

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

Ball Beverage Packaging North & Central America

CERTIFICATE NUMBER

180

ASI STANDARD

CHAIN OF CUSTODY
STANDARD
(V2 2022)

DATE OF ISSUE

9 MARCH 2025

CERTIFICATION LEVEL

FULL
CERTIFICATION

DATE OF EXPIRY

8 MARCH 2028

ASI ACCREDITED
AUDITING FIRM

BUREAU VERITAS
CERTIFICATION

CERTIFIED SINCE

9 MARCH 2022

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. Hall'.

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

CERTIFICATION SCOPE

Management activities for centralised operational functions, global support functions, quality assurance and graphics at the regional headquarters in Westminster (CO), in the United States of America.

Manufacturing of Beverage Can Bodies at facilities in the United States including Fairfield, (CA); Fort Atkinson (WI); Fort Worth (TX); Glendale (AZ); Goodyear (AZ); Kapolei (HI); Monticello (IN); Pittston (PA); Rome (GA); Saratoga Springs (NY); Tampa (FL); Winter Haven (FL) and Williamsburg (VA); and Whitby in Canada; and Queretaro in Mexico.

Manufacturing of Beverage Can Ends at: Bowling Green (KY), United States.

Manufacturing of Beverage Can Bodies and Can Ends at: Findlay (OH), United States and Monterrey, Mexico.

Manufacturing of Beverage Can Bodies and Alumi-Tek Bottles at: Conroe (TX), United States.

Manufacturing of Beverage Can Bodies, Can Ends and Alumi-Tek Bottles at: Golden (CO) and the BTIC (Technology and Innovation Centre) (CO), United States.

AUDIT REPORT

CHAIN OF CUSTODY

STANDARD

OVERVIEW

MEMBER NAME	Ball Corporation
ENTITY NAME	Ball Beverage Packaging North & Central America
CERTIFICATION SCOPE	Management activities for centralised operational functions, global support functions, quality assurance and graphics at the regional headquarters in Westminster (CO), in the United States of America. Manufacturing of Beverage Can Bodies at facilities in the United States including Fairfield, (CA); Fort Atkinson (WI); Fort Worth (TX); Glendale (AZ); Goodyear (AZ); Kapolei (HI); Monticello (IN); Pittston (PA); Rome (GA); Saratoga Springs (NY); Tampa (FL); Winter Haven (FL) and Williamsburg (VA); and Whitby in Canada; and Queretaro in Mexico. Manufacturing of Beverage Can Ends at: Bowling Green (KY), United States. Manufacturing of Beverage Can Bodies and Can Ends at: Findlay (OH), United States and Monterrey, Mexico. Manufacturing of Beverage Can Bodies and Alumi-Tek Bottles at: Conroe (TX), United States. Manufacturing of Beverage Can Bodies, Can Ends and Alumi-Tek Bottles at: Golden (CO) and the BTIC (Technology and Innovation Centre) (CO), United States.
SUPPLY CHAIN ACTIVITIES	• Post-Casthouse
ASI STANDARD	Chain of Custody Standard V2
AUDIT TYPE	• Initial Certification Audit (14 June – 16 December 2021) • Surveillance Audit and Scope Change (7 May – 17 September 2024) • Re-Certification Audit and Scope Change (7 April – 20 June 2025)
AUDIT FIRM	Bureau Veritas Certification
AUDIT DATE	• 14 June – 14 December 2021 (Initial Certification Audit) • 7 May – 17 September 2024 (Surveillance Audit and Scope Change) • 7 April – 20 June 2025 (Re-Certification Audit and Scope Change)
AUDIT REPORT SUBMISSION	• 19 January 2022 (Initial Certification Audit) • 3 January 2025 (Surveillance Audit and Scope Change) • 7 April – 20 June 2025 (Re-Certification Audit and Scope Change)
AUDIT SCOPE	<u>Initial Certification Audit (14 June – 14 December 2021)</u> The Audit Scope covers Ball Beverage Packaging North and Central America at headquarters (Beverage Packaging Office Centre), Colorado (USA); manufacturing of Beverage Can Bodies at Fort Atkinson (USA), Goodyear (USA) and Queretaro

(Mexico) facilities; and manufacturing of Beverage Can Bodies and Ends at Monterrey (Mexico) and BTIC (Beverage Technology and Innovation Center) (USA).

The ASI multi-site sampling approach was undertaken to include facilities in the United States including Fairfield, Fort Worth, Glendale, Golden, Kapolei, Kent, Monticello, Phoenix, Pittston, Rome, Saratoga Springs, St. Paul, Tampa, Walkkill, Williamsburg, Bowling Green, Findlay, Conroe and Golden (USA) and Whitby in Canada.

