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# ASI CERTIFICATION PERFORMANCE STANDARD

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PRESENTED TO

# ALUMINIUM NORF GmbH

CERTIFICATE  
NUMBER

16

ASI  
STANDARD

PERFORMANCE  
STANDARD  
(V2 2017)

CERTIFICATION  
LEVEL

FULL  
CERTIFICATION

ASI  
ACCREDITED  
AUDITOR

GUTCERT  
(AFNOR  
GROUP)

DATE OF ISSUE

29 JANUARY 2019

DATE OF EXPIRY

28 JANUARY 2022

CERTIFIED SINCE

29 JANUARY 2019

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'John' or similar, with a long horizontal line extending to the right.

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](http://www.aluminium-stewardship.org)*

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CERTIFICATION SCOPE

Aluminium Norf GmbH ("Alunorf") in Neuss,  
Germany, which is a joint venture owned by Norsk  
Hydro and Novelis Inc to produce aluminium coils.

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# SUMMARY AUDIT REPORT PERFORMANCE STANDARD

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## OVERVIEW

MEMBER NAME	Norsk Hydro and Novelis Inc Joint Venture
ENTITY NAME	Aluminium Norf GmbH ("Alunorf").
CERTIFICATION SCOPE	Aluminium Norf GmbH ("Alunorf") in Neuss, Germany, which is a joint venture owned by Norsk Hydro and Novelis Inc to produce aluminium coils.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>• Semi-Fabrication</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>• Certification Audit</li></ul>
AUDIT FIRM	GUTcert (AFNOR Group)
AUDIT DATE	5 – 27 November & 3 –4 December 2018
AUDIT REPORT SUBMISSION	12 December 2018
AUDIT SCOPE	<p>The audit scope covered all production lines (delivery, melting halls, rolling mills, storage) to produce aluminium coils at the Alunorf facility in Neuss, Germany.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"><li>• Casthouse</li><li>• Semi-fabrication</li><li>• Aluminium Re-melting/Refining</li></ul> <p>All relevant criteria 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

29 January 2019 – 28 January 2022

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NEXT AUDIT  
TYPE

Recertification Audit

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NEXT AUDIT  
DUE DATE

28 January 2022

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CERTIFICATE  
NUMBER

16

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## SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
PRINCIPLE 1 BUSINESS INTEGRITY		
1.1 Legal Compliance	Conformance	The Entity has implemented a thorough process to constantly maintain awareness of and ensure compliance with the latest applicable Law.
1.2 Anti-Corruption	Conformance	The Entity has established adequate anti-corruption measures.
1.3 Code of Conduct	Conformance	The Entity has implemented a written organisational code of conduct that includes relevant principles for environmental, social and governance performance.
PRINCIPLE 2 POLICY & MANAGEMENT		
2.1a Environmental, Social, and Governance Policy (implement and maintain)	Conformance	The Entity has established integrated policies that are consistent with the requirements of this Standard. A copy of the integrated policy can be found via the following link: <a href="https://www.alunorf.de/alunorf/alunorf.nsf/id/uns-er-unternehmensleitbild-de">https://www.alunorf.de/alunorf/alunorf.nsf/id/uns-er-unternehmensleitbild-de</a> .
2.1b Environmental, Social, and Governance Policy (senior management)	Conformance	The Entity has endorsement and support from senior management in order to provide sufficient resources for regular review of policies. As a suggested improvement, the ASI specific requirements should be also reviewed regularly.
2.1c Environmental, Social, and Governance Policy (communication)	Conformance	The Entity communicates its policies internally and externally, which conform to the requirement. A copy of the integrated policy can be found via the following link: <a href="https://www.alunorf.de/alunorf/alunorf.nsf/id/uns-er-unternehmensleitbild-de">https://www.alunorf.de/alunorf/alunorf.nsf/id/uns-er-unternehmensleitbild-de</a> .
2.2 Leadership	Conformance	The Entity has appointed a Senior Manager as ASI Manager.
2.3a Environmental and Social Management Systems (environmental)	Conformance	The Entity is ISO 14001:2015 certified.
2.3b Environmental and Social Management Systems (social)	Conformance	The Entity has implemented a documented system that conform to this requirement. As a suggested improvement, more integrated system could be investigated.
2.4 Responsible Sourcing	Conformance	The Entity has implemented a Code of conduct and a supplier declaration that cover environmental, social and governance issues

