
**ASI CERTIFICATION
PERFORMANCE
STANDARD**



PRESENTED TO

**AMAG AUSTRIA
METALL AG**

CERTIFICATE
NUMBER

5

ASI
STANDARD

**PERFORMANCE
STANDARD
(V2 2017)**

CERTIFICATION
LEVEL

**FULL
CERTIFICATION**

ASI
ACCREDITED
AUDITOR

**BUREAU
VERITAS
AUSTRIA**

DATE OF ISSUE

20 SEPTEMBER 2018

DATE OF EXPIRY

19 SEPTEMBER 2021

CERTIFIED SINCE

20 SEPTEMBER 2018

AUTHORISED BY

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

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*Validity of this Certificate is subject to continued
conformance with the applicable ASI Standard*

CERTIFICATION SCOPE

AMAG Austria Metall AG located in Ranshofen, Austria comprising the businesses Austria Metall GmbH, AMAG service GmbH, AMAG casting GmbH, AMAG rolling GmbH and AMAG metal GmbH, which carry out aluminium remelting/recycling, casting and rolling supply chain activities.

SUMMARY AUDIT REPORT

PERFORMANCE STANDARD

OVERVIEW

MEMBER NAME	AMAG Austria Metall AG
ENTITY NAME	AMAG Austria Metall AG
CERTIFICATION SCOPE	<p>AMAG Austria Metall AG located in Ranshofen, Austria, comprising the businesses:</p> <ul style="list-style-type: none">• Austria Metall GmbH (head office)• AMAG service GmbH (services)• AMAG casting GmbH (casthouse and aluminium re-melting/refining)• AMAG rolling GmbH (semi-fabrication and material conversion)• AMAG metal GmbH (trading).•
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">• Aluminium Re-melting/Refining• Casthouse• Semi-Fabrication• Material Conversion (Production and Transformation)
ASI STANDARD	<ul style="list-style-type: none">• Performance Standard V2
AUDIT TYPE	<ul style="list-style-type: none">• Certification Audit
AUDIT FIRM	Bureau Veritas Austria
AUDIT DATE	27 - 30 August 2018
AUDIT REPORT SUBMISSION	11 September 2018
AUDIT SCOPE	<p>Facilities included in the audit scope:</p> <ul style="list-style-type: none">• AMAG Austria Metall AG located in Ranshofen, Austria comprising the businesses Austria Metall GmbH, AMAG service GmbH, AMAG casting GmbH, AMAG rolling GmbH, AMAG metal GmbH.. <p>Supply chain activities included in the audit scope:</p>

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- Aluminium Re-melting/Refining
 - Casthouse
 - Semi-Fabrication
 - Material Conversion (Production and Transformation)

All applicable criteria in the ASI Performance 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

20 September 2018 – 19 September 2021

NEXT AUDIT
TYPE

Recertification Audit

NEXT AUDIT
DUE DATE

19 September 2021

CERTIFICATION
NUMBER

5

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
PRINCIPLE 1 BUSINESS INTEGRITY		
1.1 Legal Compliance	Conformance	Stable implemented processes ensure Legal compliance at AMAG.
1.2 Anti-Corruption	Conformance	Policies and processes to identify and prevent Corruption are well implemented and trained.
1.3 Code of Conduct	Conformance	A Code of Conduct which covers environmental, social and governance principles is available for all stakeholders on the AMAG Homepage.
PRINCIPLE 2 POLICY & MANAGEMENT		
2.1a Environmental, Social, and Governance Policy (implement and maintain)	Conformance	Integrated Management Policy is consistent with the environmental, social, and governance practices.
2.1b Environmental, Social, and Governance Policy (senior management)	Conformance	Senior management demonstrate commitment to the implemented policies.
2.1c Environmental, Social, and Governance Policy (communication)	Conformance	AMAG Policy is available at several places for internal and external stakeholder.
2.2 Leadership	Conformance	A Senior Management representative has been nominated by the board.
2.3a Environmental and Social Management Systems (environmental)	Conformance	AMAG has implemented and documented an Environmental Management System and holds a valid ISO 14001:2015 certificate.
2.3b Environmental and Social Management Systems (social)	Conformance	A Social Management Systems is covered with the implemented Occupational Health and Safety Management System and its legal compliance system.
2.4 Responsible Sourcing	Conformance	The "Compliance Rules for AMAG Suppliers" are communicated to all AMAG suppliers and service providers and cover the material environmental, social and governance aspects towards the suppliers.
2.5 Impact Assessments	Conformance	Environmental, social, cultural and Human Rights Impact Assessments is well organized at various departments and boards.
2.6 Emergency Response Plan	Conformance	Emergency Response Plan is well implemented and trained.

