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# ASI CERTIFICATION PERFORMANCE STANDARD

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PRESENTED TO

# YINBANG CLAD MATERIAL CO., LTD.

CERTIFICATE  
NUMBER

278

ASI  
STANDARD

PERFORMANCE  
STANDARD  
(V2 2017)

CERTIFICATION  
LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITOR

SGS-CSTC  
STANDARDS  
TECHNICAL  
SERVICES

DATE OF ISSUE

21 JULY 2023

DATE OF EXPIRY

20 JULY 2026

CERTIFIED SINCE

21 JULY 2023

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. Hall', written over a white background.

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

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CERTIFICATION SCOPE

The Manufacture of aluminium Materials at the Yinbang facility (China). Manufacture of aluminium, aluminium alloy & clad sheets, strips & foils material. Manufacture of aluminium based multi metal clad material.

# SUMMARY AUDIT REPORT

## PERFORMANCE STANDARD

### OVERVIEW

MEMBER NAME	YINBANG CLAD MATERIAL CO., LTD.
ENTITY NAME	YINBANG CLAD MATERIAL CO., LTD.
CERTIFICATION SCOPE	Manufacture of aluminium materials at the Yinbang facility (China). Manufacture of aluminium, aluminium alloy and clad sheets, strips and foils material. Manufacture of aluminium based multi metal clad material.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>• Casthouses</li><li>• Semi-Fabrication</li></ul>
ASI STANDARD	<ul style="list-style-type: none"><li>• Performance Standard V2</li></ul>
AUDIT TYPE	<ul style="list-style-type: none"><li>• Initial Certification Audit</li></ul>
AUDIT FIRM	SGS-CSTC Standards Technical Services
AUDIT DATE	<ul style="list-style-type: none"><li>• 12 – 14 December 2022</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>• 25 March 2023</li></ul>
AUDIT SCOPE	<p>Manufacture of aluminium and aluminium alloy sheets, strips and foils, Manufacture of aluminium alloy clad sheets, strips and foils, Manufacture of aluminium based multi-metal clad materials at Yinbang Clad Material Co., Ltd. (China).</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"><li>• Casthouses</li><li>• Semi-Fabrication</li></ul> <p>All applicable criteria in the ASI Performance Standard were included in the audit scope.</p>
AUDIT OUTCOME	<ul style="list-style-type: none"><li>• Certification</li></ul>

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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

21 July 2023 – 20 July 2026

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NEXT AUDIT  
TYPE

Surveillance Audit

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NEXT AUDIT  
DUE DATE

20 July 2024

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CERTIFICATE  
NUMBER

278

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## SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
PRINCIPLE 1 BUSINESS INTEGRITY		
1.1 Legal Compliance	Conformance	The Entity has established procedures to identify Applicable Laws and engages external law firms to provide advice as needed. The Entity has undertaken an annual compliance evaluation. There are no non-compliances listed on the national website: <a href="http://www.gsxt.gov.cn/">http://www.gsxt.gov.cn/</a>
1.2 Anti-Corruption	Conformance	The Entity has established a Management System to prevent commercial Bribery and implement anti-Corruption practices and actions to monitor for Corruption.
1.3 Code of Conduct	Conformance	The Entity has established a Code of Conduct that addresses the principles related to environmental, social and management performance.
PRINCIPLE 2 POLICY & MANAGEMENT		
2.1a Environmental, Social, and Governance Policy (implement and maintain)	Conformance	The Entity has established Policies that address environmental, social and governance (ESG) practices. ESG Policies are signed off by senior management and are published and available on noticeboards in the plant and available at: <a href="http://www.cn-yinbang.com/user_production/10.pdf">http://www.cn-yinbang.com/user_production/10.pdf</a>
2.1b Environmental, Social, and Governance Policy (senior management)	Conformance	The Entity's ESG Policies has been approved by the Entity's President and reviewed annually: <a href="http://www.cn-yinbang.com/user_production/10.pdf">http://www.cn-yinbang.com/user_production/10.pdf</a>
2.1c Environmental, Social, and Governance Policy (communication)	Conformance	The Entity has communicated its ESG Policies internally and externally as appropriate. The ESG Policies are published and available on noticeboards in the plant and available at: <a href="http://www.cn-yinbang.com/user_production/10.pdf">http://www.cn-yinbang.com/user_production/10.pdf</a>
2.2 Leadership	Conformance	The Entity has appointed the Vice President as the Management Representative, and signed off by the Chairman/General Manager in the letter of appointment.
2.3a Environmental and Social Management Systems (environmental)	Conformance	The Entity has documented and implemented an Environmental Management System, which is certified to ISO 14001.
2.3b Environmental and Social Management Systems (social)	Conformance	The Entity has documented and implemented a Social Management System, which includes a Labour and Business Ethics Policy and OH&S Policy, relevant objectives, organisational structures, rules, authorities and responsibilities, record keeping and training.

