
ASI CERTIFICATION
PERFORMANCE
STANDARD



PRESENTED TO

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

CERTIFICATE
NUMBER

138

ASI
STANDARD

PERFORMANCE
STANDARD
(V2 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITOR

SGS-CSTC
STANDARDS
TECHNICAL
SERVICES

DATE OF ISSUE

22 SEPTEMBER 2021

DATE OF EXPIRY

21 SEPTEMBER 2024

CERTIFIED SINCE

22 SEPTEMBER 2021

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. H.', written over a horizontal line.

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

CERTIFICATION SCOPE

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

SUMMARY AUDIT REPORT

PERFORMANCE STANDARD

OVERVIEW

MEMBER NAME	YUNNAN ALUMINIUM CO., LTD.
ENTITY NAME	Yunnan YunLv Yongxin Aluminium Co., Ltd.
CERTIFICATION SCOPE	Operation of aluminium smelters and casthouses for the manufacture of liquid electrolytic aluminium and casting aluminium alloy at Yunnan YunLv Yongxin Aluminium Co., Ltd. (China).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">Aluminium SmeltingAluminium Re-melting/RefiningCasthouses
ASI STANDARD	<ul style="list-style-type: none">Performance Standard V2
AUDIT TYPE	<ul style="list-style-type: none">Initial Certification Audit (13 – 15 April 2021)Surveillance Audit (3 – 4 August 2022)
AUDIT FIRM	SGS-CSTC Standards Technical Services
AUDIT DATE	<ul style="list-style-type: none">13 – 15 April 2021 (Initial Certification Audit)3 – 4 August 2022 (Surveillance Audit)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">27 May 2021 (Initial Certification Audit)23 May 2024 (Surveillance Audit)
AUDIT SCOPE	<p><u>Initial Certification Audit (13 – 15 April 2021)</u></p> <p>The Audit Scope included the aluminium smelting, casthouses and cutting process for manufacture of liquid electrolytic aluminium and casting aluminium alloy at Yunnan Yunlv Yongxin Aluminium Co., Ltd.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none">Aluminium SmeltingAluminium Re-melting/RefiningCasthouses <p>All relevant Criteria in the ASI Performance Standard were included in the Audit Scope.</p>

Surveillance Audit (3 – 4 August 2022)

The Audit Scope included the aluminium smelting, casthouses and cutting process for manufacture of liquid electrolytic aluminium and casting aluminium alloy at Yunnan Yunlv Yongxin Aluminium Co., Ltd.

Supply chain activities included in the Audit Scope:

- Aluminium Smelting
- Aluminium Re-melting/Refining
- Casthouses

All relevant Criteria in the ASI Performance Standard were included in the Audit Scope.

AUDIT
OUTCOME

- Certification

AUDIT
METHODOLOGY
DECLARATION

The Auditors confirm that:

