

# ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

# JIANGSU DINGSHENG NEW MATERIALS JOINT- STOCK CO., LTD

CERTIFICATE  
NUMBER

51

ASI  
STANDARD

PERFORMANCE  
STANDARD  
(V2 2017)

CERTIFICATION  
LEVEL

FULL  
CERTIFICATION

ASI  
ACCREDITED  
AUDITOR

SGS-CSTC  
STANDARDS  
TECHNICAL  
SERVICES

DATE OF ISSUE

8 DECEMBER 2019

DATE OF EXPIRY

7 DECEMBER 2022

CERTIFIED SINCE

8 DECEMBER 2019

AUTHORISED BY

A stylized, handwritten signature in black ink, appearing to be 'J. He'.

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

CERTIFICATION SCOPE

Re-melting, continuous casting, cold rolling, coating, slitting and oxidation process for the manufacture of aluminium alloy sheets, strips and aluminium alloy foils at Jiangsu Dingsheng New Materials Joint-Stock Co.,Ltd (China), Hangzhou Five Star Aluminium Co.,Ltd (China) and Hangzhou Teemful Aluminium Industry Co., Ltd (China).

# SUMMARY AUDIT REPORT

## PERFORMANCE

## STANDARD

### OVERVIEW

MEMBER NAME	Jiangsu Dingsheng New Materials Joint-Stock Co., Ltd
ENTITY NAME	Jiangsu Dingsheng New Materials Joint-Stock Co., Ltd
CERTIFICATION SCOPE	Re-melting, continuous casting, cold rolling, coating, slitting and oxidation process for the manufacture of aluminium alloy sheets, strips and aluminium alloy foils at Jiangsu Dingsheng New Materials Joint-Stock Co.,Ltd (China), Hangzhou Five Star Aluminium Co.,Ltd (China) and Hangzhou Teemful Aluminium Industry Co., Ltd (China)
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>• Casthouse</li><li>• Semi-Fabrication</li><li>• Aluminium Re-melting/Refining</li><li>• Material Conversion</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>• Surveillance Audit</li></ul>
AUDIT FIRM	SGS-CSTC Standards Technical Services
AUDIT DATE	5 . 15 August 2019 (Initial Certification Audit) 28 . 30 June 2020 (Surveillance Audit)
AUDIT REPORT SUBMISSION	26 September 2019 (Initial Certification Audit) 3 September 2020 (Surveillance Audit)
AUDIT SCOPE	<p>Re-melting, continuous casting, cold rolling, coating, slitting and oxidation process for the manufacture of aluminium alloy sheets, strips and aluminium alloy foils at Jiangsu Dingsheng New Materials Joint-Stock Co.,Ltd (China), Hangzhou Five Star Aluminium Co.,Ltd (China) and Hangzhou Teemful Aluminium Industry Co., Ltd (China).</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"><li>• Casthouse</li><li>• Semi-Fabrication</li><li>• Aluminium Re-melting/Refining</li></ul>

	<ul style="list-style-type: none"> <li>Material Conversion</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>
CERTIFICATION PERIOD	8 December 2019 . 7 December 2022
NEXT AUDIT TYPE	Surveillance Audit
NEXT AUDIT DUE DATE	7 December 2021
CERTIFICATE NUMBER	51

## SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
PRINCIPLE 1 BUSINESS INTEGRITY		
1.1 Legal Compliance	Conformance	<p>The Entity have systems in place to maintain awareness of and ensure compliance with Applicable Law. For example:</p> <ol style="list-style-type: none"> <li>1. The Entity has established procedure to identify appropriate laws about EHS.</li> <li>2. The Entity carried out compliance evaluation per a year.</li> <li>3. The Entity hired the external law firms to provide advice while needs.</li> <li>4. Verified the following official website, no no-compliance information about this Entity was found. <a href="http://www.gsxt.gov.cn/">http://www.gsxt.gov.cn/</a></li> </ol>
1.2 Anti-Corruption	Conformance	<p>The Entity has established the procedure to implement anti-corruption. This procedure was updated on 2018/10/25. And the Entity has established different actions to monitor the anti-corruption, such as set tip-off hotline, questionnaire investigation etc.</p>
1.3 Code of Conduct	Conformance	<p>The Entity has published a Code of Conduct including principles relevant to environmental, social and governance performance. It can be found following:</p> <p><a href="http://www.dingshengxincai.com/about.aspx?CaId=73">http://www.dingshengxincai.com/about.aspx?CaId=73</a></p>
PRINCIPLE 2 POLICY & MANAGEMENT		
2.1a Environmental, Social, and Governance Policy (implement and maintain)	Conformance	<p>The environmental, social, and governance practices policies was established and signed off by top management, which was published on the board in every plant and it can be found as below :</p> <p><a href="http://www.dingshengxincai.com">http://www.dingshengxincai.com</a> .</p>
2.1b Environmental, Social, and Governance Policy (senior management)	Conformance	<p>The Environmental, Social, and Governance policy has been approved by president, and it would be reviewed per one year. And it can be found as below :</p> <p><a href="http://www.dingshengxincai.com">http://www.dingshengxincai.com</a> .</p>
2.1c Environmental, Social, and Governance Policy (communication)	Conformance	<p>The Entity has communicated the Policies internally, and externally as appropriate. The ESG was published on the board in every plant and it can be found following:</p> <p><a href="http://www.dingshengxincai.com/about.aspx?CaId=73">http://www.dingshengxincai.com/about.aspx?CaId=73</a></p>