CRITERION	RATING	COMMENT
		that is part of the general purchasing processes. As a suggested improvement, more emphasis on all sustainability and ASI-related issues could be implemented.
2.5 Impact Assessments	Conformance	The Entity conducts regular impact assessments for its major projects that conform to this requirement.
2.6 Emergency Response Plan	Conformance	The Entity is ISO 14001:2015 certified and has well implemented emergency response plans. As a suggested improvement, these could integrate more unusual weather situations.
2.7 Mergers and Acquisitions	Conformance	The Entity's shareholder has implemented an adequate procedure for mergers and acquisitions.
2.8 Closure, Decommissioning and Divestment	Conformance	The Entity's shareholder has implemented an adequate procedure for decommissioning.
PRINCIPLE 3 TRANSPARENCY		
3.1 Sustainability Reporting	Minor Non-Conformance	The Entity currently communicate most aspects through its Environmental Statement. A copy of the latest Environmental Statement can be found via the following link: <a href="https://www.alunorf.de/alunorf/alunorf.nsf/id/umwelterklaerung-de">https://www.alunorf.de/alunorf/alunorf.nsf/id/umwelterklaerung-de</a> As not all social aspects are reported publicly this Statement could be expanded somewhat with regard to the social aspects or a separate Sustainability Report should be introduced.
3.2 Non-compliance and liabilities	Minor Non-Conformance	Even though no failure to comply with applicable law have been issued in recent years, the Entity must implement a procedure to ensure that any potential compliance failures are publicly reported.
3.3a Payments to governments (legal and contractual)	Conformance	The Entity complies with the strict local legislation and has implemented policies and procedures to conform to this requirement.
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	The Entity is certified ISO 14001:2015 and has implemented fine complaints resolution mechanisms.
PRINCIPLE 4 MATERIAL STEWARDSHIP		

CRITERION	RATING	COMMENT
4.1a Environmental Life Cycle Assessment (life cycle impacts)	Conformance	The Entity possesses life cycle impacts from its major product lines, conforming to this requirement.
4.1b Environmental Life Cycle Assessment (cradle to gate)	Conformance	An Entity's shareholder has procedures to answer any customer request on LCA information. As a suggested improvement, the internal database could be improved with LCA data from both shareholder's own process stages.
4.1c Environmental Life Cycle Assessment (public communication)	Conformance	When communicating externally on LCA information, the Entity communicates through its shareholder with the adequate assumptions and boundaries.
4.2 Product design	Conformance	The Entity currently provides the thinner foil on the market and is constantly searching improvements.
4.3a Aluminium Process Scrap (targets)	Conformance	Scrap is controlled tightly by the Entity.
4.3b Aluminium Process Scrap (alloy separation)	Conformance	The Entity thoroughly separate alloys for recycling.
4.4a Collection and recycling of products at end-of-life (strategy)	Conformance	The Entity has a consistent aluminium recycling strategy.
4.4b Collection and recycling of products at end-of-life (engagement)	Conformance	The Entity's shareholders have recycling strategies that engage stakeholders on different levels, markets and product lines.
PRINCIPLE 5 GREENHOUSE GAS EMISSIONS		
5.1 Disclosure of GHG emissions and energy use	Conformance	The Entity publicly disclose GHG emissions annually in its verified Environmental Statement. A copy of the latest Environmental Statement can be found via the following link: <a href="https://www.alunorf.de/alunorf/alunorf.nsf/id/umwelterklaerung-de">https://www.alunorf.de/alunorf/alunorf.nsf/id/umwelterklaerung-de</a> . As a suggested improvement, further calculations including the current emission factors could be included.
5.2 GHG emissions reductions	Conformance	The Entity publicly disclose GHG emissions targets annually in its verified Environmental Statement. A copy of the latest Environmental Statement can be found via the following link: <a href="https://www.alunorf.de/alunorf/alunorf.nsf/id/umwelterklaerung-de">https://www.alunorf.de/alunorf/alunorf.nsf/id/umwelterklaerung-de</a> .

