

ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

Yunnan YunLv Yongxin Aluminium Co., Ltd.

CERTIFICATE NUMBER
138

ASI STANDARD
**PERFORMANCE
STANDARD
(V3 2022)**

CERTIFICATION LEVEL
**FULL
CERTIFICATION**

ASI ACCREDITED
AUDITING FIRM
**TÜV RHEINLAND CERT
GMBH**

DATE OF ISSUE

22 SEPTEMBER 2024

DATE OF EXPIRY

21 SEPTEMBER 2027

CERTIFIED SINCE

22 SEPTEMBER 2021

AUTHORISED BY

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

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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).

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	Performance Standard V3
AUDIT TYPE	<ul style="list-style-type: none">Certification Audit (13 – 15 April 2021)Surveillance Audit (3 – 4 August 2022)Re-Certification Audit and Scope Change (24 – 26 July 2024)
AUDIT FIRM	TÜV Rheinland Cert GmbH
AUDIT DATE	<ul style="list-style-type: none">13 – 15 April 2021 (Initial Certification Audit)3 – 4 August 2022 (Surveillance Audit)24 – 26 July 2024 (Re-Certification Audit and Scope Change)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">27 May 2021 (Initial Certification Audit)23 May 2024 (Surveillance Audit)5 September 2024 (Re-Certification Audit and Scope Change)
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 applicable Criteria in the ASI Performance Standard were included in the Audit Scope.</p> <p><u>Surveillance Audit (3 – 4 August 2022)</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>

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

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

Re-Certification Audit and Scope Change (24 – 26 July 2024)

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 applicable 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 company's defined Certification Scope.
- The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.

CERTIFICATION PERIOD 22 September 2024 – 21 September 2027

NEXT AUDIT TYPE Surveillance Audit

NEXT AUDIT DATE 21 March 2026

CERTIFICATE NUMBER 138



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

Yunnan YunLv Yongxin Aluminium Co., Ltd. (the 'Entity'), which was established in 2005, is located in Yangjie Industrial Park, Nanzhuang Town, Jianshui County, Honghe Hani and Yi Autonomous Prefecture, Yunnan Province, P.R.China. The Entity is a subsidiary of Yunnan Aluminium Co., Ltd, which officially became a member of Aluminium Corporation of China (Chinalco) in 2019. It is a state-owned group.

The Entity has one electrolytic production line, two Aluminum ingot production lines for remelting, and five alloy production lines. It has an annual production of 300,000 tonnes of electrolytic Aluminium and over 213,000 tonnes of Aluminium alloy. The Entity mainly sells electrolytic Liquid Aluminium, Aluminium ingots for re-melting and Aluminium processing products. A distributed photovoltaic project is currently being constructed.

The Entity has approximately 945 employees and covers an area of 600,000 square metres, divided into production, living and office areas with adequate safety measures in place. Residential accommodation is provided on-site. There are with no sensitive receptors within a five kilometre radius of the Facility and the nearest downtown area is approximately 10 kilometres.

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	Medium	High	Medium	Medium
RISKS	High	Medium	Medium	Medium
PERFORMANCE	Medium	High	Medium	Medium
OVERALL	Medium			

FINDINGS

CRITERION	RATING	COMMENT
1. BUSINESS INTEGRITY		
1.1 Legal Compliance	Conformance	The Entity has established procedure to collect Applicable Laws and regulations. The Legal, EHS and Human Resources Departments are responsible for the collection of and annual assessment of Applicable Law covering the areas of labour, ethics, health and safety and environment. The Entity's parent company provides qualified advice to the Entity to assist in updating and assessing Compliance with the Applicable Law.
1.2 Anti-Corruption	Conformance	<p>The Entity has implemented a Code of Conduct and a Business Ethics Policy, which addresses anti-extortion and Bribery. Training is provided to employees. The Code of Conduct, which also addresses Corruption, is available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305767833280.pdf</p> <p>Details of the ethics reporting channel is posted in the calls office and also included in the ESG Report, page 26: https://ylgf.chinalco.com.cn/kcxfz/gsesgbg/gsesg_bg/202410/P020241012564704605575.pdf</p> <p>Due Diligence investigations on the high risk positions within the Entity, such as the Purchasing, Sales, Quality, and Warehouse Departments, requires all staff in these departments to sign an Honesty Commitment Letter. Internal audits on ethics are conducted at least once every six months.</p>
1.3a-e Code of Conduct	Conformance	<p>The Entity has established their Code of Conduct and provides training to Workers periodically. The Code of Conduct is available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305767833280.pdf</p> <p>The Entity has communicated their Code of Conduct to their suppliers and requires them to sign a commitment letter. The Entity's ASI Policy is public available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305767854210.pdf</p>
2. POLICY AND MANAGEMENT		
2.1a-f Environmental, Social, and Governance Policy	Conformance	<p>The Entity has established a Management System and ASI Policies on environmental, social and governance practices. Workers are trained on the Policies, and interested external parties can obtain the Policies from the website, available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305767854210.pdf</p>
2.2a-c Leadership	Conformance	The Entity has appointed the Vice General Manager as the Management Representative for ensuring the social, environmental and governance requirements of the ASI Performance Standard are reflected in the Entity, and the ASI Policies are communicated in the Entity. The authorities and responsibilities of this role are defined in the appointment letter. An ASI team has been established to support the implementation of the ASI Management System.