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

CERTIFICATION
PERIOD

22 September 2021 – 21 September 2024

NEXT AUDIT
TYPE

Re-Certification Audit

NEXT AUDIT
DUE DATE

21 September 2024

CERTIFICATE
NUMBER

138

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
PRINCIPLE 1 BUSINESS INTEGRITY		
1.1 Legal Compliance	Conformance	<p>The Entity has developed and implemented Policies, systems, Procedures and processes to conform to the legal compliance requirements. There have been no fines or requests for corrective action from government agencies and other Stakeholders. As verified by the official Government website, no non-Compliance information on the Entity was found: http://www.gsxt.gov.cn/</p> <p>An evaluation report indicates the Entity's compliance with Applicable Law. The Entity conducts the compliance evaluation on an annual basis.</p>
1.2 Anti-Corruption	Conformance	<p>Policies and processes to identify and prevent Corruption are well implemented and trained. The Entity works against Corruption in all its forms, including Extortion and Bribery, consistent with Applicable Law and prevailing international standards. As at the time of audit, there have been no cases of misconduct. The Entity publishes anti-Corruption contact information at: https://ylgf.chinalco.com.cn/kcxfz/gsesgbg/gsesg_bg/202210/P020221027399373064159.pdf</p>
1.3 Code of Conduct	Conformance	<p>A Code of Conduct which covers social and governance principles is established. The Policies and associated management procedures for ISO 14001 and ISO 45001 address the implementation of management requirements on environment and occupational health and safety.</p>
PRINCIPLE 2 POLICY & MANAGEMENT		
2.1a Environmental, Social, and Governance Policy (implement and maintain)	Conformance	<p>The Entity has implemented and maintained integrated Policies consistent with the environmental, social, and governance practices included in the ASI Performance Standard. Further information is available at: https://ylgf.chinalco.com.cn/whyzr/hxln</p>
2.1b Environmental, Social, and Governance Policy (senior management)	Conformance	<p>Senior management has demonstrated commitment to the implemented Policies through endorsement and support in providing sufficient resources for regular review.</p>
2.1c Environmental, Social, and Governance Policy (communication)	Conformance	<p>The Policies are available for internal and external Stakeholders via training, publishing on the Entity's website and posts on-site. For more detailed information, refer to:</p>

CRITERION	RATING	COMMENT
		https://ylgf.chinalco.com.cn/
2.2 Leadership	Conformance	A senior Management Representative has been nominated. The responsibility and authority of each department and key roles are defined to implement the ASI Performance Standard.
2.3a Environmental and Social Management Systems (environmental)	Conformance	An ISO 14001 certified Environmental Management System is established and implemented.
2.3b Environmental and Social Management Systems (social)	Conformance	The Entity has established and implemented a Social Management System according to the SA 8000 Standard.
2.4 Responsible Sourcing	Conformance	The Entity communicates a Procurement Policy to all suppliers that addresses environmental, social and governance issues. The implementation of responsible procurement is assessed at the beginning of each year.
2.5 Impact Assessments	Conformance	The Entity has established a Management System covering environmental, social, cultural and Human Rights Impact Assessments. All assessments are implemented for existing projects. There have been no New Projects or Major Changes since the establishment of the Entity.
2.6 Emergency Response Plan	Conformance	The Entity has established an emergency rescue system and prepared Emergency Response Plans for environmental emergencies and safety production accidents. Regular drills and training have been undertaken.
2.7 Mergers and Acquisitions	Conformance	The Entity has established a Procedure to examine the environmental, social and governance aspects of mergers and acquisitions. No merger or acquisition has occurred since the Entity's inception.
2.8 Closure, Decommissioning and Divestment	Conformance	The Entity has established a Procedure to review the environmental, social and governance issues during a closure, decommissioning or divestment. No such case has occurred since the Entity's inception.
PRINCIPLE 3 TRANSPARENCY		
3.1 Sustainability Reporting	Conformance	The Entity has published its 2021 Sustainability Report, available at: https://ylgf.chinalco.com.cn/kcxfz/gsesgbg/gsesg_bg/202210/P020221027399373064159.pdf

