
ASI CERTIFICATION
PERFORMANCE
STANDARD



PRESENTED TO

**AWB
ALUMINIUMWERK
BERLIN GMBH**

CERTIFICATE
NUMBER

208

ASI
STANDARD

PERFORMANCE
STANDARD
(V2 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITOR

TÜV NORD
CERT GmbH

DATE OF ISSUE

13 JULY 2022

DATE OF EXPIRY

12 JULY 2025

CERTIFIED SINCE

13 JULY 2022

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

Production of aluminium extrusions and mechanical
processing (Germany).

SUMMARY AUDIT REPORT

PERFORMANCE STANDARD

OVERVIEW

MEMBER NAME	AWB Aluminiumwerk Berlin GmbH
ENTITY NAME	AWB Aluminiumwerk Berlin GmbH
CERTIFICATION SCOPE	Production of aluminium extrusions and mechanical processing (Germany).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">• Semi-Fabrication• Material Conversion (Production and Transformation)
ASI STANDARD	<ul style="list-style-type: none">• Performance Standard V2
AUDIT TYPE	<ul style="list-style-type: none">• Initial Certification Audit
AUDIT FIRM	TÜV NORD CERT GmbH
AUDIT DATE	<ul style="list-style-type: none">• 29 – 31 March 2022
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">• 13 May 2022
AUDIT SCOPE	<p>The audit scope includes the production of aluminium extrusions and their mechanical processing.</p> <p>The supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">• Semi-Fabrication• Material Conversion (Production and Transformation) <p>All relevant Criteria in the ASI Performance Standard were included in the Audit Scope.</p>
AUDIT OUTCOME	<ul style="list-style-type: none">• Certification
AUDIT METHODOLOGY DECLARATION	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"><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.<input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.

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- 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 13 July 2022 – 12 July 2025

NEXT AUDIT TYPE Re-Certification Audit

NEXT AUDIT DUE DATE 12 July 2025

CERTIFICATE NUMBER 208

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
PRINCIPLE 1 BUSINESS INTEGRITY		
1.1 Legal Compliance	Conformance	The Entity has policies, processes, a Code of Conduct, and guidelines to maintain awareness of and ensure compliance with Applicable Law. The Entity reviews the legal register quarterly.
1.2 Anti-Corruption	Conformance	The Entity works against Corruption in all its forms in accordance with Applicable Law and international standards. The Entity has provided training to staff on business ethics and implements a Code of Conduct which is communicated internally and externally: https://www.awb-alu.com/files/ugd/c34d8b_8385164778a140bfa867e6b62259271e.pdf
1.3 Code of Conduct	Conformance	The Entity has a Code of Conduct, corporate policy and guidelines available for all Stakeholders on the Entity's website. The Code of Conduct is available via the following link: https://www.awb-alu.com/files/ugd/c34d8b_8385164778a140bfa867e6b62259271e.pdf
PRINCIPLE 2 POLICY & MANAGEMENT		
2.1a Environmental, Social, and Governance Policy (implement and maintain)	Conformance	The Entity has an integrated company Policy that is consistent with the environmental, social, and governance practices included in the ASI Performance Standard: https://www.awb-alu.com/files/ugd/c34d8b_c578bd2cc5c54dd4b02ed8a1dd701d1a.pdf
2.1b Environmental, Social, and Governance Policy (senior management)	Conformance	The company Policy and guidelines are approved by management and are reviewed and evaluated annually during the management review: https://www.awb-alu.com/unternehmen
2.1c Environmental, Social, and Governance Policy (communication)	Conformance	The Entity has implemented and maintained up-to-date guidelines and company policies. The guidelines are communicated to internal Stakeholders annually and are available for external Stakeholders.
2.2 Leadership	Conformance	The Entity's Chief Executive Officer (CEO) has overall responsibility and authority for ensuring conformance with the ASI Performance Standard and the provision of sufficient resources to support implementation. The CEO is supported by the local team.