Supply chain activities included in the Audit Scope:

- Material Conversion (Production and Transformation)

All relevant Criteria in the ASI Chain of Custody Standard were included in the Audit Scope.

Surveillance Audit and Scope Change (7 May – 17 September 2024)

The Audit Scope covered the Ball Packaging North and Central America headquarters (Beverage Packaging Office Centre), Colorado (USA); manufacturing of Beverage Can Bodies at Goodyear (USA) and Rome (USA); and manufacturing of Beverage Can Bodies, Can Ends and Alumi-Tek Bottles at Golden (USA).

The ASI multi-site sampling approach was undertaken to include Bowling Green, Conroe, Fairfield, Findlay, Fort Atkinson, Fort Worth, Glendale, Kapolei, Monticello, Pittston, Rome, Saratoga Springs, and Williamsburg (USA); Monterrey and Queretaro (Mexico); and Whitby (Canada).

Supply chain activities included in the Audit Scope:

- Material Conversion (Production and Transformation)

Criteria in the ASI Chain of Custody Standard that were rated as Not Applicable in the previous Audit were not included in the Audit Scope, with all remaining Criteria included in the Audit Scope.

Re-Certification Audit and Scope Change (7 April – 20 June 2025)

The Audit Scope included Ball Packaging North & Central America (BPNCA) at headquarters (Beverage Packaging Office Centre), Colorado (USA); manufacturing of Beverage Can Ends at Bowling Green (USA); and manufacturing of Beverage Can Bodies at Goodyear (USA), Fairfield (USA), Tampa (USA) and Pittston (USA).

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	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	9 March 2025 – 8 March 2028
NEXT AUDIT TYPE	Surveillance Audit

NEXT AUDIT DUE DATE	8 September 2026
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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 North & Central America (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 industry sectors, including food and beverage packaging, as well as aerospace solutions. Ball Corporation produces billions of Aluminium packaging products annually and employs more than 16,000 people worldwide. The Entity is responsible for operations in North and Central America which consists of manufacturing Facilities across the region and a central Packaging Office Centre (POC) in Colorado where a majority of the business-support functions reside

The Entity produces two-piece Aluminium food safe beverage containers. Coils of Aluminium are converted through a multi-stage process into bottles, cans and/or ends. The products are cleaned and dried, decorated if applicable, and coated. Die-neckers then squeeze the can opening down and the flagger rolls back the top edge so an end can be applied after filling. Final products are then inspected for structural and visual defects, after which they are palletised and stored for subsequent sale and shipment to a customers' filling operation.

Sustainability is one of Ball Corporation's top priorities as customers and consumers increasingly seek low-carbon products and packaging that enable a circular economy. Ball Corporation continues to invest in research and development, product design, and circularity initiatives around the world to ensure its products create value for their stakeholders while minimising environmental and social impacts.

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
1. MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI Membership	Conformance	The Entity has been an ASI Member since its inception. Information on The Entity's ASI membership is available at: https://aluminium-stewardship.org/about-asi/members/Ball-Corporation
1.2 CoC Management System	Conformance	The Entity's Management Systems specific to ASI, Quality, and Environment, Health and Safety (EHS) are outlined in the Entity's 'Operational Excellence' program, which has been implemented in all locations. Each EHS aspect has a dedicated Manual that outlines the requirements for each element of the ASI Performance Standard and Chain of Custody Standard.
1.3 CoC Management System Monitoring	Conformance	The Entity conducts regular management review meetings at the site level which addresses elements specific to the ASI Performance Standard and Chain of Custody Standard. In addition, a Corporate-level management review is completed annually.
1.4 Management Representative	Conformance	The Entity's Vice President of Operations is responsible and accountable for ensuring that the ASI Management System achieves its intended outcomes.
1.5 Communications and Training	Conformance	The Entity has delivered training specific to the ASI Chain of Custody Standard to all relevant personnel.
1.6 Records Management	Conformance	Records are kept for activities related to monitoring and verifying incoming raw materials, outgoing Product shipments, and any Aluminium Scrap generated through the manufacturing process. Records are maintained at the Corporate and/or Facility-level. All records relevant to all applicable requirements of the ASI Chain of Custody Standard are maintained for a minimum of five years as outlined in the Entity's Document Retention Policy.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity maintains records to monitor and verify incoming raw materials, outgoing product shipments, and any Aluminium Scrap generated through the manufacturing process. Records are maintained at the Corporate and/or Facility-level as necessary. The Entity tracks relevant quantities monthly and reports these quantities to the ASI Secretariat annually.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	The Entity's 'ASI Inbound Metal vs. Eligible Scrap Tracking' report is updated monthly and notes the volume of Scrap Eligible as CoC Material. The Entity reports these quantities to the ASI Secretariat annually.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity tracks the Inflow and Outflow Quantities of Non-CoC Material on a monthly basis and reports these quantities to the ASI Secretariat annually.
1.7d Reporting to ASI (Positive Balance carried	Conformance	The Entity's 'ASI Inbound Metal vs. Eligible Scrap Tracking' report is updated monthly, and any Positive Balance is recorded and reported

