

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

7 DECEMBER 2019

DATE OF EXPIRY

6 DECEMBER 2022

CERTIFIED SINCE

7 DECEMBER 2019

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'John' or similar, written over a horizontal line.

Aluminium Stewardship Initiative Ltd
ACN 606 661 125, Australia
info@aluminium-stewardship.org

*Validity of this Certificate is subject to continued
conformance with the applicable ASI Standard
and can be verified at
www.aluminium-stewardship.org*

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">Aluminium Re-melting/RefiningCasthousesSemi-FabricationMaterial 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 (5 – 15 August 2019)Surveillance Audit (28 – 30 June 2020)Surveillance Audit (9 – 14 September 2021)
AUDIT FIRM	SGS-CSTC Standards Technical Services
AUDIT DATE	<ul style="list-style-type: none">5 – 15 August 2019 (Initial Certification Audit)28 – 30 June 2020 (Surveillance Audit)9 – 14 September 2021 (Surveillance Audit)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">26 September 2019 (Initial Certification Audit)3 September 2020 (Surveillance Audit)23 November 2021 (Surveillance Audit)
AUDIT SCOPE	<u>Initial Certification Audit (5 – 15 August 2019)</u> 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 included in the audit scope:

- Aluminium Re-melting/Refining
- Casthouses
- Semi-Fabrication
- Material Conversion

All relevant criteria in the ASI Performance Standard were included in the audit scope.

Surveillance Audit (28 – 30 June 2020)

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-stork Co.,Ltd (China), Hangzhou Five Star Aluminium Co.,Ltd (China) and Hangzhou Teemful Aluminium Industry Co., Ltd (China)

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- Material Conversion

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Surveillance Audit (9 – 14 September 2021)

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-stork Co.,Ltd (China), Hangzhou Five Star Aluminium Co.,Ltd (China) and Hangzhou Teemful Aluminium Industry Co., Ltd (China)

Supply chain activities included in the audit scope:

- Aluminium Re-melting/Refining
- Casthouses
- Semi-Fabrication
- Material Conversion

All relevant criteria in the ASI Performance Standard were included in the audit scope.

AUDIT
OUTCOME

- Certification

AUDIT
METHODOLOGY
DECLARATION

The Auditors confirm that:

- The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this report.
- The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.
- The Audit Scope and audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope.

The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.

CERTIFICATION PERIOD 7 December 2019 – 6 December 2022

NEXT AUDIT TYPE Re-Certification Audit

NEXT AUDIT DUE DATE 6 December 2022

CERTIFICATE NUMBER 51

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
PRINCIPLE 1 BUSINESS INTEGRITY		
1.1 Legal Compliance	Conformance	<p>The Entity has systems in place to maintain awareness of and ensure compliance with Applicable Law. For example:</p> <p>The Entity has a procedure to identify appropriate laws and external specialist advice is sought as required. The Entity undertakes an annual compliance evaluation.</p> <p>Compliance information is available on the Government website, where no instance of non-compliance is reported: http://www.gsxt.gov.cn</p>
1.2 Anti-Corruption	Conformance	<p>The Entity has an Anti-Corruption procedure, last updated in October 2018. The Entity has established different actions to monitor Anti-Corruption.</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, available on the website: https://www.dingshengxincai.com/upload/files/2021/9/b145eabdde694eb2.pdf</p>
PRINCIPLE 2 POLICY & MANAGEMENT		
2.1a Environmental, Social, and Governance Policy (implement and maintain)	Conformance	<p>The environmental, social, and governance Policy is established and signed off by senior management. The Policy is published on the board at every plant and available on the website: https://www.dingshengxincai.com/upload/files/2021/9/332fc7f47736a6f0.pdf</p>
2.1b Environmental, Social, and Governance Policy (senior management)	Conformance	<p>The Environmental, Social, and Governance Policy has been approved by the Entity's President and reviewed annually. The Policy is available on the website: http://www.dingshengxincai.com</p>
2.1c Environmental, Social, and Governance Policy (communication)	Conformance	<p>The Entity has communicated the Policies internally and externally as appropriate. The Policy is published on the board at every plant and available on the website: https://www.dingshengxincai.com/upload/files/2021/9/332fc7f47736a6f0.pdf</p>
2.2 Leadership	Conformance	<p>The Entity nominated a senior Management Representative as having overall responsibility and</p>

