

ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

Chongqing Millison Technologies Inc.

CERTIFICATE NUMBER

339

ASI STANDARD

PERFORMANCE
STANDARD
(V3 2022)

CERTIFICATION LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITING FIRM

SGS-CSTC
STANDARDS
TECHNICAL SERVICES

DATE OF ISSUE

13 DECEMBER 2023

DATE OF EXPIRY

12 DECEMBER 2026

CERTIFIED SINCE

13 DECEMBER 2023

AUTHORISED BY

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

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

CERTIFICATION SCOPE

Re-melting, casting and processing
for the manufacture of aluminium
alloy parts at Chongqing Millison
Technologies Inc. facilities in Banan
District, Chongqing, China.

AUDIT REPORT PERFORMANCE STANDARD

OVERVIEW

| | |
|-------------------------------|---|
| MEMBER NAME | Chongqing Millison Technologies Inc. |
| ENTITY NAME | Chongqing Millison Technologies Inc. |
| CERTIFICATION SCOPE | Re-melting, casting and processing for the manufacture of aluminium alloy parts at Chongqing Millison Technologies Inc. facilities in Banan District, Chongqing, China. |
| SUPPLY CHAIN ACTIVITIES | <ul style="list-style-type: none">Aluminium Re-melting/RefiningCasthousesMaterial Conversion |
| ASI STANDARD | Performance Standard V3 |
| AUDIT TYPE | <ul style="list-style-type: none">Initial Certification Audit |
| AUDIT FIRM | SGS-CSTC Standards Technical Services |
| AUDIT DATE | <ul style="list-style-type: none">5 – 8 September 2023 |
| AUDIT REPORT SUBMISSION | <ul style="list-style-type: none">1 November 2023 |
| AUDIT SCOPE | <p>The audit scope includes re-melting, casting and processing for the manufacture of aluminium alloy parts at Chongqing Millison Technologies Inc. facilities in Banan District, Chongqing, China.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">Aluminium Re-melting/RefiningCasthousesMaterial Conversion <p>All applicable criteria in the ASI Performance Standard were included in the audit scope.</p> |
| AUDIT OUTCOME | <ul style="list-style-type: none">Certification |
| AUDIT METHODOLOGY DECLARATION | <p>The Auditors confirm that:</p> <ul style="list-style-type: none"><input checked="" type="checkbox"/> The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this report.<input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.<input checked="" type="checkbox"/> The Audit Scope and audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the company's defined Certification Scope.<input checked="" type="checkbox"/> The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective. |

CERTIFICATION PERIOD 13 December 2023 – 12 December 2026

NEXT AUDIT TYPE Surveillance Audit

NEXT AUDIT DATE 13 June 2025

CERTIFICATE NUMBER 339



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.

ENTITY OVERVIEW

Chongqing Millison Technologies Inc. was founded in May 2001, with its registered address at No. 1, Annex 1 and Annex 2, No. 1 Tian'an Road, Banan District, Chongqing. The Entity produces two major categories of products; 1. aluminium alloy auto parts and 2. Communications parts, which are predominantly sold to manufacturers in Europe, America and the Asia-Pacific region. The Entity is located in Tianming Automobile and Motorcycle Industrial Park, Banan Economic Park, Chongqing, China, covering a total area of over 80 hectares, with no Indigenous residents, schools, scenic areas, drinking water source areas and other sensitive receptors. The nearest sensitive receptor is approximately 1.5 kilometres from the Entity, on the Yangtze River (Chang Jiang). The Entity's main production processes include remelting (smelting), die-casting, cleaning/shot blasting, and machining, with a designed production capacity of 30,000 tonnes per annum. Currently production capacity is approximately 25,000 tonnes per annum. The main building on site includes a joint workshop and a comprehensive office building. The joint workshop is equipped with a melting furnace, bag filter, die-casting machine, holding furnace, trimming machine, grinding line body, automatic grinding station, aging furnace, shot blasting machine, machining centre, cleaning machine and assembly machine. The workshop is also equipped with semi-finished products transit warehouse and a finished products automatic 3D warehouse.

The Entity also has a sewage treatment station, an air pressure station, a hazardous waste storehouse and a general solid waste storehouse, as well as a dormitory for shift workers. The Entity is planning to construct two new workshops and a Research and Development (R&D) building. After the commissioning of the new facilities, total capacity is expected to increase by a further 20,000 tonnes per year.