CRITERION	RATING	COMMENT
3.2 Non-compliance and liabilities	Conformance	There have been no significant violations by the Entity during the Audit period, as reported on government-related websites and non-governmental organisation websites. There are no non-compliance or liabilities recorded in the Sustainability Report, available at: https://ylgf.chinalco.com.cn/kcxfz/gsesgbg/gsesg_bg/202210/P020221027399373064159.pdf
3.3a Payments to governments (legal and contractual)	Conformance	The Entity has established procedures to ensure any payment to the government is based on law or contract. The Entity has described the payments to governments in the Sustainability Report, available at: https://ylgf.chinalco.com.cn/kcxfz/gsesgbg/gsesg_bg/202210/P020221027399373064159.pdf
3.3b Payments to governments (disclosure - bauxite mining)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.4 Stakeholder complaints, grievances and requests for information	Conformance	The Entity has established procedures to define how to communicate with internal and external Stakeholders. Contact information is provided on the website at: https://ylgf.chinalco.com.cn/
PRINCIPLE 4 MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment (life cycle impacts)	Conformance	An environmental Life Cycle Assessment (LCA) for Aluminium-related Products has been conducted and documented.
4.1b Environmental Life Cycle Assessment (cradle to gate)	Conformance	The LCA is available to external Stakeholders upon request. There have been no requests to date.
4.1c Environmental Life Cycle Assessment (public communication)	Conformance	An LCA report is disclosed on the website at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202203/P020220318581953714922.pdf
4.2 Product design	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a Aluminium Process Scrap (targets)	Conformance	The Entity manages Aluminium Process Scrap in accordance with its related ISO 9001 and ISO 50001 Procedures. The Process Scrap utilisation rate is 100%.
4.3b Aluminium Process Scrap (alloy separation)	Conformance	In accordance with results of the risk analysis, the Aluminium Process Scrap at the Entity does not require separation for recycling.
4.4a Collection and recycling of products at end-of-life (strategy)	Conformance	The Entity communicates with its main customer to discuss how to improve the recycling rate of Products at End of Life.

CRITERION	RATING	COMMENT
4.4b Collection and recycling of products at end-of-life (engagement)	Conformance	As there are no local, regional or national collection and recycling systems for Aluminium Scrap in China, the Entity is working with customers to decide how to improve the recycling rate of Products at End of Life.
PRINCIPLE 5 GREENHOUSE GAS EMISSIONS		
5.1 Disclosure of GHG emissions and energy use	Conformance	The Entity has established and implemented a Greenhouse Gas (GHG) Emissions Management Procedure. The Entity has published time-bound GHG emissions reduction targets and implemented a plan to achieve these targets. Further information is available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202203/P020220916625787794850.pdf
5.2 GHG emissions reductions	Conformance	The Entity has established GHG emissions reduction targets, which address the Material sources of Direct and Indirect GHG Emissions. The Entity has published time-bound GHG emissions reduction targets and implemented a plan to achieve these targets. The GHG Emissions Reduction Work Plan is available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202203/P02020318581953748012.pdf
5.3a Aluminium Smelting (management system)	Conformance	The Entity has established a management Procedure and operational controls in accordance with its ISO 14001 and ISO 50001 Management System, to limit Direct GHG emissions.
5.3b Aluminium Smelting (up to and including 2020)	Conformance	The Entity's Aluminium Smelters began production in 2012. Scope 1 and 2 GHG emissions from the production of Aluminium was 8.81 tonnes CO ₂ per metric tonne Aluminium in 2020. The Entity has established a GHG Emissions Reduction Plan that targets reductions for a level below 8 t CO ₂ e/t Al by 2030. Further information is available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202203/P020220318581953748012.pdf
5.3c Aluminium Smelting (after 2020)	Not Applicable	The Entity's Aluminium Smelters began production in 2012.
PRINCIPLE 6 EMISSIONS, EFFLUENTS AND WASTE		
6.1 Emissions to Air	Conformance	The waste air generated in the Entity's operation is collected and treated before discharge. The emissions meet the local discharge limits. The Entity manages its Emissions to Air under its ISO 14001:2015 certified Management System.

