

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# NOVELIS EUROPE

CERTIFICATE  
NUMBER

64

ASI  
STANDARD

CHAIN OF CUSTODY  
(V1 2017)

CERTIFICATION  
LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITOR

SZI GMBH

DATE OF ISSUE

24 JANUARY 2023

DATE OF EXPIRY

23 JANUARY 2026

CERTIFIED SINCE

24 JANUARY 2020

AUTHORISED BY

A handwritten signature in white ink, appearing to be 'J. H.', 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

Novelis Europe includes the regional management functions at the Head Office of Novelis AG (Switzerland) and production facilities in Bresso (Italy), Goettingen (Germany), Koblenz (Germany), Latchford (United Kingdom), Nachterstedt Recycling (Germany), Nachterstedt Rolling (Germany), Ohle (Germany), Pieve (Italy), Sierre (Switzerland), Voerde (Germany) and the joint venture site Alunorf (Germany).

# SUMMARY AUDIT REPORT

## CHAIN OF CUSTODY STANDARD

### OVERVIEW

MEMBER NAME	Novelis Inc
ENTITY NAME	Novelis Europe
CERTIFICATION SCOPE	Novelis Europe includes the regional management functions at the Head Office of Novelis AG (Switzerland) and production facilities in Bresso (Italy), Goettingen (Germany), Koblenz (Germany), Latchford (United Kingdom), Nachterstedt Recycling (Germany), Nachterstedt Rolling (Germany), Ohle (Germany), Pieve (Italy), Sierre (Switzerland), Voerde (Germany) and the joint venture site Alunorf (Germany).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>Aluminium Re-melting/Refining</li><li>Casthouses</li><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 (21 – 29 August 2019)</li><li>Scope Change Audit (7 September 2020 – 2 January 2021)</li><li>Surveillance Audit and Scope Change (31 August – 2 September 2021)</li><li>Surveillance Audit (30 March – 28 April 2022)</li><li>Re-Certification Audit (8 – 9 November 2022)</li><li>Surveillance Audit (20 – 24 November 2023)</li></ul>
AUDIT FIRM	SZI GmbH
AUDIT DATE	<ul style="list-style-type: none"><li>21 – 29 August 2019 (Initial Certification Audit)</li><li>7 September 2020 – 2 January 2021 (Scope Change Audit)</li><li>31 August – 2 September 2021 (Surveillance Audit and Scope Change)</li><li>30 March – 28 April 2022 (Surveillance Audit)</li><li>8 – 9 November 2022 (Re-Certification Audit)</li><li>20 – 24 November 2023 (Surveillance Audit)</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>27 November 2019 (Initial Certification Audit)</li><li>13 March 2021 (Scope Change Audit)</li><li>25 September 2021 (Surveillance Audit and Scope Change)</li><li>20 April 2023 (Surveillance Audit)</li><li>4 June 2023 (Re-Certification Audit)</li></ul>

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- 19 January 2024 (Surveillance Audit)

#### AUDIT SCOPE

##### Initial Certification Audit (21 – 29 August 2019)

The audit scope included the joint venture site Aluminium Norf (Alunorf) (Germany) and Ohle (Germany).

Supply chain activities included in the audit scope:

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

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

##### Scope Change Audit (7 September 2020 – 2 January 2021)

The audit scope included Novelis AG (Switzerland), Sierre (Switzerland) Goettingen (Germany), Nachterstedt Recycling (Germany), Nachterstedt Rolling (Germany), Latchford (United Kingdom), Pieve (Italy) and Bresso (Italy).

The ASI multi-site sampling approach was undertaken for the certification scope change for the Sierre, Latchford, Pieve and Bresso sites.

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.

##### Surveillance Audit and Scope Change (31 August – 2 September 2021)

The audit scope included Novelis AG (Switzerland), Nachterstedt Recycling (Germany), Nachterstedt Rolling (Germany), Koblenz (Germany) and Voerde (Germany).

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 (October - September 2021), access to all the sites was not possible, due to COVID-19 related travel restrictions. The audit has been undertaken as a 'desktop' exercise for the Novelis AG, Koblenz and Voerde sites, 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 (30 March – 28 April 2022)

The audit scope included Novelis Goettingen plant (Germany) and Novelis Ohle plant (Germany).