CRITERION	RATING	COMMENT
		<p>authority for ensuring conformance with the requirements of the ASI Performance Standard. A senior Management Representative has been appointed for the Zhenjiang Dingshen plant and another appointed for the Hangzhou Five Star Aluminium Co., Ltd. and Hangzhou Teemful Aluminum Industry Co., Ltd plants</p>
<p>2.3a Environmental and Social Management Systems (environmental)</p>	<p>Conformance</p>	<p>The Entity has an integrated Management System and is certified to ISO 14001.</p>
<p>2.3b Environmental and Social Management Systems (social)</p>	<p>Conformance</p>	<p>The Entity has documented and implemented an integrated Management System and is certified to ISO 9001, ISO 14001, ISO 45001.</p>
<p>2.4 Responsible Sourcing</p>	<p>Conformance</p>	<p>The Entity implements a Responsible Sourcing Policy covering environmental, social and governance issues. Implementation of the Policy includes a supplier evaluation checklist. A suppliers audit plan is also established.</p>
<p>2.5 Impact Assessments</p>	<p>Conformance</p>	<p>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 the waste gas treatment.</p>
<p>2.6 Emergency Response Plan</p>	<p>Conformance</p>	<p>The Entity is certified to ISO 14001:2015 and ISO 45001:2018. The Entity has site specific Emergency Response Plans developed in collaboration with potentially affected stakeholder groups, such as Communities, Workers and their representatives, and relevant agencies.</p>
<p>2.7 Mergers and Acquisitions</p>	<p>Conformance</p>	<p>The Entity has a procedure for mergers and acquisitions, including undertaking Due Diligence. Since the Entity joined as ASI Members, no mergers or acquisitions have occurred. This information can be verified on the following website: http://www.cninfo.com.cn</p>
<p>2.8 Closure, Decommissioning and Divestment</p>	<p>Conformance</p>	<p>The Entity has a procedure to review environmental, social and governance issues during the planning process for closure, decommissioning and divestment. Any closure, decommissioning and divestment is publicly announced on the following website:</p>

CRITERION	RATING	COMMENT
		http://www.cninfo.com.cn/new/disclosure/stock?orgId=9900035545&stockCode=603876#
PRINCIPLE 3 TRANSPARENCY		
3.1 Sustainability Reporting	Conformance	The Entity publicly discloses its governance approach and material environmental, social and economic impacts. The Sustainability Report 2020 is available on the Entity's website: https://www.dingshengxincai.com/upload/files/2021/9/332fc7f47736a6f0.pdf
3.2 Non-compliance and liabilities	Conformance	The Entity has issued the Sustainability Report 2020, which discloses the Entity's compliance status, where no significant fines were issued. The Report is available at: https://www.dingshengxincai.com
3.3a Payments to governments (legal and contractual)	Conformance	The Entity only has made payments to governments on its own behalf and on a legal and/or contractual basis. The tax payments during the first half of 2021 are reported in the 2021 Financial Statements Report: http://www.cninfo.com.cn/new/disclosure/detail?plate=sse&orgId=9900035545&stockCode=603876&announcementId=1210856382&announcementTime=2021-08-26
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: http://www.dingshengxincai.com
PRINCIPLE 4 MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment (life cycle impacts)	Conformance	The Entity has evaluated the life cycle impacts of its major product lines. The environmental life cycle assessment for Aluminium Alloy Foils is conducted and documented.
4.1b Environmental Life Cycle Assessment (cradle to gate)	Conformance	The Entity has completed the cradle-to-gate LCA (Life Cycle Assessment) report and is available upon customer request, there are no requests at the date of audit.