The Entity currently employs 1,270 people, and the main interested parties include shareholders, customers, partners, downstream supply chain and relevant government departments. The continuous development of the Entity provides employment opportunities for neighbouring communities and promotes the development of the local economy.

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 |
|--------------------|------------|-------------|--------|-----------------|
| SYSTEMS | High | Medium | Medium | MEDIUM |
| RISKS | Medium | Medium | High | MEDIUM |
| PERFORMANCE | Medium | Medium | Medium | MEDIUM |
| OVERALL | MEDIUM | | | |

FINDINGS

| CRITERION | RATING | COMMENT |
|---|-------------|--|
| 1. BUSINESS INTEGRITY | | |
| 1.1 Legal Compliance | Conformance | The Entity has established a Collection and Control Procedure for Laws, Regulations and Other Requirements, which prescribe responsibilities, the method, timing and frequency for identifying and evaluating compliance of laws and regulations applicable to the environment, society and governance. As part of this process, the Entity also regularly prepares a written compliance evaluation report. |
| 1.2 Anti-Corruption | Conformance | The Entity has evaluated the high-risk position of commercial Bribery and has established a Program of Anti-Corruption and Anti-Bribery Management and a Business Ethics Management Procedure, which prescribes the prohibition of Corruption and Bribery in all business practices and transactions. These anti-Corruption and anti-Bribery Policies and procedures have been communicated to and understood by employees and others acting on behalf of the Entity. The Entity provides different anonymous prosecution channels including a mailbox and email address on its official website for the purposes of reporting any potential Corruption or Bribery activity. http://www.djmillison.com/Uploadfiles/Files/2023-8-30/20238301110134041.pdf |
| 1.3a-e Code of Conduct | Conformance | The Entity has developed and implemented an RBA Management Manual in accordance with the RBA (Electronic Industry Code of Conduct) Code 7.0 (2021) to ensure the safety of the working environment, respected and dignified Workers, and environmental responsibility for the production process. These Codes of Conduct set guidelines for the Entity's labour, health and safety, environment, business ethics and governance performance. The Entity ASI-PS Management Manual and Code of Conduct is publicly available at: http://www.djmillison.com/Uploadfiles/Files/2023-8-29/20238291354166693.pdf An Internal Audit Control Procedure and Management Review Control Procedure are in place. The Entity has conducted an internal audit and management review at least annually as per the Code of Conduct. If important changes to environmental, social and governance risks occur, or in the case of insufficient operational controls, the Policy will be reviewed or revised. Since the establishment of the Code of Conduct, no important changes or major control defects have occurred. |
| 2. POLICY AND MANAGEMENT | | |
| 2.1a-f Environmental, Social, and Governance Policy | Conformance | The Entity has implemented and maintains integrated Policies consistent with the environmental, social, and governance practices included in the ASI Performance Standard. The Policies have been approved by the Entity's General Manager, and sufficient resources have been provided. For further information refer to: http://www.djmillison.com/Uploadfiles/Files/2023-9-5/2023951543495675.pdf |
| 2.2a-c Leadership | Conformance | A Senior Management Representative from the Entity has been nominated. The responsibility and authority of each department and |

| CRITERION | RATING | COMMENT |
|--|----------------|--|
| | | key roles have been defined to implement the ASI Performance Standard. |
| 2.3a Environmental and Social Management Systems – Environmental | Conformance | An Environmental Management System has been established and implemented at the Entity and has been undertaken in accordance with the requirements of ISO14001:2015. Certification to ISO 14001 has been obtained in 2021 with the latest audit undertaken in January 2023 where no major non-conformances were raised. http://cx.cnca.cn/CertECloud/result/skipResultList |
| 2.3b Environmental and Social Management Systems – Social | Conformance | The Entity has documented and implemented a Social Management System supported by the Social Accountability Management Manual RBA7.0, which is further supported by social accountability related procedures. An internal audit and management review were last undertaken in May 2023. The Entity has conformed to the legal compliance requirements according to Social Management Systems. The Entity passed a social responsibility system audit undertaken by Shenzhen Huawei in June 2022. Further information is available at: http://www.djmillison.com/Uploadfiles/Files/2023-8-29/2023829105973398.pdf |
| 2.4a-e Responsible Sourcing | Conformance | The Entity has established a Sourcing Management Procedure and a Responsible Sourcing Policy which has been published at: http://www.djmillison.com/Uploadfiles/Files/2023-9-5/2023951543495675.pdf . The Responsible Sourcing Policy has been communicated to all suppliers and contractors and addresses the environmental, social and governance aspects towards the suppliers based on the ASI Performance Standard. The Entity has finished communication with suppliers and contractors via the sourcing system http://srm.millisondc.com:8208/Account/Login |
| 2.5a-g Environmental and Social Impact Assessments | Not Applicable | This Criterion is not applicable to the Entity, as there have not been any New Projects or Major Changes since the Entity became an ASI member in 2021. However, environmental, social, cultural and Human Rights Impact Assessments are implemented in each of the Entity's various departments. The identified risks on social, environment, OH&S and governance are assessed, and the associated control measures are established and implemented. An environmental and social impact management plan has been published at: http://www.djmillison.com/Uploadfiles/Files/2023-9-6/202396831256104.pdf |
| 2.6a-h Human Rights Impact Assessment | Not Applicable | This Criterion is not applicable to the Entity, as there have been no New Projects or Major Changes to existing Facilities since the Entity became an ASI member. However, the Entity has established a Human Rights Impact Assessment process. |
| 2.7a-f Emergency Response Plan | Conformance | The Entity has established an emergency response planning management process and established Emergency Response Plans in 2023, undertaken in collaboration with potentially affected Stakeholders' groups. The Entity has also conducted environmental and safety comprehensive planning exercises. The Entity has publicly disclosed the latest version of the Emergency Response Plans at: |

