

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

GRÄNGES FINSPÅNG AB

CERTIFICATE
NUMBER

161

ASI
STANDARD

CHAIN OF CUSTODY
(V1 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI
ACCREDITED
AUDITOR

DNV
BUSINESS
ASSURANCE
SERVICES UK
LTD.

DATE OF ISSUE

23 NOVEMBER 2021

DATE OF EXPIRY

22 NOVEMBER 2024

CERTIFIED SINCE

23 NOVEMBER 2021

AUTHORISED BY

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

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

CERTIFICATION SCOPE

Design and manufacture of rolled strip and sheet of
aluminium at Gränges Finspång (Sweden).

SUMMARY AUDIT REPORT

CHAIN OF CUSTODY STANDARD

OVERVIEW

MEMBER NAME	Gränges AB
ENTITY NAME	Gränges Finspång AB
CERTIFICATION SCOPE	Design and manufacture of rolled strip and sheet of aluminium at Gränges Finspång (Sweden).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">• Casthouses• Post-Casthouse
ASI STANDARD	<ul style="list-style-type: none">• Chain of Custody Standard V1
AUDIT TYPE	<ul style="list-style-type: none">• Initial Certification Audit
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	24 – 25 August 2021
AUDIT REPORT SUBMISSION	12 October 2021
AUDIT SCOPE	<p>The audit scope includes the design and manufacture of rolled strip and sheet of aluminium Gränges Finspång (Sweden).</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">• Casthouses• Post-Casthouse <p>All applicable criteria in the ASI Chain of Custody Standard were included in the audit scope.</p>
AUDIT OUTCOME	<ul style="list-style-type: none">• Certification
AUDIT METHODOLOGY DECLARATION	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"><input checked="" type="checkbox"/> The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this report.<input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.<input checked="" type="checkbox"/> 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 19 November 2021 – 18 November 2024

NEXT AUDIT TYPE Surveillance Audit

NEXT AUDIT DUE DATE 18 May 2023

CERTIFICATION NUMBER 161

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	The Entity is an ASI Member and received a provisional ASI Performance Standard Certificate in February 2021.
1.2 Management system	Conformance	The Entity has implemented a Management System that addresses all applicable requirements of the ASI Chain of Custody Standard.
1.3 Management system reviews	Conformance	Annual review of the Entity's CoC procedure will be held in conjunction with the annual Management System review, named "Företagsledningens genomgång" which is an annual process review.
1.4 Management representative	Conformance	The Entity has nominated the Supply Chain Director as the Management Representative having overall responsibility and authority for the Entity's conformance with all applicable requirements of the ASI Chain of Custody Standard.
1.5 Training	Minor Non-Conformance	The Entity has established a plan for training of relevant personnel, but the training material was not finalized at the time of the audit.
1.6 Record keeping	Conformance	The Entity has established systems to maintain up to date records covering all applicable requirements of the ASI Chain of Custody Standard. These will be saved for a minimum of five years.
1.7a Reporting to ASI (Inputs and Outputs)	Not Applicable	This Criterion is not applicable for the Entity's first Certification Audit.
1.7b Reporting to ASI (Input Percentage)	Not Applicable	This Criterion is not applicable for the Entity's first Certification Audit.
1.7c Reporting to ASI (Positive Balance)	Not Applicable	This Criterion is not applicable for the Entity's first Certification Audit.
1.7d Reporting to ASI (Internal Overdraw)	Not Applicable	This Criterion is not applicable for the Entity's first Certification Audit.
1.7e Reporting to ASI (Eligible Scrap)	Not Applicable	This Criterion is not applicable for the Entity's first Certification Audit.
1.7f Reporting to ASI (ASI Credits from Casthouses)	Not Applicable	This Criterion is not applicable for the Entity's first Certification Audit.
1.7g Reporting to ASI (ASI Credits purchased)	Not Applicable	This Criterion is not applicable for the Entity's first Certification Audit.
2 OUTSOURCING CONTRACTORS		

