it will only use certified material for re-melting/refining to complement the annual output of CoC Material.
4.2b Post-Consumer Scrap	Conformance	The Entity has established procedures and an accounting system to govern the qualification of eligible Post-Consumer Scrap. Due Diligence

CRITERION	RATING	COMMENT
		processes are in place for qualifying and follow up on scrap suppliers.
4.3a Supplier records	Conformance	The Entity has an accounting system to record the identity, principals and place/s of operation of all direct suppliers of Recyclable Scrap Material.
4.3b Cash payments	Conformance	The Entity does not make cash payments.
5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a CoC Certification Scope – Casthouses	Conformance	The Entity has a system in place that ensures ASI Aluminium is produced only from casthouses that are either within the Entity's CoC Certification Scope or are certified against the ASI Performance Standard.
5.1b ASI Performance Standard – Casthouses	Conformance	The Entity has a system in place that ensures ASI Aluminium is produced only from casthouses that are either within the Entity's CoC Certification Scope or are certified against the ASI Performance Standard.
5.2 Casthouse Products	Conformance	The Entity's Material Accounting System ensures that unique identification numbers can be linked to the Input Quantity of CoC Material for that Material Accounting Period.
6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a CoC Certification Scope – Post-Casthouse	Conformance	The Entity's operating procedure and strategic cooperation with ASI Certified suppliers will secure the supply and production of ASI CoC Materials.
6.1b ASI Performance Standard – Post-Casthouse	Conformance	The Entity's operating procedure and strategic cooperation with ASI certified suppliers will secure the supply and production of ASI CoC Materials.
6.1c Sourcing ASI Aluminium	Conformance	The Entity's operating procedure and strategic cooperation with ASI certified suppliers will secure the supply and production of ASI CoC Materials.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	The Entity has developed a Responsible Sourcing Policy covering all aspects of the ASI Chain of Custody Standard and applicable ASI Performance Standard Criteria.
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity has adopted a Responsible Sourcing Policy covering aluminium, which conforms to the requirements of ASI Chain of Custody Criteria and applicable ASI Performance Standard Criteria.

CRITERION	RATING	COMMENT
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	The Entity has developed policies, procedures and processes regarding responsible sourcing and Human Rights Due Diligence that conform to ASI Chain of Custody and applicable ASI Performance Standard Criteria.
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity has developed and maintains policies, procedures and processes that conform to ASI Chain of Custody and applicable ASI Performance Standard Criteria.
7.2 Risk assessment	Conformance	Procurement risk assessment completed and the ASI CoC Management System file established – including all relevant guidelines and procedures e.g. due diligence procedure, procurement risk assessment tools and supplier risk assessment tools.
7.3 Complaints mechanism	Conformance	The Entity has implemented accessible, transparent, understandable and culturally and gender sensitive complaints resolution mechanisms, adequate to address stakeholder complaints, grievances and requests for information relating to its operations. This is accessible through a link on the web: <a href="https://www.hydro.com/en/contact-us/">https://www.hydro.com/en/contact-us/</a>
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity has established a Material Accounting System that records Input Quantity and Output Quantity of CoC Material and Non-CoC Material, by mass which conforms to ASI Chain of Custody Standard requirement.
8.2a Post-Consumer Scrap	Conformance	The Entity has a Material Accounting System developed to govern and report on Input Quantity of Post-Consumer Scrap.
8.2b Pre-Consumer Scrap (total)	Conformance	The Entity has a Material Accounting System developed to govern and report on Input Quantity of Pre-Consumer Scrap.
8.2c Pre-Consumer Scrap (Eligible Scrap)	Conformance	The Entity has a Material Accounting System developed to govern and report on Input Quantity of Pre-Consumer Scrap delivering both CoC Material and Non-CoC Material.
8.3 Material Accounting Period	Conformance	The Entity will use a 12 month rolling period, as their accounting period. This is clearly stated in the ASI Management System Chain of Custody document that has been developed for the ASI Chain of Custody Standard.