| CRITERION | RATING | COMMENT |
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| | | http://www.djmillison.com/Uploadfiles/Files/2023-8-29/20238291821457041.pdf |
| 2.8a-d Suspended Operations | Conformance | The Entity has established a procedure for the suspension of the operation, including a business resilience plan to address situations where it may have to suspend or significantly alter operations due to factors outside its control. This procedure considers Material adverse environmental, social and governance impacts. The Entity reviews its business resilience plan every two years. |
| 2.9a-b Mergers and Acquisitions | Conformance | The Entity has established a management procedure for Mergers and Acquisitions, however no such activity has occurred, nor expect to in the near future. |
| 2.10a-b Closure, Decommissioning and Divestment | Conformance | The Entity has established a management procedure for Closure, Decommissioning and Divestment however no such activity has occurred, nor expect to in the near future. |
| 3. TRANSPARENCY | | |
| 3.1a-b Sustainability Reporting | Conformance | The Entity has prepared and issued a Sustainability Development Report that addresses Governance, Performance (Environment & Energy, Labour & Human Rights, Work Conditions, Occupational Health and Safety (OH&S), Responsible Sourcing, Local Community and Public Charity). It is publicly available at: http://www.djmillison.com/Uploadfiles/Files/2023-8-29/2023829105973398.pdf |
| 3.2 Non-compliance and Liabilities | Conformance | A review of official websites of the relevant government agencies and Non-Government Organisations (NGOs) confirmed that the Entity has not received any non-compliances from Government agencies. No significant fines, judgments, penalties and non-monetary sanctions for failure to comply with Applicable Law have been received. |
| 3.3a-c Payments to Governments | Conformance | A management process has been established by the Entity for payments to governments. Payments to governments include various tax, water and electricity fees and insurance premiums for employees. The Entity facilitates payments to governments on a legal and/or contractual basis. Further information is available at: http://www.szse.cn/disclosure/listed/notice/index.html?name=%E7%BE%8E%E5%88%A9%E4%BF%Ahttp://www.szse.cn/disclosure/listed/notice/index.html?name=%E7%BE%8E%E5%88%A9%E4%BF%AI&stock=301307&r=1693982839385 |
| 3.4a-f Stakeholder Complaints, Grievances and Requests for Information | Conformance | The Entity has developed and implemented an accessible Complaints Resolution Mechanism. If there is a need to contact the Entity, all Stakeholders can use the following contact details at: http://www.djmillison.com/Uploadfiles/Files/2023-8-30/20238301110134041.pdf |
| 4. MATERIAL STEWARDSHIP | | |
| 4.1a Environmental Life Cycle Assessment | Conformance | The Entity has completed its first Life Cycle Assessment (LCA) report. The LCA report has been verified by a qualified third party and the Entity has submitted the LCA Verification Statement for one kilogram (1 |