CRITERION	RATING	COMMENT
2.4 Responsible Sourcing	Conformance	The Entity has implemented a responsible sourcing Policy covering environmental, social and governance issues and includes a supplier evaluation checklist. The Entity has implemented the External Providers Management and Procurement Control Procedure. Implementation of responsible sourcing includes a supplier evaluation checklist. The suppliers audit plan has also been established and implemented.
2.5 Impact Assessments	Conformance	The Entity has established the Construction Project ESG Impact Evaluation Procedure. 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.
2.6 Emergency Response Plan	Conformance	The Entity has site-specific Emergency Response Plans developed in collaboration with potentially affected Stakeholders' groups, including neighbours, Workers and their representatives, and relevant agencies.
2.7 Mergers and Acquisitions	Conformance	The Entity has established a procedure related to investment, mergers and acquisitions, which addresses the requirement for Due Diligence. Since the Entity joined ASI, no mergers and acquisitions have occurred. This information can be verified at: <a href="http://www.cninfo.com.cn/">http://www.cninfo.com.cn/</a>
2.8 Closure, Decommissioning and Divestment	Conformance	The Entity has established a procedure related to the review of environmental, social and governance issues in the planning process for closure, decommissioning and divestment. If the Entity undergoes a closure, decommissioning or divestment, it would be publicly announced at: <a href="http://www.cninfo.com.cn/">http://www.cninfo.com.cn/</a>
PRINCIPLE 3 TRANSPARENCY		
3.1 Sustainability Reporting	Conformance	The Entity has publicly disclosed its governance approach and its Material environmental, social and economic impacts in its Sustainability Report 2021: <a href="http://www.cn-yinbang.com/about6.asp">http://www.cn-yinbang.com/about6.asp</a>
3.2 Non-compliance and liabilities	Conformance	The Entity has managed situations related to fines, judgements, penalties and non-monetary sanctions in accordance with local legal requirements and publicly disclosed information related to non-compliance and liabilities in the 2021 Annual Report: <a href="http://static.cninfo.com.cn/finalpage/2022-03-30/1212727339.PDF">http://static.cninfo.com.cn/finalpage/2022-03-30/1212727339.PDF</a>

CRITERION	RATING	COMMENT
3.3a Payments to governments (legal and contractual)	Conformance	The Entity had made payments to governments on a legal basis only and the Entity had defined the procedure to prohibit improper payments to government officials. Currently, only relevant taxes are paid to the government in accordance with legal requirements.
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 implemented an accessible Complaints Resolution Mechanism, as evidenced in their Community Communication Management Procedure and the Complaints Control Procedure. Complaints can be made via the contact details available on the website: <a href="http://www.cn-yinbang.com/about6.asp">http://www.cn-yinbang.com/about6.asp</a>
PRINCIPLE 4 MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment (life cycle impacts)	Minor Non-Conformance	The Entity has evaluated life cycle impacts of its major Product lines. However, individual processes had not been addressed in the Low-carbon Aluminium Development (Life Cycle Assessment) Report.
4.1b Environmental Life Cycle Assessment (cradle to gate)	Conformance	If customer request, the Entity can provide adequate cradle-to-gate Life Cycle Assessment (LCA) information on its Aluminium (containing) Products.
4.1c Environmental Life Cycle Assessment (public communication)	Minor Non-Conformance	The Entity has published a Life Cycle Assessment (LCA) Report on its website: <a href="http://www.cn-yinbang.com/user_production/202352315658392.pdf">http://www.cn-yinbang.com/user_production/202352315658392.pdf</a> However, the LCA does not contain all relevant data on raw materials.
4.2 Product design	Conformance	The Entity has an Advanced Product Quality Planning Procedure and has established clear objectives for the development process to enhance sustainability, including the environmental life cycle impacts of the end Product.
4.3a Aluminium Process Scrap (targets)	Conformance	The Entity has established key performance indicators on the overall and process yield on the operation control. All Aluminium Process Scrap was collected for input into the Aluminium re-melting process.
4.3b Aluminium Process Scrap (alloy separation)	Conformance	The Entity has separated 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 that includes the objective for low-carbon Aluminium capacity planning with targets for 2023, 2025, 2030 and

