

# ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

# OTTO FUCHS Technology (Shenyang) Co., Ltd.

CERTIFICATE NUMBER  
411

ASI STANDARD  
PERFORMANCE  
STANDARD  
(V3 2022)

CERTIFICATION LEVEL  
FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITING FIRM  
SGS-CSTC STANDARDS  
TECHNICAL SERVICES

DATE OF ISSUE  
11 NOVEMBER 2024

DATE OF EXPIRY  
10 NOVEMBER 2027

CERTIFIED SINCE  
11 NOVEMBER 2024

## AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. H.', followed by 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)*

## CERTIFICATION SCOPE

The manufacturing of automotive chassis parts, including control arms, tie rods and parts for advanced braking systems from Aluminium alloys, using fully automated die-forging technology at OTTO FUCHS Technology Shenyang Co., Ltd., in China.

# AUDIT REPORT PERFORMANCE STANDARD

## OVERVIEW

MEMBER NAME	OTTO FUCHS KG & Schüco International KG
ENTITY NAME	OTTO FUCHS Technology (Shenyang) Co., Ltd.
CERTIFICATION SCOPE	The manufacturing of automotive chassis parts, including control arms, tie rods and parts for advanced braking systems from Aluminium alloys, using fully automated die-forging technology at OTTO FUCHS Technology Shenyang Co., Ltd., in China.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>Material Conversion – Principles 1 to 4 (transition)</li></ul>
ASI STANDARD	<ul style="list-style-type: none"><li>Performance Standard V3</li></ul>
AUDIT TYPE	<ul style="list-style-type: none"><li>Initial Certification Audit</li></ul>
AUDIT FIRM	SGS-CSTC Standards Technical Services
AUDIT DATE	<ul style="list-style-type: none"><li>8 – 9 October 2024</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>22 October 2024</li></ul>
AUDIT SCOPE	<p>The Audit Scope includes the production processes to manufacture semi-finished products for the automotive industry using Aluminium alloys at OTTO FUCHS Technology (Shenyang) Co., Ltd.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>Material Conversion – Principles 1 to 4 (transition)</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>
AUDIT METHODOLOGY DECLARATION	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"><li><input checked="" type="checkbox"/> The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this report.</li><li><input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.</li><li><input checked="" type="checkbox"/> 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.</li><li><input checked="" type="checkbox"/> The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.</li></ul>

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CERTIFICATION PERIOD 11 November 2024 – 10 November 2027

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NEXT AUDIT TYPE Surveillance Audit

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NEXT AUDIT DATE 10 May 2026

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CERTIFICATE NUMBER 411

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If you have an inquiry or complaint about this Certification, go to the third-party EthicsPoint portal at: <https://aluminium-stewardship.ethicspoint.com/>

EthicsPoint is a comprehensive and confidential reporting tool that enables complaints to be securely raised, managed and responded to. This enables anonymity to be maintained where desired by complainants, or as relevant to whistleblowing situations.

Information is available in five languages – English, French, Chinese, German and Portuguese (Brazil). Translation services provided by EthicsPoint enable complaints and correspondence to be managed in multiple languages.

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## ENTITY OVERVIEW

OTTO FUCHS Technology (Shenyang) Co., Ltd. (OFTS) (the 'Entity') was founded in 2010. It is a German wholly-owned enterprise based in Shenyang, China. OFTS uses fully automated precision forging press lines, advanced machining lines and digitalised production processes and focuses primarily on the development, manufacture and machining of chassis parts for the automotive industry, such as control arms, tie rods and parts for brake systems made of Aluminium alloys. It produces approximately 12 million parts annually.

The Entity currently employs approximately 200 workers, including 64 women. Its main customers are Chinese, German and Japanese automotive manufacturers and suppliers.

As the first and only wholly-owned subsidiary of the OTTO FUCHS Group in Asia, OFTS meets the specific requirements of local customers in China for high-quality and lightweight vehicle parts and supports the expansion of the Group's global production network in Asia, South Africa, the USA, Hungary, and Germany.

## MATURITY RATINGS

A rating of maturity (low, medium or high) determined by the Auditor that provides a general assessment in terms of systems, Residual Risk and performance assigned to a Sustainability Component.

Maturity ratings are not a direct assessment of conformance to the Standard.

