
ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

AUDI

CERTIFICATE
NUMBER

6

ASI
STANDARD

PERFORMANCE
STANDARD
(V2 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITOR

DNV BUSINESS
ASSURANCE
SERVICES UK
LTD.

DATE OF ISSUE

17 DECEMBER 2021

DATE OF EXPIRY

16 DECEMBER 2024

CERTIFIED SINCE

17 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
and can be verified at
www.aluminium-stewardship.org*

CERTIFICATION SCOPE

Central functions at Audi AG Headquarters in
Ingolstadt (Germany) and developing and
producing passenger cars at Audi factories
Ingolstadt (Germany), Neckarsulm (Germany),
Brussels (Belgium) and Hungaria (Hungary).

SUMMARY AUDIT REPORT

PERFORMANCE STANDARD

OVERVIEW

MEMBER NAME	Audi
ENTITY NAME	Audi AG
CERTIFICATION SCOPE	Central functions at Audi AG Headquarters in Ingolstadt (Germany) and developing and producing passenger cars at Audi factories Ingolstadt (Germany), Neckarsulm (Germany), Brussels (Belgium) and Hungaria (Hungary).
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	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none">• 3 - 6 September 2018 (Initial Certification Audit)• 29 – 30 November 2021 (Re-Certification Audit and Scope Change)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">• 16 September 2018 (Initial Certification Audit)• 4 March 2022 (Re-Certification Audit and Scope Change)
AUDIT SCOPE	<p><u>Initial Certification Audit (3 – 6 September 2018)</u></p> <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> <p><u>Re-Certification Audit and Scope Change (29 – 30 November 2021)</u></p> <p>Central functions at Audi AG Headquarters in Ingolstadt (Germany) and developing and producing passenger cars at factories Audi AG Ingolstadt</p>

(Germany), Audi AG Neckarsulm (Germany), Audi Brussels S.A/N.V. (Belgium) and Audi Hungaria Zrt. (Hungary).

Supply chain activities included in the audit scope:

- Material Conversion (Industrial User)

All criteria from Principle 4 Material Stewardship in the ASI Performance Standard were included in the audit scope.

At the time of the audit (November 2021), access to the sites was not possible, due to COVID-19 related travel restrictions. The audit has been undertaken as a 'desktop' exercise, in accordance with the ASI Interim Policy regarding Audits, Audit-Related Travel and Coronavirus (v4), and included a remote review of relevant documentation.

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

17 December 2021 – 16 December 2024

Due to the restricted access to facilities due to COVID-19 travel restrictions, audit personnel were unable to be present on-site for auditing purposes prior to the end of the initial certification period. A three-month extension was applied to the initial certification period to accommodate for the safe and effective completion of the Re-Certification Audit and Scope Change.

NEXT AUDIT
TYPE

Re-Certification Audit

NEXT AUDIT
DATE

16 December 2024

CERTIFICATION
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		

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	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 has committed itself to publish LCAs for its cars and components, and detailed analysis is available on request. Further information is available at: https://www.audi.com/en/company/sustainability/life-cycle-assessment.html
4.1b Environmental Life Cycle Assessment (cradle to gate)	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). The cradle to grave approach is used. Audi has committed itself to publish LCAs for its cars and components, and detailed analysis is available on request. Further information is available at: https://www.audi.com/en/company/sustainability/life-cycle-assessment.html
4.1c Environmental Life Cycle Assessment (public communication)	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 has committed itself to publish LCAs for its cars and components, and detailed analysis is available on request. Further information is available at: https://www.audi.com/en/company/sustainability/life-cycle-assessment.html
4.2 Product design	Conformance	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

CRITERION	RATING	COMMENT
		<p>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.</p>
<p>4.3a Aluminium Process Scrap (targets)</p>	<p>Conformance</p>	<p>The Entity has established strategies targeting 100% scrap for collection, recycling and/or reuse, supporting a circular economy thinking. This includes systems for collection and separation of materials, including aluminium.</p> <p>Aluminium pre-consumed scrap (Process Scrap) is included and controlled in a closed-loop, ensuring 100% re-circulation. Further information is available at:</p> <p>www.audi.com/en/company/sustainability/core-topics/value-creation-and-production/co2-program-in-production.html</p>
<p>4.3b Aluminium Process Scrap (alloy separation)</p>	<p>Conformance</p>	<p>The Entity has established strategies targeting 100% scrap for collection, recycling and/or reuse, supporting a circular economy thinking. This includes also systems for collection and separation of materials, including aluminium.</p> <p>Aluminium pre-consumed scrap (Process Scrap) is included and controlled in a closed-loop, ensuring 100% re-circulation. Further information is available at:</p> <p>www.audi.com/en/company/sustainability/core-topics/value-creation-and-production/co2-program-in-production.html</p>
<p>4.4a Collection and recycling of products at end-of-life (strategy)</p>	<p>Conformance</p>	<p>The Entity has a structured approach related to end-of-life elements, including collection and recycling with targets set on re-use and recycling. Stakeholders have been identified and vehicle recycling partnerships established including a 'Take-back Network'. Audi is involved in establishing concepts and strategies with several partners of the industry and initiatives such as the Global Battery Alliance within the World Economic Forum. Further information is available at:</p> <p>www.audi.com/en/company/sustainability/core-topics/value-creation-and-production/promoting-circular-economy.html</p>
<p>4.4b Collection and recycling of products at end-of-life (engagement)</p>	<p>Conformance</p>	<p>The Entity has a structured approach related to end-of-life elements, including collection and recycling with targets set on re-use and recycling. Stakeholders have been identified and vehicle recycling partnerships established including a 'Take-back Network'. Audi is involved in establishing concepts</p>

CRITERION	RATING	COMMENT
		and strategies with several partners of the industry and initiatives such as the Global Battery Alliance within the World Economic Forum. Further information is available at: www.audi.com/en/company/sustainability/core-topics/value-creation-and-production/promoting-circular-economy.html

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.
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.

CRITERION	RATING	COMMENT
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 (state 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)	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.

CRITERION	RATING	COMMENT
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.
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.

CRITERION	RATING	COMMENT
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.
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.

CRITERION	RATING	COMMENT
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.
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.

CRITERION	RATING	COMMENT
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	17 September 2018	Initial Certification Audit - Full Certification
1	29 March 2022	Re-Certification Audit and Scope Change – Certification Scope updated to include manufacturing facility at Ingolstadt (Germany); Certification Scope updated to more accurately reflect the Facility Level approach taken; Entity Name updated to more accurately reflect the Certification Scope and the Facility Level approach. A three month extension was granted to the Initial Certification Period as a result of significant disruptions arising from COVID-19 related travel restrictions. The document title for the ASI Summary Audit Report issued following the Initial Certification Audit amended from “rev1” as this was the original published version.