

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

## Ball Beverage Packaging South America (BPSA)

CERTIFICATE NUMBER

157

ASI STANDARD

CHAIN OF CUSTODY  
STANDARD  
(V2 2022)

CERTIFICATION LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITING FIRM

DNV BUSINESS  
ASSURANCE  
SERVICES UK LTD.

DATE OF ISSUE

31 JULY 2025

DATE OF EXPIRY

30 JULY 2028

CERTIFIED SINCE

8 NOVEMBER 2021

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. H.', followed by a long horizontal line.

Aluminium Stewardship Initiative Ltd  
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*Validity of this Certificate is subject to  
continued conformance with the  
applicable ASI Standard and can be  
verified at*

[www.aluminium-stewardship.org](http://www.aluminium-stewardship.org)

CERTIFICATION SCOPE

Regional managing activities  
conducted at the headquarters in  
Sao Jose dos Campos (Brazil).

Manufacturing of beverage can  
bodies at the Argentina  
(Argentina), Aguas Claras (Brazil),  
Brasilia (Brazil), Chile (Chile),  
Extrema (Brazil), Frutal (Brazil) and,  
Jacarei (Brazil) facilities.

Manufacturing of beverage can  
ends at the Manaus (Brazil) facility.

Manufacturing of beverage can  
bodies and ends at the Paraguay  
Can Bodies and Can Ends  
(Paraguay), Pouso Alegre (Brazil),  
Recife Can Bodies and Can Ends  
(Brazil) and Tres Rios (Brazil)  
facilities.

# AUDIT REPORT

## CHAIN OF CUSTODY

## STANDARD

### OVERVIEW

MEMBER NAME	Ball Corporation
ENTITY NAME	Ball Beverage Packaging South America (BPSA)
CERTIFICATION SCOPE	<p>Regional managing activities conducted at the headquarters in Sao Jose dos Campos (Brazil).</p> <p>Manufacturing of beverage can bodies at the Argentina (Argentina), Aguas Claras (Brazil), Brasilia (Brazil), Chile (Chile), Extrema (Brazil), Frutal (Brazil) and Jacarei (Brazil).</p> <p>Manufacturing of beverage can ends at the Manaus (Brazil) facility.</p> <p>Manufacturing of beverage can bodies and ends at the Paraguay Can Bodies and Can Ends (Paraguay), Pouso Alegre (Brazil), Recife Can Bodies and Can Ends (Brazil) and Tres Rios (Brazil) facilities.</p>
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>Post-Casthouse</li></ul>
ASI STANDARD	Chain of Custody Standard V2
AUDIT TYPE	<ul style="list-style-type: none"><li>Initial Certification Audit (20 July – 13 August 2021)</li><li>Re-Certification Audit and Scope Change (10 – 28 March 2025)</li></ul>
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none"><li>20 July – 13 August 2021 (Initial Certification Audit)</li><li>10 – 28 March 2025 (Re-Certification Audit and Scope Change)</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>14 September 2021 (Initial Certification Audit)</li><li>4 June 2025 (Re-Certification Audit and Scope Change)</li></ul>
AUDIT SCOPE	<p><u>Initial Certification Audit (20 July – 13 August 2021)</u></p> <p>The Audit Scope covers Ball Beverage Packaging South America (BPSA) at headquarters in Sao Jose dos Campos (Brazil) with virtual site tours of Aguas Claras (Brazil), Brasilia (Brazil), Extrema (Brazil) and Recife Can Bodies (Brazil) for beverage can bodies manufacturing and Recife Can Ends (Brazil) for beverage can ends manufacturing.</p> <p>The ASI multi-site sampling approach was undertaken to include the Argentina (Argentina), Chile (Chile), Frutal (Brazil), Jacarei (Brazil), Manaus (Brazil), Paraguay Can Bodies and Can Ends (Paraguay), Pouso Alegre (Brazil), Santa Cruz (Brazil) and Tres Rios (Brazil) facilities.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>Post-Casthouse</li></ul> <p>All applicable criteria in the ASI Chain of Custody Standard were included in the Audit Scope.</p>

At the time of the Audit (July – August 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 ASI Interim Policy regarding Audits, Audit-Related Travel and Coronavirus (v4), and included a remote review of relevant documentation and Webex Video Conferencing to provide a site tour and enable interviews.