CRITERION	RATING	COMMENT
		As a suggested improvement, further CO2-reduction goals could be investigated.
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	Emissions to the air are under tight control according to local regulations and permits.
6.2 Discharges to Water	Conformance	Discharges to water are under tight control according to local regulations and permits.
6.3a Assessment and Management of Spills and Leakage (assessment)	Conformance	The Entity performed risk assessments and implemented prevention measures on material leakages.
6.3b Assessment and Management of Spills and Leakage (management)	Conformance	The Entity performed risk assessments and implemented prevention measures on material leakages.
6.4a Reporting of Spills (immediate disclosure)	Conformance	The Entity has procedure to communicate accordingly on potential spills and report it publicly in its verified Environmental Statement. A copy of the latest Environmental Statement can be found via the following link: <a href="https://www.alunorf.de/alunorf/alunorf.nsf/id/umwelterklaerung-de">https://www.alunorf.de/alunorf/alunorf.nsf/id/umwelterklaerung-de</a> .
6.4b Reporting of Spills (regular reporting)	Conformance	The Entity has procedure to communicate accordingly on potential spills and report it publicly in its verified Environmental Statement. A copy of the latest Environmental Statement can be found via the following link: <a href="https://www.alunorf.de/alunorf/alunorf.nsf/id/umwelterklaerung-de">https://www.alunorf.de/alunorf/alunorf.nsf/id/umwelterklaerung-de</a> .
6.5a Waste management and reporting (strategy)	Conformance	The Entity implemented a waste management strategy according to the Waste Mitigation Hierarchy.
6.5b Waste management and reporting (disclosure)	Conformance	The Entity discloses publicly and annually its waste quantities in its verified Environmental Statement. A copy of the latest Environmental Statement can be found via the following link:

CRITERION	RATING	COMMENT
		<a href="https://www.alunorf.de/alunorf/alunorf.nsf/id/umwelterklaerung-de">https://www.alunorf.de/alunorf/alunorf.nsf/id/umwelterklaerung-de</a> .
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.
6.8a Dross (recovery)	Conformance	100% of the dross is gathered recycled internally.
6.8b Dross (recycling)	Conformance	100% of the dross is gathered recycled internally.
6.8c Dross (review of alternatives)	Conformance	100% of the dross is gathered recycled internally.
PRINCIPLE 7 WATER STEWARDSHIP		
7.1a Water assessment (mapping)	Conformance	The Entity tracks its water usage according to local regulations.
7.1b Water assessment (risk assessment)	Conformance	The Entity assessed its water-related risks and implemented prevention measures accordingly.



