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# ASI CERTIFICATION PERFORMANCE STANDARD

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PRESENTED TO

# APPLE INC.

CERTIFICATE  
NUMBER

185

ASI  
STANDARD

PERFORMANCE  
STANDARD  
(V2 2017)

CERTIFICATION  
LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITOR

ERM  
CERTIFICATION  
AND  
VERIFICATION  
SERVICES

DATE OF ISSUE

16 MARCH 2022

DATE OF EXPIRY

15 MARCH 2025

CERTIFIED SINCE

16 MARCH 2022

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. Ho', written over a horizontal line.

Aluminium Stewardship Initiative Ltd  
ACN 606 661 125, Australia  
[info@aluminium-stewardship.org](mailto: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)*

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CERTIFICATION SCOPE

13-inch MacBook Air with Retina display and  
activities relating to Material Stewardship at Head  
Office (Product Design), USA.

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# SUMMARY AUDIT REPORT PERFORMANCE STANDARD

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## OVERVIEW

MEMBER NAME	Apple
ENTITY NAME	Apple Inc.
CERTIFICATION SCOPE	13-inch MacBook Air with Retina display and activities relating to Material Stewardship at Head Office (Product Design), USA.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>• Material Conversion (Industrial Users)</li><li>• Other manufacturing or sale of products containing Aluminium</li></ul>
ASI STANDARD	<ul style="list-style-type: none"><li>• Performance Standard V2</li></ul>
AUDIT TYPE	<ul style="list-style-type: none"><li>• Initial Certification Audit</li></ul>
AUDIT FIRM	ERM Certification and Verification Services
AUDIT DATE	10 August 2020 – 13 December 2021
AUDIT REPORT SUBMISSION	14 December 2021
AUDIT SCOPE	<p>The audit scope covered the Material Stewardship related activities for the 13-inch MacBook Air with Retina display at Head Office (Product Design), USA with on-site visits to manufacturing sites CTC, Jiang Su and Innovation, Shandong, China.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"><li>• Material Conversion (Industrial Users)</li><li>• Other manufacturing or sale of products containing Aluminium</li></ul> <p>All criteria from Principle 4 Material Stewardship in the ASI Performance Standard were included in the audit scope.</p>
AUDIT OUTCOME	<ul style="list-style-type: none"><li>• Certification</li></ul>

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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

16 March 2022 – 15 March 2025

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NEXT AUDIT  
TYPE

Surveillance Audit

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NEXT AUDIT  
DUE DATE

15 September 2023

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CERTIFICATION  
NUMBER

185

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## SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
PRINCIPLE 1 BUSINESS INTEGRITY		
1.1 Legal Compliance	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
1.2 Anti-Corruption	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
1.3 Code of Conduct	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
PRINCIPLE 2 POLICY & MANAGEMENT		
2.1a Environmental, Social, and Governance Policy (implement and maintain)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
2.1b Environmental, Social, and Governance Policy (senior management)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
2.1c Environmental, Social, and Governance Policy (communication)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
2.2 Leadership	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
2.3a Environmental and Social Management Systems (environmental)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
2.3b Environmental and Social Management Systems (social)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
2.4 Responsible Sourcing	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
2.5 Impact Assessments	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
2.6 Emergency Response Plan	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
2.7 Mergers and Acquisitions	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
2.8 Closure, Decommissioning and Divestment	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
PRINCIPLE 3 TRANSPARENCY		

CRITERION	RATING	COMMENT
3.1 Sustainability Reporting	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2 Non-compliance and liabilities	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3a Payments to governments (legal and contractual)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3b Payments to governments (disclosure – bauxite mining)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.4 Stakeholder complaints, grievances and requests for information	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
PRINCIPLE 4 MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment (life cycle impacts)	Conformance	The Entity evaluates the life cycle impacts of the Product through Life Cycle Assessment (LCA) to identify opportunities to reduce product-related greenhouse gas emissions associated with the full life of the Product, from manufacture to end-of-life. This is reinforced by external studies and methodologies for LCA and product carbon footprinting. The Entity receives independent verification confirming that the LCA is undertaken in accordance with international standards. Recycled content used in the Product, including Recycled Aluminum, is further verified by a third party to a recycled content standard that conforms to ISO 14021.
4.1b Environmental Life Cycle Assessment (cradle to gate)	Conformance	The Entity provides information on its Product in relation to cradle-to-gate Life Cycle Assessment (LCA) with an emphasis on the 100% Recycled Aluminium enclosure, made from an entirely recycled and recyclable aluminium material. These assessments capture emissions associated with the full life of the Product, from manufacturing to end-of-life, and confirmed via an external LCA and product carbon footprinting. These are publicly available through the Product Environmental Report.
4.1c Environmental Life Cycle Assessment (public communication)	Conformance	Life Cycle Assessment (LCA) information for the Entity's main products is publicly available, including information relating to LCA scope, system boundaries and assumptions. Results of the LCA studies are reported and information is transferred to the website which outlines the Entity's position and performance for the main