CRITERION	RATING	COMMENT
2.3a Environmental and Social Management Systems – Environmental	Conformance	An Environmental Management System has been established and implemented, and a valid ISO 14001:2015 certificate has been obtained.
2.3b Environmental and Social Management Systems – Social	Conformance	The Entity has established the ASI Management System, which includes the social Management System, where internal audits and management reviews are conducted annually to ensure the effectiveness of the Entity's ASI Management System.
2.4a-e Responsible Sourcing	Minor Non-Conformance	<p>The Entity has developed a Supplier Code of Conduct, covering environmental, social and governance issues, which is communicated with suppliers. The Supplier Code of Conduct is published at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305767846732.pdf</p> <p>In accordance with the Entity's parent company policy, the Entity undertakes an annual management review of responsible sourcing Policies and additionally, the purchasing Policies will be reviewed when any changes to the business bring about significant changes in environmental, social and governance risks, or there are indications of control deficiencies.</p> <p>A Due Diligence form is used to ensure suppliers comply with the Supplier Code of Conduct. The established procedure requires the Entity to conduct on-site audit (Due Diligence) to the major suppliers.</p> <p>However, insufficient Due Diligence is conducted for five on-site service providers.</p>
2.5a-g Environmental and Social Impact Assessments	Not Applicable	This Criterion is not applicable to the Entity, as there are no New Projects or Major Changes to existing Facilities. However, the Entity has evaluated the environmental, social, cultural and Human Rights impacts as part of the Environmental Impact Assessments, as well as evaluating the effectiveness of occupational hazard controls during the Entity's initial construction.
2.6a-h Human Rights Impact Assessment	Not Applicable	This Criterion is not applicable to the Entity, as there are no New Projects or Major Changes to existing Facilities. However, the Entity's parent company has established a Human Rights Impact Assessment process and the Human Right Impact Report is publicly available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305768226242.pdf
2.7a-f Emergency Response Plan	Minor Non-Conformance	<p>In collaboration with potentially affected Stakeholder groups, the Emergency Response Plans are established, well implemented and training on the plans is provided periodically. The Group-level Emergency Response Plan for production safety accidents is available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305767867177.pdf</p> <p>However, The Entity-level Emergency Response Plan for Health and Safety and the environment is not published.</p>
2.8a-d Suspended Operations	Conformance	The Entity has flexible production management measures, which include a Business Resilience Plan to address situations where it may have to suspend or significantly alter operations due to factors