CRITERION	RATING	COMMENT
6.2 Discharges to Water	Conformance	The Entity has no production wastewater. Domestic wastewater is discharged to the wastewater treatment facility, treated and recycled, with no discharge to any natural water body. Water-related risks have been assessed and the risk is low.
6.3a Assessment and Management of Spills and Leakage (assessment)	Conformance	The Entity has assessed the major risk areas of its operations where Spills and Leakage may contaminate air, water and soil. There were no Spills or Leakage in 2022.
6.3b Assessment and Management of Spills and Leakage (management)	Conformance	The Entity has issued the Emergency Response Plan to management and external communication plans, compliance controls and a monitoring programme is in place to prevent and detect Spills and Leakage. There were no Spills or Leakage in 2022.
6.4a Reporting of Spills (immediate disclosure)	Conformance	The Entity has implemented its Emergency Response Plan, which addresses the reporting of Spills. The plan is registered with the local government. There were no Spills or Leakage in 2022.
6.4b Reporting of Spills (regular reporting)	Conformance	The Entity has implemented its Emergency Response Plan, which addresses the reporting of Spills. There were no Spills or Leakage in 2022.
6.5a Waste management and reporting (strategy)	Conformance	The Entity manages its solid Waste in accordance with its ISO14001:2015 Management System. The Entity has implemented a waste management strategy according to the Waste Mitigation Hierarchy.
6.5b Waste management and reporting (disclosure)	Conformance	The Entity has implemented a waste management strategy according to the Waste Mitigation Hierarchy. The disposal of Hazardous Waste complies with legal requirements. The quantity of Hazardous and Non-Hazardous Waste generated by the Entity is registered in the Solid Waste Information Management System of the relevant government department in the Yunnan province. The Waste Management Report is disclosed at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202203/P020220318581953731299.pdf
6.6a Bauxite Residue (storage construction)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6b Bauxite Residue (integrity checks and controls)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6c Bauxite Residue (water discharge)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
6.6d Bauxite Residue (marine and aquatic environments)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6e Bauxite Residue (state of the art technologies)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6f Bauxite Residue (remediation)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7a Spent Pot Lining (SPL) (storage and management)	Conformance	Spent Pot Lining (SPL) is defined as a Hazardous Waste in accordance with legal requirements. The Entity has stored and managed its SPL to prevent release of SPL or leachate to the environment. The SPL is transferred by a qualified third party, with transfer records confirmed during the Audit.
6.7b Spent Pot Lining (SPL) (recovery and recycling)	Conformance	The Entity has built and operated a storage warehouse in accordance with local environmental requirements for SPL. The SPL is transferred by a qualified third party for disposal.
6.7c Spent Pot Lining (SPL) (Untreated SPL)	Conformance	The Entity has built and operated a storage warehouse in accordance with local environmental requirements for SPL. The SPL is transferred by a qualified third party for disposal and Untreated SPL is not sent to landfill.
6.7d Spent Pot Lining (SPL) (review of alternatives)	Conformance	The Entity reviews and monitors SPL management monthly in accordance with its Management System. Management of SPL is in accordance with the legal requirement to transfer to a qualified third party for disposal.
6.7e Spent Pot Lining (SPL) (marine and aquatic environments)	Conformance	The Entity manages SPL in accordance with local legal requirements and there is no discharge of SPL to marine or aquatic environments.
6.8a Dross (recovery)	Conformance	The Entity has established and implemented a Dross management procedure. The Entity aims to maximise the recovery of Aluminium by treatment of Dross and Dross residues and records are kept to improve the recovery results.
6.8b Dross (recycling)	Conformance	The Entity has established and implemented a Dross management procedure, which addresses recycling. The Aluminium recovered from the Dross pressing is recycled in the melting furnaces. The remaining part is sold to external Dross processors (Yunnan Wenshan Aluminium Co., Ltd.) for further extraction of the remaining Aluminium.