CRITERION	RATING	COMMENT
2.3a Environmental and Social Management Systems (environmental)	Conformance	The Entity has documented and implemented an Environmental Management System according to ISO 14001:2015 and ISO 45001:2018: https://www.awb-alu.com/files/ugd/c34d8b_87572099c4bd4034ab86801c7d2fa143.pdf
2.3b Environmental and Social Management Systems (social)	Conformance	The Entity has implemented a Social Management System and revised its social and environmental responsibility policy to align it with the requirements of the ASI Performance Standard: https://www.awb-alu.com/files/ugd/c34d8b_4f1e544cb0c54a50bbebd2b2afb866a3.pdf
2.4 Responsible Sourcing	Conformance	The Entity's Supplier Code is communicated to the relevant suppliers. A responsible sourcing process is implemented and part of the general purchasing processes.
2.5 Impact Assessments	Conformance	The Entity regularly conducts Impact Assessments for Major Changes and projects, where the process is described in the Company Manual.
2.6 Emergency Response Plan	Conformance	The Entity is ISO 14001:2015 and ISO 45001:2018 certified and has a well implemented Emergency Response Plan.
2.7 Mergers and Acquisitions	Conformance	The Entity did not undergo or plan a merger or acquisition. If a merger or acquisition is planned in the future a Due Diligence process will consider environmental, social and governance practices.
2.8 Closure, Decommissioning and Divestment	Conformance	Closure and decommissioning are regulated and defined by German law and private contracts. Closure and decommissioning requirements of the ASI Performance Standard are the responsibility of the CEO.
PRINCIPLE 3 TRANSPARENCY		
3.1 Sustainability Reporting	Conformance	The Entity has prepared an annual Sustainability Report and disclosed information on its material environmental, social, and economic impacts, objectives, and action plans: https://www.awb-alu.com/files/ugd/c34d8b_90537758b0fd4e70a32329f1a0ee59ac.pdf
3.2 Non-compliance and liabilities	Conformance	The Entity discloses information on fines, judgements, penalties and non-monetary sanctions for non-compliance in the Sustainability Report, page 31:

CRITERION	RATING	COMMENT
		https://www.awb-alu.com/files/ugd/c34d8b_90537758b0fd4e70a32329f1a0ee59ac.pdf There have been no non-compliances recorded or any indication of violations.
3.3a Payments to governments (legal and contractual)	Conformance	The Entity did not make any payments to governments. The Entity is committed to complying with all Applicable Laws in Germany.
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	Stakeholders have the opportunity to submit complaints, grievances and requests for information in person or online to the Human Resources Department or directly to management.
PRINCIPLE 4 MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment (life cycle impacts)	Conformance	The Entity has undertaken a Life Cycle Assessment (LCA) in accordance with ISO 14040 and ISO 14044.
4.1b Environmental Life Cycle Assessment (cradle to gate)	Conformance	The Entity has undertaken a cradle-to-gate LCA that can be provided to customers upon request.
4.1c Environmental Life Cycle Assessment (public communication)	Conformance	The Entity provides information on the LCA data in the Sustainability Report, page 24: https://www.awb-alu.com/files/ugd/c34d8b_90537758b0fd4e70a32329f1a0ee59ac.pdf
4.2 Product design	Not Applicable	The Criterion is not applicable as there are no design and development processes at the Entity, as all specifications come from the customer.
4.3a Aluminium Process Scrap (targets)	Conformance	The Entity has implemented a project to minimise the generation of Aluminium Process Scrap. 100% of the aluminium waste generated is returned to the supplier.
4.3b Aluminium Process Scrap (alloy separation)	Not Applicable	The Criterion is not applicable as there is only one alloy used, therefore separation is not required.
4.4a Collection and recycling of products at end-of-life (strategy)	Conformance	The Entity has an Aluminium recycling strategy and complies with local laws to separate wastes. Waste balances are maintained as part of the ISO 14001 system.
4.4b Collection and recycling of products at end-of-life (engagement)	Conformance	The Entity complies with German legislation on waste and participates in local and national collection and recycling systems.

