
ASI CERTIFICATION
PERFORMANCE
STANDARD



PRESENTED TO

**YUNNAN YUNLV
YONGXIN ALUMINIUM
CO., LTD.**

CERTIFICATE NUMBER	ASI STANDARD	CERTIFICATION LEVEL	ASI ACCREDITED AUDITOR
138	PERFORMANCE STANDARD (V2 2017)	FULL CERTIFICATION	SGS-CSTC STANDARDS TECHNICAL SERVICES
DATE OF ISSUE	DATE OF EXPIRY	CERTIFIED SINCE	
22 SEPTEMBER 2021	21 SEPTEMBER 2024	22 SEPTEMBER 2021	

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

Operation of aluminium smelters and casthouses for the manufacture of liquid electrolytic aluminium and casting aluminium alloy at Yunnan YunLv Yongxin Aluminium Co., Ltd. (China).

SUMMARY AUDIT REPORT

PERFORMANCE STANDARD

OVERVIEW

MEMBER NAME	Yunnan YunLv Yongxin Aluminium Co., Ltd.
ENTITY NAME	Yunnan YunLv Yongxin Aluminium Co., Ltd.
CERTIFICATION SCOPE	Operation of aluminium smelters and casthouses for the manufacture of liquid electrolytic aluminium and casting aluminium alloy at Yunnan YunLv Yongxin Aluminium Co., Ltd. (China).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">Aluminium SmeltingAluminium Re-melting/RefiningCasthouses
ASI STANDARD	<ul style="list-style-type: none">Performance Standard V2
AUDIT TYPE	<ul style="list-style-type: none">Initial Certification Audit
AUDIT FIRM	SGS-CSTC Standards Technical Services
AUDIT DATE	<ul style="list-style-type: none">13 – 15 April 2021
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">27 May 2021
AUDIT SCOPE	<p>The audit scope included the aluminium smelting, casthouses and cutting process for manufacture of liquid electrolytic aluminium and casting aluminium alloy at Yunnan Yunlv Yongxin Aluminium Co., Ltd.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none">Aluminium SmeltingAluminium Re-melting/RefiningCasthouses <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	The Auditors confirm that:

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- ☑ The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this report.
 - ☑ The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.
 - ☑ The Audit Scope and audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope.
 - ☑ The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.
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CERTIFICATION PERIOD	22 September 2021 – 21 September 2024
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NEXT AUDIT TYPE	Surveillance Audit
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NEXT AUDIT DUE DATE	21 September 2022
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CERTIFICATE NUMBER	138
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SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
PRINCIPLE 1 BUSINESS INTEGRITY		
1.1 Legal Compliance	Minor Non-Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes to conform to the legal compliance requirements in the ASI Performance Standard. There have been no fines or requests for corrective action from government agencies and other stakeholders. As verified by the following official website, no non-compliance information on the Entity was found:</p> <p>http://www.gsxt.gov.cn/</p> <p>An evaluation report indicates the Entity's compliance with Applicable Law. The Entity conducts the compliance evaluation on an annual basis. However, a minor non-conformance is raised as the legal compliance evaluation report has not described legal compliance evidence and this is not consistent with the Entity's laws and regulations management procedure.</p>
1.2 Anti-Corruption	Conformance	<p>Policies and processes to identify and prevent corruption are well implemented and trained. The Entity works against corruption in all its forms, including extortion and bribery, consistent with Applicable Law and prevailing international standards. As at the time of audit, there have been no cases of misconduct. The Entity publishes Anti-Corruption contact information on the website:</p> <p>http://yongshunyn.nat123.net/wordpress/category/%e4%ba%91%e9%93%9d%e6%b6%8c%e9%91%ab/</p>
1.3 Code of Conduct	Conformance	<p>A Code of Conduct which covers social and governance principles is established. The policies and the associated management procedures against ISO 14001 and ISO 45001 cover the implementation of management requirements on environment and occupational health and safety.</p>
PRINCIPLE 2 POLICY & MANAGEMENT		
2.1a Environmental, Social, and Governance Policy (implement and maintain)	Conformance	<p>The Entity has implemented and maintained integrated policies consistent with the environmental, social, and governance practices. For more detailed information, please see:</p> <p>http://yongshunyn.nat123.net/wordpress/category/%e4%ba%91%e9%93%9d%e6%b6%8c%e9%91%ab/</p>
2.1b Environmental, Social, and Governance Policy (senior management)	Conformance	<p>Senior management demonstrates commitment to the implemented policies through endorsement and support to provide sufficient resources for regular</p>