CRITERION	RATING	COMMENT
2.2 Leadership	Conformance	The Entity nominated senior management representative, assistant to the president as having overall responsibility and authority for ensuring conformance with the requirements of this standard. And appointed one senior manager as vice management representative for Zhenjiang Dingshen, and other senior manager was appointed as vice management representative for Hangzhou Five Star aluminium Co., Ltd./Hangzhou Teemful Aluminum Industry Co., Ltd.
2.3a Environmental and Social Management Systems (environmental)	Conformance	The Entity has documented and implemented integrated Environmental Management Systems.
2.3b Environmental and Social Management Systems (social)	Conformance	The Entity has documented and implemented the integrated management system. The Entity obtained ISO 9001, ISO 14001, OHAS 18001 certificate. The Entity documented and implemented social management systems.
2.4 Responsible Sourcing	Conformance	The Entity implemented a responsible sourcing policy covering environmental, social and governance issues. Implementation of the responsible sourcing policy includes a supplier evaluation checklist. The suppliers audit plan has also been established.
2.5 Impact Assessments	Conformance	The Entity has conducted environmental, social, cultural and Human Rights Impact Assessments, including a gender analysis, for new projects or major changes to existing facilities. This process was applied to the ongoing installation of environmental protection facilities for its waste gas treatment.
2.6 Emergency Response Plan	Conformance	The Entity has passed the ISO 14001:2015 and OHSAS 18001:2007 certification. The Entity have site specific emergency response plans developed in collaboration with potentially affected stakeholders groups such as Communities, Workers and their representatives, and relevant agencies.
2.7 Mergers and Acquisitions	Conformance	The Entity has established the procedure of mergers and acquisitions, such as carrying due diligence. From 1/Jan/2018 to now, no mergers and acquisitions were happened. This information can be verified on following: <a href="http://www.cninfo.com.cn/">http://www.cninfo.com.cn/</a>

CRITERION	RATING	COMMENT
2.8 Closure, Decommissioning and Divestment	Conformance	<p>The Entity would review environmental, social and governance issues in the planning process for closure, decommissioning and divestment. If the Entity has closure, decommissioning and divestment, they would be publicly announced on the site:</p> <p><a href="http://www.cninfo.com.cn/new/disclosure/stock?orgId=9900035545&amp;stockCode=603876#">http://www.cninfo.com.cn/new/disclosure/stock?orgId=9900035545&amp;stockCode=603876#</a> as required.</p>
PRINCIPLE 3 TRANSPARENCY		
3.1 Sustainability Reporting	Conformance	<p>The Entity publicly disclosed its governance approach and its material environmental, social and economic impacts. The sustainability development report can be found on the Entity official website. Sustainability Development Report of 2018, issued on website:</p> <p><a href="http://www.dingshengxincai.com/Upload/ueditor/files/2019-08-02/鼎胜新材可持续发展报告-15bea324-204c-4ff8-a273-a8bc3ce365bf.pdf">http://www.dingshengxincai.com/Upload/ueditor/files/2019-08-02/鼎胜新材可持续发展报告-15bea324-204c-4ff8-a273-a8bc3ce365bf.pdf</a></p> <p>The Sustainability Development Report of 2018 could be found on following</p> <p><a href="http://www.dingshengxincai.com/Upload/ueditor/files/2019-07-26/附件：杭州五星铝业有限公司2018年可持续发展报告-d12a9623-6d2e-4bb9-8eec-0ba1e2ba3d15.pdf">http://www.dingshengxincai.com/Upload/ueditor/files/2019-07-26/附件：杭州五星铝业有限公司2018年可持续发展报告-d12a9623-6d2e-4bb9-8eec-0ba1e2ba3d15.pdf</a></p>
3.2 Non-compliance and liabilities	Conformance	<p>No significant fines, judgments, penalties and non-monetary sanctions for failure to comply with Applicable Law in 2018 and 2019.</p>
3.3a Payments to governments (legal and contractual)	Conformance	<p>The Entity only has made on its behalf, payments to governments on a legal and/or contractual basis (see Financial report of 2018 and Q1 of 2019). As a listed company, Entity's financial statements are required to be audited by accounting firm, the audited report of 2018 year was published on the</p> <p><a href="http://static.cninfo.com.cn/finalpage/2019-04-27/1206123510.PDF">http://static.cninfo.com.cn/finalpage/2019-04-27/1206123510.PDF</a> .</p> <p>The tax payable was in the page 21 of 2018 financial statements report and in the page 10 of following report of Q1 2019</p> <p><a href="http://www.cninfo.com.cn/new/disclosure/detail?plate=sse&amp;stockCode=603876&amp;announcementId=1206123459&amp;announcementTime=2019-04-27">http://www.cninfo.com.cn/new/disclosure/detail?plate=sse&amp;stockCode=603876&amp;announcementId=1206123459&amp;announcementTime=2019-04-27</a></p>

