

# ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

# YUNNAN ALUMINIUM CO., LTD.

CERTIFICATE  
NUMBER

260

ASI STANDARD

PERFORMANCE  
STANDARD  
(V3 2022)

CERTIFICATION LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITING FIRM

DNV BUSINESS  
ASSURANCE  
SERVICES UK LTD.

DATE OF ISSUE

19 MAY 2023

DATE OF EXPIRY

18 MAY 2026

CERTIFIED SINCE

19 MAY 2023

## AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. Hall', with a long horizontal line extending to the right.

Aluminium Stewardship Initiative Ltd  
ACN 606 661 125, Australia  
[info@aluminium-stewardship.org](mailto:info@aluminium-stewardship.org)

*Validity of this Certificate is subject to continued conformance with the applicable ASI Standard and can be verified at*

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

## CERTIFICATION SCOPE

Yunnan Aluminium Co., Ltd. is located in Kunming, Yunnan Province (China). The seven entities included are distributed across six prefectures of Yunnan:

Yunnan Wenshan Aluminium Co., Ltd., located in the Wenshan Zhuang and Miao Autonomous Prefecture, is mainly engaged in bauxite mining, aluminium smelters and aluminium foundries.

Yangzonghai Aluminium Electrolysis Branch of Yunnan Aluminium Industry Co., Ltd. mainly operates aluminium smelters and aluminium foundries.

Yunnan Yunlv Runxin Aluminium Co., Ltd., located in the Honghe Prefecture, mainly operates aluminium smelters and aluminium foundries.

Yunnan Yunlv Zexin Aluminium Co., Ltd., located in Qujing City, mainly operates aluminium smelters and aluminium foundries.

Qujing Yunlv Yuxin Aluminium Co., Ltd., located in Qujing City, mainly operates aluminium smelters and aluminium foundries.

Yunnan Yunlv Haixin Aluminium Co., Ltd., located in Zhaotong City, mainly operates aluminium smelters and aluminium foundries.

Heqing Yixin Aluminium Co., Ltd., located in Dali Bai Autonomous Prefecture, mainly operates aluminium smelters and aluminium foundries.

# AUDIT REPORT PERFORMANCE STANDARD

## OVERVIEW

MEMBER NAME	YUNNAN ALUMINIUM CO., LTD.
ENTITY NAME	YUNNAN ALUMINIUM CO., LTD.
CERTIFICATION SCOPE	<p>Yunnan Aluminium Co, Ltd. is located in Kunming, Yunnan Province (China). The seven entities included are distributed across six prefectures of Yunnan:</p> <p>Yunnan Wenshan Aluminium Co, Ltd., located in the Wenshan Zhuang and Miao Autonomous Prefecture, is mainly engaged in bauxite mining, aluminium smelters and aluminium foundries.</p> <p>Yangzonghai Aluminium Electrolysis Branch of Yunnan Aluminium Industry Co, Ltd. mainly operates aluminium smelters and aluminium foundries.</p> <p>Yunnan Yunlv Runxin Aluminium Co, Ltd, located in the Honghe Prefecture, mainly operates aluminium smelters and aluminium foundries.</p> <p>Yunnan Yunlv Zexin Aluminium Co, Ltd, located in Qujing City, mainly operates aluminium smelters and aluminium foundries.</p> <p>Qujing Yunlv Yuxin Aluminium Co, Ltd, located in Qujing City, mainly operates aluminium smelters and aluminium foundries.</p> <p>Yunnan Yunlv Haixin Aluminium Co, Ltd, located in Zhaotong City, mainly operates aluminium smelters and aluminium foundries.</p> <p>Heqing Yixin Aluminium Co, Ltd, located in Dali Bai Autonomous Prefecture, mainly operates aluminium smelters and aluminium foundries.</p>
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>• Bauxite Mining</li><li>• Alumina Refining</li><li>• Aluminium Smelting</li><li>• Aluminium Re-melting/Refining</li><li>• Casthouses</li><li>• Semi-Fabrication</li></ul>
ASI STANDARD	Performance Standard V3
AUDIT TYPE	<ul style="list-style-type: none"><li>• Certification Audit</li></ul>
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none"><li>• 9 October – 28 October 2022</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>• 16 January 2023</li></ul>
AUDIT SCOPE	The audit scope covers the headquarters of Yunnan Aluminium Co, Ltd. and the seven entities of Yunnan Wenshan Aluminium Co, Ltd, Yunnan Aluminium Co, Ltd. – Yangzonghai Aluminium Electrolysis Branch, Yunnan Yunlv Runxin Aluminium Co, Ltd,

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Yunnan Yunlv Zexin Aluminium Co., Ltd., Qujing Yunlv Yuxin Aluminium Co., Ltd.,  
Yunnan Yunlv Haixin Aluminium Co., Ltd, and Heqing Yixin Aluminium Co., Ltd..

Supply chain activities included in the audit scope:

- Bauxite Mining
- Alumina Refining
- Aluminium Smelting
- Aluminium Re-melting/Refining
- Casthouses
- Semi-Fabrication

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

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AUDIT OUTCOME                      • Certification

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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.

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CERTIFICATION PERIOD            19 May 2023 – 18 May 2026

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NEXT AUDIT TYPE                    Surveillance Audit

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NEXT AUDIT DATE                    18 May 2025

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CERTIFICATE NUMBER                260



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

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

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

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## ENTITY OVERVIEW

Yunnan Aluminium Co., Ltd was founded in 1970 and listed in 1998 (Stock Code: 000807). In December 2018, Yunnan Aluminium Co., Ltd officially became a member of Aluminium Corporation of China (Chinalco). It is a state-owned group. All the sites in the certification scope are in Yunnan Province, China.

