

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

BALL AEROSOL PACKAGING

CERTIFICATE
NUMBER

258

ASI
STANDARD

CHAIN OF CUSTODY
(V1 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITOR

BUREAU
VERITAS
CERTIFICATION

DATE OF ISSUE

30 JANUARY 2023

DATE OF EXPIRY

29 JANUARY 2026

CERTIFIED SINCE

30 JANUARY 2023

AUTHORISED BY

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

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*

CERTIFICATION SCOPE

Management activities for centralized operational functions, global support functions, quality assurance and operational risk are conducted at the global headquarters campuses in Westminster, Colorado and Lille, France. Manufacturing of aluminium slugs at three plants: Copal (France), Verona (USA) and Sherbrooke (Canada) and of aerosol containers (cans) at six plants: Velim (Czech Republic), Devizes (UK), Bellegarde (France), Ahmedabad (India), San Luis Potosi (Mexico) and Itupeva (Brazil).

SUMMARY AUDIT REPORT

CHAIN OF CUSTODY STANDARD

OVERVIEW

MEMBER NAME	Ball Corporation
ENTITY NAME	Ball Aerosol Packaging
CERTIFICATION SCOPE	Management activities for centralized operational functions, global support functions, quality assurance and operational risk are conducted at the global headquarters campuses in Westminster, Colorado and Lille, France. Manufacturing of aluminium slugs at three plants: Copal (France), Verona (USA) and Sherbrooke (Canada) and of aerosol containers (cans) at six plants: Velim (Czech Republic), Devizes (UK), Bellegarde (France), Ahmedabad (India), San Luis Potosi (Mexico) and Itupeva (Brazil).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">• Casthouses• Post-Casthouse
ASI STANDARD	<ul style="list-style-type: none">• Chain of Custody Standard V1
AUDIT TYPE	<ul style="list-style-type: none">• Initial Certification Audit
AUDIT FIRM	Bureau Veritas Certification
AUDIT DATE	<ul style="list-style-type: none">• 5 October – 16 November 2022
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">• 24 December 2022
AUDIT SCOPE	<p>The audit scope comprises Ball Aerosol Packaging at nine global manufacturing facilities and regional headquarters located in Westminster, Colorado and Lille, France. Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none">• Casthouses• Post-Casthouse <p>All relevant Criteria in the ASI Chain of Custody Standard were included in the Audit Scope.</p>
AUDIT OUTCOME	<ul style="list-style-type: none">• Certification
AUDIT METHODOLOGY DECLARATION	The Auditors confirm that:

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- ✔ 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.
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CERTIFICATION PERIOD	30 January 2023 – 29 January 2026
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NEXT AUDIT TYPE	Re-Certification Audit
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NEXT AUDIT DUE DATE	29 January 2026
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CERTIFICATE NUMBER	258
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SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	Ball Corporation joined ASI in 2015 and is an established member in good standing with ASI with several ASI Certifications.
1.2 Management system	Conformance	The Entity's Management System can manage ASI Chain of Custody (CoC) material, providing accurate and transparent traceability across all relevant areas, which was improved and enhanced by additional IT developments.
1.3 Management system reviews	Conformance	The Entity has established mechanisms for the periodic review by senior management of ASI processes and conformance.
1.4 Management representative	Conformance	The Entity's Supply Chain Director was nominated as the Management Representative with overall responsibility and authority for the Entity's conformance with all applicable requirements of the ASI CoC Standard.
1.5 Training	Conformance	The Entity provides training to relevant personnel to raise awareness of ASI in general, and CoC requirements.
1.6 Record keeping	Conformance	All CoC relevant documentation, including procedures, presentations and training materials are kept and maintained on the internal network - SharePoint and the defined retention time are in accordance with the ASI CoC Standard.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	The Entity's Enterprise Resource Planning (ERP) systems are capable of reporting Inputs and Outputs to ASI. The Entity has not yet received any ASI Metal, so no reports have been submitted to ASI to date.
1.7b Reporting to ASI (Input Percentage)	Conformance	The Entity's ERP systems are capable of tracking and reporting ASI Input Percentage. The Entity has not yet received any ASI Metal, so no reports have been submitted to ASI to date.
1.7c Reporting to ASI (Positive Balance)	Conformance	The Entity's ERP systems are capable of tracking and reporting any Positive Balance. The Entity has not yet received any ASI Metal, so no reports have been submitted to ASI to date.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	The Entity's ERP systems are capable of tracking and reporting any Internal Overdraw. The Entity has not yet received any ASI Metal, so no reports have been submitted to ASI to date.