Re-Certification Audit and Scope Change (10 – 28 March 2025)

The Audit Scope covers Ball Beverage Packaging South America (BPSA) at headquarters in Sao Jose dos Campos (Brazil) with virtual site tours of Aguas Claras (Brazil), Brasilia (Brazil), Extrema (Brazil) and Recife Can Bodies (Brazil) for beverage can bodies manufacturing and Recife Can Ends (Brazil) for beverage can ends manufacturing.

The ASI multi-site sampling approach was undertaken to include the following locations:

Ball BPSA Headquarters (ER SJCampos), Manaus, Tres Rios, Jacarei, Chile and Paraguay (Can Bodies and Can Ends).

The 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.

AUDIT OUTCOME	Certification
AUDIT METHODOLOGY DECLARATION	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"><li>• The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this Report.</li><li>• The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.</li><li>• The Audit Scope and Audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope.</li><li>• The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.</li></ul>
CERTIFICATION PERIOD	24 June 2025 – 23 June 2028
NEXT AUDIT TYPE	Re-Certification Audit
NEXT AUDIT DUE DATE	23 June 2028
CERTIFICATE NUMBER	157



If you have an inquiry or complaint about this Certification, go to the third-party EthicsPoint portal at: <https://aluminium-stewardship.ethicspoint.com/>

EthicsPoint is a comprehensive and confidential reporting tool that enables complaints to be securely raised, managed and responded to. This enables anonymity to be maintained where desired by complainants, or as relevant to whistleblowing situations.

Information is available in five languages – English, French, Chinese, German and Portuguese (Brazil). Translation services provided by EthicsPoint enable complaints and correspondence to be managed in multiple languages.

## ENTITY OVERVIEW

Ball Beverage Packaging South America (BPSA) (the 'Entity') is a division of Ball Corporation, a global packaging company for the production of Aluminium beverage cans. Ball Corporation is one of the largest packaging suppliers in the world and operates in several areas, including food and beverage packaging, as well as aerospace solutions. The Entity is responsible for operations in South America, offering sustainable packaging solutions for the beverage market in the region.

Ball began to establish its operations in South America during the 1990s, when the beverage market in the region began to expand considerably. In 2007, Ball created the Entity, with the aim of meeting the growing demand for Aluminium beverage packaging in the region and now offers a wide range of Aluminium packaging to meet the needs of beverage manufacturers. Its main products include:

- Aluminium cans for carbonated beverages (soft drinks and beer) in various sizes;
- Aluminium cans for juices and non-carbonated beverages;
- Water and non-carbonated beverages, including energy drinks and sports drinks;
- Custom Aluminium Cans providing exclusive designs for customers looking to differentiate their products in the market. This includes cans with themed or promotional designs, meeting specific marketing demands.

## MATURITY RATINGS

A rating of maturity (low, medium or high) determined by the Auditor that provides a general assessment in terms of Systems, Residual Risk and Performance.

Maturity ratings are not a direct assessment of conformance to the Standard.