Supply chain activities included in the audit scope:

- Post-Casthouse
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The ASI multi-site sampling approach was undertaken for the surveillance audit. All relevant Criteria in the ASI Chain of Custody Standard were included in the audit scope.

Re-Certification Audit (8 – 9 November 2022)

The audit scope included Novelis AG (Switzerland).

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.

Surveillance Audit (20 – 24 November 2023)

The audit scope included the Novelis production facilities Koblenz (Germany), Latchford (United Kingdom) and Voerde (Germany).

Supply chain activities included in the audit scope:

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

The ASI multi-site sampling approach was undertaken for the surveillance audit. All relevant Criteria in the ASI Chain of Custody Standard were included in the audit scope.

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AUDIT  
OUTCOME

- Certification

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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.

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CERTIFICATION  
PERIOD

24 January 2023 – 23 January 2026

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NEXT AUDIT  
TYPE

Re-Certification Audit

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NEXT AUDIT  
DUE DATE

23 January 2026

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CERTIFICATION  
NUMBER

64

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## SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	Novelis is an ASI Member committed to complying with ASI's membership obligations and the ASI Complaints Mechanism. The membership has been checked, details are available at: <a href="https://aluminium-stewardship.org/about-asi/asi-members/novelis-inc">https://aluminium-stewardship.org/about-asi/asi-members/novelis-inc</a>
1.2 Management system	Conformance	The Entity's regional headquarters (Novelis AG in Zurich, Switzerland) has established a general Chain of Custody Management System that describes how Standard Operating Procedures are applied and managed.
1.3 Management system reviews	Conformance	The requirements of the ASI Chain of Custody Standard are met. The management review agenda has been expanded with Input criteria from the ASI Chain of Custody Standard.
1.4 Management representative	Conformance	A representative for the ASI Chain of Custody Standard is appointed.
1.5 Training	Conformance	The Entity has implemented training programs to make the relevant personnel aware of their responsibilities and the general ASI Chain of Custody Standard requirements.
1.6 Record keeping	Conformance	Processes for required ASI records and archives are defined. The retention period for the relevant CoC Documents is at least five years.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	Novelis has created an IT-based system for recording, reporting and documenting the flow of material with the Novelis ASI Entity Mass Balance.
1.7b Reporting to ASI (Input Percentage)	Conformance	Novelis has created an IT-based system for recording, reporting and documenting the flow of material with the Novelis ASI Entity Mass Balance.
1.7c Reporting to ASI (Positive Balance)	Conformance	Novelis has created an IT-based system for recording, reporting and documenting the flow of material with the Novelis ASI Entity Mass Balance.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	Novelis has created an IT-based system for recording, reporting and documenting the flow of material with the Novelis ASI Entity Mass Balance.
1.7e Reporting to ASI (Eligible Scrap)	Conformance	Novelis has created an IT-based system for recording, reporting and documenting the flow of material with the Novelis ASI Entity Mass Balance.

CRITERION	RATING	COMMENT
1.7f Reporting to ASI (ASI Credits from Casthouses)	Not Applicable	This Criterion is not applicable as the Entity will not be using the ASI credits system.
1.7g Reporting to ASI (ASI Credits purchased)	Not Applicable	This Criterion is not applicable as the Entity will not be using the ASI credits system.
<b>2 OUTSOURCING CONTRACTORS</b>		
2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	This Criterion is not applicable as no Outsourcing Contractors are used in the current scope.
2.2a Control of CoC Material	Not Applicable	This Criterion is not applicable as no Outsourcing Contractors are used in the current scope.
2.2b No further outsourcing	Not Applicable	This Criterion is not applicable as no Outsourcing Contractors are used in the current scope.
2.2c Risk assessment	Not Applicable	This Criterion is not applicable as no Outsourcing Contractors are used in the current scope.
2.3 Output Quantity	Not Applicable	This Criterion is not applicable as no Outsourcing Contractors are used in the current scope.
2.4 Verification and record-keeping	Not Applicable	This Criterion is not applicable as no Outsourcing Contractors are used in the current scope.
2.5 Error management	Not Applicable	This Criterion is not applicable as no Outsourcing Contractors are used in the current scope.
<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	All metal inputs received into Novelis plants within the CoC Certification Scope are assessed as described under the eligibility requirements and Due Diligence processes. Processes also exist for