CRITERION	RATING	COMMENT
6.8c Dross (review of alternatives)	Conformance	The Entity has established an Aluminium recovery system and reviews the internal Dross processing method and Dross sales channel annually. Dross is not landfilled.
PRINCIPLE 7 WATER STEWARDSHIP		
7.1a Water assessment (mapping)	Conformance	The Entity has established an ISO 50001:2018 certified energy Management System, which includes a water resource risk assessment. The Entity has implemented water management plans and monitors the effectiveness of the plans.
7.1b Water assessment (risk assessment)	Conformance	The Entity has conducted a water resource risk assessment, which assessed water-related risks. The water-related risks are low.
7.2a Water management (management plans)	Conformance	The Entity has established an energy Management System, which addresses water management. The Entity has implemented water management plans and monitors the effectiveness of the plans.
7.2b Water management (monitoring)	Conformance	The Entity has implemented water management plans and monitors the effectiveness of the plans.
7.3 Disclosure of water usage and risks	Conformance	The Entity has reported water withdrawal and use and discloses its Material water-related risks. The level of water-related risk is low. Please see the Sustainability Report: https://ylgf.chinalco.com.cn/xwzx/ywgg/202203/P020220916625787794850.pdf
PRINCIPLE 8 BIODIVERSITY		
8.1 Biodiversity assessment	Conformance	The Entity has established procedures for the protection of Biodiversity. A Biodiversity risk assessment has been undertaken and disclosed at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202203/P020220318581953721461.pdf The Entity is located in an industrial park developed by local government, there is no protected flora or wildlife in this area. There is no significant risk of impact on Biodiversity.
8.2a Biodiversity management (biodiversity action plans)	Conformance	In accordance with the Biodiversity risk assessment and Environmental Impact Assessment (EIA), there is no Material impact on Biodiversity.
8.2b Biodiversity management (consultation and mitigation hierarchy)	Conformance	In accordance with the Biodiversity risk assessment and EIA, there is no Material impact on Biodiversity.

CRITERION	RATING	COMMENT
8.2c Biodiversity management (reporting)	Conformance	In accordance with the Biodiversity risk assessment and EIA, there is no Material impact on Biodiversity.
8.3 Alien Species	Conformance	The Entity has established procedures for the assessment of risk of Alien Species. The Biodiversity risk assessment included assessment on the risk of Alien Species, and appropriate preventive measures are in place.
8.4a Commitment to “No Go” in World Heritage properties (exploration and new mines)	Not Applicable	This Criterion is not applicable to the Entity’s Certification Scope.
8.4b Commitment to “No Go” in World Heritage properties (existing mines)	Not Applicable	This Criterion is not applicable to the Entity’s Certification Scope.
8.5a Mine rehabilitation (best available techniques)	Not Applicable	This Criterion is not applicable to the Entity’s Certification Scope.
8.5b Mine rehabilitation (financial provisions)	Not Applicable	This Criterion is not applicable to the Entity’s Certification Scope.
PRINCIPLE 9 HUMAN RIGHTS		
9.1a Human Rights Due Diligence (policy)	Conformance	The Entity has a commitment to respect Human Rights, disclosed in the ‘Guidelines for the management systems of various standards of Yunnan Yunlu Yongxin Aluminum Co., Ltd.’, available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202203/P020220318581953670572.pdf
9.1b Human Rights Due Diligence (process)	Conformance	The Entity has developed procedures that identifies the need and measures for Human Rights Due Diligence. The Entity has conducted Human Rights Due Diligence and disclosed a Human Rights Due Diligence Report.
9.1c Human Rights Due Diligence (remediation)	Conformance	The Entity has conducted Human Rights Due Diligence and disclosed a Human Rights Due Diligence Report. No adverse Human Rights impacts have been reported since its establishment and therefore remediation is not required.
9.2 Women’s Rights	Conformance	The Entity has developed procedures to protect women’s rights and interests. The Entity clarified the legitimate rights of women and implemented control measures to ensure that those rights were met. There have been no violations of women’s rights in this Entity.