CRITERION	RATING	COMMENT
		2039. The Entity is supporting a program with the Yinbang Low-carbon Aluminium Development (Life Cycle Assessment) Report 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 that includes the objective for low-carbon Aluminium capacity planning with targets for 2023, 2025, 2030 and 2039. The goals are established for a continuous increase in the recycling rate.
PRINCIPLE 5 GREENHOUSE GAS EMISSIONS		
5.1 Disclosure of GHG emissions and energy use	Conformance	As Jiangshu province government required, The Entity has submitted its energy consumption data to the Jiangshu Province Enterprise Greenhouse Gas (GHG) emissions reporting system annual, and this system subsequently issues a GHG emissions report. The Entity's 2021 energy data has been submitted (in January 2022) and the final report is available on the Entity's website as below: <a href="http://www.cn-yinbang.com/user_production/7.pdf">http://www.cn-yinbang.com/user_production/7.pdf</a> .
5.2 GHG emissions reductions	Conformance	The Entity has established time-bound GHG emissions reduction targets and implementation programme for 2022 based on the 2021 data. Additionally, the Entity has established GHG emissions reduction targets from 2023 to 2026.
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	Minor Non-Conformance	The Entity has quantified and reported Emissions to Air that have adverse effects on the environment. The Entity includes information on emissions in the Sustainability Report: <a href="http://www.cn-yinbang.com/user_production/9.pdf">http://www.cn-yinbang.com/user_production/9.pdf</a> Emissions to Air are tested via a third party and an internal air pollution management report was prepared based on the information from the test reports and published: <a href="http://www.cn-yinbang.com/user_production/5.pdf">http://www.cn-yinbang.com/user_production/5.pdf</a>
6.2 Discharges to Water	Conformance	The Entity has quantified and reported Discharges to Water that have adverse effects on humans or the

CRITERION	RATING	COMMENT
		<p>environment and implemented plans to minimise the adverse impacts. The Entity includes information of discharges in the Sustainability Report:  <a href="http://www.cn-yinbang.com/user_production/9.pdf">http://www.cn-yinbang.com/user_production/9.pdf</a>            Discharges to Water are tested via a third party and an internal water pollution management report was prepared based on the information from the test reports and:  <a href="http://www.cn-yinbang.com/user_production/4.pdf">http://www.cn-yinbang.com/user_production/4.pdf</a></p>
6.3a Assessment and Management of Spills and Leakage (assessment)	Conformance	The Entity has engaged a third party to issue the Emergency Response Plan for environmental events, which includes the identification and evaluation of Spills and Leakage risks. The emergence response has been defined in this plan, which is registered with the local government.
6.3b Assessment and Management of Spills and Leakage (management)	Conformance	The Entity has engaged a third party to issue the Emergency Response Plan for environmental events, which includes the identification and evaluation of Spills and Leakage risks. The emergence response has been defined in this plan, which is registered with the local government.
6.4a Reporting of Spills (immediate disclosure)	Conformance	The Emergency Response Plan for environmental events details the process to report Spills and Leakages to affected parties including the Local Community, neighbours and local government, immediately following an event.
6.4b Reporting of Spills (regular reporting)	Conformance	<p>The Emergency Response Plan for environmental events details the process to report Spills and Leakages. Spills and Leakages are reported in the Entity's quarterly or annual reports and released on the reporting website as required:  <a href="http://www.cninfo.com.cn/new/index">http://www.cninfo.com.cn/new/index</a>            The 2021 Report disclosed an emulsified liquid leakage in 2021.</p>
6.5a Waste management and reporting (strategy)	Conformance	The Entity has implemented its Solid Waste Management Procedure, which defines the treatment process for solid waste including Hazardous and Non-Hazardous Waste. The quantities and treatment methods of Wastes are displayed on the board at the Entity's entrance each quarter. Hazardous Wastes are transferred to qualified suppliers and process scraps are collected for re-melting. Non-Hazardous Wastes including domestic waste and Dross raised in the process.