CRITERION	RATING	COMMENT
2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	The Entity does not use Outsourcing Contractors.
2.2a Control of CoC Material	Not Applicable	The Entity does not use Outsourcing Contractors.
2.2b No further outsourcing	Not Applicable	The Entity does not use Outsourcing Contractors.
2.2c Risk assessment	Not Applicable	The Entity does not use Outsourcing Contractors.
2.3 Output Quantity	Not Applicable	The Entity does not use Outsourcing Contractors.
2.4 Verification and record-keeping	Not Applicable	The Entity does not use Outsourcing Contractors.
2.5 Error management	Not Applicable	The Entity does not use Outsourcing Contractors.
3 PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI LIQUID METAL		
3.1a CoC Certification Scope - Bauxite Mining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.1b ASI Performance Standard - Bauxite Mining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2a CoC Certification Scope - Alumina Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2b ASI Performance Standard - Alumina Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3a CoC Certification Scope - Aluminium Smelting	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3b ASI Performance Standard - Aluminium Smelting	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4 RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP AND ASI LIQUID METAL		
4.1a CoC Certification Scope - Aluminium Re-Melting/Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.1b ASI Performance Standard - Aluminium Re-Melting/Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2a Pre-Consumer Scrap and Dross	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2b Post-Consumer Scrap	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a Supplier records	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3b Cash payments	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a CoC Certification Scope - Casthouses	Conformance	Control procedures and systems have been established to ensure that Primary Aluminium only is sourced from ASI Certified Entities. Recycled Aluminium is sourced internally as part of internal scrap as well as from external sources under Non-CoC Material flow.
5.1b ASI Performance Standard - Casthouses	Conformance	The Facility has established procedures to ensure that Primary Aluminium is sourced from ASI Performance Standards Certified Entities. Recycled Aluminium is sourced internally as part of internal scrap as well as from external sources under Non-CoC Material flow.
5.2 Casthouse Products	Conformance	The Material Accounting System of the Entity demonstrated that systems are in place to ensure that unique identification numbers, with physical ID stamped on ASI Aluminium slabs, can be linked to the Input Quantity of CoC Material for the specific Material Accounting Period.
6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a CoC Certification Scope - Post-Casthouse	Conformance	Control procedures and systems have been established to ensure that Primary Aluminium only is sourced from ASI Certified Entities. The Entity itself produces ASI Aluminium only from material sourced from a CoC Certified Entity.
6.1b ASI Performance Standard - Post-Casthouse	Conformance	The Entity has established systems to ensure that it is itself producing ASI Aluminium only from an Entity/Facility already certified against the ASI Performance Standard and ASI Chain of Custody Standard if applicable. Material sourced from entities not certified according to the ASI Standards is regarded as Non-CoC Material.
6.1c Sourcing ASI Aluminium	Conformance	The Entity has established systems to ensure that it is itself producing ASI Aluminium only from an Entity/Facility that sources ASI Aluminium directly from another ASI Chain of Custody Certified Entity, or via a metals trader or warehouse where the ASI Chain of Custody Certified Entity can supply or verify the associated CoC Document containing required Information.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	The Entity has a Code of Conduct which includes Anti-Corruption measures. The Entity has established policies and routines for responsible