	GOVERNANCE	ENVIRONMENT	SOCIAL	COMBINED RATING
<b>SYSTEMS</b>	High	Medium	Medium	MEDIUM
<b>RISKS</b>	Low	Medium	Medium	MEDIUM
<b>PERFORMANCE</b>	Medium	Medium	Medium	MEDIUM
<b>OVERALL</b>		<b>MEDIUM</b>		

## FINDINGS

CRITERION	RATING	COMMENT
<b>1. BUSINESS INTEGRITY</b>		
1.1 Legal Compliance	Conformance	The Entity has commissioned a law firm to undertake annual Compliance evaluations, which address EHS and social topics and compliance management. The compliance report confirms that no violations were identified. Applicable Laws are collected and updated annually.
1.2 Anti-Corruption	Conformance	The Entity has established a Compliance Policy to define anti-Corruption. According to the German Supply Chain Due Diligence Act, all suppliers must carry out Due Diligence. Employees are trained. The Policy has been communicated to suppliers through training and agreement.
1.3a-e Code of Conduct	Conformance	The Entity has established a Code of Conduct, which addresses integrity and Human Rights, fair competition, anti-Corruption, conflicts of interest, business transactions, and health, environment and safety at work. In addition, a Supplier Code of Conduct has been implemented to define the requirements of suppliers. The Code of Conduct is available in both English and Chinese at: <a href="http://www.otto-fuchs.cn/nd.jsp?fromCollId=115&amp;id=19#_np=115_441">http://www.otto-fuchs.cn/nd.jsp?fromCollId=115&amp;id=19#_np=115_441</a>
<b>2. POLICY AND MANAGEMENT</b>		
2.1a-f Environmental, Social, and Governance Policy	Conformance	The Entity has implemented Environmental, Social, and Governance Policies endorsed by the General Manager. The Policies have been communicated within the Entity and with Stakeholders. Employees are trained on the Policies and records are maintained. Suppliers consent to the Policies.
2.2a-c Leadership	Conformance	The Entity has appointed a Manager of Sustainability, Compliance, and Digitalization as the ASI Management Representative, whose responsibilities are specified in an appointment letter. Resources for implementation are provided as required.
2.3a Environmental and Social Management Systems - Environmental	Conformance	The Entity has implemented an Environmental Management System that is ISO 14001 certified.
2.3b Environmental and Social Management Systems - Social	Conformance	The Entity has established and implemented a Social Management System, and its ISO 45001 certified. The Entity's Human Rights Policy is disclosed at: <a href="https://www.otto-fuchs.com/en/responsibility/compliance-and-whistleblowing-management.html">https://www.otto-fuchs.com/en/responsibility/compliance-and-whistleblowing-management.html</a>
2.4a-e Responsible Sourcing	Conformance	The Entity has implemented a Policy that has been communicated to suppliers and staff. A Due Diligence process is undertaken on suppliers annually. The Guideline for Responsible Procurement is publicly disclosed and a process is in place for its review every three years: <a href="http://www.otto-fuchs.cn/nd.jsp?fromCollId=117&amp;id=37#_np=117_447">http://www.otto-fuchs.cn/nd.jsp?fromCollId=117&amp;id=37#_np=117_447</a>