CRITERION	RATING	COMMENT
PRINCIPLE 5 GREENHOUSE GAS EMISSIONS		
5.1 Disclosure of GHG emissions and energy use	Conformance	The Entity has disclosed its Greenhouse Gas (GHG) Emissions and energy consumption in the Sustainability Report, page 24: https://www.awb-alu.com/files/ugd/c34d8b_90537758b0fd4e70a32329f1a0ee59ac.pdf
5.2 GHG emissions reductions	Conformance	The Entity is certified in accordance with ISO 50001:2018 and ISO 14001:2015. Emission targets are documented and monitored, and the Entity has implemented improvement projects to reduce energy and gas consumption. The Entity documents the target to reduce CO ₂ emissions in the Sustainability Report: https://www.awb-alu.com/files/ugd/c34d8b_90537758b0fd4e70a32329f1a0ee59ac.pdf For further information refer to the following link: https://www.awb-alu.com/kopie-von-unterseite-nachhaltigkeit
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	The Entity has implemented programs to reduce emissions as part of the Environmental Management System. Emissions are reported annually in the Sustainability Report, page 25: https://www.awb-alu.com/files/ugd/c34d8b_90537758b0fd4e70a32329f1a0ee59ac.pdf
6.2 Discharges to Water	Conformance	The Entity has monitored wastewater discharges and complies with its permit. The Entity has reported its Discharges to Water in the Sustainability Report, page 21: https://www.awb-alu.com/files/ugd/c34d8b_90537758b0fd4e70a32329f1a0ee59ac.pdf

CRITERION	RATING	COMMENT
6.3a Assessment and Management of Spills and Leakage (assessment)	Conformance	The Entity has conducted an assessment of the major risk areas where Spills and Leakage may contaminate air, water and/or soil, as part of the Environmental Management System.
6.3b Assessment and Management of Spills and Leakage (management)	Conformance	The Entity has conducted a risk assessment and implemented an Emergency Plan in accordance with Applicable Law. There is no evidence of Spills or Leakages.
6.4a Reporting of Spills (immediate disclosure)	Conformance	The Entity has defined the reporting of Spills in the Emergency Plan.
6.4b Reporting of Spills (regular reporting)	Conformance	The Entity has defined the reporting of Spills in the Emergency Plan and discloses Spills and the remedial action taken in the Sustainability Report. There were no releases in 2021.
6.5a Waste management and reporting (strategy)	Conformance	The Entity has a waste management strategy that is designed according to the Waste Mitigation Hierarchy and as prescribed by German law.
6.5b Waste management and reporting (disclosure)	Conformance	The Entity has reported its waste management, as required by German law and as part of the Environmental Management System, in the Sustainability Report, page 26: https://www.awb-alu.com/files/ugd/c34d8b_90537758b0fd4e70a32329f1a0ee59ac.pdf
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)	Conformance	The Entity has mapped its water balance and water withdrawal and use are monitored and documented.
7.1b Water assessment (risk assessment)	Conformance	The Entity has assessed its water-related risks. For further information refer to the Sustainability Report: https://www.awb-alu.com/files/ugd/c34d8b_90537758b0fd4e70a32329f1a0ee59ac.pdf
7.2a Water management (management plans)	Not Applicable	This Criterion is not applicable, as water-related risks are considered to be low.
7.2b Water management (monitoring)	Not Applicable	This Criterion is not applicable, as water-related risks are considered to be low.
7.3 Disclosure of water usage and risks	Conformance	The Entity has described its water withdrawal and use and disclosed that there are no material water-related risks, in the Sustainability Report, page 21: https://www.awb-alu.com/files/ugd/c34d8b_90537758b0fd4e70a32329f1a0ee59ac.pdf