CRITERION	RATING	COMMENT
3.3b Payments to governments (disclosure . bauxite mining)	Not Applicable	This criterion is not applicable to the Entity's Certification Scope.
3.4 Stakeholder complaints, grievances and requests for information	Conformance	The Entity has an accessible complaints resolution mechanism in place, as evidenced in their Community Communication Management Procedure and the Complaints control procedure. Complaints can be made via the contact details available on the website: <a href="http://www.dingshengxincai.com/contact.aspx?CatelId=86">http://www.dingshengxincai.com/contact.aspx?CatelId=86</a>
PRINCIPLE 4 MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment (life cycle impacts)	Conformance	The Entity has evaluated life cycle impacts of its major product lines.
4.1b Environmental Life Cycle Assessment (cradle to gate)	Conformance	If customer request, the Entity shall provide adequate cradle-to-gate Life Cycle Assessment (LCA) information on its Aluminium (containing) product(s).
4.1c Environmental Life Cycle Assessment (public communication)	Conformance	The Entity has published the communication of LCA in the section 4.4.2 of <a href="http://www.dingshengxincai.com/Upload/ueditor/files/2019-08-14/附件%EF%BC%9A杭州五星铝业有限公司2018年可持续发展报告-69e473cc-2c63-4c53-85e5-dd0db1dc13af.pdf">http://www.dingshengxincai.com/Upload/ueditor/files/2019-08-14/附件%EF%BC%9A杭州五星铝业有限公司2018年可持续发展报告-69e473cc-2c63-4c53-85e5-dd0db1dc13af.pdf</a>
4.2 Product design	Conformance	The Entity set and thought about the clear objective during the development the process to enhance sustainability, including the environmental life cycle impacts of the end product.
4.3a Aluminium Process Scrap (targets)	Conformance	The Entity set the rolling yield as KPI on the operation control. And all aluminium process scrap was collected to input the aluminum re-melting process.
4.3b Aluminium Process Scrap (alloy separation)	Conformance	The Entity separated Aluminium alloys and grades for recycling.
4.4a Collection and recycling of products at end-of-life (strategy)	Conformance	The Entity has established the recycling strategy with objectives for the next three years, and the Entity is supporting a program with the Aluminium Resource Reuse Research Institute to research and develop new application technology for recycled aluminium.

CRITERION	RATING	COMMENT
4.4b Collection and recycling of products at end-of-life (engagement)	Conformance	An aluminium recycling strategy is in place. The set goals are fulfilled and thus a continuous increase of the recycling rate is aimed for.
PRINCIPLE 5 GREENHOUSE GAS EMISSIONS		
5.1 Disclosure of GHG emissions and energy use	Conformance	<p>The Entity has issued the Y2018 GHG emissions and energy use report and published on the website as below:  <a href="http://www.dingshengxincai.com/Upload/ueditor/files/2019-08-14/附件：杭州五星铝业有限公司2018年碳排放报告-7d3660a1-11bc-4b24-98c8-87b47eaf3e23.pdf">http://www.dingshengxincai.com/Upload/ueditor/files/2019-08-14/附件：杭州五星铝业有限公司2018年碳排放报告-7d3660a1-11bc-4b24-98c8-87b47eaf3e23.pdf</a></p> <p>And page 7 of  <a href="http://www.dingshengxincai.com/Upload/ueditor/files/2019-07-01/鼎胜新材2018年温室气体排放报告-ea834a89-98a2-4e81-bce0-fa82ce5f65fb.pdf">http://www.dingshengxincai.com/Upload/ueditor/files/2019-07-01/鼎胜新材2018年温室气体排放报告-ea834a89-98a2-4e81-bce0-fa82ce5f65fb.pdf</a></p>
5.2 GHG emissions reductions	Minor Non-Conformance	The Entity did not publish time-bound GHG emissions reduction targets for the 2020 year, however did so for 2019.
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	<p>The Entity quantified and reported Emissions to Air that have adverse effects on the environment and implemented plans to minimize these adverse impacts. The emissions to air was tested via entrusting tripartite per a quarter, this information was published on the official website as below:  <a href="http://www.dingshengxincai.com/about.aspx?Ca telid=73">http://www.dingshengxincai.com/about.aspx?Ca telid=73</a> and  <a href="http://www.dingshengxincai.com/about.aspx?Ca telid=">http://www.dingshengxincai.com/about.aspx?Ca telid=</a></p>
6.2 Discharges to Water	Conformance	The Entity quantified and reported Discharges to Water that have adverse effects on humans or the environment, and implemented plans to minimize these adverse impacts. The Entity has