CRITERION	RATING	COMMENT
		review of policies, meeting ASI Performance Standard requirements.
2.1c Environmental, Social, and Governance Policy (communication)	Minor Non-Conformance	The Policies are available for internal and external stakeholders via training, publishing on the Entity's website and posts on-site. For more detailed information, please see: http://yongshunyn.nat123.net/wordpress/category/%e4%ba%91%e9%93%9d%e6%b6%8c%e9%91%ab/ However, whilst the information is disclosed via the attached link, the link is not related to the Entity's or parent company's website and as such is not readily accessible.
2.2 Leadership	Conformance	A Senior Management representative has been nominated. The responsibility and authority of each department and key roles are defined to implement the ASI Performance Standard.
2.3a Environmental and Social Management Systems (environmental)	Conformance	An ISO 14001 certified Environmental Management System is established and implemented.
2.3b Environmental and Social Management Systems (social)	Conformance	A Social Management Systems is established and implemented.
2.4 Responsible Sourcing	Conformance	The "Procurement Policy" is communicated to all suppliers covering the environmental, social and governance issues based on the ASI Performance Standard. The "Procurement Policy" is published on this website: http://yongshunyn.nat123.net/wordpress/category/%e4%ba%91%e9%93%9d%e6%b6%8c%e9%91%ab/ The implementation of responsible procurement is assessed at the beginning of each year.
2.5 Impact Assessments	Conformance	The Entity has established a management system covering environmental, social, cultural and human rights Impact Assessments. All assessments are implemented for existing projects. There have been no new projects or major changes since the establishment of the Entity.
2.6 Emergency Response Plan	Conformance	The Entity has established the emergency rescue management system and prepared emergency plans for environmental emergencies and safety production accidents covering possible emergencies, and in accordance with requirements for regular drills and training.

CRITERION	RATING	COMMENT
2.7 Mergers and Acquisitions	Conformance	A procedure is established to examine the environmental, social and governance aspects of mergers and acquisitions, which has not occurred since the Entity's inception.
2.8 Closure, Decommissioning and Divestment	Conformance	A procedure is established to review the environmental, social and governance issues during the closure, decommissioning and divestment phases, which has not occurred since the Entity's inception.
PRINCIPLE 3 TRANSPARENCY		
3.1 Sustainability Reporting	Minor Non-Conformance	The Entity publishes a Sustainability Report, available on the website: http://yongshunyn.nat123.net/wordpress/category/%e4%ba%91%e9%93%9d%e6%b6%8c%e9%91%ab/ However, whilst the information is disclosed via the attached link, the link is not related to the Entity's or parent company's website and as such is not readily accessible.
3.2 Non-compliance and liabilities	Conformance	There have been no significant violations by the Entity during the audit period by the Entity as reported on government-related websites and non-governmental organization websites. There are no non-compliance or liabilities recorded in the "Yunnan Yunlv Yongxin Aluminum Co., Ltd. 2020 Sustainability Report", which can be found on the website: http://yongshunyn.nat123.net/wordpress/category/%e4%ba%91%e9%93%9d%e6%b6%8c%e9%91%ab/
3.3a Payments to governments (legal and contractual)	Conformance	The Entity has established procedures to ensure any payment to the government is based on law or contract. The Entity has described the payments to governments in the Sustainability Report, which can be found on the website: http://yongshunyn.nat123.net/wordpress/category/%e4%ba%91%e9%93%9d%e6%b6%8c%e9%91%ab/
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 established procedures to define how to communicate with internal and external stakeholders. Contact information can be found on the website: http://yongshunyn.nat123.net/wordpress/category/%e4%ba%91%e9%93%9d%e6%b6%8c%e9%91%ab/
PRINCIPLE 4 MATERIAL STEWARDSHIP		