CRITERION	RATING	COMMENT
1.7e Reporting to ASI (Eligible Scrap)	Not Applicable	This Criterion is not applicable, as the Entity is not considering any ASI Eligible Scrap in their mass balance.
1.7f Reporting to ASI (ASI Credits from Casthouses)	Not Applicable	This Criterion is not applicable, as the Entity does not intend to purchase ASI Credits.
1.7g Reporting to ASI (ASI Credits purchased)	Not Applicable	This Criterion is not applicable, as the Entity does not intend to purchase ASI Credits.
2 OUTSOURCING CONTRACTORS		
2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	This Criterion is not applicable as the Entity does not currently have any Outsourcing Contractors that take custody of CoC Material for further processing, treatment, or manufacturing.
2.2a Control of CoC Material	Not Applicable	This Criterion is not applicable as the Entity does not currently have any Outsourcing Contractors that take custody of CoC Material for further processing, treatment, or manufacturing.
2.2b No further outsourcing	Not Applicable	This Criterion is not applicable as the Entity does not currently have any Outsourcing Contractors that take custody of CoC Material for further processing, treatment, or manufacturing.
2.2c Risk assessment	Not Applicable	This Criterion is not applicable as the Entity does not currently have any Outsourcing Contractors that take custody of CoC Material for further processing, treatment, or manufacturing.
2.3 Output Quantity	Not Applicable	This Criterion is not applicable as the Entity does not currently have any Outsourcing Contractors that take custody of CoC Material for further processing, treatment, or manufacturing.
2.4 Verification and record-keeping	Not Applicable	This Criterion is not applicable as the Entity does not currently have any Outsourcing Contractors that take custody of CoC Material for further processing, treatment, or manufacturing.
2.5 Error management	Not Applicable	This Criterion is not applicable as the Entity does not currently have any Outsourcing Contractors that take custody of CoC Material for further processing, treatment, or manufacturing.
3 PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI LIQUID METAL		
3.1a CoC Certification Scope – Bauxite Mining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.1b ASI Performance Standard – Bauxite Mining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
3.2a CoC Certification Scope – Alumina Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2b ASI Performance Standard – Alumina Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3a CoC Certification Scope – Aluminium Smelting	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3b ASI Performance Standard – Aluminium Smelting	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4 RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP AND ASI LIQUID METAL		
4.1a CoC Certification Scope - Aluminium Re-Melting/Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.1b ASI Performance Standard - Aluminium Re-Melting/Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2a Pre-Consumer Scrap and Dross	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2b Post-Consumer Scrap	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a Supplier records	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3b Cash payments	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a CoC Certification Scope - Casthouses	Conformance	The Entity's Certification Scope includes three Casthouse Facilities which are incorporated into the ERP systems for CoC tracking.
5.1b ASI Performance Standard - Casthouses	Conformance	The Entity is currently in the process of achieving ASI Performance Standard Certification in parallel to the ASI Chain of Custody as part of Group ASI Certification Audits.
5.2 Casthouse Products	Conformance	The ERP systems used at the Entity's Casthouse Facilities have been enhanced with additional functionalities and IT developments to support suitable and accurate material tracking, provide reporting needed and issue predefined documentation.