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		published the waste water treatment method as below: <a href="http://www.dingshengxincai.com/about.aspx?Ca tel d=76">http://www.dingshengxincai.com/about.aspx?Ca tel d=76</a> and <a href="http://www.dingshengxincai.com/about.aspx?Ca tel d=73">http://www.dingshengxincai.com/about.aspx?Ca tel d=73</a>
6.3a Assessment and Management of Spills and Leakage (assessment)	Conformance	The Entity has entrusted tripartite to issue the Emergency response plan to environmental event, the spills and leakage risk has identified and evaluated in this plan. And the emergence response has been defined in this plan. And this plan was registered in the local government.
6.3b Assessment and Management of Spills and Leakage (management)	Conformance	The Entity has established the emergency response plan which include external communication processes and the emergency response plan were registered in the local authorities according to national laws. The emergency response plan register number were No. 321102-2015-005-M and 330110-2018-086-L.
6.4a Reporting of Spills (immediate disclosure)	Conformance	The emergency response plan to environmental event has defined how to report to affected parties included local community, neighbours and local government, while the environmental event happened. All information about environmental would be release on the office website as below <a href="http://www.dingshengxincai.com/about.aspx?Ca tel d=73">http://www.dingshengxincai.com/about.aspx?Ca tel d=73</a> . There has not been any significant spill to report.
6.4b Reporting of Spills (regular reporting)	Conformance	The Entity would publicly disclose Impact Assessments of the Spills and remediation actions taken, and report publicly on an annual basis. All information about environmental would be published on the office website as below <a href="http://www.dingshengxincai.com">http://www.dingshengxincai.com</a> . Till now, no spills were happened.
6.5a Waste management and reporting (strategy)	Conformance	Solid waste management procedure was defined treatment process of the solid waste including hazardous and non-hazardous. The quantities and the treatment programme were published on the board at the door of the Entity per quarter. For example, hazardous was transferred to qualified suppliers; process scraps were collected to re-melting. The non-

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		hazardous were domestic waste and dross raised in the process. Maximise the recovery of Aluminium by treatment of Dross and Dross residues. And the proportion of recovery of aluminium from dross was recorded.
6.5b Waste management and reporting (disclosure)	Conformance	The quantities of annual quantity of hazardous and non-hazardous waste generated by the Entity and disposal methods are reported in the section on solid waste information of webpage <a href="http://www.dingshengxincai.com/about.aspx?CatId=73">http://www.dingshengxincai.com/about.aspx?CatId=73</a> .
6.6a Bauxite Residue (storage construction)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.6b Bauxite Residue (integrity checks and controls)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.6c Bauxite Residue (water discharge)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.6d Bauxite Residue (marine and aquatic environments)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.6e Bauxite Residue (start of the art technologies)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.6f Bauxite Residue (remediation)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.7a Spent Pot Lining (SPL) (storage and management)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.7b Spent Pot Lining (SPL) (recovery and recycling)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.7c Spent Pot Lining (SPL) (Untreated SPL)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.7d Spent Pot Lining (SPL) (review of alternatives)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.7e Spent Pot Lining (SPL) (marine and aquatic environments)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.8a Dross (recovery)	Conformance	The Entity tried to maximise the recovery of aluminium by treatment of dross and dross residues and the production recorded the recovery result to improve it. The Entity established KPI to monitor the production