CRITERION	RATING	COMMENT
		ordering and receiving CoC Material into Casthouses of remelting/recycling centres and receiving CoC Material into Post-Casthouse facilities e.g., rolling and finishing plants.
4.1b ASI Performance Standard – Aluminium Re-Melting/Refining	Conformance	All metal inputs received into Novelis plants within the CoC Certification Scope are assessed as described under the eligibility requirements and Due Diligence processes. Processes also exist for ordering and receiving CoC Material into Casthouses of remelting/recycling centres and receiving CoC Material into Post-Casthouse facilities e.g., rolling and finishing plants.
4.2a Pre-Consumer Scrap and Dross	Conformance	The Novelis Material Accounting System (SAP) records and balances CoC Pre-Consumer Scrap and treated Dross residues. It also records the respective suppliers.
4.2b Post-Consumer Scrap	Conformance	All metal inputs received into Novelis plants within the CoC Certification Scope are assessed as described under the eligibility and Due Diligence processes. Processes also exist for ordering and receiving CoC Material into Casthouses of remelting/recycling centres and receiving CoC Material into Post-Casthouse facilities e.g., rolling and finishing plants.
4.3a Supplier records	Conformance	The Entity has implemented a system that monitors the suppliers of Recyclable Scrap and records the identity, principles and place/s of operation.
4.3b Cash payments	Not Applicable	This Criterion is not applicable as the Entity does not make cash payments.
<b>5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM</b>		
5.1a CoC Certification Scope – Casthouses	Conformance	All metal inputs received into Novelis plants within the CoC Certification Scope are assessed as described under the eligibility requirements and Due Diligence processes. Processes also exist for ordering and receiving CoC Material into Casthouses of remelting/recycling centres and receiving CoC Material into Post-Casthouse facilities e.g., rolling and finishing plants.
5.1b ASI Performance Standard – Casthouses	Conformance	The Material Accounting System (SAP) and the processes described ensure that only ASI Material is produced from Casthouses that are certified in accordance with the ASI Performance Standard.
5.2 Casthouse Products	Conformance	The Material Accounting System (SAP) ensures that ASI Aluminium is securely identifiable and

CRITERION	RATING	COMMENT
		traceable. ASI Aluminium is allocated a number on the material.
6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a CoC Certification Scope – Post-Casthouse	Conformance	The Material Accounting System (SAP) and the processes described ensure that only CoC Material is produced from an Entity that is in the CoC Certification Scope.
6.1b ASI Performance Standard – Post-Casthouse	Conformance	The Material Accounting System (SAP) and the processes described ensure that only CoC Material is produced from an Entity that has an ASI Performance Standard Certification.
6.1c Sourcing ASI Aluminium	Conformance	All metal inputs received into Novelis plants within the CoC Certification Scope are assessed as described under the eligibility requirements and Due Diligence processes. Processes also exist for ordering and receiving CoC Material into Casthouses of remelting/recycling centres and receiving CoC Material into Post-Casthouse facilities e.g., rolling and finishing plants.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	The Novelis Supplier Code of Conduct is publicly available and is a prerequisite for cooperation with suppliers (even if not CoC Material). The anti-Corruption requirements of the ASI Performance Standard are fulfilled. The Code is available at: <a href="https://www.novelis.com/wp-content/uploads/2023/12/Novelis-Supplier-Code-of-Conduct-ENG-2023.pdf">https://www.novelis.com/wp-content/uploads/2023/12/Novelis-Supplier-Code-of-Conduct-ENG-2023.pdf</a>
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Novelis Supplier Code of Conduct is publicly available and a prerequisite for cooperation with suppliers (even if not CoC Material). The responsible sourcing requirements of the ASI Performance are fulfilled. The Code is available at: <a href="https://www.novelis.com/wp-content/uploads/2023/12/Novelis-Supplier-Code-of-Conduct-ENG-2023.pdf">https://www.novelis.com/wp-content/uploads/2023/12/Novelis-Supplier-Code-of-Conduct-ENG-2023.pdf</a>
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	The Novelis Supplier Code of Conduct is publicly available and a prerequisite for cooperation with suppliers (even if not CoC Material). The Human Rights Due Diligence requirements of the ASI Performance Standard are fulfilled. The Code is available at: <a href="https://www.novelis.com/wp-content/uploads/2023/12/Novelis-Supplier-Code-of-Conduct-ENG-2023.pdf">https://www.novelis.com/wp-content/uploads/2023/12/Novelis-Supplier-Code-of-Conduct-ENG-2023.pdf</a>