PRINCIPLE 8 BIODIVERSITY

8.1 Biodiversity assessment	Conformance	The authorities have assessed the risks and materiality of impacts on Biodiversity from land use and activities within the Entity's Area of Influence. The Entity is located in a protected area. For further information refer to the Sustainability Report, page 22:
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CRITERION	RATING	COMMENT
		https://www.awb-alu.com/files/ugd/c34d8b_90537758b0fd4e70a32329f1a0ee59ac.pdf
8.2a Biodiversity management (biodiversity action plans)	Conformance	The Entity has implemented a Biodiversity Action Plan. Measures for the protection of ecosystems, habitats and species are defined in cooperation with the authority and their implementation is monitored by the authority. For further information refer to the Sustainability Report, page 22: https://www.awb-alu.com/files/ugd/c34d8b_90537758b0fd4e70a32329f1a0ee59ac.pdf
8.2b Biodiversity management (consultation and mitigation hierarchy)	Conformance	The Biodiversity Plan is implemented in consultation with the relevant authorities.
8.2c Biodiversity management (reporting)	Conformance	The outcomes of the biodiversity assessment are published in the Sustainability Report, pages 22-23: https://www.awb-alu.com/files/ugd/c34d8b_90537758b0fd4e70a32329f1a0ee59ac.pdf
8.3 Alien Species	Conformance	The Entity does not receive goods from other continents.
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)	Conformance	The Entity has defined and implemented a Code of Conduct and communicated it to employees. https://www.awb-alu.com/files/ugd/c34d8b_8385164778a140bfa867e6b62259271e.pdf The Entity has defined and implemented a declaration on Human Rights:

CRITERION	RATING	COMMENT
		https://www.awb-alu.com/files/ugd/c34d8b_c578bd2cc5c54dd4b02ed8a1dd701d1a.pdf
9.1b Human Rights Due Diligence (process)	Conformance	The Entity has established a Human Rights Due Diligence process and Human Rights impacts are assessed by a risk based approach.
9.1c Human Rights Due Diligence (remediation)	Conformance	The Entity has assessed Human Rights impacts using a risk based approach. The Entity has not identified any major impacts on Human Rights.
9.2 Women's Rights	Conformance	The Entity has created a Code of Conduct and Human Rights Policy that integrates women's rights. These instruments are communicated to employees.
9.3 Indigenous Peoples	Not Applicable	This Criterion is not applicable as there are no Indigenous Peoples as part of the Certification Scope.
9.4 Free, Prior, and Informed Consent (FPIC)	Not Applicable	This Criterion is not applicable as there are no Indigenous Peoples as part of the Certification Scope.
9.5 Cultural and sacred heritage	Not Applicable	This Criterion is not applicable as there is no cultural and sacred heritage as part of the Facility's Certification Scope.
9.6a Resettlements (avoid or minimise)	Not Applicable	This Criterion is not applicable as there is no Resettlement necessary.
9.6b Resettlements (where unavoidable)	Not Applicable	This Criterion is not applicable as there is no Resettlement necessary.
9.7a Local Communities (rights and interests)	Not Applicable	This Criterion is not applicable as the outcome of the stakeholder mapping exercise did not identify the presence of issues affecting Local Communities.
9.7b Local Communities (impacts)	Not Applicable	This Criterion is not applicable as the Entity did not identify the presence of issues affecting Local Communities.
9.7c Local Communities (livelihoods)	Not Applicable	This Criterion is not applicable as the Entity did not identify the presence of issues affecting Local Communities.
9.8 Conflict-Affected and High-Risk Areas	Conformance	The Entity has implemented a process to ensure it does not source any material from Conflict-Affected and High-Risk Areas.
9.9 Security practice	Not Applicable	The Entity does not cooperate with public or private security services.