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		department 100% recovery aluminium to re-melting.
6.8b Dross (recycling)	Conformance	All treated dross residues were transferred to others to reuse.
6.8c Dross (review of alternatives)	Not Applicable	It is not applicable because there is no landfilling taking place.
PRINCIPLE 7 WATER STEWARDSHIP		
7.1a Water assessment (mapping)	Conformance	<p>The Entity identified and map its water withdrawal and use by source and type on the section 1.7 of the Entity's sustainability report as below</p> <p><a href="http://www.dingshengxincai.com/Upload/ueditor/files/2019-08-14/附件%EF%BC%9A杭州五星铝业有限公司2018年可持续发展报告-69e473cc-2c63-4c53-85e5-dd0db1dc13af.pdf">http://www.dingshengxincai.com/Upload/ueditor/files/2019-08-14/附件%EF%BC%9A杭州五星铝业有限公司2018年可持续发展报告-69e473cc-2c63-4c53-85e5-dd0db1dc13af.pdf</a></p> <p>Section 2.1.2 of following sustainability report <a href="http://www.dingshengxincai.com/Upload/ueditor/files/2019-08-02/鼎胜新材可持续发展报告-15bea324-204c-4ff8-a273-a8bc3ce365bf.pdf">http://www.dingshengxincai.com/Upload/ueditor/files/2019-08-02/鼎胜新材可持续发展报告-15bea324-204c-4ff8-a273-a8bc3ce365bf.pdf</a></p>
7.1b Water assessment (risk assessment)	Conformance	<p>The water-related risks in Watersheds in the Entity's Area of Influence has been identified on the section 2.1.2 of following sustainability report <a href="http://www.dingshengxincai.com/Upload/ueditor/files/2019-08-02/鼎胜新材可持续发展报告-15bea324-204c-4ff8-a273-a8bc3ce365bf.pdf">http://www.dingshengxincai.com/Upload/ueditor/files/2019-08-02/鼎胜新材可持续发展报告-15bea324-204c-4ff8-a273-a8bc3ce365bf.pdf</a> and on the section 1.7 of the Entity's sustainability report as below</p> <p><a href="http://www.dingshengxincai.com/Upload/ueditor/files/2019-08-14/附件%EF%BC%9A杭州五星铝业有限公司2018年可持续发展报告-69e473cc-2c63-4c53-85e5-dd0db1dc13af.pdf">http://www.dingshengxincai.com/Upload/ueditor/files/2019-08-14/附件%EF%BC%9A杭州五星铝业有限公司2018年可持续发展报告-69e473cc-2c63-4c53-85e5-dd0db1dc13af.pdf</a></p>
7.2a Water management (management plans)	Conformance	<p>The Entity has established water management plans with time-bound targets such as below:</p> <p>1. The Entity monitored the waste water to ensure the discharge meet the standard. <a href="http://www.dingshengxincai.com/Upload/ueditor/files/2018-12-29/鼎胜新材2018年土壤及地下水自行监测报告-8b5d67bb-dd61-4504-b67c-8f545c93e66d.pdf">http://www.dingshengxincai.com/Upload/ueditor/files/2018-12-29/鼎胜新材2018年土壤及地下水自行监测报告-8b5d67bb-dd61-4504-b67c-8f545c93e66d.pdf</a> and <a href="http://www.dingshengxincai.com/about.aspx?CatId=73">http://www.dingshengxincai.com/about.aspx?CatId=73</a> .</p>

CRITERION	RATING	COMMENT
		<p>2. 2 The Entity established the action plan to reduce daily water consumption to 2500 tons/day in the end of 2019 year.</p> <p>3. 3 The waste water was discharged to the municipal sewage plant according to discharge licence.</p> <p>4. 4 Established the action plan such as upgrade wastewater treatment station before the end of 2019 year to reduce the waste water discharge to 1000 Tons/Day.</p>
7.2b Water management (monitoring)	Conformance	<p>The Entity monitored the effectiveness of the plan. The Entity monitored the waste water to ensure the discharge meet the standard.</p> <p><a href="http://www.dingshengxincai.com/Upload/ueditor/files/2018-12-29/鼎胜新材2018年土壤及地下水自行监测报告-8b5d67bb-dd61-4504-b67c-8f545c93e66d.pdf">http://www.dingshengxincai.com/Upload/ueditor/files/2018-12-29/鼎胜新材2018年土壤及地下水自行监测报告-8b5d67bb-dd61-4504-b67c-8f545c93e66d.pdf</a> and</p> <p><a href="http://www.dingshengxincai.com/about.aspx?Ca teld=73">http://www.dingshengxincai.com/about.aspx?Ca teld=73</a></p>
7.3 Disclosure of water usage and risks	Conformance	<p>The Entity has issued the balance of water usage report, which reported the water usage. This report might be found on the official website as below:</p> <p><a href="http://www.dingshengxincai.com/Upload/ueditor/files/2019-08-14/2018年水平衡报告-c618f378-4aba-4dd9-a53e-77b624a2552f.pdf">http://www.dingshengxincai.com/Upload/ueditor/files/2019-08-14/2018年水平衡报告-c618f378-4aba-4dd9-a53e-77b624a2552f.pdf</a> and section 2.1.2 of sustainability report</p> <p><a href="http://www.dingshengxincai.com/Upload/ueditor/files/2019-08-02/鼎胜新材可持续发展报告-15bea324-204c-4ff8-a273-a8bc3ce365bf.pdf">http://www.dingshengxincai.com/Upload/ueditor/files/2019-08-02/鼎胜新材可持续发展报告-15bea324-204c-4ff8-a273-a8bc3ce365bf.pdf</a> .</p>
PRINCIPLE 8 BIODIVERSITY		
8.1 Biodiversity assessment	Conformance	<p>The Entity was location in the industrial park developed by local government. As legal required, the EIA including contractor project EIA and plan EIA must be carried out. The EIA of the Entity construction projects and Environmental impact assessment (EIA) of industrial park plan has assessment the risk and materiality of the impact on biodiversity from the land use and activities in the Entity's area of influence. The reports showed there is no protection flora in this area, and no large wild animal were lived in this area. Based on the environmental impact assessment report, no protection flora in this area and no large wild</p>