OVERALL	
SYSTEMS	High
RISKS	High
PERFORMANCE	High
OVERALL	HIGH

## FINDINGS

CRITERION	RATING	COMMENT
<b>1. MANAGEMENT SYSTEM AND RESPONSIBILITIES</b>		
1.1 ASI Membership	Conformance	<p>The Entity is registered as an ASI Member, under the control of Ball Corporation, and an ASI Member since 2015 in the Production and Transformation Class. Ball Corporation, as well as Ball Corporation BSA, is committed to complying with all obligations to ASI membership and the ASI Grievance Mechanism.</p> <p>For more information refer to: <a href="https://aluminium-stewardship.org/about-asi/asi-members/ball-corporation">https://aluminium-stewardship.org/about-asi/asi-members/ball-corporation</a></p>
1.2 CoC Management System	Conformance	The Entity has developed an ASI Manual and established a Management System that meets all applicable requirements of the ASI Chain of Custody Standard and applies to all Facilities under the Entity's Control that have custody of Chain of Custody (CoC) Material.
1.3 CoC Management System Monitoring	Conformance	The Entity has established an ASI Chain of Custody Management System, including a documented ASI Manual that applies to all the Entity's Facilities. This is to ensure that the Management System remains valid, and to consider changes in the Entity's procedures, the market, the ASI Chain of Custody Standard Guidelines and other changes.
1.4 Management Representative	Conformance	The Entity has appointed the Vice President of Procurement - Ball Corporation BSA as the Management Representative who holds responsibility and authority for conformance with all requirements of the ASI Chain of Custody Standard applicable to the Entity. With the full support from the Sustainability team, the Lean/IMS and ASI Change Management teams, as well as specific ASI Representatives at each of the Entity's Facilities and BSA Internal Auditors to ensure conformance with the Standard and implementation of processes.
1.5 Communications and 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. Adequate provision of training was demonstrated during the Audit.
1.6 Records Management	Conformance	The Entity's CoC Management Manual and the Documented Information Control Procedure have defined its methods of maintaining up-to-date records covering all applicable requirements of the ASI Chain of Custody Standard. CoC records are retained for five years.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity provided data on Quantities of Inputs and Outputs / Products to the ASI Secretariat on June 28, 2024, relating to the calendar year 2023.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	The Entity has established a procedure that defines how to report information, including Inputs and Outputs of Eligible Scrap.

CRITERION	RATING	COMMENT
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity has established a procedure that defines how to report information, including Inflows and Outflows of Non-CoC Material.
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity has established a procedure that defines how to report information, including the Positive Balance carried over.
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity has established a procedure that defines how to report information, including the Positive Balance used.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity has established a procedure that defines how to report information, including the Internal Overdraw drawn down.
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	The Entity has established a procedure that defines how to report information, including Intra-Entity Flows.

## 2. OUTSOURCING CONTRACTORS

2.1 Certification Scope	Not Applicable	This Criterion is not applicable to the Entity as it does not use Outsourcing Contractors for CoC Material.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	This Criterion is not applicable to the Entity as it does not use Outsourcing Contractors for CoC Material.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	This Criterion is not applicable to the Entity as it does not use Outsourcing Contractors for CoC Material.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	This Criterion is not applicable to the Entity as it does not use Outsourcing Contractors for CoC Material.
2.3 Information on Quantity of CoC Material Output and Returned	Not Applicable	This Criterion is not applicable to the Entity as it does not use Outsourcing Contractors for CoC Material.
2.4 Consistency in Inflow and Outflow Quantity of CoC Material to/from Outsourcing Contractor	Not Applicable	This Criterion is not applicable to the Entity as it does not use Outsourcing Contractors for CoC Material.
2.5 Error (Outsourcing Contractor)	Not Applicable	This Criterion is not applicable to the Entity as it does not use Outsourcing Contractors for CoC Material.

## 3. PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI ALUMINIUM

3.1a ASI Bauxite (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
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CRITERION	RATING	COMMENT
3.1b ASI Bauxite (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.1c ASI Bauxite (Bauxite sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2a ASI Alumina (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2b ASI Alumina (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2c ASI Alumina (Bauxite sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3a ASI Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3b ASI Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3c ASI Aluminium (Alumina sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

#### 4. RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP

4.1a Recycled Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.1b Recycled Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2a Eligible Scrap (Pre-Consumer)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2b Eligible Scrap (Post-Consumer)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2c Eligible Scrap (Dross)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

#### 5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM

CRITERION	RATING	COMMENT
5.1a ASI Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope
5.1b ASI Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope
5.1c ASI Aluminium (Aluminium sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope
5.2 Unique Identification	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope

#### 6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM

6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	All the Entity's operating plants are part of the Entity's CoC Certification Scope, with all plants able to receive and produce ASI Aluminium, as established by the ASI Chain of Custody Standard.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	All the Entity's operating plants are part of the Entity's CoC Certification Scope, with all plants able to receive and produce ASI Aluminium, as established by the ASI Chain of Custody Standard. The Entity is working to certify its entire supply chain to ASI Performance and Chain of Custody Standards so it can purchase all Aluminium from ASI Certified sources.
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	All the Entity's operating plants are part of the Entity's CoC Certification Scope, with all plants able to receive and produce ASI Aluminium, as established by the ASI Chain of Custody Standard.

