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# ASI CERTIFICATION PERFORMANCE STANDARD

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PRESENTED TO

# SIG COMBIBLOC

CERTIFICATE  
NUMBER

7

ASI  
STANDARD

PERFORMANCE  
STANDARD  
(V2 2017)

CERTIFICATION  
LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITOR

DNV BUSINESS  
ASSURANCE  
SERVICES UK  
LTD.

DATE OF ISSUE

12 OCTOBER 2021

DATE OF EXPIRY

11 OCTOBER 2024

CERTIFIED SINCE

12 OCTOBER 2018

AUTHORISED BY

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

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

SIG Combibloc Group including Head Office (Department Corporate Responsibility) in Linnich (Germany), the centralised Procurement Organisation in Neuhausen (Switzerland) and the production sites in Saalfelden (Austria), Wittenberg (Germany), Linnich (Germany), Querétaro (Mexico), Rayong (Thailand), Riyadh (Saudi Arabia), Suzhou (China), Suzhou AP3 (China) and Curitiba (Brazil).

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# SUMMARY AUDIT REPORT PERFORMANCE STANDARD

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## OVERVIEW

MEMBER NAME	SIG Combibloc
ENTITY NAME	SIG Combibloc Group
CERTIFICATION SCOPE	SIG Combibloc Group including Head Office (Department Corporate Responsibility) in Linnich (Germany), the centralised Procurement Organisation in Neuhausen (Switzerland) and the production sites in Saalfelden (Austria), Wittenberg (Germany), Linnich (Germany), Querétaro (Mexico), Rayong (Thailand), Riyadh (Saudi Arabia), Suzhou (China), Suzhou AP3 (China) and Curitiba (Brazil).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>• Material Conversion (Industrial User)</li></ul>
ASI STANDARD	<ul style="list-style-type: none"><li>• Performance Standard V2</li></ul>
AUDIT TYPE	<ul style="list-style-type: none"><li>• Initial Certification Audit (22 August 2018)</li><li>• Surveillance Audit (31 March 2020 – 23 April 2020)</li><li>• Re-Certification Audit (7 – 13 October 2021)</li><li>• Scope Change Audit (25 November 2021)</li><li>• Scope Change Audit (16 – 17 January 2022)</li><li>• Scope Change Audit (14 September 2022)</li></ul>
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none"><li>• 22 August 2018 (Initial Certification Audit)</li><li>• 31 March 2020 – 23 April 2020 (Surveillance Audit)</li><li>• 7 – 13 October 2021 (Re-Certification Audit)</li><li>• 25 November 2021 (Scope Change Audit)</li><li>• 16 – 17 January 2022 (Scope Change Audit)</li><li>• 14 September 2022 (Scope Change Audit)</li></ul>

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- 26 September 2018 (Initial Certification Audit)
- 10 February 2021 (Surveillance Audit)
- 15 November 2021 (Re-Certification Audit)
- 23 February 2022 (Scope Change Audit)
- 2 April 2022 (Scope Change Audit)
- 8 December 2022 (Scope Change Audit)

Initial Certification Audit (22 August 2018)

SIG Combibloc Group audit covered a site visit to Linnich, Germany, with personnel responsible for implementing Performance Standard, Principle 4 Material Stewardship criteria. Representatives from the Neuhausen central procurement team were also present and part of the audit.

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

Supply chain activities included in the audit scope:

- Material Conversion (Industrial User)

Surveillance Audit (31 March 2020 – 23 April 2020)

The audit scope for SIG Combibloc Group covered Head Office functions with personnel responsible for implementing Principle 4 Material Stewardship of the ASI Performance Standard.

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

Supply chain activities included in the audit scope:

- Material Conversion (Industrial User)

At the time of the audit (March 2020 – April 2020), 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.

Re-Certification Audit (7 – 13 October 2021)

The audit scope for SIG Combibloc Group covered Head Office (Department Corporate Responsibility) in Linnich (Germany), the centralised Procurement Organisation in Neuhausen (Switzerland) and the production sites in Saalfelden (Austria) and Linnich (Germany).

The ASI multi-site sampling approach was undertaken to include the Wittenberg (Germany), Rayong (Thailand), Suzhou (China) and Curitiba (Brazil) facilities.

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.

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Scope Change Audit (25 November 2021)

The audit scope for SIG Combibloc Group covered the Suzhou AP3 facility in China.

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.

Scope Change Audit (16 – 17 January 2022)

The audit scope for SIG Combibloc Group covered the Riyadh site in Saudi Arabia.

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.

Scope Change Audit (14 September 2022)

The audit scope for SIG Combibloc Group covered the Querétaro site in Mexico.

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. The audit has been undertaken as a 'desktop' exercise consistent with the audit type and due to the site's status as under construction and not yet operational.