| CRITERION | RATING | COMMENT |
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| | | kg) of cast Aluminium products (raw material is 50% Recycled Aluminium ingot and 50% hydro-Aluminium ingot). |
| 4.1b-c Environmental Life Cycle Assessment - Disclosure | Conformance | The Entity has completed its first Life Cycle Assessment (LCA) report. The LCA report has been verified by a qualified third party and the Entity has submitted the LCA Verification Statement for one kilogram (1 kg) of cast Aluminium products (raw material is 50% Recycled Aluminium ingot and 50% hydro-Aluminium ingot). The statement confirms that the environmental impact categories in the life cycle from the product cradle to gate, which is publicly available at: http://www.djmillison.com/Uploadfiles/Files/2023-8-30/2023830116126578.pdf |
| 4.2 Product Design | Conformance | The Entity has established a procedure for new product development, which stipulates that the selection and utilisation of materials are considered from the production development and process planning process, the appropriate process selection, improved process efficiency, equipment and load matching in the process, process optimisation, service life, convenient maintenance and saving, collection of scrap and disposal. |
| 4.3a-b Aluminium Process Scrap | Conformance | The Entity has established a recycling rate of 100% as the goal for process waste generated during the production of aluminium products. Performance against this target is regularly evaluated. The Entity manages thirteen kinds of Aluminium alloy grades through colour classification. |
| 4.4a-c Collection and Recycling of Products at End of Life - Material Conversion and other Manufacturing | Conformance | The Entity has publicly disclosed its Waste Aluminium Recycling Strategy at: http://www.djmillison.com/Uploadfiles/Files/2023-8-29/2023829180417629.pdf In this strategy, the Entity has committed to 100% recycling and reuse of Aluminium waste as its strategic goal and has developed an accompanying schedule. The strategy is reviewed at least every five years. |
| 4.4d Collection and Recycling of Products at End of Life | Conformance | As there are no local Aluminium collection and recycling systems in Chongqing, the Entity ensures that the production process and associated wastes can be 100% recycled, and the specific recycling method shall be implemented in accordance with the contract agreement determined by both parties. The Entity's equipment provides accurate measurement and monitoring instruments for the recycling Aluminium process. |

5. GREENHOUSE GAS EMISSIONS

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| 5.1a-b Disclosure of GHG Emissions and Energy Use | Minor Non-Conformance | The Entity has established a procedure for Greenhouse Gases (GHG) and energy management, which requires annual analysis and the preparation of an GHG emission report as per ISO14064-1 and publicly discloses Material GHG emissions by source for its factory on an annual basis at: http://www.djmillison.com/Uploadfiles/Files/2023-8-30/2023830116128740.pdf The Entity obtained energy Management System certification. There are direct and indirect (category 1-6) emissions data in the GHG inventory, which has been verified by an independent body. The Entity has publicly disclosed its carbon peak and carbon neutral |
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| CRITERION | RATING | COMMENT |
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| | | <p>implementation plan at: http://www.djmillison.com/Uploadfiles/Files/2023-9-7/202397921132727.pdf</p> <p>A GHG reduction pathway is included in this plan, and includes the use of high energy efficient motor equipment to gradually replace low energy efficiency equipment; the recycling of waste heat from natural gas combustion exhaust gas; product lightweight design; installing photovoltaic power generation equipment on the roof; and, purchasing Green Electricity. The Entity has established a GHG reduction target, including the 'Peak Carbon' target for 2026. However, the Entity's GHG Verification report contained several data errors in the use of CO₂e emission factors.</p> |
| 5.2a Aluminium Smelter GHG Emissions Intensity - Started production after 2020 | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 5.2b Aluminium Smelter GHG Emissions Intensity - In production up to and including 2020 | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 5.3a-e GHG Emissions Reduction Plans | Conformance | <p>The Entity's GHG emissions reduction strategies have been publicly disclosed at: http://www.djmillison.com/Uploadfiles/Files/2023-8-29/20238291810288542.pdf</p> <p>The Entity has published GHG Emissions Reduction Plans and an associated reduction pathway from 2025 to 2040. The Entity established a GHG Controlling and Management Procedure, which requires an annual management review for GHG inventory. The Entity will review the GHG Emission Reduction Plan and Pathway for any changes to the Business.</p> |
| 5.4 GHG Emissions Management | Conformance | The Entity has established a GHG Inventory Procedure, which specifies the GHG source and sink identification, qualification GHG emissions and removals, and GHG reduction target. The measurement and monitoring instruments for GHG inventory have been calibrated. The Entity has also developed and implemented a GHG Reduction Plan and regularly publicly discloses its performance against this Plan. |
| 6. EMISSIONS, EFFLUENTS AND WASTE | | |
| 6.1a-f Emissions to Air | Conformance | <p>The Entity has publicly disclosed its exhaust gas emissions for 2022 and reduction plan in 2023 at: http://www.djmillison.com/Uploadfiles/Files/2023-9-7/202397922366606.pdf and provides details on its latest contaminants discharge monitoring result publicity on the local Government website.</p> <p>The Entity has established an Air Pollution Prevention and Controlling Procedure, which prescribes the review of the air pollutant reduction plan annually. During the audit, it was determined that the management of air emissions was effective.</p> |
| 6.2a-g Discharges to Water | Minor Non-Conformance | The Entity has publicly disclosed its wastewater discharges for 2022 and reduction target for 2023 (http://www.djmillison.com/Uploadfiles/Files/2023-9- |