Over the years, Yunnan Aluminium Co., Ltd has been committed to the policy of green and low-carbon development. It followed the philosophy of building a low-carbon, clean and sustainable integrated aluminium industry for the whole industrial chain. Under this condition, resource guarantee became an important competitive advantage of the Entity.

Yunnan Aluminium Co., Ltd is a major supplier of hydropower aluminium in the domestic market, a major manufacturer of ultra-thin aluminium foil in China and a national industry standard maker of casting aluminium alloy ingot. Its high-grade, customised and standardised aluminium ingots and aluminium materials are widely used in the defence and military industry, aerospace, rail transportation, electronics industry and other fields, of which, A356 casting aluminium alloy has maintained its leading position in the domestic market.

The following provides an overview of the supply chain activities and products of each of the facilities within the certification scope: Yunnan Wenshan Aluminium Co., Ltd. is located in Gaodeng Road, North District of Wenshan City, Wenshan Zhuang and Miao Autonomous Prefecture, Yunnan Province. It is mainly engaged in bauxite mining, aluminium smelters and aluminium foundries for the production of aluminium oxide for electrolysis, liquid aluminium, aluminium ingots for remelting and aluminium alloy ingots for casting.

Yangzonghai Aluminium Electrolysis Branch of Yunnan Aluminium Industry Co., Ltd. is located in Yunnan Aluminium Industry Co., Ltd. and mainly operates aluminium smelters and aluminium foundries for the production of liquid aluminium, cast aluminium alloy ingots and electrician round aluminium rod, aluminium and aluminium alloy welding materials.

Yunnan Yunlv Runxin Aluminium Co., Ltd. is located in Datun Town, Geju City, Honghe Prefecture, Yunnan Province. It mainly operates aluminium smelters and aluminium foundries for the production of liquid aluminium, casting aluminium alloy ingots and deformed aluminium alloy ingots.

Yunnan Yunlv Zexin Aluminium Co., Ltd. is located in Situn community, Shengjing street, Fuyuan County, Qujing City, Yunnan Province. It mainly operates aluminium smelters and aluminium foundries for the production of liquid aluminium, remelting aluminium ingots, casting aluminium alloy ingots and deformed aluminium alloy ingots.

Qujing Yunlv Yuxin Aluminium Co., Ltd. is located in Baishui Town, Zhanyi District, Qujing City, Yunnan Province. It mainly operates aluminium smelters and aluminium foundries for the production of liquid aluminium and aluminium ingots for remelting.

Yunnan Yunlv Haixin Aluminium Co., Ltd. is located in the mining and metallurgical processing base of Zhaoyang Industrial Park, Zhaotong City, Yunnan Province. It mainly operates aluminium smelters and aluminium foundries for the production of liquid aluminium, aluminium ingots for remelting, cast aluminium alloy ingots and deformed aluminium alloy ingots.

Heqing Yixin Aluminium Co., Ltd. is located in Qiping village, Qiping village committee, Xiyi Town, Heqing County, Dali Bai Autonomous Prefecture, Yunnan Province. It mainly operates aluminium smelters and aluminium foundries for the production of liquid aluminium, aluminium ingots for remelting and cast aluminium alloy ingot.

## MATURITY RATINGS

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

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

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

## FINDINGS

CRITERION	RATING	COMMENT
<b>1. BUSINESS INTEGRITY</b>		
1.1 Legal Compliance	Minor Non-Conformance	<p>The Entity has developed and implemented Policies, systems, procedures and processes that conform to the ASI Performance Standard's legal compliance requirements. The Entity has implemented systems to maintain awareness of and to ensure Compliance with Applicable Law. The Entity has implemented a Code of Conduct:</p> <p><a href="https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318558849.pdf">https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318558849.pdf</a></p> <p>However, the identification and evaluation of the requirements of laws and regulations as well as the requirements of local Customary Laws was incomplete.</p>
1.2 Anti-Corruption	Conformance	<p>The Entity has established an Anti-Corruption Policy that has been approved by the General Manager and is available at:</p> <p><a href="https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318558849.pdf">https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318558849.pdf</a></p> <p>In accordance with the misconduct register and periodical internal control audit reports, no Corruption case was reported in 2022.</p>
1.3a-e Code of Conduct	Conformance	<p>The Entity has implemented a Code of Conduct at the Group level which includes principles related to environmental, social and governance (ESG) performance. The Entity has implemented adequate measures, including training and communication to raise awareness of the code amongst business partners and suppliers. The Code of Conduct is available for all interested Stakeholders on the website:</p> <p><a href="https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318558849.pdf">https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318558849.pdf</a></p>
<b>2. POLICY AND MANAGEMENT</b>		
2.1a-f Environmental, Social, and Governance Policy	Conformance	<p>The Entity has implemented an ASI Policy that is consistent with environmental, social, and governance practices. The ASI Policy is communicated to all employees internally and publicly disclosed on the Entity's website:</p> <p><a href="https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318560848.pdf">https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318560848.pdf</a></p> <p>The Entity commits to review the policy annually as well as when there are any changes to the business that bring about significant changes in environmental, social and governance risks, or there are indications of control deficiencies.</p>
2.2a-c Leadership	Conformance	<p>The Senior Vice President of the Group's headquarters has been nominated as the ASI Management Representative at the Group level. The Environmental Health &amp; Safety (EHS) Department Manager or Vice General Manager of each subsidiary has been</p>