CRITERION	RATING	COMMENT
		sourcing. An external whistleblower mechanism exists.
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity has established and communicated a Supplier Code of Conduct which covers social, environmental and ethical sustainability requirements, including the ten principles of the UN Global Compact. The Entity is certified to the ASI Performance Standard.
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	The Entity has established and communicated a Supplier Code of Conduct which covers social, environmental and ethical sustainability requirements, including the ten principles of the UN Global Compact. The Entity is certified to the ASI Performance Standard.
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity has established and communicated a Supplier Code of Conduct which covers social, environmental and ethical sustainability requirements, including the ten principles of the UN Global Compact. The Entity is certified to the ASI Performance Standard. Only material sourced from ASI Certified Entities is classified as CoC Material.
7.2 Risk assessment	Conformance	Gränges uses EcoVadis as a tool for monitoring the performance of its upstream value chain suppliers. This is a third party assessment tool. All suppliers must also accept and sign the Gränges Supplier Code of Conduct.
7.3 Complaints mechanism	Conformance	An external whistleblower mechanism exists and can be accessed on the Gränges internet page. The name of the whistleblower service is Trumpet and it can be accessed at: https://granges.trumpet-whistleblowing.eu/
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity's Management System includes a Material Accounting System. Input Quantity and Output Quantity of ASI CoC Material and Non-CoC Material is registered according to the ASI Chain of Custody requirements.
8.2a Post-Consumer Scrap	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.2b Pre-Consumer Scrap (total)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.2c Pre-Consumer Scrap (Eligible Scrap)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
8.3 Material Accounting Period	Conformance	The Entity's Material Accounting System specifies a period of 6 months.
8.4 Input Percentage	Conformance	The Entity calculates and records the Input Percentage of material input for a 6-month period according to the ASI Chain of Custody formula.
8.5 Input Percentage (Aluminium Re-Melting/Refining)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.6 Output Quantity determination	Conformance	The Entity uses the Input Percentage for the 6-month Material Accounting Period to determine the Output Quantity of CoC Material, by mass.
8.7 Output Quantity designation	Conformance	The Output Quantity of CoC Material is designated as 100% CoC Material.
8.8 Output Quantity - Pre-Consumer Scrap	Conformance	The Entity produces Pre-Consumer Scrap from its processing. The Entity uses the Input Percentage for the 6-month Material Accounting Period to determine the Output Quantity of Eligible Scrap.
8.9 Outputs not exceed Inputs	Conformance	The Entity's Material Accounting System ensures that the total output of CoC Material and Eligible Scrap does not exceed the Input Percentage as applied to total input of CoC Material and Eligible Scrap over the 6-month Material Accounting Period.
8.10a Internal Overdraws (not exceed 20%)	Conformance	A procedure for Internal Overdraw has been set up by the Entity, stating that the Internal Overdraw shall not exceed 20% of total Input Quantity of CoC Material for the Material Accounting Period.
8.10b Internal Overdraws (not exceed affected amount)	Conformance	A procedure for Internal Overdraw has been set up by the Entity, stating that the Internal Overdraw shall not exceed 20% of total Input Quantity of CoC Material for the Material Accounting Period.
8.10c Internal Overdraws (period to make up)	Conformance	A procedure for Internal Overdraw has been set up by the Entity, stating that the Internal Overdraw shall not exceed 20% of total Input Quantity of CoC Material for the Material Accounting Period.
8.11a Positive Balance (carry over)	Conformance	A carry-over of a Positive Balance has not yet been performed. A procedure for this has been set up.
8.11b Positive Balance (expiry)	Conformance	A carry-over of a Positive Balance has not yet been performed. A procedure for this has been set up.
9 ISSUING COC DOCUMENTS		
9.1 Shipments and transfers	Conformance	A template for the CoC Document has been set up to accompany shipments or transfers of CoC Material to customers.

CRITERION	RATING	COMMENT
9.2a Date of issue	Conformance	A template for the CoC Document with all the required information has been set up to accompany shipments or transfers of CoC Material to customers.
9.2b Reference number	Conformance	A template for CoC document with all the required information has been set up to accompany shipments or transfers of CoC Material to customers.
9.2c Issuing Entity	Conformance	A template for the CoC Document with all the required information has been set up to accompany shipments or transfers of CoC Material to customers.
9.2d Receiving customer	Conformance	A template for the CoC Document with all the required information has been set up to accompany shipments or transfers of CoC Material to customers.
9.2e Responsible employee	Conformance	A template for the CoC Document with all the required information has been set up to accompany shipments or transfers of CoC Material to customers.
9.2f Conformance statement	Conformance	A template for the CoC Document with all the required information has been set up to accompany shipments or transfers of CoC Material to customers.
9.2g Type of CoC Material	Conformance	A template for the CoC Document with all the required information has been set up to accompany shipments or transfers of CoC Material to customers.
9.2h Mass of CoC Material	Conformance	A template for the CoC Document with all the required information has been set up to accompany shipments or transfers of CoC Material to customers.
9.2i Mass of total material	Conformance	A template for the CoC Document with all the required information has been set up to accompany shipments or transfers of CoC Material to customers.
9.3a Sustainability Data (optional)	Not Applicable	This information is optional and not provided by the Entity at this stage.
9.3b Sustainability Data (passing on)	Not Applicable	This information is optional and not provided by the Entity at this stage.
9.3c Post-Casthouse ASI Certification status	Not Applicable	This information is optional and not provided by the Entity at this stage.