CRITERION	RATING	COMMENT
4.1a Environmental Life Cycle Assessment (life cycle impacts)	Conformance	The environmental Life Cycle Assessment for aluminium related products has been conducted and documented.
4.1b Environmental Life Cycle Assessment (cradle to gate)	Conformance	The environmental Life Cycle Assessment report can be provided by external communication if required. There have been no requests to date.
4.1c Environmental Life Cycle Assessment (public communication)	Conformance	The environmental Life Cycle Assessment report is published in the official website. For more detailed information, please see the website: http://yongshunyn.nat123.net/wordpress/category/%e4%ba%91%e9%93%9d%e6%b6%8c%e9%91%ab/
4.2 Product design	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a Aluminium Process Scrap (targets)	Conformance	The Process Scrap utilization rate is 100%.
4.3b Aluminium Process Scrap (alloy separation)	Conformance	In accordance with results of the risk analysis, the Process Scrap at the site does not require separation for recycling.
4.4a Collection and recycling of products at end-of-life (strategy)	Conformance	The Entity communicates with its main customer to discuss how to improve the recycling rate of products at end-of-life.
4.4b Collection and recycling of products at end-of-life (engagement)	Conformance	As there are no local, regional or national collection and recycling systems for aluminium scrap in China, the Entity is working with customers to decide how to improve the recycling rate of products at end-of-life.
PRINCIPLE 5 GREENHOUSE GAS EMISSIONS		
5.1 Disclosure of GHG emissions and energy use	Minor Non-Conformance	The Entity has established and implemented a GHG emission management procedure. The Entity has published a GHG emissions verification report, which discloses annual GHG emissions and energy use on the website: http://permit.mee.gov.cn/permitExt/defaults/default-index!getInformation.action For more detailed information, please see: http://yongshunyn.nat123.net/wordpress/category/%e4%ba%91%e9%93%9d%e6%b6%8c%e9%91%ab/ However, whilst the information is disclosed via the attached link, the link is not related to the Entity's or parent company's website and as such is not readily accessible.
5.2 GHG emissions reductions	Minor Non-Conformance	The Entity has issued GHG emissions reductions targets, which covered the material sources of Direct

CRITERION	RATING	COMMENT
		and Indirect GHG Emissions. The Entity has published time-bound GHG emissions reduction targets and implemented a plan to achieve these targets. For more detailed information, please see: http://yongshunyn.nat123.net/wordpress/category/%e4%ba%91%e9%93%9d%e6%b6%8c%e9%91%ab/ However, whilst the information is disclosed via the attached link, the link is not related to the Entity's or parent company's website and as such is not readily accessible.
5.3a Aluminium Smelting (management system)	Conformance	The Entity operates controls to limit the Direct GHG emissions via its Management System, certified to ISO 14001:2015 and ISO 50001:2018. These certificates are available on the website: http://cx.cnca.cn/CertECloud/result/skipResultList
5.3b Aluminium Smelting (up to and including 2020)	Conformance	Aluminium smelters began production in 2012. Aluminium was at a level of 8.81 tonnes CO ₂ -eq per metric tonne aluminium in 2020, exceeding the 8 tonnes CO ₂ -eq per metric tonne target. However, the Entity will be at a level below 8 tonnes CO ₂ -eq per metric tonne aluminium by 2030 according to its GHG emissions reductions management plan. The Entity has published time-bound GHG emissions reduction targets and implemented a plan to achieve these targets. For more detailed information, please see: http://yongshunyn.nat123.net/wordpress/category/%e4%ba%91%e9%93%9d%e6%b6%8c%e9%91%ab/
5.3c Aluminium Smelting (after 2020)	Not Applicable	Aluminium smelters began production in 2012.
PRINCIPLE 6 EMISSIONS, EFFLUENTS AND WASTE		
6.1 Emissions to Air	Conformance	The waste air generated in the operation is collected and treated before discharge. The emissions meet the local discharge limit. The Entity is ISO 14001:2015 certified, the certificate is available on the website: http://cx.cnca.cn/CertECloud/result/skipResultList
6.2 Discharges to Water	Conformance	There is no production wastewater. Life wastewater is treated by the wastewater treatment facility and recycled, and not directly discharged to any natural water body. Water-related risks are assessed. The level of water-related risk is low. The Entity is ISO 14001:2015 certified, for more detailed information please see: http://cx.cnca.cn/CertECloud/result/skipResultList