CRITERION	RATING	COMMENT
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Novelis Supplier Code of Conduct is publicly available and a prerequisite for cooperation with suppliers (even if not CoC Material). The Conflict-Affected and High-Risk Areas requirements of the ASI Performance Standard are fulfilled. The Code is available at: <a href="https://www.novelis.com/wp-content/uploads/2023/12/Novelis-Supplier-Code-of-Conduct-ENG-2023.pdf">https://www.novelis.com/wp-content/uploads/2023/12/Novelis-Supplier-Code-of-Conduct-ENG-2023.pdf</a>
7.2 Risk assessment	Conformance	The Entity has implemented procedures to assess the risks of non-compliance with its Responsible Sourcing Policy by its suppliers of Non-CoC Material and Recyclable Scrap Material. Any necessary measures are derived from this and transferred to an action plan. This risk assessment is updated annually or carried out for new suppliers. The Entity undertakes measurable risk mitigation where risks of adverse impacts are identified.
7.3 Complaints mechanism	Conformance	Novelis has established complaints mechanisms to allow persons and organisations to raise concerns through different channels, such as the company website: <a href="http://novelis.com/contact-us">http://novelis.com/contact-us</a> or Ethics Hotline: <a href="https://de.novelis.com/suppliers/ethics-line-vox-novelis">https://de.novelis.com/suppliers/ethics-line-vox-novelis</a>
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity has implemented a system for recording, reporting and documenting the flow of material with the Novelis ASI Entity Mass Balance. The approach is embedded into the SAP and Business Intelligence (BI) Processes.
8.2a Post-Consumer Scrap	Conformance	The Entity has implemented a system for recording, reporting, and documenting the flow of material with the Novelis ASI Entity Mass Balance. The approach is embedded into the SAP and BI Processes.
8.2b Pre-Consumer Scrap (total)	Conformance	The Entity has implemented a system for recording, reporting, and documenting the flow of material with the Novelis ASI Entity Mass Balance. The approach is embedded into the SAP and BI Processes (including the Input Quantity of total Pre-Consumer Scrap).
8.2c Pre-Consumer Scrap (Eligible Scrap)	Conformance	The Entity has implemented a system for recording, reporting, and documenting the flow of material with the Novelis ASI Entity Mass Balance.

CRITERION	RATING	COMMENT
		The approach is embedded into the SAP and BI Processes (including Input Quantity of Pre-Consumer Scrap that is Eligible Scrap).
8.3 Material Accounting Period	Conformance	The Entity has defined a Material Accounting Period of 12 months following the financial year (April-March).
8.4 Input Percentage	Conformance	The Input Percentage is calculated and recorded according to a given formula for the defined period for the financial year (April-March).
8.5 Input Percentage (Aluminium Re-Melting and Refining)	Conformance	The Input Percentage is calculated and recorded according to a given formula for the defined period for the financial year (April-March).
8.6 Output Quantity determination	Conformance	The Entity uses the Input Percentage for the Material Accounting Period to determine the Output Quantity of CoC Material, by mass.
8.7 Output Quantity designation	Conformance	The Material Accounting System (SAP) has been established to ensure that the Output Quantity of CoC Material is designated as 100% CoC Material.
8.8 Output Quantity – Pre-Consumer Scrap	Conformance	The Material Accounting System (SAP) ensures that the absolute Output Quantity of CoC Material (for example, the sum of the Output Quantity and the Eligible Scrap) is never more than the Input Quantity of CoC Material.
8.9 Outputs not exceed inputs	Conformance	The Entity has implemented appropriate processes to check that the total Output of CoC Material and Eligible Scrap does not proportionally exceed the Input Percentage as applied to the total Input of CoC Material and Eligible Scrap over the Material Accounting Period.
8.10a Internal Overdraws (not exceed 20%)	Conformance	The Material Accounting System (SAP) ensures that a material Overdraw of 20% is not exceeded.
8.10b Internal Overdraws (not exceed affected amount)	Conformance	The Material Accounting System (SAP) is designed to ensure that the Internal Overdraw will not exceed the amount of CoC Material affected by a Force Majeure situation.
8.10c Internal Overdraws (period to make up)	Conformance	The Material Accounting System (SAP) is designed to ensure that the Internal Overdraw will be made up within the subsequent Material Accounting Period.
8.11a Positive Balance (carry over)	Conformance	The Material Accounting System (SAP) is designed to ensure that any carry over of a Positive Balance is identified.