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AUDIT  
OUTCOME

- Certification

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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

12 October 2021 – 11 October 2024

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NEXT AUDIT  
TYPE

Re-Certification Audit

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NEXT AUDIT  
DUE DATE

11 October 2024

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CERTIFICATION  
NUMBER

7

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## SUMMARY OF FINDINGS

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

CRITERION	RATING	COMMENT
PRINCIPLE 3 TRANSPARENCY		
3.1 Sustainability Reporting	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2 Non-compliance and liabilities	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3a Payments to governments (legal and contractual)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3b Payments to governments (disclosure – bauxite mining)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.4 Stakeholder complaints, grievances and requests for information	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
PRINCIPLE 4 MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment (life cycle impacts)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes which conform with the ASI Performance Standard's Life Cycle Assessment (LCA) requirements. The Entity has evaluated the life cycle impacts of all major product lines. Further information is available at: <a href="https://www.sig.biz/en/responsibility/responsible-products">https://www.sig.biz/en/responsibility/responsible-products</a>
4.1b Environmental Life Cycle Assessment (cradle to gate)	Conformance	The LCA tool is compliant with ISO 14040 requirements. The Entity's LCA studies and LCA data can be provided upon request and is available at: <a href="https://www.sig.biz/en/responsibility/responsible-products">https://www.sig.biz/en/responsibility/responsible-products</a>
4.1c Environmental Life Cycle Assessment (public communication)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes which conform with the ASI Performance Standard's Life Cycle Assessment communication requirements. The information is available via: <a href="https://www.sig.biz/en/responsibility/responsible-products">https://www.sig.biz/en/responsibility/responsible-products</a>
4.2 Product design	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the ASI Performance Standard's product design requirements. Further information is available at: <a href="https://www.sig.biz/en/responsibility/responsible-products">https://www.sig.biz/en/responsibility/responsible-products</a>

CRITERION	RATING	COMMENT
4.3a Aluminium Process Scrap (targets)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes to minimize the generation of Aluminium Process Scrap within its operations and 100% of Aluminium scrap is collected and treated separately. Key Performance Indicators (KPIs) are monitored and reported in the Entity's Corporate Responsibility Report: <a href="https://cms.sig.biz/media/8630/sig-corporate-responsibility-report-2020.pdf">https://cms.sig.biz/media/8630/sig-corporate-responsibility-report-2020.pdf</a>
4.3b Aluminium Process Scrap (alloy separation)	Conformance	The Entity has an Aluminium Process Scrap (alloy separation) strategy. Further details are available in the Corporate Responsibility Report: <a href="https://cms.sig.biz/media/8630/sig-corporate-responsibility-report-2020.pdf">https://cms.sig.biz/media/8630/sig-corporate-responsibility-report-2020.pdf</a>
4.4a Collection and recycling of products at end-of-life (strategy)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the ASI Performance Standard's recycling strategy requirements. A Standard Operating Procedure (SOP) for developing a market-related local environmental strategy was released and communicated to all business markets. The Entity's recycling strategy roadmap with targets and milestones starting in 2019 was also reviewed during the audit. Further information is available in the Corporate Responsibility Report: <a href="https://cms.sig.biz/media/8630/sig-corporate-responsibility-report-2020.pdf">https://cms.sig.biz/media/8630/sig-corporate-responsibility-report-2020.pdf</a>
4.4b Collection and recycling of products at end-of-life (engagement)	Conformance	The Entity has established a Standard Operating Procedure (SOP) for developing a market-related local environmental strategy that was released and communicated to all business markets. Further information is available in the Corporate Responsibility Report: <a href="https://cms.sig.biz/media/8630/sig-corporate-responsibility-report-2020.pdf">https://cms.sig.biz/media/8630/sig-corporate-responsibility-report-2020.pdf</a>
PRINCIPLE 5 GREENHOUSE GAS EMISSIONS		
5.1 Disclosure of GHG emissions and energy use	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.2 GHG emissions reductions	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.3a Aluminium Smelting (management system)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.



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

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

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

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

CRITERION	RATING	COMMENT
10.4 Non-Discrimination	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.5 Communication and engagement	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.6 Disciplinary practices	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.7a Remuneration (living wage)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.7b Remuneration (method of payment)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.8 Working Time	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

#### 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.

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

Revision	Date	Notes
0	12 October 2018	Issued - Certification
1	26 March 2020	Updated to correct the certification scope (an incorrect reference to the Saalfelden facility in Austria)
2	5 July 2021	Surveillance Audit. Update certification scope to clarify SIG Combibloc Group AG as the Entity that captures head office, procurement and production sites.

3	19 December 2021	Re-Certification Audit. Audit commenced prior to expiry of initial certification; Rollover of initial certification dates following ASI oversight and preparation of updated Certificate and Report.
4	3 March 2022	Scope Change Audit to incorporate the Suzhou AP3 facility, China.
5	22 April 2022	Scope Change Audit to include the Riyadh site, Saudi Arabia.
6	19 December 2022	Scope Change Audit to include the Querétaro site, Mexico.