CRITERION	RATING	COMMENT
4.1c Environmental Life Cycle Assessment (public communication)	Conformance	The Entity communicates on the LCA in the, section 4.4.2, available at the following link: 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
4.2 Product design	Conformance	The Entity sets clear objectives to enhance sustainability during the development process for products, including the environmental life cycle impacts of the end product.
4.3a Aluminium Process Scrap (targets)	Conformance	The Entity sets the rolling yield as a KPI (Key Performance Indicator) for operational control. All Aluminium Process Scrap is collected as input for the Aluminium re-melting process.
4.3b Aluminium Process Scrap (alloy separation)	Conformance	The Entity separates Aluminium alloys and grades for recycling.
4.4a Collection and recycling of products at end-of-life (strategy)	Conformance	The Entity has established a recycling strategy with objectives for the next three years. The Entity is supporting a program with the Aluminium Resource Reuse Research Institute to research and develop new application technology for recycled aluminium.
4.4b Collection and recycling of products at end-of-life (engagement)	Conformance	The Entity has established a recycling strategy and engages with the Aluminium Resource Reuse Research Institute. At present, all Aluminium Scrap is collected and re-used.
PRINCIPLE 5 GREENHOUSE GAS EMISSIONS		
5.1 Disclosure of GHG emissions and energy use	Minor Non-Conformance	The Entity has prepared a GHG emissions report, however the report did not include detailed data of facility 2 Hangzhou Teemful Aluminum Industry Co.,Ltd, consisting of 3 facilities. The 2020 GHG emission report of Hangzhou Five Star Aluminum Industry Co.,Ltd., did not include all the necessary information such as documentation of reporting boundaries, including criteria determined by the organization to define significant emissions.
5.2 GHG emissions reductions	Minor Non-Conformance	The Entity has a GHG emissions reduction plan for 2021. However, Hangzhou Teemful Aluminum Industry Co.,Ltd and Hangzhou Five Star Aluminum Industry Co.,Ltd facilities did not publish time-bound GHG emissions reduction targets and implement a detailed plan to achieve these targets.

CRITERION	RATING	COMMENT
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 quantifies and reports Emissions to Air and implements plans to minimize adverse impacts. Monitoring of air emissions are undertaken quarterly by a third-party. This information is published on the website: http://www.dingshengxincai.com
6.2 Discharges to Water	Conformance	The Entity quantifies and reports Discharges to Water and implements plans to minimize adverse impacts. The Entity publishes the wastewater treatment method on the website: http://www.dingshengxincai.com
6.3a Assessment and Management of Spills and Leakage (assessment)	Conformance	The Entity has an Emergency Response Plan for environmental events, where the Spills and Leakage risks are identified and evaluated. The emergence response has been defined in the plan. The plan was registered with the local government.
6.3b Assessment and Management of Spills and Leakage (management)	Conformance	The Entity has an Emergency Response Plan, which includes external communication processes. The Emergency Response Plan is registered at the local authorities according to national laws.
6.4a Reporting of Spills (immediate disclosure)	Conformance	The Emergency Response Plan for environmental events defines how to report to affected parties, including Local Community, neighbours and local government. Information on environmental events is published on the Entity's website: http://www.dingshengxincai.com There have been no significant Spills to report.
6.4b Reporting of Spills (regular reporting)	Conformance	The Entity publicly discloses impact assessments of the Spills and remediation action taken, and reports publicly on an annual basis. Information on environmental events is published on the Entity's website: http://www.dingshengxincai.com There have been no significant Spills to report.