CRITERION	RATING	COMMENT
over)		to the ASI Secretariat annually.
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity tracks any Positive Balance that could be carried over to the subsequent year and reports the quantity to the ASI Secretariat annually.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity's 'ASI Inbound Metal vs. Eligible Scrap Tracking' report is updated monthly, and any Internal Overdraw is recorded and reported to the ASI Secretariat annually.
1.7g Reporting to ASI (Intra-Entity Flows)	Not Applicable	This Criterion is not applicable to the Entity, as the Entity does not transfer CoC material between supply chain activities.
2. OUTSOURCING CONTRACTORS		
2.1 Certification Scope	Not Applicable	This Criterion is not applicable to the Entity, as the Entity does not utilise Outsourcing Contractors that receive CoC Material for the purposes of further processing, treatment or manufacturing.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	This Criterion is not applicable to the Entity, as the Entity does not utilise Outsourcing Contractors that receive CoC Material for the purposes of further processing, treatment or manufacturing.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	This Criterion is not applicable to the Entity, as the Entity does not utilise Outsourcing Contractors that receive Custody of CoC Material for the purposes of further processing, treatment or manufacturing.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	This Criterion is not applicable to the Entity, as the Entity does not utilise Outsourcing Contractors that receive CoC Material for the purposes of further processing, treatment or manufacturing.
2.3 Information on Quantity of CoC Material Output and Returned	Not Applicable	This Criterion is not applicable to the Entity, as the Entity does not utilise Outsourcing Contractors that receive CoC Material for the purposes of further processing, treatment or manufacturing.
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 the Entity does not utilise Outsourcing Contractors that receive CoC Material for the purposes of further processing, treatment or manufacturing.
2.5 Error (Outsourcing Contractor)	Not Applicable	This Criterion is not applicable to the Entity, as the Entity does not utilise Outsourcing Contractors that take receive CoC Material for the purposes of further processing, treatment or manufacturing.
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.
3.1b ASI Bauxite (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.1c ASI Bauxite (Bauxite	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
sourcing)		
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.
3.3b 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.
3.3a ASI Aluminium (CoC Certification Scope)	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		
5.1a ASI Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.1b ASI Aluminium	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
(Performance Standard)		
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	The Entity has defined its CoC Certification Scope to include all facilities in North and Central America and only produces CoC Material from Facilities within its Certification Scope.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity has identified all Beverage Can and Ends plants that produce CoC Material within its ASI Performance Standard Certification Scope.
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	The Entity sources all ASI Aluminium directly from ASI CoC Certified Entities. The procurement team maintains verification evidence of CoC Materials received from suppliers.
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 established its Supplier Guiding Principles that outline the required business conduct standards for all its suppliers including employment practices, Human Rights, environment, Health and Safety, anti-trust compliance, Bribery and anti-Corruption. The Supplier Guiding Principles and related documents are available at: https://www.ball.com/our-company/supplier-resources/supplier-sustainability and https://www.ball.com/our-company/supplier-resources/ethics-compliance
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has established its Supplier Guiding Principles that outline the business conduct standards for all suppliers, including employment practices, Human Rights, environment, Health and Safety, anti-trust compliance, Bribery and anti-Corruption. The Supplier Guiding Principles and related documents are available at: https://www.ball.com/our-company/supplier-resources/supplier-sustainability and https://www.ball.com/our-company/supplier-resources/ethics-compliance
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	The Entity has established Supplier Guiding Principles that outline the business conduct standards for all its suppliers including employment practices, Human Rights, environment, Health and Safety, antitrust, Bribery and Anti-Corruption. The Supplier Guiding Principles and related documents are available at: https://www.ball.com/our-company/supplier-resources/supplier-sustainability and https://www.ball.com/our-company/supplier-resources/ethics-compliance

