
ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

AUDI

CERTIFICATE
NUMBER

6

ASI
STANDARD

PERFORMANCE
STANDARD
(V2 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI
ACCREDITED
AUDITOR

BUREAU
VERITAS
AUSTRIA

DATE OF ISSUE

17 SEPTEMBER 2018

DATE OF EXPIRY

16 SEPTEMBER 2021

CERTIFIED SINCE

17 SEPTEMBER 2018

AUTHORISED BY

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

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

Production of aluminium parts for and assembling of high-voltage batteries C-BEV for the Audi e-tron at Audi Hungaria Zrt (Győr, Hungary), Audi AG Neckarsulm (Neckarsulm, Germany) and Audi Brussels S.A./N.V. (Brussels, Belgium).

SUMMARY AUDIT REPORT

PERFORMANCE STANDARD

OVERVIEW

MEMBER NAME	Audi
ENTITY NAME	C-BEV High-Voltage Battery at Audi
CERTIFICATION SCOPE	Production of aluminium parts for and assembling of high-voltage batteries C-BEV for the Audi e-tron at Audi Hungaria Zrt (Győr, Hungary), Audi AG Neckarsulm (Neckarsulm, Germany) and Audi Brussels S.A./N.V. (Brussels, Belgium).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">Material Conversion (Industrial User)
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	3 - 6 September 2018
AUDIT REPORT SUBMISSION	16 September 2018
AUDIT SCOPE	<p>Production of aluminium parts for and assembling of high-voltage batteries C-BEV for the Audi e-tron at Audi Hungaria Zrt (Győr, Hungary), Audi AG Neckarsulm (Neckarsulm, Germany) and Audi Brussels S.A./N.V. (Brussels, Belgium).</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">Material Conversion (Industrial User) <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">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

17 September 2018 – 16 September 2021

NEXT AUDIT
TYPE

Recertification Audit

NEXT AUDIT
DUE DATE

16 September 2021

CERTIFICATE
NUMBER

6

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		
3.1 Sustainability Reporting	Not Applicable	This criterion is not applicable to the Entity's certification scope.

CRITERION	RATING	COMMENT
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	Audi conducts life cycle assessments (LCA) during the development of its cars and its products, using internal and external data and databases (e.g. GaBi). Audi committed itself to publish LCAs for its cars and components, and detailed analysis is available on request. The first draft of the LCA for the high-voltage battery C-BEV is ready and all preparations are made to conduct the check on the real product three months after start of production - as defined in Audi's internal procedures.
4.1b Environmental Life Cycle Assessment (cradle to gate)	Conformance	Audi conducts life cycle assessments during the development of its cars and its products, using internal and external data and databases (e.g. GaBi). These assessments cover both cradle-to-gate and cradle-to-grave scenarios. The first draft of the LCA for the high-voltage battery C-BEV is ready and all preparations are made to conduct the check on the real product three months after start of production - as defined in Audi's internal procedures.
4.1c Environmental Life Cycle Assessment (public communication)	Conformance	Audi commits itself to publish LCAs for its cars and components. Internal and external data and databases (e.g. GaBi) are used to conduct the LCAs. They are verified by an external certification company. The first draft of the LCA for the high-voltage battery C-BEV is ready and all preparations are made to conduct the check on the real product three months after start of production – and to publish it accordingly. LCAs can be found on the website by clicking here .

CRITERION	RATING	COMMENT
4.2 Product design	Conformance	<p>Audi includes sustainability aspects in the whole product development process. Reparability, decomposition of the product and recycling of the components are considered both for the phase of the product use and at the end of life. Three months after the start of production, the whole product and its components are taken apart and analyzed, suggestions for improvement run into the further product development process. The VERON database – Vehicle Recycling online - is used for the analysis. This process will be started for the high-voltage battery C-BEV accordingly.</p>
4.3a Aluminium Process Scrap (targets)	Conformance	<p>Audi Neckarsulm defined clear targets for the collection and recycling of Aluminium process scrap and monitors the achievements. An "Aluminum Closed Loop" project was started with a supplier, to close the loop of collection of aluminum and reuse it for the same type of production.</p> <p>Audi Bruxelles has clear targets for all type of process waste, including aluminum. Due to the type of production – mainly assembling and welding – only small amounts of waste occur at the plant.</p> <p>Audi Győr has clear targets for all types of process waste, including aluminum. Through optimization and the design of the pressing tools, the site tries to reduce the percentage of design related scrap and to improve the material efficiency. An "Aluminum Closed Loop" project is under preparation, to close the loop of collection of aluminum and reuse for the same type of production. Győr is targeting a recycling rate of 100% for its waste and process scrap and reached in the meantime an overall recycling rate of 98,8% - as published in its environmental declaration 2016.</p>
4.3b Aluminium Process Scrap (alloy separation)	Conformance	<p>All process scrap from Audi Neckarsulm is collected separately. An "Aluminum Closed Loop" project was started to close the loop of collection of aluminum and reuse for the same type of production.</p> <p>All process scrap from Audi Bruxelles is collected separately. Due to the type of</p>

CRITERION	RATING	COMMENT
		<p>production – mainly assembling and welding – only small quantities of aluminum waste accumulate at the plant.</p> <p>All production waste at Audi Győr is collected separately. An "Aluminum Closed Loop" project is under preparation to close the loop of collection of aluminum and reuse for the same type of production.</p>
4.4a Collection and recycling of products at end-of-life (strategy)	Conformance	While whole cars are already recycled with a very high recycling rate, concepts are currently under development for the reuse of batteries (e.g. "second life" as buffer-batteries within households) and the recycling of the components. Audi is involved in establishing concepts and strategies with several partners of the industry and initiatives like the Global Battery Alliance within the World Economic Forum.
4.4b Collection and recycling of products at end-of-life (engagement)	Conformance	While whole cars are already recycled with a very high recycling rate, concepts are currently under development for the reuse of batteries (e.g. "second life" as buffer-batteries within households) and the recycling of the components. Audi is involved in establishing concepts and strategies with several partners of the industry and initiatives like the Global Battery Alliance.
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.
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.

CRITERION	RATING	COMMENT
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.
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.

CRITERION	RATING	COMMENT
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.
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.

CRITERION	RATING	COMMENT
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.
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.

CRITERION	RATING	COMMENT
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.
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.

CRITERION	RATING	COMMENT
10.8 Working Time	Not Applicable	This criterion is not applicable to the Entity's certification scope.
PRINCIPLE 11 OCCUPATIONAL HEALTH AND SAFETY		
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.