CRITERION	RATING	COMMENT
		nominated as the ASI Management Representative and is responsible for the establishment and implementation of the ASI Performance Standard within each subsidiary. The Management Representatives are responsible for communicating the ASI Policies. A cross-departmental ASI Working Group has been established to implement the ASI Performance Standard. The ASI Policies and management procedures are communicated to all employees through various training courses.
2.3a Environmental and Social Management Systems – Environmental	Conformance	The Entity (headquarters and all subsidiaries) has implemented and documented an Environmental Management System and holds valid ISO 14001:2015 certificates.
2.3b Environmental and Social Management Systems – Social	Conformance	A Social Management System has been established and implemented. Social and Occupational Health and Safety impacts are identified and assessed, and the associated management provisions for preventing and/or mitigating these impacts are established and implemented.
2.4a-e Responsible Sourcing	Conformance	<p>The Entity has developed and implemented Policies, systems, procedures and processes that conform to the responsible sourcing requirements. Due to the impact of COVID-19, the compliance assessment for suppliers has been mainly based on suppliers' self-assessment reports, and the Entity plans to conduct second party Due Diligence audits at major next tier suppliers' sites in future.</p> <p>The procurement team and relevant personnel are trained on an annual basis on responsible sourcing requirements. The purchasing Policies are part of the Entity's Policy for Labour and Business Ethics:</p> <p><a href="https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318568589.pdf">https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318568589.pdf</a></p> <p>According to the Entity's ASI PS Management Manual, the Entity undertakes an annual management review and additionally, the purchasing Policies will be reviewed when any changes to the business bring about significant changes in environmental, social and governance risks, or there are indications of control deficiencies.</p>
2.5a-g Environmental and Social Impact Assessments	Conformance	<p>The Entity has implemented ISO 14001 and ISO 45001 Management Systems and environmental aspects, health and safety risks and control plans are reviewed and modified annually. Since 2017, the Entity has conducted Social Impact Assessments for New Projects or Major Changes to existing facilities in accordance with local regulatory requirements. The risk assessment reports and management plans are publicly disclosed on the Entity's website (by different topics):</p> <p><a href="https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/t20220916_99860.html">https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/t20220916_99860.html</a></p> <p>The Entity commits to review the environmental and social impact management plan on any changes that alter Material</p>

CRITERION	RATING	COMMENT
2.6a-h Human Rights Impact Assessment	Conformance	<p>environmental, social and governance risk(s) as well as on any indication of a control gap.</p> <p>The Entity has established and implemented the documented procedures to identify and assess the risks to Human Rights and business ethics and establish the relevant control measures, which are based on the ASI Performance Standard and associated legal requirements. For Human Rights, the management plan has been established and implemented. The Human Rights Impact Assessment report and management plans are publicly disclosed at:</p> <p><a href="https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318829743.pdf">https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318829743.pdf</a></p> <p>In addition to the periodical review, senior management commits to review the management plans after any changes that alter Material Human Rights risk(s) as well as any indication of a control gap.</p>
2.7a-f Emergency Response Plan	Minor Non-Conformance	<p>The Entity has established a Business Continuity and Resumption Plan covering fire, earthquake, hazardous chemical leaks, extreme weather, labour shortage, key equipment breakdown and the relevant resumption plan. The well-established emergency response plans are developed in collaboration with potentially affected Stakeholder groups such as communities, Workers and their representatives.</p> <p>Based on the requirements of ISO 14001 and ISO 45001, each site has established an emergency response plan for EHS issues and registered the emergency plans with relevant government agencies, which is compliant with the ISO standards requirements and legal requirements. Employees are provided with relevant training courses and exercise drills are conducted for fire/evacuation, and chemical leak.</p> <p>The Group-level Emergency Response Plan is available at:</p> <p><a href="https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318572316.pdf">https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318572316.pdf</a></p> <p>However, in some subsidiaries, the evaluation or drills of the emergency response plan are not adequate.</p>
2.8a-d Suspended Operations	Conformance	<p>The Entity has developed a Business Continuity and Resumption Plan to address situations where it may have to suspend or significantly alter operations due to factors outside its control. The Entity commits to obey Applicable Law and the company policies on employee layoffs and consult employee organisations at the same time. The Business Continuity and Resumption Plan will be reviewed in case of Material environmental, social and governance risk(s) caused by business changes or any indication of a control gap and shall be reviewed within 18 to 24 months from the last review. No suspension activity has occurred in the past three years.</p>

CRITERION	RATING	COMMENT
2.9a-b Mergers and Acquisitions	Conformance	The Entity has established a management procedure for mergers and acquisitions (equity investment and property management procedures) based on the requirement of the ASI Performance Standard. Senior management commits to conduct Due Diligence processes for mergers and acquisitions as necessary and review its environmental, social and governance practices, including those associated with Historic Aluminium Operations. No merger or acquisition activity has occurred in the past three years.
2.10a-b Closure, Decommissioning and Divestment	Conformance	The Entity has established a management procedure for closure, decommissioning and divestment in accordance with the requirements of the ASI Performance Standard. No such activity has occurred in the past three years.
<b>3. TRANSPARENCY</b>		
3.1a-b Sustainability Reporting	Conformance	The Entity has established and implemented a Materiality screening process, and the key concerns of Stakeholders are identified, such as air pollution and Hazardous Waste management. The management approach and performance information of Material issues is disclosed in the 2021 Chinalco ESG Report:  <a href="https://yigf.chinalco.com.cn/whyzr/shzr/202210/P020221027399373064159.pdf">https://yigf.chinalco.com.cn/whyzr/shzr/202210/P020221027399373064159.pdf</a>
3.2 Non-compliance and Liabilities	Conformance	The Entity is a listed company on the stock market. The Entity publicly discloses information on significant fines, judgments, penalties and non-monetary sanctions for failure to comply with Applicable Law. There are no significant fines or penalties imposed on the Entity as reported in the 2021 Chinalco ESG Report:  <a href="https://yigf.chinalco.com.cn/whyzr/shzr/202210/P020221027399373064159.pdf">https://yigf.chinalco.com.cn/whyzr/shzr/202210/P020221027399373064159.pdf</a>
3.3a-c Payments to Governments	Conformance	The Entity has not, nor on its behalf, made payments to governments other than on a legal and/or contractual basis. The Entity's Semi-Annual/Annual Report is publicly disclosed on the CNINFO website, as legally required:  <a href="http://www.cninfo.com.cn/new/disclosure/stock?stockCode=000807&amp;orgId=gssz0000807#latestAnnouncement">http://www.cninfo.com.cn/new/disclosure/stock?stockCode=000807&amp;orgId=gssz0000807#latestAnnouncement</a>
3.4a-f Stakeholder Complaints, Grievances and Requests for Information	Conformance	The Entity has established and implemented a complaints and grievances receiving and handling mechanism. The complaints resolution process is specified in the Entity's ASI PS Manual and is available on the website and in the 2021 Chinalco ESG Report:  <a href="https://yigf.chinalco.com.cn/kwm/lxf">https://yigf.chinalco.com.cn/kwm/lxf</a>  <a href="https://yigf.chinalco.com.cn/whyzr/shzr/202210/P020221027399373064159.pdf">https://yigf.chinalco.com.cn/whyzr/shzr/202210/P020221027399373064159.pdf</a>  To date, no significant complaints have been received. Stakeholder complaints, grievances and concerns and their resolution are reviewed in the annual ASI management review meeting. The Entity commits to review the Complaints Resolution