CRITERION	RATING	COMMENT
6.5a Waste management and reporting (strategy)	Minor Non-Conformance	The Entity has a waste mitigation plan, however, the Entity has not implemented a waste management strategy designed in accordance with the Waste Mitigation Hierarchy.
6.5b Waste management and reporting (disclosure)	Conformance	The annual quantities of Hazardous and Non-Hazardous waste generated by the Entity and disposal methods are reported in the section on solid waste on the following website: https://www.dingshengxincai.com/upload/files/2021/9/7e3008311e2d3153.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.
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 maximises the recovery of Aluminium by treatment of Dross and Dross Residues, and recovery results are recorded . The Entity establishes a KPI (Key Performance Indicator) to monitor the Production Department and for a 100% recovery of Aluminium for re-melting.

CRITERION	RATING	COMMENT
6.8b Dross (recycling)	Conformance	All treated Dross Residues are transferred to external parties for re-use.
6.8c Dross (review of alternatives)	Not Applicable	The Criterion is not applicable because landfilling of Dross residues is not undertaken.
PRINCIPLE 7 WATER STEWARDSHIP		
7.1a Water assessment (mapping)	Conformance	The Entity has identified and mapped its water withdrawal and use by source and type in the 2020 Sustainability Report. The report is available at: http://www.dingshengxincai.com
7.1b Water assessment (risk assessment)	Conformance	The water-related risks in Watersheds in the Entity's Area of Influence have been identified and are outlined in the 2020 Sustainability Report. This report can be found at: http://www.dingshengxincai.com
7.2a Water management (management plans)	Conformance	The Entity has established water management plans with time-bound targets to address wastewater discharge and water consumption.
7.2b Water management (monitoring)	Conformance	The Entity monitors the effectiveness of the water management plan. The Entity monitors the wastewater to ensure the discharge meets the standards outlined in the discharge licence.
7.3 Disclosure of water usage and risks	Conformance	The Entity discloses the water balance report which includes water usage at the following link: https://www.dingshengxincai.com/upload/files/2021/9/332fc7f47736a6f0.pdf
PRINCIPLE 8 BIODIVERSITY		
8.1 Biodiversity assessment	Conformance	The Entity is located in an industrial park developed by the local government where an Environmental Impact Assessment (EIA) was undertaken. This assessment and the EIA associated with the Entity's construction projects assessed the risks and materiality of the impacts on biodiversity from the land use and activities in the Entity's Area of Influence. According to the EIA reports, there is no protected flora or fauna in the Area of Influence.
8.2a Biodiversity management (biodiversity action plans)	Not Applicable	According to the Environmental Impact Assessment (EIA) report, there is no protected flora and fauna in the Area of Influence.

CRITERION	RATING	COMMENT
8.2b Biodiversity management (consultation and mitigation hierarchy)	Not Applicable	According to the Environmental Impact Assessment (EIA) report, there is no protected flora and fauna in the Area of Influence.
8.2c Biodiversity management (reporting)	Not Applicable	According to the Environmental Impact Assessment (EIA) report, there is no protected flora and fauna in the Area of Influence.
8.3 Alien Species	Conformance	The Entity has established a 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 a policy commitment to respect Human Rights, available at: http://www.dingshengxincai.com
9.1b Human Rights Due Diligence (process)	Conformance	The Entity has undertaken a Human Rights Due Diligence. The report indicated there are no adverse impacts on Human Rights associated with the three facilities.
9.1c Human Rights Due Diligence (remediation)	Conformance	The Entity has established a Human Rights Due Diligence process, which was undertaken in 2020. The report indicated there are no adverse impacts on Human Rights.
9.2 Women’s Rights	Conformance	The Entity established a special protection procedure for women Workers, which reflects all applicable legal requirements. There was no evidence of Discrimination against women.
9.3 Indigenous Peoples	Not Applicable	There are no Indigenous Peoples in the area.