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		animal were lived in this area. The Entity established the monitor plan of emission to air and discharge to water to protect the environmental.
8.2a Biodiversity management (biodiversity action plans)	Not Applicable	According to the Environmental impact assessment (EIA) report showed there were no protection flora in this area, and no large wild animal were lived in this area.
8.2b Biodiversity management (consultation and mitigation hierarchy)	Not Applicable	According to the Environmental impact assessment (EIA) report showed there were no protection flora in this area, and no large wild animal were lived in this area.
8.2c Biodiversity management (reporting)	Not Applicable	According to the Environmental impact assessment (EIA) report showed there were no protection flora in this area, and no large wild animal were lived in this area.
8.3 Alien Species	Conformance	The Entity established the procedure to prevent accidental or deliberate introduction of alien species that could have significant adverse impacts on biodiversity.
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 issued and signed off the policy commitment to respect Human Rights. It was showed on below <a href="http://www.dingshengxincai.com/about.aspx?CaId=73">http://www.dingshengxincai.com/about.aspx?CaId=73</a>
9.1b Human Rights Due Diligence (process)	Conformance	The updated procedure "Social Accountability Management Manual" defined the Entity should implement a Human Rights Due Diligence, and which were carried out. The report showed no

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		caused or contributed to adverse Human Rights impacts happened.
9.1c Human Rights Due Diligence (remediation)	Conformance	The Entity has established a human rights due diligence process, and which was carried out on 2020. No caused or contributed to adverse Human Rights impacts happened.
9.2 Women's Rights	Conformance	The Entity established special protection procedure to women worker, reflected all applicable legal requirements. There was no observed evidence of Discrimination against women. Further, both plants' general managers are women.
9.3 Indigenous Peoples	Not Applicable	There are no Indigenous Peoples in the area.
9.4 Free, Prior, and Informed Consent (FPIC)	Not Applicable	There are no Indigenous Peoples in the area.
9.5 Cultural and sacred heritage	Not Applicable	There are no Cultural and sacred heritage nearby.
9.6a Resettlements (avoid or minimise)	Not Applicable	There is no resettlement required.
9.6b Resettlements (where unavoidable)	Not Applicable	There is no resettlement required.
9.7a Local Communities (rights and interests)	Conformance	The Entity's boundary was in line with their right of land use. The environmental impact evaluation report showed that the Entity's activities did not impact the local communities' life and impact the local communities to use of natural resources, and the local communities did not use of any natural resources. The Entity respected the legal and customary rights and interests of local Communities in their lands and livelihoods and their use of natural resources.
9.7b Local Communities (impacts)	Conformance	The Entity's boundary was in line with their right of land use. The environmental impact evaluation report showed that the Entity's activities did not impact the local communities' life and impact the local communities to use of natural resources, and the local communities did not use of any natural resources. The Entity respected the legal and customary rights and interests of local Communities in their lands and livelihoods and their use of natural resources.

CRITERION	RATING	COMMENT
9.7c Local Communities (livelihoods)	Conformance	The Entity established community communication management procedure. And the Entity actively communicated with community. For example, Community communication record on 8 May 2019, local village expected the company recruit more villagers. The company recruited 6 villagers in 2019.
9.8 Conflict-Affected and High-Risk Areas	Conformance	The Entity has established documented policy to not contributing to armed conflict or human rights abuses in conflict-affected and high-risk areas as below item 3.6 of policy in: <a href="http://www.dingshengxincai.com/about.aspx?Ca telId=73">http://www.dingshengxincai.com/about.aspx?Ca telId=73</a> Conduct risk evaluation while selection of suppliers, to ensure no supplier involved in armed conflict or Human Rights abuses in Conflict-Affected and High-Risk Areas. No facility or supplier locate in Conflict-Affected and High-Risk Areas
9.9 Security practice	Conformance	he security provider respect Human Rights in line with recognised standards and good practices. The Security management procedure defined that the primary role of security providers is the protection of people, property and/or assets. And the responsibilities and obligation were defined in services contract.
PRINCIPLE 10 LABOUR RIGHTS		
10.1a Freedom of Association and Right to Collective Bargaining (freedom of association)	Conformance	There are laws that restrict Freedom of Association in China. However, the Entity respect the rights of Workers to join in Labour Unions without interference. The Entity respect the rights of Workers to collective bargaining through labour union representatives.
10.1b Freedom of Association and Right to Collective Bargaining (collective bargaining)	Conformance	There are laws that restrict Collective Bargaining in China. However, the Entity respect the rights of Workers to join in Labour Unions without interference. The Entity respect the rights of Workers to collective bargaining through labour union representatives.
10.1c Freedom of Association and Right to Collective Bargaining (alternative means)	Conformance	There are laws that restrict Freedom of Association in China. However, the Entity respect the rights of Workers to join in Labour Unions without interference. The Entity respect the rights of Workers to collective bargaining through labour union representatives.