| CRITERION | RATING | COMMENT |
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| | | <p>7/202397922366606.pdf) and provides details on its latest contaminants discharge monitoring result publicity on the local Government website. The reduction plan for Discharges to Water is reviewed every five years. In case of any discharge event that exceeds internally or externally mandated limits, the plan will be reviewed immediately.</p> <p>However, the wastewater discharge target set by the Entity has not considered the wastewater discharged by a new process implemented in 2023.</p> |
| 6.3a-g Assessment and Management of Spills and Leakages | Conformance | <p>The Entity has established an Environment Aspect and Hazard Identification and Evaluation Procedure to evaluate and control Spills and Leakages. The Entity's latest management plan is available at: http://www.djmillison.com/Uploadfiles/Files/2023-8-29/2023829180411102.pdf</p> <p>The procedure prescribes the review of the management plan at least every five years or after any Spills/Leakages event or any changes to the business after Spills and Leakages risks.</p> |
| 6.4a-b Public Disclosure of Spills and Leakages | Conformance | <p>The Entity has publicly disclosed Leakages risk identification and assessment results at: http://www.djmillison.com/Uploadfiles/Files/2023-8-29/2023829180411102.pdf</p> <p>There have been no Spills or Leakage events to date.</p> |
| 5a-c Waste Management and Reporting | Conformance | <p>The Entity has developed and implemented a Solid Waste Pollution Prevention and Controlling Procedure, which prescribes the segregation, collection and storage of waste materials. The waste reduction target is reviewed annually and the Entity has publicly disclosed its solid waste in 2022 and reduction plan in 2023 at: http://www.djmillison.com/Uploadfiles/Files/2023-9-7/202397922366606.pdf</p> |
| 6.6a-g Bauxite Residue | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 6.7a-f Spent Pot Lining (SPL) | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 6.8a-d Dross | Conformance | <p>The Entity has developed and implemented a Prevention and Controlling Waste Pollution Procedure. The procedure specifies the storing and management of Dross, and the review of alternative options for landfilling of Dross residues annually. The Entity measures and monitors Dross and Dross residues to maximise the recycling of treated Dross residues.</p> |
| 7. WATER STEWARDSHIP | | |
| 7.1a-b Water Assessment and Disclosure | Minor Non-Conformance | <p>The only water resource used by the Entity is via a dedicated industrial source, provided by the municipal water company. The Entity has publicly disclosed its water resource management plan at: http://www.djmillison.com/Uploadfiles/Files/2023-8-29/20238291748112920.pdf</p> <p>Whilst the plan has been generally well implemented, one water meter for purified water flow meter of circulating cooling water has no associated calibration records.</p> |

| CRITERION | RATING | COMMENT |
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| 7.2a-e Water Management | Conformance | <p>The Entity has disclosed its water resource management plan at: http://www.djmillison.com/Uploadfiles/Files/2023-8-29/20238291748112920.pdf</p> <p>The plan provides the Entity's unit product water consumption target, water measurement, instruments management, water account data management and water-saving awareness training to employees.</p> <p>The only water resource used by the Entity is via a dedicated industrial source, provided by the municipal water company, and as such the risks have been assessed as low.</p> |