CRITERION	RATING	COMMENT
6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a CoC Certification Scope – Post-Casthouse	Conformance	The Entity has systems, procedures, and policies in place to ensure that it is producing ASI Certified products that originate only from manufacturing plants that are within the Certification Scope.
6.1b ASI Performance Standard – Post-Casthouse	Conformance	The Entity is currently in the process of achieving ASI Performance Standard Certification in parallel to the ASI Chain of Custody as part of Group ASI Certification Audits.
6.1c Sourcing ASI Aluminium	Conformance	The Entity will commence the sourcing of ASI Certified metal directly from suppliers which achieved ASI certification according to the Performance and the Chain of Custody Standard.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	The Entity requires its suppliers to comply with Ball's Supplier Guiding Principles. The principles were developed with input from key Stakeholders, including customers and investors, and require that suppliers certify and demonstrate compliance with them. These address employment practices, Human Rights, environment, health and safety, antitrust, bribery and anti-corruption.
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity requires its suppliers to comply with Ball's Supplier Guiding Principles. The principles were developed with input from key Stakeholders, including customers and investors, and require that suppliers certify and demonstrate compliance with them. These address employment practices, Human Rights, environment, health and safety, antitrust, bribery and anti-corruption.
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	The Entity requires its suppliers to comply with Ball's Supplier Guiding Principles. The principles were developed with input from key Stakeholders, including customers and investors, and require that suppliers certify and demonstrate compliance with them. These address employment practices, Human Rights, environment, health and safety, antitrust, bribery and anti-corruption.
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity complies with the Ball Conflict Minerals Policy and the related Due Diligence addresses conflict affected and high-risk areas and expectations towards suppliers of such materials.
7.2 Risk assessment	Conformance	As part of Ball's Responsible Sourcing Framework (www.ball.com/responsible-sourcing-framework), the Entity maintains a Sustainability Category Profile for

CRITERION	RATING	COMMENT
		their aluminium suppliers which lists the most material ESG risk factors including operational, reputational, and economic impacts.
7.3 Complaints mechanism	Conformance	The Entity complies with the Ball Global Business Ethics Code of Conduct, published on the company's website, which lists multiple ways to submit complaints via compliance hotlines, including country-specific phone numbers. Ball employees, suppliers, and other external Stakeholders can use the hotlines.
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity has an established Material Accounting System that records the Input Quantity and Output Quantity of CoC Material and Non-CoC Material, by mass.
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 Entity has specified in writing, that the Material Accounting Period in the Entity's Material Accounting System is the calendar year.
8.4 Input Percentage	Conformance	The Entity's different ERP systems record all ingots and slugs arriving at BAP plants. Ball Corporation IT support has added a field containing a specific code or flag to capture the information on ASI Certification to calculate the ASI Input Percentage.
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's ERP systems can record the ASI Metal Output Quantity based on product Stock Keeping Units (SKU).
8.7 Output Quantity designation	Conformance	The Entity's ERP system will designate specific products as being ASI Certified via the product SKU number.
8.8 Output Quantity - Pre-Consumer Scrap	Conformance	Whilst the Entity's ERP systems can record this, currently the Entity has no intention to buy or sell any ASI scrap.

CRITERION	RATING	COMMENT
8.9 Outputs not exceed Inputs	Conformance	The Entity's Material Accounting System ensures that the total Output of CoC Material does not proportionally exceed the Input Percentage as applied to the total Input of CoC Material over the Material Accounting Period.
8.10a Internal Overdraws (not exceed 20%)	Conformance	The Entity's Material Accounting System can identify any carry over or Internal Overdraws during the accounting period.
8.10b Internal Overdraws (not exceed affected amount)	Conformance	The Entity's Material Accounting System can identify any carry over or Internal Overdraws during the accounting period.
8.10c Internal Overdraws (period to make up)	Conformance	The Entity's Material Accounting System can identify any carry over or Internal Overdraws during the accounting period. Any overdraw can be made up in the subsequent accounting period.
8.11a Positive Balance (carry over)	Conformance	The Entity's Material Accounting System can identify any carry over or Internal Overdraws during the accounting period.
8.11b Positive Balance (expiry)	Conformance	The Entity has documented that any Positive Balance would expire after the subsequent accounting period.
9 ISSUING COC DOCUMENTS		
9.1 Shipments and transfers	Conformance	The Entity has integrated information and a statement regarding ASI in existing shipping documentation.
9.2a Date of issue	Conformance	The Entity has integrated information and a statement about ASI in existing shipping documentation, including the date of issue.
9.2b Reference number	Conformance	The Entity has integrated information and a statement about ASI in existing shipping documentation, including a unique reference number.
9.2c Issuing Entity	Conformance	The Entity has integrated information and a statement about ASI in existing shipping documentation, including the issuing entity.
9.2d Receiving customer	Conformance	The Entity has integrated information and a statement about ASI in existing shipping documentation, including the customer's name.
9.2e Responsible employee	Conformance	The quarterly summary report includes the name of the responsible BAP employee who can verify and confirm the information in the CoC Document and oversee the issuance of the documentation.
9.2f Conformance statement	Conformance	The Entity's Quarterly ASI Customer Report includes an ASI conformance statement.