CRITERION	RATING	COMMENT
8.11b Positive Balance (expiry)	Conformance	The Material Accounting System (SAP) is designed to ensure that any Positive Balance of Output CoC Material at the end of the Material Accounting Period will be carried over to the subsequent period and that such carry over will expire at the end of that period if not drawn down.
9 ISSUING COC DOCUMENTS		
9.1 Shipments and transfers	Conformance	The Entity has implemented a Standard Operating Procedure to ensure that all CoC Material issued is provided with the appropriate documentation.
9.2a Date of issue	Conformance	A document management process is in place. The necessary documents contain (at least) the date of issue for the CoC Document.
9.2b Reference number	Conformance	A document management process is in place. The necessary documents contain (at least) the reference number for the CoC Document.
9.2c Issuing Entity	Conformance	A document management process is in place. The necessary documents contain (at least) the identity, address and CoC Certification number of the Entity.
9.2d Receiving customer	Conformance	A document management process is in place. The necessary documents contain (at least) the identity and address of the customer receiving the CoC Material.
9.2e Responsible employee	Conformance	A document management process is in place. The necessary documents contain (at least) the responsible employee of the Entity who can verify information in the CoC Document.
9.2f Conformance statement	Conformance	A document management process is in place. The necessary documents contain (at least) the relevant statement.
9.2g Type of CoC Material	Conformance	A document management process is in place. The necessary documents contain (at least) the type of CoC Material in the shipment.
9.2h Mass of CoC Material	Conformance	A document management process is in place. The necessary documents contain (at least) the mass of CoC Material in the shipment.
9.2i Mass of total material	Conformance	A document management process is in place. The necessary documents contain (at least) the mass of the total material in the shipment.
9.3a Sustainability Data (optional)	Conformance	Sustainability Data identified and included in the documentation includes the average intensity of GHG emissions and ASI Certification Status.

CRITERION	RATING	COMMENT
		The Entity will, upon request by customers, provide Sustainability Data if available.
9.3b Sustainability Data (passing on)	Conformance	Sustainability Data identified and included in the documentation includes the average intensity of GHG emissions. The Entity will, upon request by customers, provide Sustainability Data if available.
9.3c Post-Casthouse ASI Certification status	Conformance	Sustainability Data identified and included in the documentation includes the ASI Certification Status for the ASI Performance Standard. The Entity will, upon request by customers, provide Sustainability Data if available.
9.4 Supplementary Information (optional)	Conformance	All CoC Material issued is accompanied by the appropriate documentation. Any Supplementary Information can be supported by Objective Evidence.
9.5 Response to verification requests	Conformance	The contact person indicated on the CoC Documents is responsible for processing inquiries. All necessary information is stored in SAP (the Material Accounting System).
9.6 Error management	Conformance	If there are errors when shipping CoC Material, a root cause analysis commences immediately. In addition, an 8D-style report is produced, specifying the type of complaint, responsibilities and measures to remedy the defect.
10 RECEIVING COC DOCUMENTS		
10.1 Verify required information included	Conformance	If CoC Material is to be procured, the relevant accompanying documents are checked by goods received and stored in the Material Accounting System (SAP). The processes have been implemented and verified for effectiveness.
10.2 Verify consistency with shipments	Conformance	The Entity has developed a system for recording, reporting and documenting the flow of material with the Novelis ASI Entity Mass Balance. This includes: <ul style="list-style-type: none"> <li>- Calculating the CoC Input Percentage for the relevant Period.</li> <li>- Detecting and managing any errors.</li> <li>- Creating and distributing CoC documentation to accompany the sale of CoC Material.</li> <li>- Annual reporting to the ASI Secretariat.</li> </ul> The approach is embedded into the SAP and BI processes. The processes have been implemented and verified for effectiveness.