CRITERION	RATING	COMMENT
8.4 Input Percentage	Conformance	The Entity has established a Material Accounting System in compliance with ASI Chain of Custody Standard requirements.
8.5 Input Percentage (Aluminium Re-Melting and Refining)	Conformance	The Entity's Material Accounting System calculates the Input Percentage of Eligible Recyclable Scrap regarding re-melting/refining in line with the requirements in the ASI Chain of Custody Standard.
8.6 Output Quantity determination	Conformance	The Entity has established a Material Accounting System in compliance with ASI Chain of Custody Standard requirements.
8.7 Output Quantity designation	Conformance	The Entity's Output Quantity is designated as 100% CoC Material as per Material Accounting System procedures and processes.
8.8 Output Quantity – Pre-Consumer Scrap	Conformance	The Entity has established a Material Accounting System in compliance with ASI Chain of Custody Standard requirements.
8.9 Outputs not exceed inputs	Conformance	The Entity has established a Material Accounting System in compliance with ASI Chain of Custody Standard requirements, and to have updated information on inventory balance on a monthly basis which conforms to the ASI Chain of Custody Standard requirement.
8.10a Internal Overdraws (not exceed 20%)	Conformance	The Entity has established a Material Accounting System in compliance with the ASI Chain of Custody requirements.
8.10b Internal Overdraws (not exceed affected amount)	Conformance	The Entity has established a Material Accounting System in compliance with the ASI Chain of Custody requirements.
8.10c Internal Overdraws (period to make up)	Conformance	The Entity has established a Material Accounting System in compliance with the ASI Chain of Custody requirements.
8.11a Positive Balance (carry over)	Conformance	The Entity has established a Material Accounting System in compliance with the ASI Chain of Custody requirements.
8.11b Positive Balance (expiry)	Conformance	The Entity has established a Material Accounting System in compliance with the ASI Chain of Custody requirements.
<b>9 ISSUING COC DOCUMENTS</b>		
9.1 Shipments and transfers	Conformance	The Entity has established both a procedure and an ASI CoC document template, ensuring that CoC Documents are controlled, issued and stored as per ASI Chain of Custody Standard requirements.

CRITERION	RATING	COMMENT
9.2a Date of issue	Conformance	The Entity has established both a procedure and an ASI CoC document template, ensuring that CoC Documents are controlled, issued and stored as per ASI Chain of Custody Standard requirements.
9.2b Reference number	Conformance	The Entity has established both a procedure and an ASI CoC document template, ensuring that CoC Documents are controlled, issued and stored as per ASI Chain of Custody Standard requirements.
9.2c Issuing Entity	Conformance	The Entity has established both a procedure and an ASI CoC document template, ensuring that CoC Documents are controlled, issued and stored as per ASI Chain of Custody Standard requirements.
9.2d Receiving customer	Conformance	The Entity has established both a procedure and an ASI CoC document template, ensuring that CoC Documents are controlled, issued and stored as per ASI Chain of Custody Standard requirements.
9.2e Responsible employee	Conformance	The Entity has established both a procedure and an ASI CoC document template, ensuring that CoC Documents are controlled, issued and stored as per ASI Chain of Custody Standard requirements.
9.2f Conformance statement	Conformance	The Entity has established both a procedure and an ASI CoC document template, ensuring that CoC Documents are controlled, issued and stored as per ASI Chain of Custody Standard requirements.
9.2g Type of CoC Material	Conformance	The Entity has established both a procedure and an ASI CoC document template, ensuring that CoC Documents are controlled, issued and stored as per ASI Chain of Custody Standard requirements.
9.2h Mass of CoC Material	Conformance	The Entity has established both a procedure and an ASI CoC document template, ensuring that CoC Documents are controlled, issued and stored as per ASI Chain of Custody Standard requirements.
9.2i Mass of total material	Conformance	The Entity has established both a procedure and an ASI CoC document template, ensuring that CoC Documents are controlled, issued and stored as per ASI Chain of Custody Standard requirements.
9.3a Sustainability Data (optional)	Conformance	The Entity has established both a procedure and an ASI CoC document template, ensuring that CoC Documents are controlled, issued and stored as per ASI Chain of Custody Standard requirements - including applicable Sustainability Data in the CoC Document for CoC Material.

CRITERION	RATING	COMMENT
9.3b Sustainability Data (passing on)	Conformance	The Entity has established both a procedure and an ASI CoC document template, ensuring that CoC Documents are controlled, issued and stored as per ASI Chain of Custody Standard requirements - including applicable Sustainability Data in the CoC Document for CoC Material.
9.3c Post-Casthouse ASI Certification status	Conformance	The Entity has established both a procedure and an ASI CoC document template, ensuring that CoC documents are controlled, issued and stored as per ASI Chain of Custody Standard requirements - including applicable Sustainability Data in the CoC Document for CoC Material.
9.4 Supplementary Information (optional)	Conformance	The Entity has established both a procedure and an ASI CoC document template, ensuring that CoC Documents are controlled, issued and stored as per ASI Chain of Custody Standard requirements.
9.5 Response to verification requests	Conformance	The Entity has established both a procedure and an ASI CoC document template, ensuring that CoC Documents are controlled, issued and stored as per ASI Chain of Custody Standard requirements, including responding to requests for verification of information in CoC Documents issued by the Entity.
9.6 Error management	Conformance	The Entity's procedures includes error management as per ASI Chain of Custody Standard requirement. The Entity will inform relevant stakeholders on the situation regarding the error and agree on necessary corrective actions / improvements.
<b>10 RECEIVING COC DOCUMENTS</b>		
10.1 Verify required information included	Conformance	The Entity has established processes to ensure that CoC Documents are controlled, issued and stored as per ASI Chain of Custody Standard requirements.
10.2 Verify consistency with shipments	Conformance	The Entity has established processes to ensure that CoC Documents are controlled, issued and stored as per ASI Chain of Custody Standard requirements.
10.3 Verify supplier CoC Certification status	Conformance	The Entity has established processes to ensure that CoC Documents are controlled, issued and stored as per ASI Chain of Custody Standard requirements.
10.4 Error management	Conformance	The Entity has established processes to ensure that CoC Documents are controlled, issued and stored as per ASI Chain of Custody Standard requirements.
<b>11 MARKET CREDITS SYSTEM: ASI CREDITS</b>		
11.1a Material Accounting System – allocation	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI market credits system.