CRITERION	RATING	COMMENT
7.2a Water management (management plans)	Conformance	The Entity implemented water management plans with targets, review them yearly and publish them in its verified Environmental Statement. A copy of the latest Environmental Statement can be found via the following link: <a href="https://www.alunorf.de/alunorf/alunorf.nsf/id/umwelterklaerung-de">https://www.alunorf.de/alunorf/alunorf.nsf/id/umwelterklaerung-de</a> .
7.2b Water management (monitoring)	Conformance	The Entity implemented water management plans with targets, review them yearly and publish them in its verified Environmental Statement. A copy of the latest Environmental Statement can be found via the following link: <a href="https://www.alunorf.de/alunorf/alunorf.nsf/id/umwelterklaerung-de">https://www.alunorf.de/alunorf/alunorf.nsf/id/umwelterklaerung-de</a> .
7.3 Disclosure of water usage and risks	Conformance	The Entity publishes water-related impacts and risks in its verified Environmental Statement. A copy of the latest Environmental Statement can be found via the following link: <a href="https://www.alunorf.de/alunorf/alunorf.nsf/id/umwelterklaerung-de">https://www.alunorf.de/alunorf/alunorf.nsf/id/umwelterklaerung-de</a> .
PRINCIPLE 8 BIODIVERSITY		
8.1 Biodiversity assessment	Conformance	The Entity implemented an environmental impact assessment that covers biodiversity issues.
8.2a Biodiversity management (biodiversity action plans)	Conformance	Even though no material impact has been identified, the Entity has implemented preventive actions regarding biodiversity risks.
8.2b Biodiversity management (consultation and mitigation hierarchy)	Conformance	Even though no material impact has been identified, the Entity has implemented preventive actions regarding biodiversity risks.
8.2c Biodiversity management (reporting)	Conformance	Even though no material impact has been identified, the Entity has implemented preventive actions regarding biodiversity risks. The Entity report annually on it in its verified Environmental Statement. A copy of the latest Environmental Statement can be found via the following link: <a href="https://www.alunorf.de/alunorf/alunorf.nsf/id/umwelterklaerung-de">https://www.alunorf.de/alunorf/alunorf.nsf/id/umwelterklaerung-de</a> .
8.3 Alien Species	Conformance	The Entity takes preventive actions to prevent the introduction of alien 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.

CRITERION	RATING	COMMENT
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 Entity has implemented policies with commitment to respect human rights.
9.1b Human Rights Due Diligence (process)	Conformance	The Entity has implemented a Human Rights Due Diligence process. A copy of the 2017 "Human rights impact mapping of Hydro" can be found via the following link: <a href="https://www.humanrights.dk/publications/human-rights-impact-mapping-hydro">https://www.humanrights.dk/publications/human-rights-impact-mapping-hydro</a> .
9.1c Human Rights Due Diligence (remediation)	Conformance	The Entity has not identified any contributed adverse Human Rights impacts but has the process to cover this at a group level. A copy of the 2017 "Human rights impact mapping of Hydro" can be found via the following link: <a href="https://www.humanrights.dk/publications/human-rights-impact-mapping-hydro">https://www.humanrights.dk/publications/human-rights-impact-mapping-hydro</a> .
9.2 Women’s Rights	Conformance	The Entity has implemented policies and tools to ensure women’s rights are respected at all times.
9.3 Indigenous Peoples	Not Applicable	There are no known indigenous people living near the Entity.
9.4 Free, Prior, and Informed Consent (FPIC)	Not Applicable	There are no known indigenous people living near the Entity.
9.5 Cultural and sacred heritage	Not Applicable	There are no known Cultural or sacred heritage near the Entity.
9.6a Resettlements (avoid or minimise)	Conformance	An Entity’s shareholder has implemented a procedure that covers impacts of any resettlements.
9.6b Resettlements (where unavoidable)	Conformance	An Entity’s shareholder has implemented a procedure that covers impacts of any resettlements.

CRITERION	RATING	COMMENT
9.7a Local Communities (rights and interests)	Conformance	The Entity demonstrates a respectful relationship with the local communities.
9.7b Local Communities (impacts)	Conformance	The Entity is preventing effectively any impact on the local communities.
9.7c Local Communities (livelihoods)	Conformance	The Entity has been part of numerous of social activities with the local communities as part of their normal general commitments.
9.8 Conflict-Affected and High-Risk Areas	Conformance	The Entity has strict procedures to ensure it doesn't contribute in any way to Human Rights abuses in High-Risk Areas.
9.9 Security practice	Conformance	The Entity has implemented security practices that respect Human Rights.
PRINCIPLE 10 LABOUR RIGHTS		
10.1a Freedom of Association and Right to Collective Bargaining (freedom of association)	Conformance	The Entity respects the freedom of association without interference and the audit process included interviews with the work council.
10.1b Freedom of Association and Right to Collective Bargaining (collective bargaining)	Conformance	The Entity respects the freedom of association without interference and the audit process included interviews with the work council.
10.1c Freedom of Association and Right to Collective Bargaining (alternative means)	Conformance	The Entity respects the freedom of association without interference and the audit process included interviews with the work council.
10.2a Child Labour (minimum age)	Conformance	Entity's policies and local regulations are in place to avoid hire of child labour. The Entity has a strict control over any potential child labour and the audit process included interviews with the work council.
10.2b Child Labour (hazardous)	Conformance	Entity's policies and local regulations are in place to avoid hire of child labour. The Entity has a strict control over any potential child labour and the audit process included interviews with the work council.
10.2c Child Labour (worst forms)	Conformance	Entity's policies and local regulations are in place to avoid hire of child labour. The Entity has a strict control over any potential child labour and the audit process included interviews with the work council.
10.3a Forced Labour (human trafficking)	Conformance	Entity's policies and local regulations are in place to avoid forced labour. The Entity has a strict control over any potential forced labour