CRITERION	RATING	COMMENT
9.3 Indigenous Peoples	Conformance	The Entity has developed the protection procedures for Indigenous Peoples. The Local Community was informed of the possible impacts, and they were involved in the development of protection procedures. One community is within the Entity's Area of Influence and is currently being managed by the Government in a relocation plan. The Entity respects for the rights and interests of Indigenous Peoples.
9.4 Free, Prior, and Informed Consent (FPIC)	Conformance	The Entity has developed procedures to address Free, Prior and Informed Consent (FPIC) of Indigenous Peoples in the expropriation of natural resources, New Projects (reform, expansion), and for closure, decommissioning or divestment. The Entity is located in an industrial park developed by local government. Currently, there are no New Projects or Major Changes to existing projects.
9.5 Cultural and sacred heritage	Conformance	The Entity has developed a procedure and is committed to protect cultural and sacred heritage. The Entity is located in an industrial park developed by the local Government. There is no cultural and sacred heritage in the Entity's Area of Influence.
9.6a Resettlements (avoid or minimise)	Conformance	The Entity has developed procedures for the protection of Indigenous Peoples. The Entity is located within an industrial park, developed by the local Government. There has been no Resettlement required since the Entity joined ASI.
9.6b Resettlements (where unavoidable)	Conformance	The Entity has developed procedures for the protection of Indigenous Peoples. The Entity is located within an industrial park, developed by the local Government. There has been no Resettlement required since the Entity joined ASI.
9.7a Local Communities (rights and interests)	Conformance	The Entity has developed procedures and respects the legal and customary rights and interests of Local Communities in their lands and livelihoods and their use of natural resources. The Entity is located within an industrial park, planned and developed by the local Government. There have been no complaints received by Local Communities.
9.7b Local Communities (impacts)	Conformance	The Entity is taking measures to prevent impacts on the surrounding Communities. For example, the environmental situation of the surrounding Communities is monitored on a regular basis.

CRITERION	RATING	COMMENT
9.7c Local Communities (livelihoods)	Conformance	The Entity respect the rights and interests of Local Communities and actively participates in activities that provide support to the Local Community.
9.8 Conflict-Affected and High-Risk Areas	Conformance	The Entity commits to not cooperate with suppliers in Conflict-Affected and High-Risk Areas and addresses this in its Procurement Policy: https://ylgf.chinalco.com.cn/xwzx/ywgg/202203/P020220318581953665640.pdf The Entity operates and procures in China and does not involve Conflict-Affected and High-Risk Areas.
9.9 Security practice	Conformance	All security personnel are employees of the Entity. The Entity has established regulations to address the code of conduct of security personnel and ensure respect for Human Rights. There have been no violations of Human Rights.
PRINCIPLE 10 LABOUR RIGHTS		
10.1a Freedom of Association and Right to Collective Bargaining (freedom of association)	Conformance	The Entity has committed itself to respect Workers rights. The elected Worker representatives and an Association for Workers has been established in accordance with the legal requirement.
10.1b Freedom of Association and Right to Collective Bargaining (collective bargaining)	Conformance	The Entity respects the rights of Workers to Collective Bargaining, and to participate in any Collective Bargaining process, such as labour contracts, working hours and wages.
10.1c Freedom of Association and Right to Collective Bargaining (alternative means)	Conformance	Workers' representatives can deal with the Workers' concerns with management on behalf of Workers.
10.2a Child Labour (minimum age)	Conformance	Interviews and review of employment records confirm that there is no Child Labour or young Workers (16 to 18 years) at the Entity.
10.2b Child Labour (hazardous)	Conformance	Child Labour is prohibited in China. Young Workers (16 to 18 years) are under special protection by law and not allowed to work in hazardous working conditions. Interviews and review of employment records confirm that there is no Child Labour at the Entity.
10.2c Child Labour (worst forms)	Conformance	There are no Workers under the age of 18 years at the Entity.
10.3a Forced Labour (human trafficking)	Conformance	The Entity commits itself to comply with the prohibition of Forced Labour, Slavery and Human Trafficking. The Entity has implemented it human resources management procedures and a labour risk