#### 7. DUE DILIGENCE FOR NON-COC MATERIAL, COC MATERIAL ACQUIRED THROUGH A TRADER AND RECYCLABLE SCRAP MATERIAL

7.1a Responsible Sourcing Policy (Anti-corruption)	Conformance	The Entity has implemented and communicated a Responsible Purchasing Policy and a Global Supplier Code of Conduct, which addresses environmental, social, governance and Anti-Corruption issues. Refer to: <a href="https://www.ball.com/getattachment/c71c8ea6-cd20-407d-b4c2-9a788ee19aeb/Supplier-Code-of-Conduct_Final_Nov2022.pdf">https://www.ball.com/getattachment/c71c8ea6-cd20-407d-b4c2-9a788ee19aeb/Supplier-Code-of-Conduct_Final_Nov2022.pdf</a>
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has implemented and communicated a Responsible Purchasing Policy and a Global Supplier Code of Conduct, which addresses environmental, social, governance and Anti-Corruption issues. Refer to: <a href="https://www.ball.com/getattachment/c71c8ea6-cd20-407d-b4c2-9a788ee19aeb/Supplier-Code-of-Conduct_Final_Nov2022.pdf">https://www.ball.com/getattachment/c71c8ea6-cd20-407d-b4c2-9a788ee19aeb/Supplier-Code-of-Conduct_Final_Nov2022.pdf</a>  Responsible Sourcing: <a href="https://www.ball.com/sustainability/product-stewardship/responsible-sourcing">https://www.ball.com/sustainability/product-stewardship/responsible-sourcing</a>  Supplier Guiding Principles: <a href="https://www.ball.com/getattachment/92088cce-5835-4cf6-ae0-4e8504d32f42/Supplier-Guiding-Principles-and-other-exhibits.pdf?lang=en-00">https://www.ball.com/getattachment/92088cce-5835-4cf6-ae0-4e8504d32f42/Supplier-Guiding-Principles-and-other-exhibits.pdf?lang=en-00</a>