CRITERION	RATING	COMMENT
PRINCIPLE 10 LABOUR RIGHTS		
10.1a Freedom of Association and Right to Collective Bargaining (freedom of association)	Conformance	The Entity complies with German law with regard to the formation of Workers' councils and Trade Unions.
10.1b Freedom of Association and Right to Collective Bargaining (collective bargaining)	Conformance	The Entity adheres to the current, federally negotiated Collective Bargaining agreements for the Aluminium industry.
10.1c Freedom of Association and Right to Collective Bargaining (alternative means)	Not Applicable	This Criterion is not applicable as there is no restriction to Freedom of Association and Collective Bargaining in Germany.
10.2a Child Labour (minimum age)	Conformance	Child Labour is prohibited in Germany. Employees and managers are aware of these legal regulations and the Human Resources Department ensures compliance.
10.2b Child Labour (hazardous)	Conformance	Child Labour is prohibited in Germany. Employees and managers are aware of these legal regulations. Young Workers (from the age of 15 to 18 years) are under special protection by law and are not allowed to work in hazardous working conditions.
10.2c Child Labour (worst forms)	Conformance	Child Labour is prohibited in Germany. Employees and managers are aware of these legal regulations.
10.3a Forced Labour (human trafficking)	Conformance	The Entity's policies and local laws prohibit Forced Labour and the Entity does not engage in or support Human Trafficking.
10.3b Forced Labour (deposits, fees, advances)	Conformance	The Entity's policies and local laws prohibit Forced Labour and the Entity does not require any form of deposit, fee or advance from Workers.
10.3c Forced Labour (migrant workers)	Conformance	The Entity's policies and local laws prohibit Forced Labour and the Entity does not require Migrant Workers to lodge deposits or security payments.
10.3d Forced Labour (debt bondage)	Conformance	The Entity's policies and local laws prohibit Forced Labour and the Entity does not hold Workers in Debt Bondage.
10.3e Forced Labour (freedom of movement)	Conformance	The Entity's policies and local laws prohibit Forced Labour and the Entity does not restrict movement at the workplace.
10.3f Forced Labour (retention of identity papers, permits, certificates)	Conformance	The Entity's policies and local laws prohibit Forced Labour and the Entity does not retain Workers' original documents, only copies are held.

CRITERION	RATING	COMMENT
10.3g Forced Labour (freedom to terminate employment)	Conformance	The Entity's policies and local laws prohibit Forced Labour and the Entity does not deny Workers the freedom to terminate their employment. The time of termination of employment is regulated by law and documented in the employment contracts.
10.4 Non-Discrimination	Conformance	The Entity's policies and local laws are in place to avoid Discrimination.
10.5 Communication and engagement	Conformance	The Entity's policies and local laws are in place to provide open communication and direct engagement. Various meetings, including shift handover and Occupational Health and Safety (OH&S) Committee, allow engagement on working conditions and resolution of issues.
10.6 Disciplinary practices	Conformance	The Entity does not engage in any form of employee harassment and, when appropriate, implements disciplinary action as required by law against misconduct.
10.7a Remuneration (living wage)	Conformance	The Entity pays wages in accordance with the Collective Bargaining agreement.
10.7b Remuneration (method of payment)	Conformance	The Entity makes all payments on time. Payments are documented and submitted at the end of the month directly to the employees' bank accounts.
10.8 Working Time	Conformance	Working hours are recorded electronically and consider all specifications according to German law.
PRINCIPLE 11 OCCUPATIONAL HEALTH AND SAFETY		
11.1a Occupational Health and Safety (OH&S) Policy (policy)	Conformance	The Entity is certified in accordance with ISO 45001:2018 and has published its integrated company Policy: https://www.awb-alu.com/unternehmen
11.1b Occupational Health and Safety (OH&S) Policy (workers and visitors)	Conformance	The Entity has an ISO 45001:2018 certified Occupational Health and Safety Management System that ensures Workers and visitors comply with the respective guidelines.
11.1c Occupational Health and Safety (OH&S) Policy (applicable law and standards)	Conformance	The Entity has an integrated company Policy which includes a commitment to comply with Applicable Law and the ILO Occupational Health and Safety Convention.
11.1d Occupational Health and Safety (OH&S) Policy (right to stop unsafe work)	Conformance	The Entity has an Occupational Safety Guide which defines the legal right that every employee has the right to refuse unsafe work.

CRITERION	RATING	COMMENT
11.2 OH&S Management System	Conformance	The Entity has implemented an Occupational Health and Safety Management System and holds a valid ISO 45001:2018 certificate. https://www.awb-alu.com/files/ugd/c34d8b_4f1e544cb0c54a50bbebd2b2afb866a3.pdf
11.3 Employee engagement on health and safety	Conformance	The Entity has an Occupational Health and Safety Committee that meets every month.
11.4 OH&S performance	Conformance	The Entity is certified in accordance with ISO 45001:2018 and reports its OH&S targets and performance.

Document Control and Version History

Revision	Date	Notes
0	13 July 2022	Initial Certification Audit – Full Certification