CRITERION	RATING	COMMENT
11.1b Link to Casthouse Products	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI market credits system.
11.1c No double counting	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI market credits system.
11.1d No Positive Balance for ASI Credits	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI market credits system.
11.2a Date of issue	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI market credits system.
11.2b Reference number	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI market credits system.
11.2c Issuing Entity	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI market credits system.
11.2d Receiving Entity	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI market credits system.
11.2e Conformance statement	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI market credits system.
11.2f ASI Credits statement	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI market credits system.
11.2g Quantity	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI market credits system.
11.3a CoC Certification Scope – purchasing ASI Credits	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI market credits system.
11.3b Material Accounting System – purchasing	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI market credits system.
11.3c Expiry	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI market credits system.
11.3d No re-trading	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI market credits system.
11.3e No allocation to physical products	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI market credits system.
11.3f Verify supplier CoC Certification status	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI market credits system.
11.3g Five years maximum for ASI Credits purchasing	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI market credits system.

CRITERION	RATING	COMMENT
12.1a ASI Claims Guide	Conformance	The Entity has developed policies, systems, procedures and processes to ensure that claims and/or representations about CoC Material outside of CoC Documents are made in a manner and form consistent with the ASI Claims Guide.
12.1b Verifiable evidence	Conformance	The Entity has developed policies, systems, procedures and processes to ensure that claims and/or representations about CoC Material outside of CoC Documents are made in a manner and form consistent with the ASI Claims Guide.
12.1c Employee training	Conformance	The Entity has developed policies, systems, procedures and processes to ensure that claims and/or representations about CoC Material outside of CoC Documents are made in a manner and form consistent with the ASI Claims Guide.

#### **Document Control and Version History**

Revision	Date	Notes
0	7 April 2020	Issued (Full Certification)
1	11 June 2020	Correction to conformance rating of criterion 2.1
2	14 July 2020	Updated to reflect Certification Scope change with addition of Hydro Aluminium Extruded Solutions site Łódź (Poland).
3	18 September 2020	Updated to reflect Certification Scope change with addition of Hydro Aluminium Extruded Solutions site Székesfehérvár (Hungary) and corrections to the supply chain activities and those specific to previous scope change audits.
4	30 September 2020	Updated to reflect Certification Scope change with addition of Hydro Aluminium Extruded Solutions site Nenzing (Austria).
5	17 December 2020	Updated to reflect Certification Scope change with addition of Hydro Aluminium Extruded Solutions site Tønder Extrusion (Denmark).
6	29 January 2021	Updated to reflect Certification Scope change with addition of Hydro Aluminium Extruded Solutions site Offenburg (Germany).
7	26 February 2021	Updated to reflect Certification Scope change with addition of Hydro Aluminium Extruded Solutions sites Rackwitz (extrusion) (Germany) and Uphusen (Germany).
8	8 July 2021	Surveillance Audit
9	25 August 2021	Scope Change Audit – Certification Scope updated to include Hydro Aluminium Extruded Solutions Iberia sites Avintes (Portugal) and La Roca, La Selva and Navarra (Spain); and the Supply Chain Activity Aluminium Re-melting/Refining.
10	12 January 2022	Scope Change Audit – Certification Scope updated to include Hydro Aluminium Extruded Solutions sites Ornago and Feltre (Italy).
11	21 February 2022	Scope Change Audit – Certification Scope updated to include Hydro Aluminium Extruded Solutions sites Vetlanda, Finspång and Sjunnen (Sweden).
12	11 April 2022	Scope Change Audit – Certification Scope updated to include Hydro Aluminium Extruded Solutions sites Albi, Chateauroux, Lucé and Puget sur Argens (France).