CRITERION	RATING	COMMENT
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	<p>The Entity conducts Human Rights Due Diligence on suppliers of raw materials, using its influence to prevent displacements and Human Rights abuses. If it is determined that the direct suppliers are violating Human Rights, or if any of their related parties are involved in these behaviours, the Entity will stop working with them.</p> <p>The Entity has adopted and communicated to suppliers of Non-CoC Material and Recyclable Scrap Material a Responsible Sourcing Policy that addresses Human Rights Due Diligence requirements.</p> <p>Global Supplier Code of Conduct:  <a href="https://www.ball.com/getattachment/c71c8ea6-cd20-407d-b4c2-9a788ee19aeb/Supplier-Code-of-Conduct_Final_Nov2022.pdf">https://www.ball.com/getattachment/c71c8ea6-cd20-407d-b4c2-9a788ee19aeb/Supplier-Code-of-Conduct_Final_Nov2022.pdf</a></p> <p>Responsible Sourcing:  <a href="https://www.ball.com/sustainability/product-stewardship/responsible-sourcing">https://www.ball.com/sustainability/product-stewardship/responsible-sourcing</a></p> <p>Supplier Guiding Principles:  <a href="https://www.ball.com/getattachment/92088cce-5835-4cf6-ae0-4e8504d32f42/Supplier-Guiding-Principles-and-other-exhibits.pdf?lang=en-00">https://www.ball.com/getattachment/92088cce-5835-4cf6-ae0-4e8504d32f42/Supplier-Guiding-Principles-and-other-exhibits.pdf?lang=en-00</a></p>
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	<p>The Entity has implemented a Conflict Minerals Policy, which aims to avoid the use of conflict minerals in the manufacture of its Products. Refer to the 2023 Conflict Minerals Report:  <a href="https://www.ball.com/getattachment/c5d0df82-72ac-4227-bc58-0eda9964631b/Ball_2023_Conflict_Minerals_Report.pdf">https://www.ball.com/getattachment/c5d0df82-72ac-4227-bc58-0eda9964631b/Ball_2023_Conflict_Minerals_Report.pdf</a></p> <p>The Entity is committed to complying with its reporting obligations under Applicable Law. Accordingly, the Entity has implemented Due Diligence measures for tracing and sourcing conflict minerals in its Products designed in compliance with the Due Diligence steps as outlined in the Organization for Economic Co-operation and Development (OECD) Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas (CAHRAs).</p>
7.2 Risk Assessment and Mitigation	Conformance	<p>The Entity has demonstrated that suppliers are Certified to the ASI Performance Standard. In case of a Force Majeure situation in which the Entity needs to source from an Aluminium supplier that is not an approved supplier, the Entity reviews whether the supplier is an ASI Certified Entity and if not, the supplier will be requested to complete a self-assessment questionnaire and confirm their measures regarding anti-Corruption, responsible sourcing, Human Rights and conflict minerals, documenting the conclusions and mitigations of measurable risks where the risks of adverse impacts are identified.</p>
7.3 Complaints Resolution Mechanism	Conformance	<p>The Entity has defined a Grievance Mechanism appropriate to the nature, scale, and impact of its operations, that allows Stakeholders to express concerns about non-compliance with its Responsible Sourcing Policy in the Aluminium supply chain:</p> <p>Business Ethics Code of Conduct (page 35):  <a href="https://www.ball.com/getmedia/36abea1a-7490-400a-9f59-7478b544e41b/BallCorporation_2020_Update_1.pdf">https://www.ball.com/getmedia/36abea1a-7490-400a-9f59-7478b544e41b/BallCorporation_2020_Update_1.pdf</a></p> <p>Ethics Point/Compliance Alliance website:  <a href="https://www.ethicspoint.com">https://www.ethicspoint.com</a></p>

CRITERION	RATING	COMMENT
		Compliance Alliance Hotline: <a href="https://app.convercent.com/en-us/Anonymous/IssueIntake/LandingPage/ea2d5425-6f27-e611-80c8-000d3ab06827">https://app.convercent.com/en-us/Anonymous/IssueIntake/LandingPage/ea2d5425-6f27-e611-80c8-000d3ab06827</a>
<b>8. MATERIAL ACCOUNTING SYSTEM: CoC MATERIAL AND ASI ALUMINIUM</b>		
8.1 Material Accounting System	Conformance	The Entity has established and implemented processes to include a Material Accounting System that safeguards the integrity of CoC Material and Eligible Scrap Mass Balance within the Certification Scope.
8.2 Material Accounting Period	Conformance	The Entity has defined in its ASI Manual that the Material Accounting System must specify a Material Accounting Period of 12 months.
8.3 Input and Inflow Quantities	Conformance	The Entity has established a spreadsheet programmed to record and follow up on Input and Output Quantities of both CoC and Non-CoC Materials, as well as Eligible Scrap over the Material Accounting Period as defined in the ASI CoC Management System.
8.4 Output Quantities of CoC Material	Conformance	The Entity's process requires that over the given Material Accounting Period, the Input Quantities for each CoC Material are used to determine the available Quantities of CoC Material for Output, proportional to total Inflows of CoC and Non-CoC Materials, by mass.
8.5 Indivisibility of CoC Material	Conformance	The Entity has established a Mass Balance System for CoC Material, including an ASI Aluminium Management Procedure to define the Output Quantity of CoC Material, which may be a subset of total production and shall be designated as 100% CoC Material.
8.6 Output Quantity of Eligible Scrap	Conformance	<p>The Entity has established a documented spreadsheet programmed to record and follow up on Input and Output Quantities of both CoC and Non-CoC Materials, as well as Eligible Scrap over the Material Accounting Period defined in the ASI CoC Management System.</p> <p>The Mass Balance System is programmed to calculate the available Quantities of Output CoC Material by recording the Input and Output Quantities of CoC Material during the Material Accounting Period and corresponding percentages of total mass.</p>
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity has determined a method to calculate and record the total Input Percentage of CoC Material for the 12 month accounting period, ensuring that the total production of CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage of CoC Material and/or Eligible Scrap during the Material Accounting Period.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity has determined a method to calculate and record the total Input Percentage of CoC Material for the 12 month accounting period, ensuring that the total production of CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage of CoC Material and/or Eligible Scrap during the Material Accounting Period.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity has determined a method to calculate and record the total Input Percentage of CoC Material for the 12 month accounting period, ensuring that the total production of CoC Material and/or Eligible