8. BIODIVERSITY AND ECOSYSTEM SERVICES

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| 8.1a Biodiversity and Ecosystem Services Risk and Impact Assessment | Conformance | <p>The Entity has developed and established a Biodiversity management procedure and Biodiversity assessment report: http://www.djmillison.com/Uploadfiles/Files/2023-8-29/20238291155435238.pdf</p> <p>The Entity is located within an industrial park developed by the local government. Based on the Environmental Impact Assessment report, no protected flora or fauna are present in this area. The risks and potential impacts to physical Biodiversity and Ecosystem Services are considered low.</p> |
| 8.1b Biodiversity and Ecosystem Services Risk and Impact Assessment - Priority | Not Applicable | This Criterion is not applicable, as the Entity has identified the risks and potential impacts to physical Biodiversity and Priority Ecosystem Services are considered low. |
| 8.2a-g Biodiversity Management | Not Applicable | This Criterion is not applicable to the Entity as the Biodiversity assessment report confirmed that there were no Significant Risks and impacts on Biodiversity in the Entity's Area of Influence. |
| 8.3a-c Management of Priority Ecosystem Services | Not Applicable | This Criterion is not applicable to the Entity as the Biodiversity assessment report confirmed that there were no Significant Risks and impacts on Ecosystem Services in the Entity's Area of Influence. |
| 8.4 Alien Species | Conformance | The Entity has established an Alien Species management mechanism, which includes a documented Alien Species Management Procedure and Biodiversity assessment report (which includes an Alien Species risk assessment). The Entity proactively prevents accidental or deliberate introduction of Alien Species that could have significant adverse impacts on Biodiversity, which includes a number of preventative and management processes. |
| 8.5a-b Commitment to "No Go" in World Heritage Properties | Conformance | The Entity commits to "No Go" in World Heritage Properties. The Entity is located within an industrial park developed by the local government. There are no World Heritage properties in or adjacent to the Entity's Area of Influence. |
| 8.6a-d Protected Areas | Not Applicable | This Criterion is not applicable to the Entity, they are located within an industrial park developed by the local government and there are no Protected Areas in or adjacent to the Entity's Area of Influence. The Entity commits to "No Go" in Protected Areas. |

| CRITERION | RATING | COMMENT |
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| 8.6e Protected Areas - Bauxite Mining | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 8.7a-i Mine Rehabilitation | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 9. HUMAN RIGHTS | | |
| 9.1a-d Human Rights Due Diligence | Conformance | <p>The Entity has developed an ASI Management Policy and ASI Code of Conduct, available at: http://www.djmillison.com/Uploadfiles/Files/2023-9-5/2023951543495675.pdf and http://www.djmillison.com/Uploadfiles/Files/2023-8-29/20238291354166693.pdf</p> <p>The Entity's Human Rights Impact Assessment Report is available at: http://www.djmillison.com/Uploadfiles/Files/2023-9-6/202396945107863.pdf</p> <p>Currently, there have been no Human Rights violations at the Entity. A Due Diligence process has been established addressing the Entity's supply chain. The Entity has established and published the complaints/grievance channel to Stakeholders, available at: http://www.djmillison.com/Uploadfiles/Files/2023-8-30/20238301110134041.pdf</p> |
| 9.2a-e Gender Equity and Women's Empowerment | Conformance | <p>Women's rights and interests are respected. The Entity has identified legal rights for women and implemented control measures to ensure these are met.</p> <p>The Entity has established the Regulations on Labour Protection and Protection of Rights and Interests of Female Employees, which stipulate that men and women shall receive equal pay for equal work; that men and women shall be equal in terms of promotion, advancement, appraisal of professional and technical positions, appraisal of skills, education and training of employees, and welfare benefits for employees; that female employees shall be guaranteed special labour protections; and that female employees shall enjoy equal rights to those of male employees with regard to the enjoyment of welfare benefits.</p> <p>Women comprise approximately 20 per cent of the Entity's management. All female employees receive job training before their positions. The Labour Union has established a female Workers' committee to protect the rights and fight for the welfare of female Workers. The Entity's Sustainability Development Report describes the protection of the rights and interests of women. http://www.djmillison.com/Uploadfiles/Files/2023-8-29/2023829105973398.pdf</p> |
| 9.3a-I Indigenous Peoples | Not Applicable | This Criterion is not applicable to the Entity as Indigenous Peoples or their lands, territories and resources are not present in the Entity's Area of Influence. |
| 9.4a Free, Prior, and Informed Consent (FPIC)-- New Projects or Major Changes | Not Applicable | This Criterion is not applicable to the Entity as Indigenous Peoples or their lands, territories and resources are not present in the Entity's Area of Influence. |