CRITERION	RATING	COMMENT
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has implemented a Conflict Minerals Policy and has published a Conflict Minerals Report, which addresses Conflict-Affected and High-Risk Areas (CAHRAs) and the Entity's expectations for suppliers, available at: https://www.ball.com/our-company/supplier-resources/ethics-compliance
7.2 Risk Assessment and Mitigation	Conformance	The Entity has completed a risk assessment of all key suppliers and developed a supplier audit plan based on the outcome of the risk assessment. All metal suppliers were included in the risk assessment.
7.3 Complaints Resolution Mechanism	Conformance	The Entity's Global Business Ethics Code of Conduct, published on the Ball website, lists multiple ways to submit a complaint via compliance hotlines, including country-specific phone numbers. The Entity's employees, suppliers, and any other external Stakeholders can access the hotlines. The Entity's 'Compliance Hotline' is available at: www.ballcompliancehotline.com

8. MATERIAL ACCOUNTING SYSTEM: COC MATERIAL AND ASI ALUMINIUM

8.1 Material Accounting System	Conformance	The Entity has established a Material Accounting System (using the JD Edwards or 'JDE' suite) specific to CoC Material and based on the calendar year that records (by mass) the Input Quantity of CoC Material, Input Quantity of Non-CoC Material, Output Quantity of CoC Material (in product shipments) and Output Quantity of Non-CoC Material (Scrap returned to metal suppliers).
8.2 Material Accounting Period	Conformance	The Entity has established a Material Accounting System specific to CoC Material that is based on the calendar year.
8.3 Input and Inflow Quantities	Conformance	The Entity has established a Material Accounting System (using the JD Edwards or 'JDE' suite) specific to CoC Material and based on the calendar year that records (by mass) the Input Quantity of CoC Material, Input Quantity of Non-CoC Material, Output Quantity of CoC Material (in product shipments) and Output Quantity of Non-CoC Material (Scrap returned to metal suppliers).
8.4 Output Quantities of CoC Material	Conformance	The Entity has established a Material Accounting System (using the JD Edwards or 'JDE' suite) specific to CoC Material and based on the calendar year that records (by mass) the Input Quantity of CoC Material, Input Quantity of Non-CoC Material, Output Quantity of CoC Material (in product shipments) and Output Quantity of Non-CoC Material (Scrap returned to metal suppliers).
8.5 Indivisibility of CoC Material	Conformance	The Entity has established procedures to ensure the Output Quantity of CoC Material as a subset of production is designated as 100% CoC Material.
8.6 Output Quantity of Eligible Scrap	Conformance	The Entity currently tracks and calculates Scrap rates from all its lines based on online efficiencies and spoilage targets, considering the amount of metal not used from the coil and any production Scrap that is generated as the Product (can) is being manufactured. The Entity ships Aluminium Scrap back to the metal suppliers and/or recyclers and has specific volume thresholds they must meet that are defined in the supplier contracts. Eligible Scrap can then be calculated by taking the total Scrap shipments divided by total metal

CRITERION	RATING	COMMENT
		consumption and applying the Scrap rate as Input.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity's processes for tracking metal through the manufacturing network ensures that the total Output of CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage as applied to the Input of CoC Material and/or Eligible Scrap respectively over the calendar year.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity's processes specify that in the case of a Force Majeure situation, the Material Accounting System can carry over an Internal Overdraw to the subsequent Accounting Period. If required, the Entity adjusts the CoC Material Input volume required for the subsequent Material Accounting Period by carrying over the difference, which cannot exceed 20%.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity's processes specify that in the case of a Force Majeure situation, the Material Accounting System can carry over an Internal Overdraw to the subsequent Accounting Period. If required, the Entity adjusts the CoC Material Input volume required for the subsequent Material Accounting Period by carrying over the difference, which cannot exceed 20%.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Entity's processes specify that in the event of an Overdraw situation, the Material Accounting System can carry over an Internal Overdraw to the subsequent Accounting Period but the Overdraw shall be made up within the subsequent Material Accounting Period.
8.9a Positive Balance (Carry over)	Conformance	The Entity's procedures specify that in the case of a Positive Balance of Output CoC Material at the end of a Material Accounting Period, this can be carried over to the subsequent Material Accounting Period. The Entity identifies any carry over of a Positive Balance at the beginning of the subsequent Material Accounting Period.
8.9b Positive Balance (Expiry)	Conformance	The Entity's procedures specify that in the case of a Positive Balance of Output CoC Material at the end of a Material Accounting Period, this can be carried over to the subsequent Material Accounting Period. The Positive Balance will expire at the end of that Period, if it is not drawn down.
9. ISSUING COC DOCUMENTS		
9.1 CoC Document	Conformance	The Entity provides CoC Documents to its customers. In addition, the Entity generates a quarterly summary report for each ASI customer that includes all required data points and information required for ASI Documentation, including the supplied mass of CoC Material during the quarter.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity provides a CoC Document to customers showing the date of issue.
9.2b CoC Document Content (Reference number)	Conformance	The Entity provides a CoC Document to customers or metal suppliers that includes the shipping reference numbers found in the Material Accounting System (JDE).