CRITERION	RATING	COMMENT
		Mechanism after any changes that alter Material environmental, social and governance risks, as well on any indication of a control gap.
<b>4. MATERIAL STEWARDSHIP</b>		
4.1a Environmental Life Cycle Assessment	Conformance	<p>The environmental Life Cycle Assessment (LCA) has been conducted. The Entity commissioned a Third Party to analyse and evaluate the cradle-to-gate life cycle impact of the Entity's main Products, including Aluminium ingots for remelting, Aluminium alloy sheet, strip, foil and welding materials.</p> <p>The Entity adopted the LCA software GaBiTs for modelling and accounting and prepared an LCA Report based on the principles regulated in ISO 14040 and ISO 14044.</p>
4.1b-c Environmental Life Cycle Assessment - Disclosure	Conformance	<p>The cradle-to-gate life cycle impact of the Entity's main Products has been assessed and the Entity's LCA Report is based on the principles regulated in ISO 14040 and ISO 14044. The condensed LCA Report discloses key information such as the underlying assumptions and system boundaries, and is available at:</p> <p><a href="https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020221128534331249085.pdf">https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020221128534331249085.pdf</a></p> <p>The Entity confirms that subject to the terms of the relevant contract, adequate cradle-to-gate LCA information on its Aluminium Products will be made available to the customer upon request. As per interviews and document review, there has been no request to date.</p>
4.2 Product Design	Conformance	<p>The Entity integrates relevant objectives in the design and development process for Products to enhance sustainability, including the environmental life cycle impacts of the end Products:</p> <p><a href="https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020221128534331249085.pdf">https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020221128534331249085.pdf</a></p>
4.3a-b Aluminium Process Scrap	Conformance	<p>The target for collection, recycling and/or re-use of Aluminium Process Scrap is 100%. Management procedures of 'Aluminium Process Scrap quality control' and 'Recycled material category and re-use guide' have been developed to ensure the target is achieved. The Entity has adopted many technical and management measures to reduce the generation of Aluminium Process Scrap within its operations, Aluminium Process Scrap in the Entity are collected, recycled and/or re-used, with the target of 100% collection, recycling and/or re-use is almost achieved.</p>
4.4a-c Collection and Recycling of Products at End of Life - Material Conversion and other Manufacturing	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
4.4d Collection and Recycling of Products at End of Life	Conformance	The Entity has developed a strategy to utilise Recycled Aluminium and has a 2040 target to consume 1.2-1.5 million tonnes per year. The Entity has qualified more than 10 Recycled Aluminium suppliers and almost all of the Recycled Aluminium used is purchased from these suppliers. Because there are no complete local, regional or national collection and recycling systems for Aluminium scrap in China, the Entity is working with the customer to decide how to improve the recycling rate of Products at End of Life.

## 5. GREENHOUSE GAS EMISSIONS

5.1a-b Disclosure of GHG Emissions and Energy Use	Minor Non-Conformance	<p>The Entity is a 'major energy-consumption and GHG emission unit' as classified by the local authority, as such the Greenhouse Gases (GHG) emissions for all sites are calculated by the Entity and data is verified by qualified Third Parties before reporting to the local authority. Each site publicly discloses the verified information on energy use and GHG emissions by source for 2021 respectively on the website:</p> <p><a href="https://yigf.chinalco.com.cn/xwzx/ywgg/202209/t20220916_99860.html">https://yigf.chinalco.com.cn/xwzx/ywgg/202209/t20220916_99860.html</a></p> <p>However, a Minor Non-Conformance is raised as the Third Party verification reports were not available.</p>
5.2a Aluminium Smelter GHG Emissions Intensity - Started production after 2020	Not Applicable	This Criterion is not applicable, as all sites commenced production before 2020.
5.2b Aluminium Smelter GHG Emissions Intensity - In production up to and including 2020	Conformance	<p>Each of the Entity's sites purchases hydroelectricity, which supplies over 80% of the energy requirements. The GHG emissions intensities from each site are below 11.0 t CO<sub>2</sub>e/t Aluminium. All sites disclose the GHG emissions intensities on the Entity's website:</p> <p><a href="https://yigf.chinalco.com.cn/xwzx/ywgg/202209/t20220916_99860.html">https://yigf.chinalco.com.cn/xwzx/ywgg/202209/t20220916_99860.html</a></p>
5.3a-e GHG Emissions Reduction Plans	Conformance	<p>The Entity has established GHG emissions reduction targets consistent with the commitment to green and low-carbon development, and consistent with a 1.5°C warming scenario. All sites have implemented a GHG Emissions Reduction Plan and publicly disclosed the plan and the GHG Emissions Reduction Pathway on the website:</p> <p><a href="https://yigf.chinalco.com.cn/xwzx/ywgg/202209/t20220916_99860.html">https://yigf.chinalco.com.cn/xwzx/ywgg/202209/t20220916_99860.html</a></p> <p>There is a mechanism to review the GHG Emissions Reduction Plan annually and review the Pathway if needed.</p>
5.4 GHG Emissions Management	Conformance	In order to implement the Carbon Peak Implementation Plans, the Entity has established, implemented, maintained and continually improved the Energy Management System against ISO 5001:2018 to achieve the GHG emissions reduction targets.