CRITERION	RATING	COMMENT
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 Environmental Impact Evaluation Report indicated that the Entity's activities did not impact the Local Communities nor their use of natural resources. The Entity respects 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 Environmental Impact Evaluation Report indicated that the Entity's activities did not impact the Local Communities nor their use of natural resources. The Entity respects the legal and customary rights and interests of Local Communities in their lands and livelihoods, and their use of natural resources.
9.7c Local Communities (livelihoods)	Conformance	The Entity has established a community communication management procedure and actively communicates with the community. For example, the local villagers expected the Entity to recruit more villagers and as a result six additional villagers were recruited in 2019.
9.8 Conflict-Affected and High-Risk Areas	Conformance	The Entity has established and documented a Policy to not contribute to armed conflict or Human Rights abuses in Conflict-Affected and High-Risk Areas, available in item 3.6 of the Policy at: http://www.dingshengxincai.com/about.aspx?Catelid=73 The Entity conducts a risk evaluation for selection of suppliers, to ensure no supplier is involved in armed conflict or Human Rights abuses in Conflict-Affected and High-Risk Areas. No facility or suppliers are located in Conflict-Affected and High-Risk Areas
9.9 Security practice	Conformance	The security provider respects Human Rights in line with recognised standards and good practices. The Entity's security management procedure defines

CRITERION	RATING	COMMENT
		that the primary role of security providers is the protection of people, property and/or assets. The responsibilities and obligations of the security providers are defined in service contracts.
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. The Entity supports alternative means of association for Workers, through its monthly Worker meetings. Also the Health and Safety Committee is established, as required as part of the ISO 45001 certification.
10.2a Child Labour (minimum age)	Conformance	A Prohibition of Child Labour procedure is established, the Entity does not use Child Labour (under 16 years). The Entity does not involve Young Workers (under 18 years) in dangerous or harmful work or overtime work. Recruitment verifies age through appearance, identification and other legal documents. Currently there are no Young Workers at the Entity.
10.2b Child Labour (hazardous)	Conformance	A Prohibition of Child Labour procedure is established, the Entity does not use Child Labour (under 16 years). The Entity does not involve Young Workers (under 18 years) in dangerous or harmful work or overtime work. Recruitment verifies age through appearance, identification and other legal documents. Currently there are no Young Workers at the Entity.
10.2c Child Labour (worst forms)	Conformance	A Prohibition of Child Labour procedure is established, the Entity does not use Child Labour

CRITERION	RATING	COMMENT
		(under 16 years). The Entity does not involve Young Workers (under 18 years) in dangerous or harmful work or overtime work. Recruitment verifies age through appearance, identification and other legal documents. Currently there are no Young Workers at the Entity.
10.3a Forced Labour (human trafficking)	Conformance	The Entity does not engage in nor support the use of Forced Labour. All Workers sign labour contracts which are filed by the local government. The Entity doesn't require any form of deposit, recruitment fee or equipment in advance, either directly or through employment or recruitment agencies.
10.3b Forced Labour (deposits, fees, advances)	Conformance	The Entity does not engage in nor support the use of Forced Labour. All Workers sign labour contracts which are filed by the local government. The Entity doesn't require any form of deposit, recruitment fee or equipment in advance, either directly or through employment or recruitment agencies.
10.3c Forced Labour (migrant workers)	Conformance	The Entity does not 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. This is verified by Worker interviews.
10.3d Forced Labour (debt bondage)	Conformance	The Entity does not 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 does not engage in nor support the use of Forced Labour. The Entity doesn't unreasonably restrict the freedom of movement of Workers at the workplace or in on-site housing.
10.3f Forced Labour (retention of identity papers, permits, certificates)	Conformance	The Entity does not 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 does not 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	A Non-Discrimination management procedure has been established, including equal payment for equal work, promotion only based on skill and performance, etc. The interviewed Workers did not note any occurrences of discrimination and there