CRITERION	RATING	COMMENT
2.7 Mergers and Acquisitions	Conformance	Mergers & Acquisition Directive covers the Mergers & Acquisition requirements of the ASI standard.
2.8 Closure, Decommissioning and Divestment	Conformance	Closure and decommissioning is ruled by strict Austrian Law.
PRINCIPLE 3 TRANSPARENCY		
3.1 Sustainability Reporting	Conformance	AMAG has prepared its annual report in accordance with the GRI Sustainability Reporting Guidelines.
3.2 Non-compliance and liabilities	Conformance	Non-compliance and liabilities recorded in annual report 2017.
3.3a Payments to governments (legal and contractual)	Conformance	Anti-corruption policy and procedures are in place and trained.
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	Conformance	External communication is handled by Public communication department.
PRINCIPLE 4 MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment (life cycle impacts)	Conformance	Life Cycle Assessment meeting ISO 14040 and ISO 14044 requirements was carried out.
4.1b Environmental Life Cycle Assessment (cradle to gate)	Conformance	Environmental Life Cycle Assessment can be provided by external Communication if required. There have been no requests to date.
4.1c Environmental Life Cycle Assessment (public communication)	Conformance	Public communication was instructed about ASI process instruction what and how to communicate LCA information. There have been no requests to date.
4.2 Product design	Conformance	Following the AMAG R&D Strategy there are a wide range of R&D projects to generate improvements of processes and reduce aluminium process scrap.
4.3a Aluminium Process Scrap (targets)	Conformance	The scrap utilisation rate in the production of foundry alloys and rolling slabs averages 75 to 80 %.
4.3b Aluminium Process Scrap (alloy separation)	Conformance	An aluminium process scrap recycling plan is in place at every process where scrap can be accrued. Scrap is collected by types of alloys or alloy groups.

CRITERION	RATING	COMMENT
4.4a Collection and recycling of products at end-of-life (strategy)	Conformance	AMAG pursues a clear recycling strategy, which makes AMAG one of the largest recycling companies.
4.4b Collection and recycling of products at end-of-life (engagement)	Conformance	There are specific objectives and activities all across the relevant divisions to reach this overall target of 75-80 %.
PRINCIPLE 5 GREENHOUSE GAS EMISSIONS		
5.1 Disclosure of GHG emissions and energy use	Conformance	AMAG is bound to participate in the European Trading Scheme (ETS). GHG emissions are publicly disclosed in the annual report (3rd party checked).
5.2 GHG emissions reductions	Conformance	<p>Emission targets are documented and tracked in the Energy and Environmental program. Strategic goals and the most important measures are published in the annual report.</p> <p>A copy of the annual report is found on the following website: http://www.amag-al4u.com</p>
5.3a Aluminium Smelting (management system)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
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	Conformance	<p>The relevant emissions are reported in the annual report.</p> <p>A copy of the annual report is found on the following website: http://www.amag-al4u.com</p>
6.2 Discharges to Water	Conformance	<p>An annual report is drawn up on wastewater data and activities related to wastewater.</p> <p>A copy of the annual report is found on the following website: http://www.amag-al4u.com</p>
6.3a Assessment and Management of Spills and Leakage (assessment)	Conformance	An assessment of major risk areas of operations where Spills and Leakage may contaminate air, water and soil is done by following the risk assessment process of environmental management system.

CRITERION	RATING	COMMENT
6.3b Assessment and Management of Spills and Leakage (management)	Conformance	Assessment and Management of Spills and Leakage is defined in the environmental management system. Major spills and leakages will be handled and communicated by the crisis team.
6.4a Reporting of Spills (immediate disclosure)	Conformance	Reporting of Spills is defined in the Crisis Management Handbook.
6.4b Reporting of Spills (regular reporting)	Conformance	Spills and remediation actions taken have to be reported in the annual report on the AMAG homepage. In the year 2017 no spills occurred.
6.5a Waste management and reporting (strategy)	Conformance	Waste is one of the Environmental aspects of AMAG; a waste management system is mandatory by Austrian law.
6.5b Waste management and reporting (disclosure)	Conformance	Waste management concepts are obligated by Austrian law and done by the subsidiary AMAG companies on site separately by the nominated waste managers.
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.
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.