CRITERION	RATING	COMMENT
9.4 Supplementary Information (optional)	Not Applicable	This information is optional and not provided by the Entity at this stage.
9.5 Response to verification requests	Conformance	The Entity has established procedures and systems to enable it to respond to reasonable requests for verification of information in CoC Documents issued by the Entity.
9.6 Error management	Conformance	If an error relating to the process of shipping ASI CoC Material is discovered, this shall be incorporated and handled in the framework management system. This is according to the procedures stated in the Entity's ASI CoC Management System.
10 RECEIVING COC DOCUMENTS		
10.1 Verify required information included	Conformance	The Entity has established procedures to verify that all required information in received CoC Documents, as set out in Criteria 9.2 and 9.3, has been included. This is part of the Entity's ASI CoC Management system.
10.2 Verify consistency with shipments	Conformance	The Entity has established procedures to verify the consistency of received CoC Documents with the accompanying CoC Material or Eligible Scrap.
10.3 Verify supplier CoC Certification status	Minor Non-Conformance	The Entity has established processes to ensure that received CoC Documents are controlled, issued and stored as per ASI Chain of Custody Standard requirements. At the time of the audit, the Entity could not demonstrate that procedures or processes to check the ASI website on a regular basis to verify the validity and scope of the supplier's ASI CoC Certification had been implemented.
10.4 Error management	Conformance	The Entity has established procedures and processes for error management.
11 MARKET CREDITS SYSTEM: ASI CREDITS		
11.1a Material Accounting System – allocation	Not Applicable	The Entity has decided not to use ASI Market Credit System.
11.1b Link to Casthouse Products	Not Applicable	The Entity has decided not to use ASI Market Credit System
11.1c No double counting	Not Applicable	The Entity has decided not to use ASI Market Credit System
11.1d No Positive Balance for ASI Credits	Not Applicable	The Entity has decided not to use ASI Market Credit System

CRITERION	RATING	COMMENT
11.2a Date of issue	Not Applicable	The Entity has decided not to use ASI Market Credit System
11.2b Reference number	Not Applicable	The Entity has decided not to use ASI Market Credit System
11.2c Issuing Entity	Not Applicable	The Entity has decided not to use ASI Market Credit System
11.2d Receiving Entity	Not Applicable	The Entity has decided not to use ASI Market Credit System
11.2e Conformance statement	Not Applicable	The Entity has decided not to use ASI Market Credit System
11.2f ASI Credits statement	Not Applicable	The Entity has decided not to use ASI Market Credit System
11.2g Quantity	Not Applicable	The Entity has decided not to use ASI Market Credit System
11.3a CoC Certification Scope – purchasing ASI Credits	Not Applicable	The Entity has decided not to use ASI Market Credit System
11.3b Material Accounting System – purchasing	Not Applicable	The Entity has decided not to use ASI Market Credit System
11.3c Expiry	Not Applicable	The Entity has decided not to use ASI Market Credit System
11.3d No re-trading	Not Applicable	The Entity has decided not to use ASI Market Credit System
11.3e No allocation to physical products	Not Applicable	The Entity has decided not to use ASI Market Credit System
11.3f Verify supplier CoC Certification status	Not Applicable	The Entity has decided not to use ASI Market Credit System
11.3g Five years maximum for ASI Credits purchasing	Not Applicable	The Entity has decided not to use ASI Market Credit System
12 CLAIMS AND COMMUNICATIONS		
12.1a ASI Claims Guide	Conformance	The Entity has developed procedures and processes to ensure that all future claims about CoC Material outside of CoC Documents are made in a form consistent with the ASI Claims Guide.
12.1b Verifiable evidence	Conformance	The Entity has developed procedures and processes to ensure that claims about CoC Material outside of CoC Documents are made in a form consistent with the ASI Claims Guide. The Entity has established procedures to ensure that it keeps

CRITERION	RATING	COMMENT
		verifiable evidence to support the claims and/or representations made.
12.1c Employee training	Minor Non-Conformance	The Entity has developed plans for training of employees on the provisions of the ASI Chain of Custody Standard. The training is planned to be conducted annually and will be provided for relevant employees to properly understand and communicate the claims and/or representations. At the time of the audit, appropriate training had not yet been conducted.

Document Control and Version History

Revision	Date	Notes
0	23 November 2021	Initial Certification Audit – Full Certification