CRITERION	RATING	COMMENT
		<p>Scrap does not proportionally exceed the Input Percentage of CoC Material and/or Eligible Scrap during the Material Accounting Period.</p> <p>In the case of Force Majeure, the Entity has determined that the Internal Overdraw must not exceed the amount of CoC Material affected by the Force Majeure situation.</p>
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Entity has determined a method to calculate and record the total Input Percentage of CoC Material for the 12 month accounting period, ensuring that the total production of CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage of CoC Material and/or Eligible Scrap during the Material Accounting Period. In the case of Force Majeure, the Entity has determined that the Internal Overdraw shall be made up during the subsequent Material Accounting Period.
8.9a Positive Balance (Carry over)	Conformance	The Entity has established a Mass Balance System for CoC Material, including an ASI Aluminium Management Procedure that defines the Positive Balance of Output CoC Material at the end of a Material Accounting Period may be carried out over to the subsequent Material Accounting Period. The Procedure also specifies that the Entity's Material Accounting System must clearly identify any carry over of a Positive Balance.
8.9b Positive Balance (Expiry)	Conformance	The Entity has established a Mass Balance System programmed to record and properly identify Positive Balances that are carried over from the previous accounting period and/or that will be carried over to the next accounting period. The system is also programmed to ensure the Positive Balance is only carried over to the next accounting period.
9. ISSUING COC DOCUMENTS		
9.1 CoC Document	Conformance	The Entity has defined the CoC Document that will be sent in all shipments of CoC Material, considering that the Aluminium cans are accompanied by invoices / delivery notes, which contain information about the shipment, issuing company, recipient, product type, net shipping weight, date and reference number. Ends and Scrap may also be accompanied by those invoices / guides and will be reported separately in the CoC Document.
9.2a CoC Document Content (Date of issue)	Conformance	The information contained in the CoC Document is defined in the Entity's ASI Manual, which includes the date of issue.
9.2b CoC Document Content (Reference number)	Conformance	The information contained in the CoC Document is defined in the Entity's ASI Manual, which includes the reference number for the CoC Document, which is linked to the Entity's Material Accounting System for verification purposes.
9.2c CoC Document Content (Issuing Entity)	Conformance	The information contained in the CoC Document is defined in the Entity's ASI Manual, which includes the identity, address and CoC Certification number of the Entity issuing the CoC Document.
9.2d CoC Document Content (Receiving customer)	Conformance	The information contained in the CoC Document is defined in the Entity's ASI Manual, which includes the identity and address of the