CRITERION	RATING	COMMENT
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)	Conformance	By meaning of Austrian authority officially the salt slag process is classified as 100% recycled.
6.8b Dross (recycling)	Conformance	By meaning of Austrian authority officially the salt slag process is classified as 100% recycled.
6.8c Dross (review of alternatives)	Conformance	By meaning of Austrian authority officially the salt slag process is classified as 100% recycled.
PRINCIPLE 7 WATER STEWARDSHIP		
7.1a Water assessment (mapping)	Conformance	Water sources and usage are approved by authority. Usage is tracked and documented.
7.1b Water assessment (risk assessment)	Conformance	Compliance with the applicable law relating to water usage and discharge is ensured as part of the environmental management system.
7.2a Water management (management plans)	Not Applicable	Criterion 7.2 does not apply where risks identified in 7.1 are low.
7.2b Water management (monitoring)	Not Applicable	Criterion 7.2 does not apply where risks identified in 7.1 are low
7.3 Disclosure of water usage and risks	Conformance	AMAG reports its water withdrawal and use and disclose material water-related risks in the annual Report.
PRINCIPLE 8 BIODIVERSITY		
8.1 Biodiversity assessment	Conformance	Impact Assessments are part of the legally required process to gain permission to operate.
8.2a Biodiversity management (biodiversity action plans)	Conformance	Action to improve biodiversity of surrounding forest are detected by external Expert.
8.2b Biodiversity management (consultation and mitigation hierarchy)	Conformance	Biodiversity Action Plan based on the proposed measures of Expert for the AMAG forest to be confirmed by the top management.
8.2c Biodiversity management (reporting)	Conformance	The achieved biodiversity outcomes and measures are being published in AMAGs annual report.

CRITERION	RATING	COMMENT
8.3 Alien Species	Conformance	AMAG proactively prevents introduction of Alien species by ensuring that the main carrier medium (which is wood) is processed in a way to avoid the transport of such species
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)	Conformance	The Policy commitment can be found in the Annual Report and will be more clarified in the upcoming Annual Report 2018.
9.1b Human Rights Due Diligence (process)	Conformance	The Human Rights Due Diligence Process is integrated within the Responsible Sourcing Process.
9.1c Human Rights Due Diligence (remediation)	Conformance	Human Rights impacts are assessed by a risk based approach. To date no major Impact on Human Rights was identified.
9.2 Women’s Rights	Conformance	AMAG communicates in its Code of Conduct the commitment to non-discrimination and expects the same from its suppliers. An internal and external available compliance hotline exists.
9.3 Indigenous Peoples	Not Applicable	This criterion is not applicable as there are no indigenous people as part of the Entity’s Certification Scope.
9.4 Free, Prior, and Informed Consent (FPIC)	Not Applicable	This criterion is not applicable as there are no indigenous people as part of the Entity’s Certification Scope.
9.5 Cultural and sacred heritage	Not Applicable	This criterion is not applicable as there is no cultural and sacred heritage as part of the Entity’s Certification Scope.

CRITERION	RATING	COMMENT
9.6a Resettlements (avoid or minimise)	Not Applicable	This criterion is not applicable as there is no resettlement necessary as part of the Entity's Certification Scope.
9.6b Resettlements (where unavoidable)	Not Applicable	This criterion is not applicable as there is no resettlement necessary as part of the Entity's Certification Scope.
9.7a Local Communities (rights and interests)	Conformance	Meet and greet with stakeholders is planned on a regular basis.
9.7b Local Communities (impacts)	Conformance	Meet and greet with stakeholders is planned on a regular basis. A compliance hotline is implemented.
9.7c Local Communities (livelihoods)	Conformance	Meet and greet with stakeholder is planned on a regular basis.
9.8 Conflict-Affected and High-Risk Areas	Conformance	AMAG commits itself not to source material from conflicted areas. A public statement is on the website of the company. Suppliers have to comply with this requirement.
9.9 Security practice	Not Applicable	Not applicable, as plant security (porter) is provided through the company's own staff
PRINCIPLE 10 LABOUR RIGHTS		
10.1a Freedom of Association and Right to Collective Bargaining (freedom of association)	Conformance	AMAG has a well established system of worker committees in the subsidiary companies and an overall committee for the whole AMAG group.
10.1b Freedom of Association and Right to Collective Bargaining (collective bargaining)	Conformance	Based on the collective bargaining agreement for the metal industry, AMAG has additional agreements between the company and the worker committee, that are valid for all employees (working time, additional benefits and payments etc.). They are updated on an annual basis.
10.1c Freedom of Association and Right to Collective Bargaining (alternative means)	Not applicable	Not applicable, as there is no restriction to the freedom of association and collective bargaining agreement in Austria. AMAG has elected worker committees in its subsidiary companies and on group level. AMAG respects the right to freedom of collective bargaining also from its suppliers.
10.2a Child Labour (minimum age)	Conformance	Child labour is prohibited in Austria. Young workers (from the age of 15 to 18 years) are under special protection by law and are not