CRITERION	RATING	COMMENT
6.5b Waste management and reporting (disclosure)	Minor Non-Conformance	The annual quantity of Hazardous Waste generated by the Entity and the associated disposal methods are reported on the Sustainability Report 2021: <a href="http://www.cn-yinbang.com/about6.asp">http://www.cn-yinbang.com/about6.asp</a> However, the annual quantity of Non-Hazardous Waste and the disposal methods information is not disclosed.
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)	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 has established the list of ingredients according to the designation of Aluminium alloy, batching plan and actual feeding records are available for monitoring the usage of the materials, including Dross.
6.8b Dross (recycling)	Conformance	The Entity maximises the recovery of Aluminium by treatment of Dross and Dross Residues, and recovery results are recorded. The Entity has established the list of ingredients according to the designation of Aluminium alloy, batching plan and actual feeding

CRITERION	RATING	COMMENT
		records are available for monitoring the usage of the materials, including Dross. All treated Dross Residues are transferred to external parties for reuse. The annual Hazardous Waste management plan and manifest of Hazardous Waste transfers indicate that Dross residues are recycled by the external party.
6.8c Dross (review of alternatives)	Conformance	All treated Dross Residues are transferred to external parties for reuse. The annual Hazardous Waste management plan and manifest of Hazardous Waste transfers indicate that Dross residues are recycled by the external party.
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 a water balance table, available at: <a href="http://www.cn-yinbang.com/user_production/2.pdf">http://www.cn-yinbang.com/user_production/2.pdf</a>
7.1b Water assessment (risk assessment)	Conformance	The Entity has undertaken a Water Resources Risk Assessment and made the report available on the Entity's website: <a href="http://www.cn-yinbang.com/user_production/3.pdf">http://www.cn-yinbang.com/user_production/3.pdf</a> .
7.2a Water management (management plans)	Conformance	The Entity has disclosed its water usage in the Sustainability Report: <a href="http://www.cn-yinbang.com/user_production/9.pdf">http://www.cn-yinbang.com/user_production/9.pdf</a> The Entity has undertaken an Environmental Impact Assessment that included the evaluation of water-related risks.
7.2b Water management (monitoring)	Conformance	On-line monitoring at the outlet of the wastewater treatment facility is undertaken as per local government requirements and data is available on the government website: <a href="http://218.94.78.61:8080/newPub/web/home.htm">http://218.94.78.61:8080/newPub/web/home.htm</a>
7.3 Disclosure of water usage and risks	Conformance	The Entity has disclosed its water usage: <a href="http://www.cn-yinbang.com/user_production/2.pdf">http://www.cn-yinbang.com/user_production/2.pdf</a> . The Water Resources Risk Assessment Report is available on the website: <a href="http://www.cn-yinbang.com/user_production/3.pdf">http://www.cn-yinbang.com/user_production/3.pdf</a> On-line sewerage monitoring is undertaken as per local government requirements and data is available on the government website.
PRINCIPLE 8 BIODIVERSITY		
8.1 Biodiversity assessment	Conformance	The Entity is located in an Industrial Park of Hongshan Town. Environmental Impact Assessments (EIA) have been undertaken for the industrial park plan and