CRITERION	RATING	COMMENT
		<p>impact categories of carbon emissions and GWP (Global Warming Potential). The LCA study is reinforced via external studies and methodologies for life cycle analysis, product carbon footprinting and independent verification that confirms the studies were undertaken according to recognised standards. Please see the Product Environmental Report for 13-Inch MacBook Air with Retina Display:</p> <p><a href="https://www.apple.com/environment/pdf/products/notebooks/13-inch_MacBookAir_w_Retina_PER_July2020.pdf">https://www.apple.com/environment/pdf/products/notebooks/13-inch_MacBookAir_w_Retina_PER_July2020.pdf</a></p>
4.2 Product design	Conformance	<p>The Entity designs its Product with features to reduce its environmental impact. Clear manufacturing and fabrication objectives are established in the design and development process and the impact of the different production and use phases, as well as end-of-life recycling. This is emphasised for the Aluminium enclosure and its production from 100% recycled material. Design features reduce Product weight and resource efficiency using innovative manufacturing techniques and material efficiency improvements and decreased machining cycle time reduce the manufacturing process GHG footprint.</p>
4.3a Aluminium Process Scrap (targets)	Conformance	<p>The Entity has a strategy to collect and recycle post-consumer products and aluminium enclosures. Engineering design demonstrates the use of a recyclable Aluminium alloy for the enclosure.</p> <p>The Entity targets 100% Aluminium Process Scrap collection and has optimisation plans to ensure the generation of scrap is minimised and collection is maximised. Scrap generation and collection data is recorded and contracts with collection and recycling and reprocessing companies are established. Internal assurance checks are undertaken on collection and recycle rates and different grades of Aluminium alloys are labelled to ensure accurate segregation for reuse.</p>
4.3b Aluminium Process Scrap (alloy separation)	Conformance	<p>Engineering design demonstrates the use of a recyclable Aluminium alloy for the enclosure. The Entity has optimisation plans to ensure the generation of scrap material is minimised and collection is maximised. Scrap segregation is managed with external providers, separating different grades of Aluminium alloys for reuse.</p>

CRITERION	RATING	COMMENT
4.4a Collection and recycling of products at end-of-life (strategy)	Conformance	<p>The Entity's Life Cycle Assessment results and internal material impact profiles indicate options for the most favorable selection of all materials. This is transferred through to the design and manufacture of the Product's Aluminium alloy enclosure that can accommodate scrap aluminium sources.</p> <p>The Entity is obliged to meet regional compliance requirements in all countries where such requirements exist, with an overall corporate goal to provide, offer or participate in recycling schemes for the Product in 99% of the countries where the Product is sold. The Trade-In Scheme for the Product makes available a return mechanism which targets all recoverable materials from the range, not just Aluminium. There is active participation in numerous national and global fora to progress e-waste recycling, producer responsibility and closed loop strategies.</p>
4.4b Collection and recycling of products at end-of-life (engagement)	Conformance	<p>The Entity engages at the regional and multinational level to promote collection and recycling systems to support efforts to increase recycling rates for end-of-life (EOL) products including those containing Aluminium, through a combination of association membership, direct engagement and public domain communications. In addition to increasing EOL collection rates, a cross-functional team works on improving separation and sorting of Aluminium in recycling processes to improve the purity and quality of scrap. There is value chain collaboration to ensure that Aluminium scrap is collected and reused in the Product and this is implicit in the product design with the use of an alloy that can withstand an infinite number of recycling loops. The Entity's Trade-in Scheme reaches customers across its sales markets as a direct customer support mechanism.</p>
PRINCIPLE 5 GREENHOUSE GAS EMISSIONS		
5.1 Disclosure of GHG emissions and energy use	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.2 GHG emissions reductions	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.3a Aluminium Smelting (management system)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
5.3b Aluminium Smelting (up to and including 2020)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.3c Aluminium Smelting (after 2020)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
PRINCIPLE 6 EMISSIONS, EFFLUENTS AND WASTE		
6.1 Emissions to Air	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.2 Discharges to Water	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.3a Assessment and Management of Spills and Leakage (assessment)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.3b Assessment and Management of Spills and Leakage (management)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.4a Reporting of Spills (immediate disclosure)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.4b Reporting of Spills (regular reporting)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.5a Waste management and reporting (strategy)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.5b Waste management and reporting (disclosure)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6a Bauxite Residue (storage construction)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6b Bauxite Residue (integrity checks and controls)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6c Bauxite Residue (water discharge)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6d Bauxite Residue (marine and aquatic environments)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6e Bauxite Residue (start of the art technologies)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6f Bauxite Residue (remediation)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7a Spent Pot Lining (SPL) (storage and management)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.