| CRITERION | RATING | COMMENT |
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| 9.4b Free, Prior, and Informed Consent (FPIC)-- Bauxite Mining | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 9.4c Free, Prior, and Informed Consent (FPIC)-- Demonstrate support | Not Applicable | This Criterion is not applicable to the Entity as Indigenous Peoples or their lands, territories and resources are not present in the Entity's Area of Influence. |
| 9.5a Cultural and Sacred Heritage-- Identification | Conformance | The Entity is committed to protecting cultural and sacred heritage. The Entity is located within an industrial park developed by the local government. No cultural and sacred heritage locations are present within the Entity's Area of Influence. |
| 9.5b Cultural and Sacred Heritage - Impacts | Conformance | The Entity is committed to protecting cultural and sacred heritage. The Entity is located within an industrial park developed by the local government. No cultural and sacred heritage locations are present within the Entity's Area of Influence. |
| 9.6a-i Displacement | Not Applicable | This Criterion is not applicable to the Entity as it is located within an industrial park developed by the local government, and the Entity has no New Projects related physical and/or economic displacement. |
| 9.7a-h Affected Populations and Organisations | Conformance | The Entity is located within an industrial park developed by the local government and there are no Local Communities near the Entity, and no complaints from Local Communities have been received. |
| 9.8a Conflict-Affected and High-Risk Areas - Strong management systems | Conformance | The Entity has established a sourcing management procedure and supplier audit management procedure, which includes a process for identifying issues relating to Conflict-Affected and High-Risk Areas (CAHRAs) The Responsible Sourcing Policy is available at: http://www.djmillison.com/Uploadfiles/Files/2023-9-5/2023951543495675.pdf The Entity has identified and evaluated risks in the supply chain via its sourcing system and has confirmed that the Entity's business or purchasing function is currently not affected by CAHRAs. |
| 9.8b Conflict-Affected and High-Risk Areas - Identify and assess risks | Conformance | The Entity has established a sourcing management procedure and supplier audit management procedure, which includes a process for identifying issues relating to CAHRAs. The Responsible Sourcing Policy is available at: http://www.djmillison.com/Uploadfiles/Files/2023-9-5/2023951543495675.pdf The Entity has identified and evaluated risks in the supply chain via its sourcing system and has confirmed that the Entity's business or purchasing function is currently not affected by CAHRAs. |
| 9.8c Conflict-Affected and High-Risk Areas - Strategy to respond to risks | Conformance | The Entity has established a sourcing management procedure and supplier audit management procedure, which includes a process for identifying issues relating to CAHRAs. The Responsible Sourcing Policy is available at: http://www.djmillison.com/Uploadfiles/Files/2023-9-5/2023951543495675.pdf The Entity has identified and evaluated risks in the supply chain via its sourcing system and has confirmed that the Entity's business or purchasing function is currently not affected by CAHRAs. |

| CRITERION | RATING | COMMENT |
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| 9.8d Conflict-Affected and High-Risk Areas - Audit of due diligence | Conformance | The Entity has established sourcing management procedure and supplier audit management procedure. The Entity has reviewed the Due Diligence practices via its sourcing system, and this ASI Performance Standard Audit also satisfies this requirement. |
| 9.8e Conflict-Affected and High-Risk Areas - Report annually | Conformance | The Entity has identified and evaluated risks in the supply chain via its sourcing system and has confirmed that the Entity's business or purchasing function is currently not affected by CAHRAs. The Entity reports supply chain Due Diligence on an annual basis. |
| 9.9 Security practice | Conformance | The Entity has implemented security practices that respect Human Rights. A Guard Security Management Procedure and Employee Handbook have been developed, which defines that the Entity security providers should respect Human Rights. All security guards have received training on respecting Human Rights requirements. This was confirmed during audit interviews. There have been no Human Rights violations or complaints made resulting from security practices. |
| 10. LABOUR RIGHTS | | |
| 10.1a-c Freedom of Association and Right to Collective Bargaining | Not Applicable | This Criterion is not applicable to the Entity, as Freedom of Association is not formally endorsed in China. However, the Entity has alternative means such as Labour Union. |
| 10.1d Freedom of Association and Right to Collective Bargaining - Alternative means in context of Applicable Law | Conformance | The Entity currently employs approximately 1,500 Workers, who have established a Labour Union (Chongqing Millison Labour Union), where all Workers are members of the union. The Labour Union facilitates smooth communication between the Entity and local Federation of Labour Union. The Labour Union Constitution stipulates the union representative election process and the right to Collectively Bargain. |
| 10.2a-c Child Labour | Conformance | The Entity has aligned its Personnel Management System with ILO Conventions C138 and C182, relating to Child Labour, which stipulates that child labourers under 15 years old may not be employed. It is also prohibited to arrange for underage Workers to be engaged in hazardous work. The audit confirmed that there is currently no employee on site under 18 years of age. |
| 10.3a-c Forced Labour | Conformance | The Entity has established an Employee Management Procedure to define prohibition of Forced Labour and has publicly disclosed its Statement on Anti-modern Slavery and Anti-trafficking in Persons at: http://www.djmillison.com/Uploadfiles/Files/2023-8-30/2023830116128613.pdf Interviews with employees including Managers or operators, stated that there were no cases of Forced Labour. There is no retention of employee's personal effects by the Entity, and there are no requirements to lodge deposits or security payments. |
| 10.4a-c Non-Discrimination | Conformance | The Entity has established a Staffing and Recruitment Management System that stipulates that no person shall be hired without any restriction on ethnic minorities, foreigners, party affiliation, sex, race, political colour, sexual orientation, marital status, family responsibilities, age, or any other circumstances that may give rise to Discrimination. The Entity has provided training on social responsibility to its employees, and there have been no cases of dismissal of Workers with all departures as voluntary. |