CRITERION	RATING	COMMENT
		<p>construction projects, which have assessed the risk and impact of the Entity's land use and activities on Biodiversity in the area of impact. The Biodiversity Assessment Report is disclosed:  <a href="http://www.cn-yinbang.com/user_production/1.pdf">http://www.cn-yinbang.com/user_production/1.pdf</a></p> <p>The report indicates that there are no protected flora, protected fauna and no large wild animals in the area. Additionally, the Entity has developed a monitoring plan for air and water emissions to protect the environment.</p>
8.2a Biodiversity management (biodiversity action plans)	Conformance	According to the EIA report, there are no protected flora, no protected fauna and no large wild animals in the area. The Entity manages its impacts on Biodiversity by monitoring the quality of emissions to air and water.
8.2b Biodiversity management (consultation and mitigation hierarchy)	Conformance	At present, the Entity manages its impacts on Biodiversity by monitoring the quality of emissions to air and water. The Entity has assessed its impacts on Biodiversity via the EIA prepared by a third party, which includes an assessment of management options.
8.2c Biodiversity management (reporting)	Conformance	The Entity manages its impacts on Biodiversity by monitoring the quality of emissions to air and water and reports on these aspects.
8.3 Alien Species	Conformance	The Entity has implemented provisions to prevent accidental or intentional introduction of Alien Species that could have a significant adverse impact 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.
<b>PRINCIPLE 9 HUMAN RIGHTS</b>		
9.1a Human Rights Due Diligence (policy)	Conformance	<p>The Entity has issued and signed a Policy commitment to respect Human Rights:  <a href="http://www.cn-yinbang.com/user_production/10.pdf">http://www.cn-yinbang.com/user_production/10.pdf</a></p> <p>In addition, the Entity has established and implement it Human Rights guidelines.</p>

CRITERION	RATING	COMMENT
9.1b Human Rights Due Diligence (process)	Conformance	The Entity has undertaken a Due Diligence process with assistance of an external expert. The assessment determined that the Entity had not caused or contributed to adverse Human Rights impacts.
9.1c Human Rights Due Diligence (remediation)	Conformance	The Entity has undertaken a Due Diligence process with assistance of an external expert. The assessment determined that the Entity had not caused or contributed to adverse Human Rights impacts.
9.2 Women's Rights	Conformance	The Entity has established special protection procedures, including the 'Protecting the Rights and Interests of Female Workers' to address women's rights. The audit confirmed that women Workers were not discriminated against.
9.3 Indigenous Peoples	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.4 Free, Prior, and Informed Consent (FPIC)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.5 Cultural and sacred heritage	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.6a Resettlements (avoid or minimise)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.6b Resettlements (where unavoidable)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.7a Local Communities (rights and interests)	Conformance	The Entity has undertaken an Environmental Impact Assessment that determined the Entity's activities do not impact the Local Communities directly 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 Entity has undertaken an Environmental Impact Assessment that determined the Entity's activities do not impact the Local Communities directly 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 and maintained a community communications management system that addresses the Entity's relationships with local governments, social organisations, and Local

CRITERION	RATING	COMMENT
		Communities. Relevant community communication records have been retained.
9.8 Conflict-Affected and High-Risk Areas	Conformance	The Entity has established and documented a Company Policy which includes a responsible sourcing Policy with a commitment to not contribute to armed conflict or Human Rights abuses in Conflict-Affected and High-Risk Areas: <a href="http://www.cn-yinbang.com/user_production/10.pdf">http://www.cn-yinbang.com/user_production/10.pdf</a> The Entity has issued a notification letter to suppliers regarding its procurement policy.
9.9 Security practice	Conformance	The security provider respects Human Rights according to recognised standards and good practices. The Entity has established internal regulations for security management which defines that the primary role of security providers is the protection of people, property and/or assets. The responsibilities and obligations of the security provider is defined in a services contract.
PRINCIPLE 10 LABOUR RIGHTS		
10.1a Freedom of Association and Right to Collective Bargaining (freedom of association)	Conformance	The Entity respect the rights of Workers to join 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	The Entity respect the rights of Workers to join 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	The Entity respect the rights of Workers to join 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.
10.2a Child Labour (minimum age)	Conformance	The Entity has implemented procedures on the prohibition of Child Labour and 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. The Workers' age is verified during recruitment via appearance, identification and other legal documents. Currently there are no Young Workers at the Entity.
10.2b Child Labour (hazardous)	Conformance	The Entity has implemented procedures on the prohibition of Child Labour and 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. The Workers' age is