CRITERION	RATING	COMMENT
		and the audit process included interviews with the work council.
10.3b Forced Labour (deposits, fees, advances)	Conformance	Entity's policies and local regulations are in place to avoid forced labour. The Entity has a strict control over any potential forced labour and the audit process included interviews with the work council.
10.3c Forced Labour (migrant workers)	Conformance	Entity's policies and local regulations are in place to avoid forced labour. The Entity has a strict control over any potential forced labour and the audit process included interviews with the work council.
10.3d Forced Labour (debt bondage)	Conformance	Entity's policies and local regulations are in place to avoid forced labour. The Entity has a strict control over any potential forced labour and the audit process included interviews with the work council.
10.3e Forced Labour (freedom of movement)	Conformance	Entity's policies and local regulations are in place to avoid forced labour. The Entity has a strict control over any potential forced labour and the audit process included interviews with the work council.
10.3f Forced Labour (retention of identity papers, permits, certificates)	Conformance	Entity's policies and local regulations are in place to avoid forced labour. The Entity has a strict control over any potential forced labour and the audit process included interviews with the work council.
10.3g Forced Labour (freedom to terminate employment)	Conformance	Entity's policies and local regulations are in place to avoid forced labour. The Entity has a strict control over any potential forced labour and the audit process included interviews with the work council.
10.4 Non-Discrimination	Conformance	Entity's policies and local regulations are in place to avoid discrimination. The Entity has a strict control over any potential discrimination and the audit process included interviews with the work council.
10.5 Communication and engagement	Conformance	The Entity has implemented a multiple channel open communication and the audit process included interviews with the work council.
10.6 Disciplinary practices	Conformance	The Entity has implemented policies and controls to avoid unreasonable practices in the

CRITERION	RATING	COMMENT
		workplace and the audit process included interviews with the work council.
10.7a Remuneration (living wage)	Conformance	The Entity has implemented clear policies and controls in place to ensure a fair remuneration and the audit process included interviews with the work council.
10.7b Remuneration (method of payment)	Conformance	The Entity has implemented clear policies and controls in place to ensure a fair remuneration and the audit process included interviews with the work council.
10.8 Working Time	Conformance	The Entity has implemented clear policies and controls in place to ensure working times and the audit process included interviews with the work council.
PRINCIPLE 11 OCCUPATIONAL HEALTH AND SAFETY		
11.1a Occupational Health and Safety (OH&S) Policy (policy)	Conformance	The Entity is OHSAS 18001:2007 certified.
11.1b Occupational Health and Safety (OH&S) Policy (workers and visitors)	Conformance	The Entity is OHSAS 18001:2007 certified.
11.1c Occupational Health and Safety (OH&S) Policy (applicable law and standards)	Conformance	The Entity is OHSAS 18001:2007 certified.
11.1d Occupational Health and Safety (OH&S) Policy (right to stop unsafe work)	Conformance	The Entity is OHSAS 18001:2007 certified.
11.2 OH&S Management System	Conformance	The Entity is OHSAS 18001:2007 certified.
11.3 Employee engagement on health and safety	Conformance	The Entity is OHSAS 18001:2007 certified.
11.4 OH&S performance	Conformance	The Entity is OHSAS 18001:2007 certified.