CRITERION	RATING	COMMENT
6.7b Spent Pot Lining (SPL) (recovery and recycling)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7c Spent Pot Lining (SPL) (Untreated SPL)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7d Spent Pot Lining (SPL) (review of alternatives)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7e Spent Pot Lining (SPL) (marine and aquatic environments)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.8a Dross (recovery)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.8b Dross (recycling)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.8c Dross (review of alternatives)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
PRINCIPLE 7 WATER STEWARDSHIP		
7.1a Water assessment (mapping)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
7.1b Water assessment (risk assessment)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
7.2a Water management (management plans)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
7.2b Water management (monitoring)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
7.3 Disclosure of water usage and risks	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
PRINCIPLE 8 BIODIVERSITY		
8.1 Biodiversity assessment	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.2a Biodiversity management (biodiversity action plans)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.2b Biodiversity management (consultation and mitigation hierarchy)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.2c Biodiversity management (reporting)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
8.3 Alien Species	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.4a Commitment to "No Go" in World Heritage properties (exploration and new mines)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.4b Commitment to "No Go" in World Heritage properties (existing operations)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.5a Mine rehabilitation (best available techniques)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.5b Mine rehabilitation (financial provisions)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
PRINCIPLE 9 HUMAN RIGHTS		
9.1a Human Rights Due Diligence (policy)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.1b Human Rights Due Diligence (process)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.1c Human Rights Due Diligence (remediation)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.2 Women's Rights	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.3 Indigenous Peoples	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.4 Free, Prior, and Informed Consent (FPIC)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.5 Cultural and sacred heritage	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.6a Resettlements (avoid or minimise)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.6b Resettlements (where unavoidable)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.7a Local Communities (rights and interests)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.7b Local Communities (impacts)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
9.7c Local Communities (livelihoods)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.8 Conflict-Affected and High-Risk Areas	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.9 Security practice	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
PRINCIPLE 10 LABOUR RIGHTS		
10.1a Freedom of Association and Right to Collective Bargaining (freedom of association)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.1b Freedom of Association and Right to Collective Bargaining (collective bargaining)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.1c Freedom of Association and Right to Collective Bargaining (alternative means)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.2a Child Labour (minimum age)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.2b Child Labour (hazardous)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.2c Child Labour (worst forms)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.3a Forced Labour (human trafficking)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.3b Forced Labour (deposits, fees, advances)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.3c Forced Labour (migrant workers)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.3d Forced Labour (debt bondage)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.3e Forced Labour (freedom of movement)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.3f Forced Labour (retention of identity papers, permits, certificates)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.3g Forced Labour (freedom to terminate employment)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
10.4 Non-Discrimination	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.5 Communication and engagement	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.6 Disciplinary practices	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.7a Remuneration (living wage)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.7b Remuneration (method of payment)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.8 Working Time	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
<b>PRINCIPLE 11 OCCUPATIONAL HEALTH AND SAFETY</b>		
11.1a Occupational Health and Safety (OH&S) Policy (policy)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
11.1b Occupational Health and Safety (OH&S) Policy (workers and visitors)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
11.1c Occupational Health and Safety (OH&S) Policy (applicable law and standards)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
11.1d Occupational Health and Safety (OH&S) Policy (right to stop unsafe work)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
11.2 OH&S Management System	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
11.3 Employee engagement on health and safety	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
11.4 OH&S performance	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

#### **Document Control and Version History**

Revision	Date	Notes
0	16 March 2022	Initial Certification Audit – Full Certification (Material Stewardship).