CRITERION	RATING	COMMENT
		allowed to work in hazardous working conditions. AMAG expects its suppliers not to be involved in child labour.
10.2b Child Labour (hazardous)	Conformance	Child labour is prohibited in Austria. Young workers are (15 to 18 years) are under special protection by law and not allowed to work in hazardous working conditions or night shifts. AMAG expects its suppliers to respect the special protection of young workers.
10.2c Child Labour (worst forms)	Conformance	Child labour is prohibited in Austria and AMAG expects its suppliers to respect the prohibition of child labour. AMAG communicates its expectations in the Code of Conduct and in its general conditions for suppliers ("Compliance Regeln für Lieferanten").
10.3a Forced Labour (human trafficking)	Conformance	AMAG commits itself to respect the human rights - and expects its suppliers - to do the same. AMAG only works with few, trust worthy employment agencies.
10.3b Forced Labour (deposits, fees, advances)	Conformance	AMAG is not involved in forced labour, neither direct nor through recognized labour agencies. Neither deposits nor security payments are required.
10.3c Forced Labour (migrant workers)	Conformance	AMAG is not involved in forced labour. No deposits or security payments are permitted.
10.3d Forced Labour (debt bondage)	Conformance	AMAG is not involved in forced labour, deposits or security payments are neither allowed nor practiced. No indication of breach of this clause was found through interviews of workers, worker representatives and HR department.
10.3e Forced Labour (freedom of movement)	Conformance	AMAG is not involved in forced labour. There is no restriction of movement at the workplace - except where required due to process or safety reasons.
10.3f Forced Labour (retention of identity papers, permits, certificates)	Conformance	AMAG is not involved in forced labour. There is no retention of original documents of workers, only copies of original documents are held.
10.3g Forced Labour (freedom to terminate employment)	Conformance	AMAG is not involved in forced labour. The time for announced termination of the

CRITERION	RATING	COMMENT
		working contract is regulated in the collective bargaining agreement of the metal industry.
10.4 Non-Discrimination	Conformance	AMAG is committed to non-discrimination and communicates this commitment in its code of conduct. AMAG expects the same from its suppliers.
10.5 Communication and engagement	Conformance	Direct and frequent communication with the workers and the worker representatives is established. The positive working climate and direct communication were emphasized by the interviewed persons.
10.6 Disciplinary practices	Conformance	AMAG respects its employees, disciplinary measures are regulated by law and require written evidence and the involvement of worker representation.
10.7a Remuneration (living wage)	Conformance	All wages are regulated through the collective bargaining agreement of the metal sector. An additional agreement exists that regulates additional financial and non-financial benefits for the employees.
10.7b Remuneration (method of payment)	Conformance	All payments are made on time. They are documented and submitted at the end of the month to the employees' bank accounts.
10.8 Working Time	Conformance	Working hours are recorded electronically and paid with the relevant bonus payments. Working hours are monitored and are according to Austrian worktime law.
PRINCIPLE 11 OCCUPATIONAL HEALTH AND SAFETY		
11.1a Occupational Health and Safety (OH&S) Policy (policy)	Conformance	Occupational Health and Safety Policy is merged into the AMAG business Policy.
11.1b Occupational Health and Safety (OH&S) Policy (workers and visitors)	Conformance	Occupational Health and Safety (OH&S) Policy is trained to all employees and is available on intranet, internet and info screens within the company.
11.1c Occupational Health and Safety (OH&S) Policy (applicable law and standards)	Conformance	Occupational Health and Safety (OH&S) Policy contains the commitment to comply with Applicable Law.
11.1d Occupational Health and Safety (OH&S) Policy (right to stop unsafe work)	Conformance	Policy is communicated via Intranet, internet, info screens- Training videos to improve Work safety are available on info screens.

CRITERION	RATING	COMMENT
11.2 OH&S Management System	Conformance	AMAG has implemented an independent OHSAS 18001:2007 Management system and holds a valid OHSAS 18001:2007 Certificate.
11.3 Employee engagement on health and safety	Conformance	Health and safety committee meets 3 to 4 times a year.
11.4 OH&S performance	Conformance	Health and Safety Targets and improvements are documented in Occupational Health and Safety Program.