CRITERION	RATING	COMMENT
6.3a Assessment and Management of Spills and Leakage (assessment)	Conformance	The Entity is ISO 14001:2015 certified, for more detailed information please see: http://cx.cnca.cn/CertECloud/result/skipResultList The Entity has conducted an assessment of major risk areas of its operations where Spills and Leakage may contaminate air, water and soil.
6.3b Assessment and Management of Spills and Leakage (management)	Conformance	The Entity is ISO 14001:2015 certified, for more detailed information please see: http://cx.cnca.cn/CertECloud/result/skipResultList The Entity has issued the Emergency Response Plan to management and external communication plans, compliance controls and a monitoring programme is in place to prevent and detect Spills and Leakage.
6.4a Reporting of Spills (immediate disclosure)	Conformance	The Entity is ISO 14001:2015 certified, for more detailed information please see: http://cx.cnca.cn/CertECloud/result/skipResultList The emergency response plan defines how the Entity shall report environmental events to local government immediately following the environmental event. There were no Spills or Leakage during 2020 and through to the time of the audit.
6.4b Reporting of Spills (regular reporting)	Conformance	The Entity has an ISO14001:2015 certificate, for more detailed information please see: http://cx.cnca.cn/CertECloud/result/skipResultList . All information about environmental Spills and Leakage events would be publicised on the office website: http://yongshunyn.nat123.net/wordpress/category/%e4%ba%91%e9%93%9d%e6%b6%8c%e9%91%ab/
6.5a Waste management and reporting (strategy)	Conformance	The Entity has an ISO14001:2015 certificate, for more detailed information please see: http://cx.cnca.cn/CertECloud/result/skipResultList Waste management is covered by the Environmental Management System. The Entity has established a waste management procedure and has implemented a waste management strategy according to the Waste Mitigation Hierarchy. The disposal of Hazardous Waste is in compliance with legal requirements. The quantity of Hazardous Waste generated by the Entity is registered in the Solid Waste Information management system: https://gfmh.meesc.cn/solidPortal/#/
6.5b Waste management and reporting (disclosure)	Minor Non-Conformance	The quantity of Hazardous and Non-Hazardous Waste generated by the Entity is registered in the Solid Waste Information management system and published on the website:

CRITERION	RATING	COMMENT
		http://yongshunyn.nat123.net/wordpress/category/%e4%ba%91%e9%93%9d%e6%b6%8c%e9%91%ab/ However, whilst the information is disclosed via the attached link, the link is not related to the Entity's or parent company's website and as such is not readily accessible.
6.6a Bauxite Residue (storage construction)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6b Bauxite Residue (integrity checks and controls)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6c Bauxite Residue (water discharge)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6d Bauxite Residue (marine and aquatic environments)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6e Bauxite Residue (state of the art technologies)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6f Bauxite Residue (remediation)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7a Spent Pot Lining (SPL) (storage and management)	Conformance	The Entity store and manages Spent Pot Lining (SPL) to prevent the release of SPL or leachate to the environment via management controls in the ISO14001:2015 management system. The Entity has an ISO14001:2015 certificate. For more detailed information, please see: http://cx.cnca.cn/CertECloud/result/skipResultList
6.7b Spent Pot Lining (SPL) (recovery and recycling)	Conformance	The Entity optimised processes for the recovery and recycling of carbon and refractory materials from SPL, defined by the management system. The Entity has an ISO14001:2015 certificate. For more detailed information, please see: http://cx.cnca.cn/CertECloud/result/skipResultList
6.7c Spent Pot Lining (SPL) (Untreated SPL)	Conformance	The quantity of SPL is registered in the Solid Waste Information management system of the Department of Ecological Environment Management in Yunnan Province. The Entity has an ISO14001:2015 certificate. For more detailed information, please see: http://cx.cnca.cn/CertECloud/result/skipResultList
6.7d Spent Pot Lining (SPL) (review of alternatives)	Conformance	The Entity reviews and checks SPL management monthly in accordance with its management system. The Entity has an ISO14001:2015 certificate. For more detailed information, please see:

CRITERION	RATING	COMMENT
		http://cx.cnca.cn/CertECloud/result/skipResultList
6.7e Spent Pot Lining (SPL) (marine and aquatic environments)	Conformance	There is no discharge of SPL to marine or aquatic environments. The Entity has an ISO14001:2015 certificate. For more detailed information, please see: http://cx.cnca.cn/CertECloud/result/skipResultList
6.8a Dross (recovery)	Conformance	The Entity has established and implemented a Dross management procedure. The Entity aims to maximise the recovery of aluminium by treatment of Dross and Dross residues and records are kept to improve the recovery results.
6.8b Dross (recycling)	Conformance	The aluminium taken from the Dross pressing is recycled in the melting furnaces. The remaining part is sold to external Dross processors for further extraction of the remaining aluminium, which can be used to produce alumina.
6.8c Dross (review of alternatives)	Conformance	The Entity reviews the internal dross processing method and dross sales channel on a yearly basis. Dross is not landfilled.
PRINCIPLE 7 WATER STEWARDSHIP		
7.1a Water assessment (mapping)	Conformance	The Entity has established an energy management system and obtained ISO 50001:2018 certification. For more detailed information, please see: http://cx.cnca.cn/CertECloud/result/skipResultList The energy management system includes a water resource risk assessment. The Entity has implemented water management plans and monitors the effectiveness of the plans.
7.1b Water assessment (risk assessment)	Conformance	The Entity has established an energy management procedure and issued a water resource risk assessment report, which assessed water-related risks. The level of water-related risks is low.
7.2a Water management (management plans)	Conformance	The Entity has established an energy management system and obtained ISO 50001:2018 certification. For more detailed information, please see: http://cx.cnca.cn/CertECloud/result/skipResultList The energy management system includes water management. The Entity has implemented water management plans and monitors the effectiveness of the plans.
7.2b Water management (monitoring)	Conformance	The Entity has established an energy management system and obtained ISO 50001:2018 certification. For more detailed information, please see: http://cx.cnca.cn/CertECloud/result/skipResultList

CRITERION	RATING	COMMENT
		The energy management system includes water management. The Entity has implemented water management plans and monitors the effectiveness of the plans.
7.3 Disclosure of water usage and risks	Minor Non-Conformance	The Entity has reported water withdrawal and use and discloses material water-related risks. Water-related risks are assessed. The level of water-related risks is low. Please see the Sustainability Report: http://yongshunyn.nat123.net/wordpress/category/%e4%ba%91%e9%93%9d%e6%b6%8c%e9%91%ab/ However, whilst the information is disclosed via the attached link, the link is not related to the Entity's or parent company's website and as such is not readily accessible.
PRINCIPLE 8 BIODIVERSITY		
8.1 Biodiversity assessment	Conformance	The Entity has established procedures for the protection of biodiversity. A biodiversity risk assessment report has been prepared. The Entity is located in an industrial park developed by local government, there is no protected flora or wildlife in this area. There is no significant risk of biodiversity impact.
8.2a Biodiversity management (biodiversity action plans)	Conformance	Based on the biodiversity risk assessment report and Environmental Impact Assessment Report, there is no significant risk of biodiversity impact.
8.2b Biodiversity management (consultation and mitigation hierarchy)	Conformance	Based on the biodiversity risk assessment report and Environmental Impact Assessment Report, there is no significant risk of biodiversity impact.
8.2c Biodiversity management (reporting)	Conformance	Based on the biodiversity risk assessment report and Environmental Impact Assessment Report, there is no significant risk of biodiversity impact.
8.3 Alien Species	Conformance	The Entity has established procedures for the assessment of risk of Alien Species. In the Biodiversity Analysis Report, the risk of Alien Species is assessed and appropriate preventive measures are in place.
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 mines)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
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 a commitment to respect Human Rights, in the document "Guidelines for the management systems of various standards of Yunnan Yunlu Yongxin Aluminum Co., Ltd." which can be found on the website: http://yongshunyn.nat123.net/wordpress/category/%e4%ba%91%e9%93%9d%e6%b6%8c%e9%91%ab/
9.1b Human Rights Due Diligence (process)	Conformance	The Entity has developed procedures that identifies the need and measures for Human Rights Due Diligence. The Entity has conducted Human Rights Due Diligence and issued a Human Rights Due Diligence Report.
9.1c Human Rights Due Diligence (remediation)	Conformance	The Entity has conducted human rights due diligence and issued a Human Rights Due Diligence Report, and no adverse human rights impacts have been reported since its establishment and therefore remediation is not required.
9.2 Women's Rights	Conformance	The Entity has developed procedures to protect women's rights and interests. The Entity clarified the legitimate rights of women and implemented control measures to ensure that those rights were met. There have been no violations of women's rights in this Entity.
9.3 Indigenous Peoples	Conformance	The Entity has developed the protection procedures for Indigenous People. The local community was informed of the possible impacts, and they were involved in the development of protection procedures. One community is within the scope of the impact area of the Entity, and is currently being led by the government in the relocation plan. The Entity respects for the rights and interests of Indigenous Peoples.
9.4 Free, Prior, and Informed Consent (FPIC)	Conformance	The Entity has developed procedures to ensure the right of "Free, Prior and Informed Consent" of Indigenous Peoples in the expropriation of natural resources, new (reform, expansion) projects, closure, decommissioning and divestment. The Entity is located in an industrial park developed by local government. One community located 300m around the Entity, is within the scope of the impact, and is