CRITERION	RATING	COMMENT
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity provides a CoC Document to customers or metal suppliers that includes the identity, address and the Entity's CoC Certification number.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity provides a CoC Document to customers or metal suppliers including the identity and address of the Entity receiving the CoC Material, including its CoC Certification number.
9.2e CoC Document Content (Responsible employee)	Conformance	The CoC Documentation issued to customers or metal suppliers includes the name of the Entity's responsible employee who can verify information in the CoC Document.
9.2f CoC Document Content (Conformance statement)	Conformance	The CoC Documentation issued to customers or metal suppliers 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 Entity's CoC Documentation identifies the type of CoC Material.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity's CoC Documentation identifies the type of CoC Material, and each material's weight.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity's CoC Documentation issued to customers or metal suppliers identifies the type of CoC Material and the weight of each material, along with the total weight of the shipment.
9.3a Sustainability Data (optional) - Carbon footprint	Not Applicable	This Criterion is not applicable as the Entity is not currently providing Sustainability Data on their CoC Documentation. This information is provided directly to customers upon request.
9.3b Sustainability Data (optional) - Origin information	Not Applicable	This Criterion is not applicable as the Entity is not currently providing Sustainability Data on their CoC Documentation. This information is provided directly to customers upon request.
9.3c Sustainability Data (optional) - Recycled content	Not Applicable	This Criterion is not applicable as the Entity is not currently providing Sustainability Data on their CoC Documentation. This information is provided directly to customers upon request.
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Not Applicable	This Criterion is not applicable as the Entity is not currently providing Sustainability Data on their CoC Documentation. This information is provided directly to customers upon request.
9.4 Supplementary Information (optional) - Objective evidence	Not Applicable	This Criterion is not applicable as the Entity is not currently providing Sustainability Data on their CoC Documentation. This information is provided directly to customers upon request.
9.5 Verification of Information	Conformance	The Entity has systems in place to respond to reasonable requests for verification of information in CoC Documents issued. The Entity's Metal Procurement Team is responsible for addressing any CoC requests for information.

CRITERION	RATING	COMMENT
9.6 Error (Shipping)	Conformance	The Entity has a system in place such that if any errors are discovered in the documentation after CoC Material has been shipped, the Entity's Commercial Team will agree on steps with the receiving party to correct the error and implement actions to avoid a recurrence.

10. RECEIVING CoC DOCUMENTS

10.1 Verification of CoC Documents	Conformance	The Entity verifies CoC Documents and that shipments and volumes match information recoded in the Material Accounting System (JDE). The metal supply transaction used by the Entity's suppliers is documented on an Advanced Shipping Notice (ASN) that is submitted to the Entity electronically. The ASN is the CoC Document for CoC Material and suppliers provide the Entity with a quarterly summary that the Entity uses for verification purposes.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity verifies CoC Documents and that shipments and volumes match information recoded in the Material Accounting System (JDE). The metal supply transaction used by the Entity's suppliers is documented on an Advanced Shipping Notice (ASN) that is submitted to the Entity electronically. The ASN is the CoC Document for CoC Material and suppliers provide the Entity with a quarterly summary that the Entity uses for verification purposes.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity reviews the ASI website on a regular basis to verify the validity and scope of suppliers' ASI CoC Certification for any changes that might affect the status of the supplied CoC Material or Eligible Scrap.
10.4 Error (Reception)	Conformance	In the case that an error is discovered after CoC Material has been received, the Entity and the supplier will follow a reconciliation process and implement an action plan to avoid a recurrence.

11. CLAIMS AND COMMUNICATIONS

11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity's ASI Manual outlines their commitment to understand and follow the ASI Claims Guide.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity's ASI Manual outlines their commitment to understand and follow the ASI Claims Guide.
11.1c Claims and Communications (Employee training)	Conformance	The Entity provides an overview of the ASI Claims Guide in the ASI training provided to Ball employees.

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	9 March 2022	Initial Certification Audit – Full Certification
1	25 February 2025	Surveillance Audit and Scope Change. Scope Change to remove Kent, Phoenix, St. Paul and Wallkill sites. Extension to Audit Expire date granted for three months
2	17 October 2025	Re-Certification Audit and Scope Change – Full Certification. Scope Change to apply Chain of Custody Standard V2, and to add Ball Beverage Packaging Winter Haven.