CRITERION	RATING	COMMENT
		were no reported complaints for discrimination received.
10.5 Communication and engagement	Conformance	The Entity provides multi-channels to ensure workers' communication and participation, without threat of reprisal, intimidation or harassment. Monthly Worker communication meeting.
10.6 Disciplinary practices	Conformance	The Entity does not 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 and work pause. No fine or penalty. Worker interviews on-site verified the above.
10.7a Remuneration (living wage)	Conformance	The remuneration is reasonable, higher than minimum legal wage as required by local law.
10.7b Remuneration (method of payment)	Conformance	The Entity makes wage payments in time, in legal tender and fully documented. Interviews with staff on-site, verified that there were no wage payment delays. Wages are paid monthly on the 25-28 th .
10.8 Working Time	Conformance	The Entity complies 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 Entity is certified to ISO 45001: 2018. The scope of the recognized initiative applies to the Entity's Certification Scope. The certificate is available at the national certification and accreditation information public service platform (certificate number CN14/21945, and No.11420S22848ROL): http://cx.cnca.cn/CertECloud/result/skipResultList?certItemOne=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 relate to the recognized initiative to ensure that any identified Non-Conformances are being actioned by the Member. The certificate numbers are No.CN14/21945, and 02017S20458R2M. The certificate information of ISO 45001:2018 can be found at the national certification and accreditation information public service platform as below:

CRITERION	RATING	COMMENT
		http://cx.cnca.cn/CertECloud/result/skipResultList?certItemOne=A
11.1c Occupational Health and Safety (OH&S) Policy (applicable law and standards)	Conformance	<p>The scope of the recognized initiative applies to the Member's ASI Certification Scope. The most recent surveillance audit reports relate to the recognized initiative to ensure that any identified Non-Conformances are being actioned by the Member. The certificate numbers are No.CN14/21945, and 02017S20458R2M. The certificate information of ISO 45001:2018 can be found at the national certification and accreditation information public service platform as below:</p> <p>http://cx.cnca.cn/CertECloud/result/skipResultList?certItemOne=A</p>
11.1d Occupational Health and Safety (OH&S) Policy (right to stop unsafe work)	Conformance	<p>The scope of the recognized initiative applies to the Member's ASI Certification Scope. The most recent surveillance audit reports relate to the recognized initiative to ensure that any identified Non-Conformances are being actioned by the Member. The certificate numbers are No.CN14/21945, and 02017S20458R2M. The certificate information of ISO 45001:2018 can be found at the national certification and accreditation information public service platform as below:</p> <p>http://cx.cnca.cn/CertECloud/result/skipResultList?certItemOne=A</p>
11.2 OH&S Management System	Conformance	<p>The scope of the recognized initiative applies to the Member's ASI Certification Scope. The most recent surveillance audit reports relate to the recognized initiative to ensure that any identified Non-Conformances are being actioned by the Member. The certificate numbers are No.CN14/21945, and 02017S20458R2M. The certificate information of ISO 45001:2018 can be found at the national certification and accreditation information public service platform as below:</p> <p>http://cx.cnca.cn/CertECloud/result/skipResultList?certItemOne=A</p>
11.3 Employee engagement on health and safety	Conformance	<p>The scope of the recognized initiative applies to the Member's ASI Certification Scope. The most recent surveillance audit reports relate to the recognized initiative to ensure that any identified Non-Conformances are being actioned by the Member. The certificate numbers are No.CN14/21945, and 02017S20458R2M. The certificate information of ISO 45001:2018 can be found at the national</p>

CRITERION	RATING	COMMENT
		certification and accreditation information public service platform as below: http://cx.cnca.cn/CertECloud/result/skipResultList?certItemOne=A
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 relate to the recognized initiative to ensure that any identified Non-Conformances are being actioned by the Member. The certificate numbers are No.CN14/21945, and 02017S20458R2M. The certificate information of ISO 45001:2018 can be found at the national certification and accreditation information public service platform as below: http://cx.cnca.cn/CertECloud/result/skipResultList?certItemOne=A

Document Control and Version History

Revision	Date	Notes
0	8 December 2019	Issued (Initial Certification)
1	1 October 2020	Surveillance Audit
2	28 January 2022	Surveillance Audit