CRITERION	RATING	COMMENT
		currently being led by the government in the relocation plan.
9.5 Cultural and sacred heritage	Conformance	The Entity has developed a procedure and is committed to protect cultural and sacred heritage. Cultural and sacred heritage investigation with the nearby Indigenous community is carried out. The Entity is located in an industrial park developed by local government. There is no cultural and sacred heritage around.
9.6a Resettlements (avoid or minimise)	Conformance	The Entity has developed procedures for Indigenous Peoples protection. The Entity is located within an industrial park, developed by local government. There has been no Resettlement required since the Entity joined ASI.
9.6b Resettlements (where unavoidable)	Conformance	The Entity has developed procedures for Indigenous Peoples protection. The Entity is located within an industrial park, developed by local government. There has been no Resettlement required since the Entity joined ASI.
9.7a Local Communities (rights and interests)	Conformance	The Entity has developed procedures and respects the legal and customary rights and interests of local Communities in their lands and livelihoods and their use of natural resources. The Entity is located within an industrial park, planned and developed by local government. There have been no complaints received by local Communities.
9.7b Local Communities (impacts)	Conformance	The Entity is taking measures to prevent impacts on the surrounding Communities. For example, the environmental situation of the surrounding Communities is monitored on a regular basis. Also, the Entity implements initial rainwater collection and treatment projects to prevent pollution of groundwater and surface water.
9.7c Local Communities (livelihoods)	Conformance	The Entity actively supports and respect the activities of the local Community. For example, the Entity has established an endowment fund, participates in community public welfare activities and enters the community to pay tribute to the local poor households. Related reports can be found in the "Yunlv Yongxin" official WeChat account.
9.8 Conflict-Affected and High-Risk Areas	Conformance	The Entity commits to not cooperate with suppliers in Conflict-Affected and High-Risk Areas. The Procurement Policy is established and published on this website:

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		http://yongshunyn.nat123.net/wordpress/category/%e4%ba%91%e9%93%9d%e6%b6%8c%e9%91%ab/ The Entity does not involve Conflict-Affected and High-Risk Areas.
9.9 Security practice	Conformance	Security personnel are employees of the Entity itself. The Entity established regulations to regulate the code of conduct of security personnel and ensure respect for Human Rights. There have been no violations of Human Rights.
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. The Entity commits itself to respect Workers' rights. There are 101 elected worker representatives and an Association for Workers has been established in accordance to the legal requirement.
10.1b Freedom of Association and Right to Collective Bargaining (collective bargaining)	Conformance	There are laws that restrict Collective Bargaining in China. The Entity has a special collective bargaining contract for wages, approved in 2021 to cover all employees. The employee representative approved the contract, and this was also reviewed and registered with the associated government agency.
10.1c Freedom of Association and Right to Collective Bargaining (alternative means)	Conformance	Workers' representatives can deal with the Workers' concerns with management on behalf of Workers.
10.2a Child Labour (minimum age)	Conformance	There is no Child Labour or young Workers at the Entity.
10.2b Child Labour (hazardous)	Conformance	Child Labour is prohibited in China. Young Workers (16 to 18 years) are under special protection by law and not allowed to work in hazardous working conditions. There is no Child Labour or young Workers at the Entity.
10.2c Child Labour (worst forms)	Conformance	Child Labour is prohibited in China. There are no staff under 18 at the Entity.
10.3a Forced Labour (human trafficking)	Conformance	The Entity commits itself to comply with the prohibition of Forced Labour, slavery and human trafficking.
10.3b Forced Labour (deposits, fees, advances)	Conformance	The Entity is not involved in Forced Labour. All employees are hired directly. Workers are not required to provide any form of deposit; recruitment fee or equipment advance.
10.3c Forced Labour (migrant workers)	Conformance	There are no foreign migrant Workers at the Entity. All Workers are Chinese.