CRITERION	RATING	COMMENT
		identification and assessment form has been established. All Workers sign a labour contract that is filed with the local government. Interviews confirmed there is no Forced Labour at the Entity.
10.3b Forced Labour (deposits, fees, advances)	Conformance	The Entity is not involved in Forced Labour. All employees are hired directly. Workers are not required to provide any form of deposit; Recruitment Fee or equipment advance, as confirmed during Worker interviews.
10.3c Forced Labour (migrant workers)	Conformance	There are no foreign migrant Workers at the Entity. All Workers are Chinese.
10.3d Forced Labour (debt bondage)	Conformance	The Entity does not provide any type of loan to Workers, as confirmed during Worker interviews.
10.3e Forced Labour (freedom of movement)	Conformance	The Entity doesn't unreasonably restrict the freedom of movement of Workers in the workplace, as confirmed during Worker interviews.
10.3f Forced Labour (retention of identity papers, permits, certificates)	Conformance	The Entity does not retain the original documents of Workers, only copies of original documents are kept in Workers' personnel files.
10.3g Forced Labour (freedom to terminate employment)	Conformance	Workers can terminate their employment with a specific notice period in advance without any penalty. The time for announcement of termination of the employment is in compliance with the Labour Contract Law.
10.4 Non-Discrimination	Conformance	The Entity is committed to non-Discrimination, which is addressed in the Employee Handbook and the labour rights risk assessment procedure. No case of Discrimination has been received.
10.5 Communication and engagement	Conformance	The Entity has established a social accountability management procedure and information communication management and has direct and frequent communication with the Workers and the Worker representatives. The Entity maintains records of monthly meetings with Worker representatives and internal suggestion boxes are available to Workers.
10.6 Disciplinary practices	Conformance	The Entity respects its employees and disciplinary measures are in compliance with legal requirements and require the confirmation of the Worker involved. Disciplinary practices are clearly defined in the Employee Handbook and the Special Collective Bargaining Contract.

CRITERION	RATING	COMMENT
10.7a Remuneration (living wage)	Conformance	The wage structure is clearly defined as part of the salary management system, and the basic wage is above the legal minimum wage. The total payment meets the Workers' basic needs and all Workers are enrolled in the mandatory social insurance scheme.
10.7b Remuneration (method of payment)	Conformance	All payments are documented and paid to all Workers by bank transfer on the 20 th of every month.
10.8 Working Time	Conformance	The Entity has established a Working Time management procedure. Working hours are recorded electronically and are monitored according to Chinese Labour Law.
PRINCIPLE 11 OCCUPATIONAL HEALTH AND SAFETY		
11.1a Occupational Health and Safety (OH&S) Policy (policy)	Conformance	The Entity has implemented an ISO 45001:2018 certified Management System and the Occupational Health and Safety (OH&S) Policy has been implemented, periodically reviewed and communicated with Stakeholders. The OH&S Policy is disclosed on the website at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202203/P020220318581953670572.pdf
11.1b Occupational Health and Safety (OH&S) Policy (workers and visitors)	Conformance	The Entity's OH&S Policy is applied to all Workers and Visitors present in any area or for activities under the Entity's control.
11.1c Occupational Health and Safety (OH&S) Policy (applicable law and standards)	Conformance	The OH&S Policy includes a commitment to comply with legal and other requirements. Systems exist to identify all applicable legal and other requirements and evaluate the Entity's Compliance.
11.1d Occupational Health and Safety (OH&S) Policy (right to stop unsafe work)	Conformance	All Workers are provided with relevant training to understand the hazards, OH&S risks and practices determined relevant, and the right to refuse any unsafe work.
11.2 OH&S Management System	Conformance	The Entity has implemented a documented ISO 45001:2018 certified Management System.
11.3 Employee engagement on health and safety	Conformance	In compliance with legal requirements and the Entity's OH&S Management System requirements, the Entity has a system of Workers' consultation and participation in health and safety.
11.4 OH&S performance	Conformance	Health and safety targets and improvements are documented in the Occupational Health and Safety Program.

Revision	Date	Notes
0	22 September 2021	Initial Certification Audit (Full Certification)
1	23 July 2024	Surveillance Audit; Individual ASI Membership for Yunnan YunLv Yongxin Aluminium Co., Ltd. was superseded and the Entity has been included under the YUNNAN ALUMINIUM CO., LTD. membership. Disciplinary action taken with the Auditing Firm to address the delay in submission of the Audit Report to the ASI Secretariat.