| CRITERION | RATING | COMMENT |
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| 10.5 Communication and engagement | Conformance | Employee Handbooks issued by the Entity which clearly indicate there open lines of communication for employees or employee representatives and a promise that whistleblowers will not be threatened with retaliation, intimidation, or harassment. |
| 10.6a-g Violence and Harassment | Conformance | <p>The Entity has publicly disclosed the relevant Policy with a commitment to the elimination of Violence and Harassment at: http://www.djmillison.com/Uploadfiles/Files/2023-9-5/2023951543495675.pdf</p> <p>Interviews with staff representatives, female operational staff, representatives of Women's Trade Unions and supplier employees, all stated that there had been no incidents of Violence and Harassment in the Entity.</p> |
| 10.7a-d Remuneration | Conformance | <p>The Entity has established Personnel Management Regulations which have defined that wage payments are made in a timely manner, in legal tender and are to be fully documented.</p> <p>The Entity's calculation of Overtime compensation meets the requirements of the regulations, and samples of employees' Overtime work schedules over a 12-month period confirmed that there were no violations and that the average monthly Overtime work time did not exceed 36 hours, which is stipulated in Labour Law of China.</p> |
| 10.8a-c Working Time | Minor Non-Conformance | <p>The Entity has formulated Rules for the Control of Working Hours and Management of Voluntary Overtime Work, which specify working hours, holidays and paid annual leave in accordance with the relevant provisions of the National Labour Law. Samples of employees' Overtime working hours records revealed no non-compliance with these rules.</p> <p>However, the current shift arrangement (two shifts per day, as compared with three) may result in employees exceeding annual working hours and overtime limits.</p> |
| 10.9a-b Informing Workers of Rights | Conformance | The Entity has communicated with employees of their rights during the signing of the labour contract and via the Employee Handbook. Social Responsibility training has also been provided to employees. |
| 11. OCCUPATIONAL HEALTH AND SAFETY | | |
| 11.1a Occupational Health and Safety (OH&S) Management System | Minor Non-Conformance | <p>The Entity has established an Occupational Health and Safety (OH&S) Management System, developed a management manual and procedural documents, and undertaken internal audits and annual management reviews. The OH&S Management System has been independently certified to the ISO 45001:2018 Standard.</p> <p>However, the Entity could not provide a summary evaluation report on the current status of occupational disease hazards, and therefore does not conform to workplace occupational health management regulations in China.</p> |
| 11.1b-e Occupational Health and Safety (OH&S) Management System – Reviews and disclosure | Conformance | <p>The Entity has publicly disclosed the performance metrics of the OH&S Management System at: http://www.djmillison.com/Uploadfiles/Files/2023-8-29/2023829105973398.pdf</p> |

| CRITERION | RATING | COMMENT |
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| 11.2 Employee engagement on Health and Safety | Conformance | The Entity has established a production safety committee and a Trade Union. The production safety committee is responsible for formulating or revising the production safety Management System, organising regular production safety inspections and keeping records. The Entity undertakes employee satisfaction surveys every year, collects suggestions or opinions on OH&S put forward by employees, and gives feedback on the results of adoption. The Labour Union and the Work Safety Committee conduct investigations and analyses of employee work safety accidents, formulate improvement measures and implement them annually. The Entity has developed a mechanism for identifying hidden dangers, and employees at the shift level report weekly on potential OH&S dangers identified through self-inspection, and the Work Safety Committee organises corrections and verifies the effects. |

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DOCUMENT CONTROL AND VERSION HISTORY

| REVISION | DATE | NOTES |
|----------|------------------|--|
| 0 | 13 December 2023 | Initial Certification Audit – Full Certification |