CRITERION	RATING	COMMENT
		verified during recruitment via appearance, identification and other legal documents. Currently there are no Young Workers at the Entity.
10.2c Child Labour (worst forms)	Conformance	The Entity has implemented procedures on the prohibition of Child Labour and 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. The Workers' age is verified during recruitment via 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 engage in or support Human Trafficking either directly or through any 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 advance from Workers, 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 require Migrant Workers to lodge deposits or security payments at any time. This was verified during Worker interviews.
10.3d Forced Labour (debt bondage)	Conformance	The Entity does not engage in nor support the use of Forced Labour. The Entity does not 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 does not unreasonably restrict the freedom of movement of Workers at the workplace.
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 does not 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.

CRITERION	RATING	COMMENT
10.4 Non-Discrimination	Conformance	The Entity has established procedures on recruitment management that ensures equal opportunities and that there is no Discrimination, including in hiring, salary payments and promotions. The interviewed Workers did not raise any occurrences of Discrimination and there were no complaints of Discrimination received by the Entity.
10.5 Communication and engagement	Conformance	The Entity provides multiple channels to ensure communication and engagement with Workers and their representative on workplace matters, without threat of reprisal, intimidation or harassment. Monthly Worker communication meetings are held.
10.6 Disciplinary practices	Conformance	The Entity has implemented procedures 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 include verbal or documented warning, re-training and/or a pause on work. There are no fines or financial 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 of current month are paid by the 15th of the following month.
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 has implemented the Occupational Health and Safety (OH&S) Policy, which is signed off by senior management, and published on the board in the plant and the website: <a href="http://www.cn-yinbang.com/user_production/10.pdf">http://www.cn-yinbang.com/user_production/10.pdf</a>
11.1b Occupational Health and Safety (OH&S) Policy (workers and visitors)	Conformance	The Entity has communicated the OH&S Policies internally and externally as appropriate. The ESG Policy is published on the board in the plant and is available on the website: <a href="http://www.cn-yinbang.com/user_production/10.pdf">http://www.cn-yinbang.com/user_production/10.pdf</a>

CRITERION	RATING	COMMENT
11.1c Occupational Health and Safety (OH&S) Policy (applicable law and standards)	Minor Non-Conformance	The OH&S Policy does not define the Entity's commitment to relevant international standards and ILO Conventions on Occupational Health and Safety, including ILO Conventions 155 and 176.
11.1d Occupational Health and Safety (OH&S) Policy (right to stop unsafe work)	Minor Non-Conformance	The OH&S Policy does not define that the Entity's Workers have the right to know the hazards and safe practices for their work, nor the Workers' right to refuse or stop unsafe work.
11.2 OH&S Management System	Minor Non-Conformance	The Entity has established a documented Occupational Health and Safety (OH&S) Management System that includes relevant OH&S Policies, objectives, organisational structure, rules, authorities and responsibilities, regulations for safe operation, training requirements and records management. The audit confirmed that the Entity's OH&S Committee has been established and employees participate in hazard identification and evaluation and in accident investigation and handling. However, the OH&S and Environmental Management Manual directory does not reflect the consultation with and participation of Workers.
11.3 Employee engagement on health and safety	Conformance	The Entity's OH&S Committee provides Workers with a mechanism to raise, discuss and participate in the resolution of OH&S issues.
11.4 OH&S performance	Conformance	The Entity obtained a second-level certificate of safety production standardisation issued by the local Safety Supervision Bureau in 2017. The certification was not renewed due to the impacts of COVID-19. However, the Entity has established and maintained an OH&S culture via implementation of the OH&S Management System and annual OH&S indicators are monitored at the scheduled intervals.

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

Revision	Date	Notes
0	21 July 2023	Initial Certification Audit – Full Certification