CRITERION	RATING	COMMENT
2.5a-g Environmental and Social Impact Assessments	Conformance	The Entity conducted an Environmental Impact Assessment (EIA) in 2023 for a Major Change associated with its forging acid and alkali washing and fluorescent osmotic testing line project. The EIA concluded that the project could meet local industrial policies and legal requirements. The EIA Report has been implemented and is disclosed at: <a href="http://www.otto-fuchs.cn/nd.jsp?fromCollId=118&amp;id=42#_np=118_449">http://www.otto-fuchs.cn/nd.jsp?fromCollId=118&amp;id=42#_np=118_449</a>
2.6a-h Human Rights Impact Assessment	Conformance	The Entity has conducted a Human Rights risk assessment according to the requirements of the <i>German Supply Chain Act</i> . The risk assessment included a gender analysis, and addressed issues including Child Labour, minimum wage standards, environmental risks which promote Human Rights abuses, and the use of public security forces. The Human Rights Risk Assessment is updated annually, and is available at: <a href="http://www.otto-fuchs.cn/col.jsp?id=115">http://www.otto-fuchs.cn/col.jsp?id=115</a>
2.7a-f Emergency Response Plan	Conformance	The Entity has developed Emergency Response Plans that consider environmental, social, and safety emergencies. All the Emergency Plans have been filed with the local government. The Entity regularly conducts test activities on emergency procedures to evaluate the appropriateness of the emergency plans. The effectiveness of the Emergency Response Plan is evaluated annually. The Plan is available at: <a href="http://www.otto-fuchs.cn/nd.jsp?fromCollId=118&amp;id=41#_np=118_449">http://www.otto-fuchs.cn/nd.jsp?fromCollId=118&amp;id=41#_np=118_449</a>
2.8a-d Suspended Operations	Conformance	The Entity has developed a Corporate Integrated Management Manual to manage shutdowns and production disruptions, which addresses significant adverse environmental, social and governance impacts in the process. The Entity has developed a Business Continuity Plan, which is reviewed annually.
2.9a-b Mergers and Acquisitions	Conformance	The Entity has developed a Corporate Integrated Management Manual to define the procedures regarding changes in business operations. In the event of any merger or acquisitions, the Executive Board would appoint a project team to consider the potential social, environmental, and governance impacts and prepare an action plan. There has been no merger or acquisition activity.
2.10a-b Closure, Decommissioning and Divestment	Conformance	The Entity has developed a Corporate Integrated Management Manual to define the procedures regarding changes in business operations, including closure, decommissioning, and divestment. In the event of closure, decommissioning, or divestment, the Executive Board would appoint a project team to consider the potential social, environmental, and governance impacts and prepare an action plan. There has been no closure, decommissioning, or divestment activity.
<b>3. TRANSPARENCY</b>		
3.1a-b Sustainability Reporting	Conformance	The Entity's governance approach to environmental, social and economic impacts and its performance is disclosed in the OTTO FUCHS Group Sustainability Report: <a href="https://nachhaltigkeit.otto-fuchs.com/fileadmin/user_upload/Bericht_2021_2023/Nachhaltigkeitsbericht-2021-2023_EN.pdf">https://nachhaltigkeit.otto-fuchs.com/fileadmin/user_upload/Bericht_2021_2023/Nachhaltigkeitsbericht-2021-2023_EN.pdf</a>

CRITERION	RATING	COMMENT
3.2 Non-compliance and Liabilities	Conformance	A compliance evaluation conducted by a third party in 2024 determined that there were no Material fines, judgments, penalties, or non-monetary sanctions by the Entity for failure to comply with Applicable Law. In addition, a search performed during the Audit of the government database ( <a href="http://www.creditchina.gov.cn">www.creditchina.gov.cn</a> ) confirmed there are no records of violations, penalties or sanctions for failure to comply with Applicable Law by the Entity.
3.3a-c Payments to Governments	Conformance	The Entity's payments, as required by its Anti-Corruption Policy, are subject to Applicable Law and tendering contracts. Financial records are maintained for each payment, and financial audits are conducted regularly to ensure that payments and amounts comply with legal requirements. The payments to the government include taxation, social insurance fees, and customs fees. The Entity's Government Payments Statement is available at: <a href="http://www.otto-fuchs.cn/nd.jsp?fromCollId=115&amp;id=46#_np=115_441">http://www.otto-fuchs.cn/nd.jsp?fromCollId=115&amp;id=46#_np=115_441</a>
3.4a-f Stakeholder Complaints, Grievances and Requests for Information	Conformance	The Entity has developed a Whistleblowing Management Policy that addresses consultation, communication and the exchange of information and provides for an appropriate Complaints Resolution Mechanism. The Complaints Resolution Mechanism is publicly disclosed at: <a href="https://www.otto-fuchs.com/en/responsibility/compliance-and-whistleblowing-management.html">https://www.otto-fuchs.com/en/responsibility/compliance-and-whistleblowing-management.html</a>
<b>4. MATERIAL STEWARDSHIP</b>		
4.1a Environmental Life Cycle Assessment	Minor Non-Conformance	The Entity has developed a Product Carbon Footprint verification report for its control arms Products, which analyses carbon emissions from cradle-to-gate.  However, there is no complete Life Cycle Assessment for the Product.
4.1b-c Environmental Life Cycle Assessment - Disclosure	Minor Non-Conformance	The Entity has developed a Product Carbon Footprint that includes the scope and system boundary, an inventory analysis, impact assessment, and description of results.  However, there is no complete Life Cycle Assessment for the Product, and the report has not been disclosed.
4.2 Product Design	Conformance	The Entity has specified the requirements for sustainable Product design. Air emission reduction projects are implemented, and Aluminium chips are compacted to reduce the total volume of waste chips.
4.3a-b Aluminium Process Scrap	Conformance	The Entity's Scrap collection targets have been developed for each process and are assessed regularly. The target for Scrap collection is 100%. A procedure is in place to sort different types of Aluminium Scrap. Aluminium Process Scrap is sent to suppliers for remelting and reuse.
4.4a-c Collection and Recycling of Products at End of Life - Material Conversion and other Manufacturing	Conformance	The Entity has conducted a feasibility analysis on the recycling of End of Life Scrap and chips. The Entity has implemented a recycling strategy and recycling targets and timelines are defined, and an action plan to achieve the targets has been developed. The OTTO FUCHS Recycling Strategy is disclosed at:

CRITERION	RATING	COMMENT
		<a href="http://www.otto-fuchs.cn/col.jsp?id=118">http://www.otto-fuchs.cn/col.jsp?id=118</a>
4.4d Collection and Recycling of Products at End of Life	Conformance	The Entity has signed an agreement with a local recycling company, Liaoning Tongshunfa Recycling Resources Co, Ltd., to collect, sort, and recycle Aluminium Scrap from automobiles at End of Life. In addition, the Entity participates in public training with this partner company to improve awareness of recycling.
<b>5. GREENHOUSE GAS EMISSIONS</b>		
5.1a-b Disclosure of GHG Emissions and Energy Use	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.2a Aluminium Smelter GHG Emissions Intensity - Started production after 2020	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.2b Aluminium Smelter GHG Emissions Intensity - In production up to and including 2020	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.3a-e GHG Emissions Reduction Plans	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.4 GHG Emissions Management	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
<b>6. EMISSIONS, EFFLUENTS AND WASTE</b>		
6.1a-f Emissions to Air	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.2a-g Discharges to Water	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.3a-g Assessment and Management of Spills and Leakages	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.4a-b Public Disclosure of Spills and Leakages	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.5a-c Waste Management and Reporting	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6a-g Bauxite Residue	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7a-f Spent Pot Lining (SPL)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.



CRITERION	RATING	COMMENT
6.8a-d Dross	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
<b>7. WATER STEWARDSHIP</b>		
7.1a-b Water Assessment and Disclosure	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
7.2a-e Water Management	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
<b>8. BIODIVERSITY AND ECOSYSTEM SERVICES</b>		
8.1a Biodiversity and Ecosystem Services Risk and Impact Assessment	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.1b Biodiversity and Ecosystem Services Risk and Impact Assessment - Priority	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.2a-g Biodiversity Management	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.3a-c Management of Priority Ecosystem Services	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.4 Alien Species	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.5a-b Commitment to "No Go" in World Heritage Properties	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.6a-d Protected Areas	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.6e Protected Areas - Bauxite Mining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.7a-i Mine Rehabilitation	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
<b>9. HUMAN RIGHTS</b>		
9.1a-d Human Rights Due Diligence	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.2a-e Gender Equity and Women's Empowerment	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.3a-i Indigenous Peoples	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.4a Free, Prior, and Informed Consent (FPIC) -	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
New Projects or Major Changes		
9.4b Free, Prior, and Informed Consent (FPIC) - Bauxite Mining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.4c Free, Prior, and Informed Consent (FPIC) - Demonstrate support	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.5a Cultural and Sacred Heritage - Identification	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.5b Cultural and Sacred Heritage - Impacts	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.6a-i Displacement	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.7a-h Affected Populations and Organisations	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.8a Conflict-Affected and High-Risk Areas - Strong Management Systems	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.8b Conflict-Affected and High-Risk Areas - Identify and assess risks	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.8c Conflict-Affected and High-Risk Areas - Strategy to respond to risks	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.8d Conflict-Affected and High-Risk Areas - Audit of due diligence	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.8e Conflict-Affected and High-Risk Areas - Report annually	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.
<b>10. LABOUR RIGHTS</b>		
10.1a-c Freedom of Association and Right to Collective Bargaining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.1d Freedom of Association and Right to	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
Collective Bargaining - Alternative means in context of Applicable Law		
10.2a Child Labour	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.3a-c Forced Labour	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.4a-c 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.
10.6a-g Violence and Harassment	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.7a-c Remuneration	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.8a-c Working Time	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
10.9a-b Informing Workers of Rights	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
<b>11. OCCUPATIONAL HEALTH AND SAFETY</b>		
11.1a Occupational Health and Safety (OH&S) Management System	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
11.1b-e Occupational Health and Safety (OH&S) Management System - Reviews and disclosure	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
11.2 Employee engagement on Health and Safety	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

### ASI LIMITATION OF LIABILITY DISCLAIMER

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### DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	11 November 2024	Initial Certification Audit – Full Certification

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