CRITERION	RATING	COMMENT
		customer receiving the CoC Material, and, if it is another CoC Certified Entity, their CoC Certification number.
9.2e CoC Document Content (Responsible employee)	Conformance	The information contained in the CoC Document is defined in the Entity's ASI Manual, which includes the responsible employee of the Entity who can verify information in the CoC Document.
9.2f CoC Document Content (Conformance statement)	Conformance	The information in the CoC Document is defined in the Entity's ASI Manual, which includes a statement confirming that "The information provided in the CoC Document is in Conformance with the ASI CoC Standard".
9.2g CoC Document Content (Type of CoC Material)	Conformance	The information in the CoC Document is defined in the Entity's ASI Manual, including the type of CoC Material in the shipment.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The information in the CoC Document is defined in the Entity's ASI Manual, including the mass of CoC Material in the shipment.
9.2i CoC Document Content (Mass of total material)	Conformance	The information in the CoC Document is defined in the Entity's ASI Manual, including the total mass of material in the shipment.
9.3a Sustainability Data (optional) – Carbon footprint	Not Applicable	This Criterion is not applicable to the Entity, as it does not intend to provide Sustainability Data in the CoC Document. These data will only be made available when requested and agreed upon with the receiving Entity.
9.3b Sustainability Data (optional) – Origin information	Not Applicable	This Criterion is not applicable to the Entity, as it does not intend to provide Sustainability Data in the CoC Document. These data will only be made available when requested and agreed upon with the receiving Entity.
9.3c Sustainability Data (optional) – Recycled content	Not Applicable	This Criterion is not applicable to the Entity, as it does not intend to provide Sustainability Data in the CoC Document. These data will only be made available when requested and agreed upon with the receiving Entity.
9.3d Sustainability Data (optional) – Post-Casthouse ASI Certification status	Not Applicable	This Criterion is not applicable to the Entity, as it does not intend to provide Sustainability Data in the CoC Document. These data will only be made available when requested and agreed upon with the receiving Entity.
9.4 Supplementary Information (optional) – Objective evidence	Not Applicable	This Criterion is not applicable to the Entity, as it does not intend to provide Sustainability Data in the CoC Document. These data will only be made available when requested and agreed upon with the receiving Entity.
9.5 Verification of Information	Conformance	The Entity has established a response mechanism to manage reasonable requests from external interested parties. The Entity has designated one responsible employee to issue CoC Documents and to respond to reasonable requests for verification of information in CoC Documents issued.

CRITERION	RATING	COMMENT
9.6 Error (Shipping)	Conformance	The Entity has established a procedure defining the disposal process (returns, retaining of shipment etc.) for any error discovered after the shipment of CoC Material. Any errors identified by the Entity are promptly reported to the receiving business and remedied by both parties agreeing on the steps to correct them.

## 10. RECEIVING CoC DOCUMENTS

10.1 Verification of CoC Documents	Conformance	The Entity has defined the information that warehouse employees must verify has been included in the CoC Documents received.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity has defined a process for warehouse employees to confirm that the quantity of CoC Material stated on received CoC Documents matches what is being physically unloaded before recording the information in the Material Accounting System.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has defined a process to verify the validity of the ASI CoC Certification of its suppliers and customers. This process will be undertaken at least annually, and the Certified Entities will be registered on the appropriate control form.
10.4 Error (Reception)	Conformance	The Entity has defined a method for correcting errors identified upon receipt of CoC Material. The Entity's sites each have procedures in place to implement corrective actions.

## 11. CLAIMS AND COMMUNICATIONS

11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity has defined a method for making claims or using the ASI logo that is consistent with the ASI Claims Guide.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity has defined a method for making claims or using the ASI logo that is consistent with the ASI Claims Guide, and that verifiable evidence exists to support the claims.
11.1c Claims and Communications (Employee training)	Conformance	The Entity has defined a method for making claims or using the ASI logo that is consistent with the ASI Claims Guide, and that appropriate training is provided for relevant employees to understand and communicate any claims correctly.

### ASI LIMITATION OF LIABILITY DISCLAIMER

Organisations that make ASI-related claims are each responsible for their own compliance with Applicable Law, including laws and regulations related to labelling, advertisement, and consumer protection, and competition or antitrust laws, at all times. ASI does not accept liability for any violations of Applicable Law or any infringement of third-party rights (each a Breach) by other organisations, even where such Breach arises in relation to, or in reliance upon, any ASI Standard, document or other material, recommendation or directive issued by or on behalf of ASI. ASI gives no undertaking, representation or warranty that compliance with an ASI Standard, document or other material, recommendation or directive issued by or on behalf of ASI will result in compliance with any Applicable law, or will avoid any Breach from occurring.

DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	8 November 2021	Initial Certification Audit – Full Certification
1	31 July 2025	Re-Certification Audit and Scope Change – Full Certification Scope Change to apply ASI Chain of Custody V2 Removal of Santa Cruz (Brazil) from Certification Scope. Extension of expiration date of previous Certification approved by ASI.

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