CRITERION	RATING	COMMENT
9.2g Type of CoC Material	Conformance	The Entity's Quarterly ASI Customer Report includes the type of CoC Material.
9.2h Mass of CoC Material	Conformance	The Entity's Quarterly ASI Customer Report includes the weight of CoC Material.
9.2i Mass of total material	Conformance	The Entity's Quarterly ASI Customer Report includes the total mass of material.
9.3a Sustainability Data (optional)	Not Applicable	The Entity does not intend to pass on optional Sustainability Data on CoC Documents.
9.3b Sustainability Data (passing on)	Not Applicable	The Entity does not intend to pass on optional Sustainability Data on CoC Documents.
9.3c Post-Casthouse ASI Certification status	Conformance	The Entity's Quarterly ASI Customer Report includes their Certification Status.
9.4 Supplementary Information (optional)	Not Applicable	This Criterion is not applicable, as the Entity does not wish to include Supplementary Information on its CoC Documents.
9.5 Response to verification requests	Conformance	The Supply Chain Director will respond to any CoC verification requests.
9.6 Error management	Conformance	The Entity has established a process that should an error be discovered after CoC Material is shipped, they will document the error and agree on the steps to correct it with the receiving party.
10 RECEIVING COC DOCUMENTS		
10.1 Verify required information included	Conformance	The Entity has established processes at each of their Facilities to verify the required information is provided with incoming metal shipments.
10.2 Verify consistency with shipments	Conformance	The Entity verifies the consistency of received CoC Documents with the accompanying CoC Material before recording information in its Material Accounting System.
10.3 Verify supplier CoC Certification status	Conformance	The Entity reviews the ASI website regularly 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.
10.4 Error management	Conformance	In the case that an error is discovered after CoC Material is received, the Entity and the supplier will document the error and agree on the steps to correct it and implement actions to avoid a recurrence.
11 MARKET CREDITS SYSTEM: ASI CREDITS		
11.1a Material Accounting System - allocation	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.

CRITERION	RATING	COMMENT
11.1b Link to Casthouse Products	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.1c No double counting	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.1d No Positive Balance of ASI Credits	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.2a Date of issue	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.2b Reference number	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.2c Issuing Entity	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.2d Receiving Entity	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.2e Conformance statement	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.2f ASI Credits statement	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.2g Quantity	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.3a CoC Certification Scope - purchasing ASI Credits	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.3b Material Accounting System - purchasing	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.3c Expiry	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.3d No re-trading	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.3e No allocation to physical products	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.3f Verify supplier CoC Certification status	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.3g Five year maximum for ASI Credits purchasing	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
12 CLAIMS AND COMMUNICATIONS		
12.1a ASI Claims Guide	Conformance	The Entity has systems in place to ensure that any claims and/or representations about CoC Material

CRITERION	RATING	COMMENT
		outside of CoC Documents, or ASI Credits outside of ASI Credits Certificates (where relevant) are made in a manner and form consistent with the ASI Claims Guide.
12.1b Verifiable evidence	Conformance	The Entity's Legal department ensures that there is verifiable evidence to support any claims and/or representations made.
12.1c Employee training	Conformance	The Entity has provided training for relevant employees to properly understand and communicate the claims and/or representations if they were to make claims and/or representations about CoC Material outside of CoC Documents.

Document Control and Version History

Revision	Date	Notes
0	30 January 2023	Initial Certification Audit - Full Certification