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		Alternative ways that the Entity supports means of association of workers includes through its monthly worker meetings (for which minutes were evidenced) and also the health and safety committee required as part of its OHSAS 18001 certification.
10.2a Child Labour (minimum age)	Conformance	Prohibition of child labour procedure, the Entity doesn't use child labour below 16 years old. And doesn't arrange young workers (under 18) do dangerous or harmful work, not work overtime. While recruitment, verify ages through appearance, ID and other legal documents. Where instances of child labour are found, responses include: stop working, accompany send child labour to home, pay all remuneration and travel fees. Review age verification process, take actions to avoid recur recurrence. Currently no young workers in the Entity.
10.2b Child Labour (hazardous)	Conformance	Prohibition of child labour procedure, the Entity doesn't use child labour below 16 years old. And doesn't arrange young workers (under 18) do dangerous or harmful work, not work overtime. While recruitment, verify ages through appearance, ID and other legal documents. Where instances of child labour are found, responses include: stop working, accompany send child labour to home, pay all remuneration and travel fees. Review age verification process, take actions to avoid recur recurrence. Currently no young workers in the Entity.
10.2c Child Labour (worst forms)	Conformance	Prohibition of child labour procedure, the Entity doesn't use child labour below 16 years old. And doesn't arrange young workers (under 18) do dangerous or harmful work, not work overtime. While recruitment, verify ages through appearance, ID and other legal documents. Where instances of child labour are found, responses include: stop working, accompany send child labour to home, pay all remuneration and travel fees. Review age verification process, take actions to avoid recur recurrence. Currently no young workers in the Entity.
10.3a Forced Labour (human trafficking)	Conformance	The Entity neither engage in nor support the use of Forced Labour. All workers signed labour contract and filed up in local government. The Entity doesn't require any form of deposit, recruitment fee or equipment advance from



CRITERION	RATING	COMMENT
		Workers either directly or through employment or recruitment agencies.
10.3b Forced Labour (deposits, fees, advances)	Conformance	The Entity neither engage in nor support the use of Forced Labour. All workers signed labour contract and filed up in local government. The Entity doesn't require any form of deposit, recruitment fee or equipment advance from Workers either directly or through employment or recruitment agencies.
10.3c Forced Labour (migrant workers)	Conformance	The Entity neither engage in nor support the use of Forced Labour. The Entity doesn't hold Workers in Debt Bondage or force them to work in order to pay off a debt. Interviewed with workers on site, verified above.
10.3d Forced Labour (debt bondage)	Conformance	The Entity neither engage in nor support the use of Forced Labour. The Entity doesn't hold Workers in Debt Bondage or force them to work in order to pay off a debt.
10.3e Forced Labour (freedom of movement)	Conformance	The Entity neither engage in nor support the use of Forced Labour. The Entity doesn't unreasonably restrict the freedom of movement of Workers in the workplace or in onsite housing.
10.3f Forced Labour (retention of identity papers, permits, certificates)	Conformance	The Entity neither engage in nor support the use of Forced Labour. The Entity doesn't retain original copies of Workers' identity cards or training certificates.
10.3g Forced Labour (freedom to terminate employment)	Conformance	The Entity neither engage in nor support the use of Forced Labour. The Entity allows workers the freedom to terminate their employment at any time without penalty, given notice of reasonable length.
10.4 Non-Discrimination	Conformance	Non-Discrimination management procedure has been established, for example, equal pay for equal work, promotion only based on skill and performance, etc. Workers interviewed did not note any occurrences of discrimination and there were no reported complaints for discrimination received.
10.5 Communication and engagement	Conformance	The Entity provides multi-channel to ensure workers' communication and participate, without threat of reprisal, intimidation or harassment. Monthly worker communication meeting, such