CRITERION	RATING	COMMENT
10.3 Verify supplier CoC Certification status	Conformance	If CoC Material is procured, it will be asked in advance if the supplier meets the requirements of the ASI Chain of Custody Standard. There is a supplier list that is kept up to date at all times. The processes have been implemented and verified for effectiveness.
10.4 Error management	Conformance	If there are errors or even a recall when shipping CoC Material, a root cause analysis is started immediately. In addition, an 8D-style report is produced, specifying the type of complaint, responsibilities and measures to remedy the defect.
11 MARKET CREDITS SYSTEM: ASI CREDITS		
11.1a Material Accounting System – allocation	Not Applicable	This Criterion is not applicable, as the Entity does not intend to use the ASI market credits system.
11.1b Link to Casthouse Products	Not Applicable	This Criterion is not applicable, as the Entity does not intend to use the ASI market credits system.
11.1c No double counting	Not Applicable	This Criterion is not applicable, as the Entity does not intend to use the ASI market credits system.
11.1d No Positive Balance for ASI Credits	Not Applicable	This Criterion is not applicable, as the Entity does not intend to use the ASI market credits system.
11.2a Date of issue	Not Applicable	This Criterion is not applicable, as the Entity does not intend to use the ASI market credits system.
11.2b Reference number	Not Applicable	This Criterion is not applicable, as the Entity does not intend to use the ASI market credits system.
11.2c Issuing Entity	Not Applicable	This Criterion is not applicable, as the Entity does not intend to use the ASI market credits system.
11.2d Receiving Entity	Not Applicable	This Criterion is not applicable, as the Entity does not intend to use the ASI market credits system.
11.2e Conformance statement	Not Applicable	This Criterion is not applicable, as the Entity does not intend to use the ASI market credits system.
11.2f ASI Credits statement	Not Applicable	This Criterion is not applicable, as the Entity does not intend to use the ASI market credits system.
11.2g Quantity	Not Applicable	This Criterion is not applicable, as the Entity does not intend to use the ASI market credits system.
11.3a CoC Certification Scope – purchasing ASI Credits	Not Applicable	This Criterion is not applicable, as the Entity does not intend to use the ASI market credits system.
11.3b Material Accounting System – purchasing	Not Applicable	This Criterion is not applicable, as the Entity does not intend to use the ASI market credits system.

CRITERION	RATING	COMMENT
11.3c Expiry	Not Applicable	This Criterion is not applicable, as the Entity does not intend to use the ASI market credits system.
11.3d No re-trading	Not Applicable	This Criterion is not applicable, as the Entity does not intend to use the ASI market credits system.
11.3e No allocation to physical products	Not Applicable	This Criterion is not applicable, as the Entity does not intend to use the ASI market credits system.
11.3f Verify supplier CoC Certification status	Not Applicable	This Criterion is not applicable, as the Entity does not intend to use the ASI market credits system.
11.3g Five years maximum for ASI Credits purchasing	Not Applicable	This Criterion is not applicable, as the Entity does not intend to use the ASI market credits system.

## 12 CLAIMS AND COMMUNICATIONS

12.1a ASI Claims Guide	Conformance	The Entity has defined an internal process to ensure that all marketing and communications for claims or representations about Coc Material are consistent with the relevant ASI Standards and the ASI Claims Guide.
12.1b Verifiable evidence	Conformance	The Entity has defined an internal process to ensure that all marketing and communications for claims or representations about Coc Material are consistent with the relevant ASI Standards and with the ASI Claims Guide.
12.1c Employee training	Conformance	The Entity has trained relevant employees regarding ASI claims and/or representations.

### Document Control and Version History

Revision	Date	Notes
0	24 January 2020	Initial Certification Audit (Full Certification)
1	31 March 2021	Scope Change Audit to include Novelis AG (Switzerland), Gottingen, Nachterstedt Recycling and Nachterstedt Rolling (Germany), as well as applying a multi-site approach that now specifically lists all sites that were previously included under the initial certification scope.
2	5 October 2021	Surveillance Audit and Scope Change – Certification Scope updated to include Koblenz (Germany) and Voerde (Germany) sites; Updated the Audit Scope description for the Scope Change Audit (7 September 2020 – 2 January 2021) to clarify the multi-site approach used for the Sierre, Latchford, Pieve and Bresso sites.
3	4 May 2023	Surveillance Audit
4	20 June 2023	Re-Certification Audit – Full Certification
5	25 February 2024	Surveillance Audit