CRITERION	RATING	COMMENT
<b>6. EMISSIONS, EFFLUENTS AND WASTE</b>		
6.1a-f Emissions to Air	Conformance	<p>Implementing the Environment Management System and legal requirements, the Entity has identified, assessed and quantified Material Emissions to Air from its activities, implemented control plans and monitored the effectiveness of the control plans periodically and reviewed the control plans regularly and in the case of any Major Changes or non-conformance.</p> <p>The Entity has publicly disclosed its environmental performance, pollutant discharge information, periodical monitoring results and the operation status of the environment protection facilities, and the air emissions control plan at:</p> <p><a href="http://www.cninfo.com.cn/new/disclosure/detail?plate=szse&amp;orgId=gssz0000807&amp;stockCode=000807&amp;announcementId=1214344032&amp;announcementTime=2022-08-20">http://www.cninfo.com.cn/new/disclosure/detail?plate=szse&amp;orgId=gssz0000807&amp;stockCode=000807&amp;announcementId=1214344032&amp;announcementTime=2022-08-20</a></p> <p><a href="http://permit.mee.gov.cn/perxxgkinfo/syssb/xkag/xkag!licenseInformation.action">http://permit.mee.gov.cn/perxxgkinfo/syssb/xkag/xkag!licenseInformation.action</a> and</p> <p><a href="https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020221128534331284688.pdf">https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020221128534331284688.pdf</a></p>
6.2a-g Discharges to Water	Conformance	<p>In accordance with the approved Environmental Impact Assessment (EIA) report and Pollutant Discharge Permit, all wastewater is 100% recycled, with no discharge to external drainage/water systems. The Entity collects, treats and recycles wastewater. The quarterly monitoring results indicate the water quality meets the required recycling water standards.</p> <p>As per the monitoring results of surrounding soils, surface water and underground water at each site, in 2021 and 2022, no pollutants were identified.</p>
6.3a-g Assessment and Management of Spills and Leakages	Conformance	<p>An assessment of risk areas of operations where Spills and Leakages may contaminate air, water and soil has been undertaken following the risk assessment process of the Environmental Management System. The relevant management plan has been established and implemented for all sites. The Entity reviews the plans periodically and if needed after a spill/leakage event or Major Change in the business.</p> <p>The latest version of the management plan is disclosed on the website:</p> <p><a href="https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020221128534331133933.pdf">https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020221128534331133933.pdf</a></p>
6.4a-b Public Disclosure of Spills and Leakages	Conformance	<p>The process to report Spills and Leakages is defined in the emergency response plans and includes reporting to Affected Populations and Organisations. No Spills or Leakages has occurred since operations commenced at each site.</p> <p>The Entity is a public listed company and in accordance with legal requirements has publicly disclosed key performance indicators including environmental performance every six months. The latest information on Spills and Leakages is reported in the 2022 Semi-Annual Report, page 34:</p>

CRITERION	RATING	COMMENT
		<a href="http://www.cninfo.com.cn/new/disclosure/detail?plate=szse&amp;orgId=gssz0000807&amp;stockCode=000807&amp;announcementId=1214344032&amp;announcementTime=2022-08-20">http://www.cninfo.com.cn/new/disclosure/detail?plate=szse&amp;orgId=gssz0000807&amp;stockCode=000807&amp;announcementId=1214344032&amp;announcementTime=2022-08-20</a>
6.5a-c Waste Management and Reporting	Conformance	<p>Waste management is addressed in the Environmental Management System. The Entity has implemented a waste management strategy in accordance with the Waste Mitigation Hierarchy. The Entity has mitigated Material impacts by re-using and recycling wastes. The disposal of Hazardous Waste complies with applicable legal requirements. The quantity of Hazardous and Non-Hazardous Waste generated by the Entity from its activities in 2021 is disclosed at:</p> <p><a href="https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318641133.pdf">https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318641133.pdf</a> and</p> <p><a href="https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020221128534331279752.pdf">https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020221128534331279752.pdf</a></p>
6.6a-g Bauxite Residue	Minor Non-Conformance	<p>The Entity uses new technologies, dry stacking, composite membranes and composite clay impermeable layers to prevent the release of Bauxite Residue and leachate into the environment. The Entity co-operates with other companies to maximise the reuse of Bauxite Residues. An online monitoring system and CCTV system are installed to cover the reservoir areas, and geological investigations are conducted by a qualified Third Party. The Entity periodically monitors the quality of the underground water in the reservoir areas.</p> <p>During the audit, it was observed that the water line was close to the warning point, with 0.8 meters left. The Entity is implementing the management/control measures to prevent any spill from the tailings dam.</p> <p>No closure of the Alumina Refining Facility is planned. However, the tailings dam is close to its end of life and a Minor Non-Conformance is raised as no financial fund has been arranged for the rehabilitation plan to mitigate the adverse environmental impacts.</p>
6.7a-f Spent Pot Lining (SPL)	Conformance	<p>In accordance with applicable legal requirements on Hazardous Waste, Spent Pot Lining (SPL) is collected, labelled, stored and transferred to licensed suppliers for disposal. The Entity does not currently landfill any SPL, nor discharges SPL to any water environment.</p> <p>The Entity is investing in a comprehensive SPL treatment facility to neutralise SPL and recover and recycle the carbon and refractory materials from SPL.</p>
6.8a-d Dross	Conformance	<p>Dross generated at all sites is managed in compliance with applicable legal requirements, and no leakage has been observed and/or reported. The Entity has its own Dross treatment facility to maximise the recovery of Aluminium by treatment of Dross and Dross residues, and the recycling of treated Dross residues. There is no landfilling of Dross residues.</p>