CRITERION	RATING	COMMENT
		as meeting minute of melting workshop 2 on 29 Jul 2019. GM opinion box, such as feedback on 23 Aug 2018, 14 Dec 2018. Internal complaints box, feedbacks were placard at relevant workshop.
10.6 Disciplinary practices	Conformance	The Entity neither engage in nor tolerate the use of corporal punishment, mental or physical coercion, harassment, and gender-based violence including sexual harassment, or verbal abuse of Workers. Disciplinary practices only include oral or documented warning, re-training, pause work. No fine penalty. interviewed the workers on site, verified above.
10.7a Remuneration (living wage)	Conformance	The remuneration is reasonable, far higher than minimum legal wage of local as laws required.
10.7b Remuneration (method of payment)	Conformance	The Entity makes wage payments that are timely, in legal tender and fully documented. Interviewed with staffs on site, no wage payment delay has happened. Wages were paid on 25-28 every month.
10.8 Working Time	Minor Non-Conformance	The Entity could not comply with Applicable Law and industry standards on Working Time (including Overtime working hours), public holidays and paid annual leave.
PRINCIPLE 11 OCCUPATIONAL HEALTH AND SAFETY		
11.1a Occupational Health and Safety (OH&S) Policy (policy)	Conformance	The scope of the recognized initiative applies to the Member's ASI Certification Scope. The most recent surveillance audit reports relating to the recognized initiative to ensure that any identified non-conformances are being actioned by the Member. The certificate number were No.CN14/21945, and 02017S20458R2M. The certificate information of OHSAS might be found at the national certification and accreditation information public service platform as below: <a href="http://cx.cnca.cn/CertECloud/result/skipResultList?certItemOne=A">http://cx.cnca.cn/CertECloud/result/skipResultList?certItemOne=A</a>
11.1b Occupational Health and Safety (OH&S) Policy (workers and visitors)	Conformance	The scope of the recognized initiative applies to the Member's ASI Certification Scope. The most recent surveillance audit reports relating to the recognized initiative to ensure that any identified non-conformances are being actioned by the Member. The certificate number were No.CN14/21945, and 02017S20458R2M. The certificate information of OHSAS might be found

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11.1c Occupational Health and Safety (OH&S) Policy (applicable law and standards)	Conformance	The scope of the recognized initiative applies to the Member's ASI Certification Scope. The most recent surveillance audit reports relating to the recognized initiative to ensure that any identified non-conformances are being actioned by the Member. The certificate number were No.CN14/21945, and 02017S20458R2M. The certificate information of OHSAS might be found at the national certification and accreditation information public service platform as below: <a href="http://cx.cnca.cn/CertECloud/result/skipResultList?certItemOne=A">http://cx.cnca.cn/CertECloud/result/skipResultList?certItemOne=A</a>
11.1d Occupational Health and Safety (OH&S) Policy (right to stop unsafe work)	Conformance	The scope of the recognized initiative applies to the Member's ASI Certification Scope. The most recent surveillance audit reports relating to the recognized initiative to ensure that any identified non-conformances are being actioned by the Member. The certificate number were No.CN14/21945, and 02017S20458R2M. The certificate information of OHSAS might be found at the national certification and accreditation information public service platform as below: <a href="http://cx.cnca.cn/CertECloud/result/skipResultList?certItemOne=A">http://cx.cnca.cn/CertECloud/result/skipResultList?certItemOne=A</a>
11.2 OH&S Management System	Conformance	The scope of the recognized initiative applies to the Member's ASI Certification Scope. The most recent surveillance audit reports relating to the recognized initiative to ensure that any identified non-conformances are being actioned by the Member. The certificate number were No.CN14/21945, and 02017S20458R2M. The certificate information of OHSAS might be found at the national certification and accreditation information public service platform as below: <a href="http://cx.cnca.cn/CertECloud/result/skipResultList?certItemOne=A">http://cx.cnca.cn/CertECloud/result/skipResultList?certItemOne=A</a>
11.3 Employee engagement on health and safety	Conformance	The scope of the recognized initiative applies to the Member's ASI Certification Scope. The most recent surveillance audit reports relating to the recognized initiative to ensure that any identified non-conformances are being actioned by the Member. The certificate number were No.CN14/21945, and 02017S20458R2M. The

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11.4 OH&S performance	Conformance	The scope of the recognized initiative applies to the Member's ASI Certification Scope. The most recent surveillance audit reports relating to the recognized initiative to ensure that any identified non-conformances are being actioned by the Member. The certificate number were No.CN14/21945, and 02017S20458R2M. The certificate information of OHSAS might be found at the national certification and accreditation information public service platform as below: <a href="http://cx.cnca.cn/CertECloud/result/skipResultList?certItemOne=A">http://cx.cnca.cn/CertECloud/result/skipResultList?certItemOne=A</a>

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

Revision	Date	Notes
0	8 December 2019	Issued (Initial Certification)
1	1 October 2020	Surveillance audit