CRITERION	RATING	COMMENT
10.3d Forced Labour (debt bondage)	Conformance	The Entity is not involved in Forced Labour, and does not provide any type of loan to workers.
10.3e Forced Labour (freedom of movement)	Conformance	The Entity doesn't unreasonably restrict the freedom of movement of Workers in the workplace.
10.3f Forced Labour (retention of identity papers, permits, certificates)	Conformance	The Entity is not involved in forced labour. There is no retention of original documents of workers, only copies of original documents are kept in Workers' personnel files.
10.3g Forced Labour (freedom to terminate employment)	Conformance	Workers can terminate their employment with a specific notice period in advance without any penalty. The time for announcement of termination of the employment is in compliance with the Labour Contract Law.
10.4 Non-Discrimination	Conformance	The Entity is committed to non-discrimination. No case of discrimination is received.
10.5 Communication and engagement	Conformance	The Entity has direct and frequent communication with the Workers and the Worker representatives.
10.6 Disciplinary practices	Conformance	The Entity respects its employees and disciplinary measures are in compliance with legal requirements and require the confirmation of the worker involved.
10.7a Remuneration (living wage)	Conformance	The wage structure is clearly defined, the basic wage is above the legal minimum wage. The total payment meets the Workers' basic needs and all Workers are enrolled in the mandatory social insurance scheme.
10.7b Remuneration (method of payment)	Conformance	All payments are documented and paid to all Workers by bank transfer on the 20 th of every month.
10.8 Working Time	Minor Non-Conformance	The working hours are recorded by proximity card. Working hours are monitored according to Chinese Labour Law. However, a minor non-conformance is raised on overtime working hours as a sample of Workers were found to have overtime working hours which exceeded Chinese Labour Law.

PRINCIPLE 11 OCCUPATIONAL HEALTH AND SAFETY

11.1a Occupational Health and Safety (OH&S) Policy (policy)	Conformance	The Occupational Health and Safety Policy is implemented, reviewed periodically and communicated with stakeholders. The OH&S Policy is published on website. The Entity has obtained an ISO 45001:2018 certificate, please see: http://cx.cnca.cn/CertECloud/result/skipResultList
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CRITERION	RATING	COMMENT
11.1b Occupational Health and Safety (OH&S) Policy (workers and visitors)	Conformance	The Entity has established and implemented an OH&S Policy and objective management procedure. The Policy is applied to all Workers and Visitors present in any area or activities under the Entity's control. The Entity has obtained an ISO 45001:2018 Certificate, please see: http://cx.cnca.cn/CertECloud/result/skipResultList
11.1c Occupational Health and Safety (OH&S) Policy (applicable law and standards)	Conformance	The Occupational Health and Safety Policy includes a commitment to comply with legal requirements and other requirements. Systems exist to identify all applicable legal and other requirements and evaluate the legal compliance. The OH&S Policy is published on website. For more detailed information, please see: http://yongshunyn.nat123.net/wordpress/category/%e4%ba%91%e9%93%9d%e6%b6%8c%e9%91%ab/
11.1d Occupational Health and Safety (OH&S) Policy (right to stop unsafe work)	Conformance	Workers are provided with the training necessary to understand the hazards, OH&S risks and actions relevant to them, and also to understand their right to refuse unsafe work. The OH&S Policy is published on website. For more detailed information, please see: http://yongshunyn.nat123.net/wordpress/category/%e4%ba%91%e9%93%9d%e6%b6%8c%e9%91%ab/
11.2 OH&S Management System	Conformance	The Entity has implemented a documented ISO 45001:2018 Management System. The Entity obtained an ISO 45001:2018 Certificate, please see: http://cx.cnca.cn/CertECloud/result/skipResultList
11.3 Employee engagement on health and safety	Conformance	In compliance with the legal requirements and OH&S Management System requirements, the Entity has a system of Workers' consultation and participation in health and safety. The Entity obtained an ISO 45001:2018 Certificate, please see: http://cx.cnca.cn/CertECloud/result/skipResultList
11.4 OH&S performance	Conformance	Health and safety targets and improvements are documented in the Occupational Health and Safety Program. The Entity obtained an ISO45001:2018 Certificate, please see: http://cx.cnca.cn/CertECloud/result/skipResultList

Document Control and Version History

Revision	Date	Notes
0	22 September 2021	Initial Certification Audit (Full Certification)