CRITERION	RATING	COMMENT
		The Entity is investing to increase the capacity of the Dross treatment facility to contribute to a Circular Economy and mitigate the environmental impacts of Dross.
<b>7. WATER STEWARDSHIP</b>		
7.1a-b Water Assessment and Disclosure	Conformance	<p>The Entity has identified and documented water withdrawal and use by source and type in the EIA. The Entity has assessed the water-related risks, which considered the surrounding water environment, water withdrawal and discharge, and the effectiveness of the existing management measures. The risk was identified as low, there are no Material water-related risks in the Entity's Area of Influence. The Assessment Report of Water-Related Risks is accessible on the Entity's website:</p> <p><a href="https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020221128534331163147.pdf">https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020221128534331163147.pdf</a></p>
7.2a-e Water Management	Not Applicable	This Criterion is not applicable, as there are no Material water-related risks in the Entity's Area of Influence.
<b>8. BIODIVERSITY AND ECOSYSTEM SERVICES</b>		
8.1a Biodiversity and Ecosystem Services Risk and Impact Assessment	Conformance	<p>Biodiversity and Ecosystem Services Risk and Impact Assessments are included in the EIA, which are conducted by qualified Third Parties approved by the local Environmental Protection Agency. As per the approved EIA reports, there are no biodiversity-sensitive areas in the Entity's Area of Influence.</p> <p>The refinery and smelters are located in industrial zones planned for by local governments. There are no threatened species in the Area of Influence of the two mining sites, the mining scale is not large (limited to small pots in one site), the areas of topsoil stripping are small, and the mining periods are short. As such, the risk level is considered low.</p>
8.1b Biodiversity and Ecosystem Services Risk and Impact Assessment - Priority	Not Applicable	This Criterion is not applicable, as the risks and potential impacts have been assessed and documented as low. No Priority Ecosystem Services are identified.
8.2a-g Biodiversity Management	Not Applicable	This Criterion is not applicable, as the risks and potential impacts have been assessed and documented as low.
8.3a-c Management of Priority Ecosystem Services	Not Applicable	This Criterion is not applicable, as no Priority Ecosystem Services have been identified.
8.4 Alien Species	Conformance	The Entity has identified the risks of the introduction of Alien Species during operation and transportation activities and assessed whether the activities could have Material adverse impacts on Biodiversity and Ecosystem Services. The risk was identified as low.

CRITERION	RATING	COMMENT
8.5a-b Commitment to "No Go" in World Heritage Properties	Conformance	The Entity has committed to not exploring or developing New Projects in World Heritage Properties. There are no World Heritage Properties in the Entity's Area of Influence.
8.6a-d Protected Areas	Conformance	In its management manual, the Entity commits to protecting the environment. There are no Protected Areas in the Entity's Area of Influence.
8.6e Protected Areas - Bauxite Mining	Conformance	In its management manual, the Entity commits to protecting the environment. There are no Protected Areas in the Entity's Area of Influence.
8.7a-i Mine Rehabilitation	Minor Non-Conformance	<p>The Entity has engaged a qualified Third Party to compile the Mine Rehabilitation and closure plans for the two mining sites, which were developed in Consultation with the residents in the affected communities and government agencies.</p> <p>In accordance with local legal requirements, the Entity has established a bank account under the surveillance of the local government agency with an agreed amount to fund the mine closure and rehabilitation.</p> <p>As per site observation and interview, the mine rehabilitation and closure plans have been implemented and are available at:</p> <p><a href="https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318814965.pdf">https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318814965.pdf</a></p> <p>However, a Minor Non-Conformance is raised as the Mine Rehabilitation at Hong Ke She is not to standard.</p>

## 9. HUMAN RIGHTS

9.1a-d Human Rights Due Diligence	Conformance	<p>A gender-responsive Policy commitment has been established and the Entity commits to respect Human Rights, promote gender equality and comply with the UN Guiding Principles on Business and Human Rights.</p> <p>A gender-responsive Human Rights Due Diligence process has been developed. Implementation of the Human Rights Policy and relevant performance are reviewed in annual management review meetings, and the Entity commits to review the Policy on any changes that alter Material Human Rights risk(s) or when there are signs of control deficiencies.</p> <p>The Human Rights Impact Assessment Report and information on the affected Communities' engagement approach and the Complaints Resolution Mechanism are publicly disclosed:</p> <p><a href="https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318558849.pdf">https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318558849.pdf</a> and</p> <p><a href="https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318829743.pdf">https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318829743.pdf</a></p> <p>As per the annual Human Rights Impact Assessment Report, management review meeting records and Stakeholder grievances records, no significant adverse Human Rights impacts are caused by or contributed to by the Entity's operation. The</p>
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CRITERION	RATING	COMMENT
		Entity commits to provide for or cooperate in remediation through legitimate processes if there is a negative impact on Human Rights identified or reported.
9.2a-e Gender Equity and Women's Empowerment	Conformance	<p>The Entity has established and implemented a female employee protection management procedure, and commits to respect and promote gender equity and women's empowerment within the Group.</p> <p>The Entity has publicly disclosed information on the gender equity Policy and performance on the protection of female Workers:  <a href="https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318823306.pdf">https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318823306.pdf</a> and  <a href="https://ylgf.chinalco.com.cn/whyzr/shzr/202210/P020221027399373064159.pdf">https://ylgf.chinalco.com.cn/whyzr/shzr/202210/P020221027399373064159.pdf</a></p> <p>No complaint on gender equity was received in 2021 and 2022.</p>
9.3a-i Indigenous Peoples	Not Applicable	This Criterion is not applicable, as per the assessment report and definition specified in ASI Performance Standard, there are no Indigenous Peoples within the Entity's Area of Influence. However, the Entity has established and implemented Policies and processes to ensure respect for the rights and interests of Indigenous Peoples.
9.4a Free, Prior, and Informed Consent (FPIC) – New Projects or Major Changes	Not Applicable	<p>This Criterion is not applicable, as per the assessment report and definition specified in ASI Performance Standard, there are no Indigenous Peoples within the Entity's Area of Influence. Additionally, there has been no new Alumina or electrolytic Aluminium project developed since 2018, and the latest Bauxite Mining project, TieKuang Mining, was launched before 2021.</p> <p>However, the Entity has established and implemented Stakeholder engagement processes to manage communication with the Local Communities to obtain their major concerns on the impact of New Projects or existing operations on Local Communities. The Entity undertook a social stability assessment that involved the engagement of local authorities and Local Communities for all operation plants.</p>
9.4b Free, Prior, and Informed Consent (FPIC) – Bauxite Mining	Not Applicable	<p>This Criterion is not applicable, as per the assessment report and definition specified in ASI Performance Standard, there are no Indigenous Peoples within the Entity's Area of Influence.</p> <p>However, the Entity has established and implemented Stakeholder engagement processes to manage communication with the Local Communities to obtain their major concerns on the impact of New Projects or existing operations on Local Communities.</p>
9.4c Free, Prior, and Informed Consent (FPIC) – Demonstrate support	Not Applicable	This Criterion is not applicable, as Free, Prior and Informed Consent (FPIC) has not been required.

CRITERION	RATING	COMMENT
9.5a Cultural and Sacred Heritage - Identification	Conformance	The Entity has established and implemented a procedure to identify cultural and sacred heritage and conduct risk assessments to reduce the impact on any sites. At present, all of the Entity's projects have undergone an EIA and social stability assessment, and it has been determined that there are no sacred or cultural heritage sites within the project's impact area.
9.5b Cultural and Sacred Heritage - Impacts	Not Applicable	This Criterion is not applicable, as there are no sacred or cultural heritage sites within the Entity's Area of Influence. However, the Entity has implemented a procedure to identify the cultural and sacred heritage and conduct risk assessments to reduce the impact on the sites. The Entity commits to undertaking any necessary action to avoid significant impact on cultural, historical or spiritual heritage should sites be identified.
9.6a-i Displacement	Not Applicable	This Criterion is not applicable, as the Entity's sites are situated in industrial locations developed by the local government. There are no residential areas close to the sites. The Entity has had no New Projects since joining ASI in 2022. The latest mine development project, the Wenshan Tiechang Mine project, was developed in 2021. No physical or economic Resettlements have been, nor will be relevant.
9.7a-h Affected Populations and Organisations	Conformance	The Entity has established and implemented a Stakeholder engagement process to identify the major concerns of Affected Populations and Organisations. The Entity has developed various plans to respond to the major concerns of the Affected Populations and Organisations. The implementation and progress of the plans are reviewed annually, relevant improvement actions are undertaken, and the Entity's actions and performance against the plans are publicly disclosed in the 2021 Chinalco ESG Report:  <a href="https://ylgf.chinalco.com.cn/whyzr/shzr/202210/P020221027399373064159.pdf">https://ylgf.chinalco.com.cn/whyzr/shzr/202210/P020221027399373064159.pdf</a>
9.8a Conflict-Affected and High-Risk Areas - Strong management systems	Conformance	The Entity has established and implemented Management Systems, including a supply chain Policy, responsibilities and resources, information gathering and supplier engagement. The ASI Policy, including the purchasing Policy and grievance channel, is publicly disclosed in the supply chain Code of Conduct and the 2021 Chinalco ESG Report:  <a href="https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318568589.pdf">https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318568589.pdf</a> and  <a href="https://ylgf.chinalco.com.cn/whyzr/shzr/202210/P020221027399373064159.pdf">https://ylgf.chinalco.com.cn/whyzr/shzr/202210/P020221027399373064159.pdf</a>
9.8b Conflict-Affected and High-Risk Areas - Identify and assess risks	Conformance	The Entity has identified and assessed the risks in its supply chain through regular risk assessment. No conflict minerals are used, no materials are from Conflict-Affected and High-Risk Areas, and there are no critical Human Rights issues such as Child Labour and Forced Labour.



CRITERION	RATING	COMMENT
9.8c Conflict-Affected and High-Risk Areas - Strategy to respond to risks	Not Applicable	This Criterion is not applicable, as per the risk assessment record, no conflict minerals are used, no materials are from Conflict-Affected and High-Risk Areas, and there are no critical Human Rights issues such as Child Labour and Forced Labour. No further action is required.
9.8d Conflict-Affected and High-Risk Areas - Audit of due diligence	Conformance	The risk assessment record and supplier audit reports have been reviewed during the audit, no critical issues are raised and the risk is low. The Entity has a plan for continuous improvement.
9.8e Conflict-Affected and High-Risk Areas - Report annually	Minor Non-Conformance	<p>The Entity has established and implemented a supply chain Code of Conduct, performed a risk assessment and undertaken a social responsibility audit on its supply chain. The Entity commits that no conflict material will be used in its supply chain. There are no conflict minerals used and no materials are from Conflict-Affected and High-Risk Areas.</p> <p>However, relevant information and performance on the Entity's supply chain Due Diligence, especially the practice on conflict materials, are not publicly disclosed.</p>
9.9 Security practice	Conformance	All security guards are the Entity's employees. The Entity commits to respecting Human Rights in security activities, such as not permitting body searches and security guards to work in humane ways. All security guards understand their tasks and the way to respect Human Rights. No grievance or complaint against security activities has been received to date.
<b>10. LABOUR RIGHTS</b>		
10.1a-c Freedom of Association and Right to Collective Bargaining	Conformance	The Entity is a larger state-owned enterprise, and senior management commits to respect the right of Freedom of Association and Collective Bargaining. All employees of the Entity have joined the Trade Union and regular meetings between the Trade Union and senior management have been conducted to communicate and negotiate the rights and benefits of employees. The Collective Bargaining Agreement and female Workers' special protection contract are signed and approved by senior management. The Trade Union Chairman, committee members and employee representatives are all freely elected by employees.
10.1d Freedom of Association and Right to Collective Bargaining - Alternative means in context of Applicable Law	Conformance	<p>This Criterion is not applicable, as Applicable Law does not restrict the right to Freedom of Association and Collective Bargaining in China.</p> <p>The Entity's senior management commits to respect the right of Freedom of Association and Collective Bargaining.</p> <p>Workers' representatives are freely elected by employees every three years and Worker representative congress meetings are held annually where Workers' concerns are communicated and discussed with senior management.</p> <p>Collective Bargaining Agreements with the Entity are signed and approved by senior management.</p>

CRITERION	RATING	COMMENT
10.2a-c Child Labour	Conformance	Child Labour is prohibited in China, the legal minimum working age is 16 years old. The Entity has established and implemented a Policy for not using Child Labour and a young Worker protection procedure. There is no Child Labour or young Workers in the Entity.
10.3a-c Forced Labour	Conformance	<p>The Entity has established a Policy on the prohibition of Forced Labour including Human Trafficking. The Entity commits itself and expects its suppliers to comply with the prohibition of Forced Labour, slavery and Human Trafficking. No case of illegal wage deductions, Debt Bondage, payment for a debt or other type of Forced Labour has been identified nor reported in the Entity. The Policy and implementation information are disclosed in the Entity's Code of Conduct and the 2021 Chinalco ESG Report:</p> <p><a href="https://ylgf.chinalco.com.cn/whyzr/shzr/202210/P020221027399373064159.pdf">https://ylgf.chinalco.com.cn/whyzr/shzr/202210/P020221027399373064159.pdf</a> and</p> <p><a href="https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318558849.pdf">https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318558849.pdf</a></p>
10.4a-c Non-Discrimination	Conformance	The Entity is committed to Non-Discrimination. No case of Discrimination has been received. The recruitment advertisement and the training plan indicate the decisions are solely based on the candidate's ability to perform the job's requirements rather than other personal characteristics. The interviewed Workers confirm they feel equal in the Entity.
10.5 Communication and engagement	Conformance	Direct and frequent communication with Workers and the Worker representatives is established. The communication channels are announced to Workers, and Workers can raise their concerns regarding working conditions, the resolution of workplace and compensation issues, without threat of reprisal, intimidation or harassment.
10.6a-g Violence and Harassment	Conformance	<p>The Entity has implemented Policies stating that harassment or bullying is not accepted. An information brochure has been developed and distributed to all employees. The Entity's Code of Ethics is clear on this issue and regular training of employees is performed. The Code of Ethics is available at:</p> <p><a href="https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318558849.pdf">https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020220916625318558849.pdf</a></p>
10.7a-d Remuneration	Minor Non-Conformance	<p>The wage structure is clearly defined and the basic wage is above the legal minimum wage. All payments are documented and timely paid to all Workers by bank transfer at the end of the following month. The total payment meets the Workers' basic needs.</p> <p>However, it was identified that the Overtime premium rate paid to Workers is not fully compliant with the legal requirement.</p>
10.8a-c Working Time	Minor Non-Conformance	Working hours are recorded. The regular Working Time for office staff is 8 hours a day, 5 days a week. In the production departments, the Entity implements four groups and three shifts working system, with eight hours per day per shift, working six

CRITERION	RATING	COMMENT
		<p>consecutive days and two days' rest. Working hours are monitored and the monthly Overtime working hours do not exceed the legal monthly limit, with most Workers having one day off per seven-day period.</p> <p>However, it was identified that not all Workers are guaranteed to have one day off per seven-day period.</p>
10.9a-b Informing Workers of Rights	Conformance	The Entity informs its Workers of their rights, as protected in this principle and has established cooperation and communication with the Workers at all its production plants. National laws and regulations in China are respected and complied with.
<b>11. OCCUPATIONAL HEALTH AND SAFETY</b>		
11.1a Occupational Health and Safety (OH&S) Management System	Minor Non-Conformance	<p>The Entity has established, implemented, maintained and continually improved the Occupational Health and Safety (OH&amp;S) Management System. All sites hold valid ISO 45001:2018 certificates. As per site observation, document review and management and Worker interviews, the OH&amp;S Management System is effective.</p> <p>However, no evidence was found on actions associated with the occupational physical examinations of a small number of Workers.</p>
11.1b-e Occupational Health and Safety (OH&S) Management System - Reviews and disclosure	Conformance	<p>The Entity has regularly reviewed the OH&amp;S Management System, including during monthly safety meetings, annual legal compliance evaluations, annual internal audits against ISO 45001:2018, and the management review meeting. When any indication of a control gap is shown, the review is conducted to assess if the potential corrective and/or preventive actions should be implemented.</p> <p>The achievement of OH&amp;S objectives/targets in 2021 and the comparative analyses of performance with peer businesses and leading practice are published at:</p> <p><a href="https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020221128534331277862.pdf">https://ylgf.chinalco.com.cn/xwzx/ywgg/202209/P020221128534331277862.pdf</a></p>
11.2 Employee engagement on Health and Safety	Conformance	The Entity has a system of Workers' Consultation and participation in OH&S. The Workers are encouraged to report their concerns or advice on OH&S issues by themselves or via the Worker representative and management responds to the concerns and advice.

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### DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	19 May 2023	Certification Audit - Full Certification

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