CRITERION	RATING	COMMENT
		outside its control that consider Material adverse environmental, social and governance impacts. The Entity reviews its Business Resilience Plan every five years, and on any indication of a control gap or after any changes to the Business that alter the nature or scale of environmental, social and governance risks. To date, no significant changes has been made, and therefore no review has been undertaken.
2.9a-b Mergers and Acquisitions	Conformance	The Entity has established management control procedures for investments and acquisitions. Currently, there is no merger or acquisition activity proposed.
2.10a-b Closure, Decommissioning and Divestment	Conformance	The Entity has established management control procedures to review the environmental, social and governance issues during a closure, decommissioning or divestment. No such case has occurred since the Entity's inception.
3. TRANSPARENCY		
3.1a-b Sustainability Reporting	Conformance	The Group-level ESG Report addresses the Material impacts and governance approach to environmental, social and economic topics, available at: http://ylgf.chinalco.com.cn/kcxfz/gsesgbg/gsesg_bg/202410/P020241012564704605575.pdf
3.2 Non-compliance and Liabilities	Conformance	The Entity provides information on non-compliance and liabilities in its 2023 Annual Report, page 63: http://static.cninfo.com.cn/finalpage/2024-03-28/1219425757.PDF No fine or punishment was imposed by the government during 2021 to 2023.
3.3a-c Payments to Governments	Conformance	The Entity's Financial Audit Report 2023, issued by a qualified Third Party, identified that payments to the government by the Entity are only those legally required and there are no other payments. The Entity has disclosed the financial audit report in the 2023 Annual Report: http://static.cninfo.com.cn/finalpage/2024-03-28/1219425757.PDF
3.4a-f Stakeholder Complaints, Grievances and Requests for Information	Conformance	The Entity has developed and implemented Policies, systems, procedures and processes that conform to the Stakeholder complaints, grievances and requests for information requirements. The Entity's Management System tracks requests and complaints from Stakeholders and has an appropriate Complaints Resolution Mechanism. The communication channels (telephone, email) are made public to internal and external Stakeholders and are included in the ESG Report 2023, page 26: http://ylgf.chinalco.com.cn/kcxfz/gsesgbg/gsesg_bg/202410/P020241012564704605575.pdf
4. MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment	Conformance	The environmental Life Cycle Assessment (LCA) has been conducted. The Entity commissioned a Third Party to analyse and evaluate the 'cradle-to-gate' life cycle impacts of the Entity's main Products, including electrolytic Aluminium and Aluminium ingots materials. The

CRITERION	RATING	COMMENT
		Entity adopted the LCA software GaBi for modelling and accounting, and prepared an LCA Report based on the principles in the ISO 14040 and ISO 14044 standards.
4.1b-c Environmental Life Cycle Assessment - Disclosure	Minor Non-Conformance	<p>The 'cradle-to-gate' life cycle impacts of the Entity's main Products has been assessed and the Entity's LCA Report is based on the principles in the ISO 14040 and ISO 14044 standards. The condensed LCA Report discloses key information such as the underlying assumptions and system boundaries, and is available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305768239495.pdf</p> <p>However, when publicly communicating about LCA report, no specific data and results are included, such as global warming potential, acidification potential, water consumption, and primary energy demand.</p>
4.2 Product Design	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a-b Aluminium Process Scrap	Conformance	The Entity has established a goal of achieving a 100% recycling rate for Process Scrap generated during the production of Aluminium products and regularly evaluates its progress. The Entity has a Scrap and Dross classification and management procedure to classify and dispose of the different kinds of Aluminium Scrap. All the Scraps are classified in alloy separation and disposed by different smelters.
4.4a-c Collection and Recycling of Products at End of Life - Material Conversion and other Manufacturing	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.4d Collection and Recycling of Products at End of Life	Conformance	<p>The Entity has developed a strategy to utilize Recycled Aluminium and has a 2040 target to consume 370,000-380,000 tonnes per year. The Entity has qualified more than 10 Recycled Aluminium suppliers and almost all of the Recycled Aluminium is purchased from these suppliers.</p> <p>The Group has set recycling targets for Post-Consumer Scrap, which are tracked annually, including a target for the consumption of Aluminium Scrap of 90,000 tonnes in 2025, 140,000-150,000 tonnes by 2030 with an annual increase of 10% year by year., and of 370,000-380,000 tonnes by 2040.</p>
5. GREENHOUSE GAS EMISSIONS		
5.1a-b Disclosure of GHG Emissions and Energy Use	Conformance	<p>The Entity has publicly disclosed its Material Greenhouse Gas (GHG) emissions by source annually. Direct and Indirect (Scope 1, 2 and 3 (Category 1, 3 and 4) emissions data is included in the GHG Verification Statement, which is verified by an independent body. The GHG Verification Statement is available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305767926494.pdf</p>
5.2a Aluminium Smelter GHG Emissions Intensity -	Not Applicable	This Criterion is not applicable to the Entity, as it commenced production prior to 2020.

CRITERION	RATING	COMMENT
Started production after 2020		
5.2b Aluminium Smelter GHG Emissions Intensity - In production up to and including 2020	Conformance	The Entity mainly purchases hydroelectricity, which supplies over 80% of the energy requirements. The Entity's GHG emissions intensity is 6.26 t CO ₂ e/t Aluminium, which is below 11.0 t CO ₂ e/t Aluminium. The GHG emissions intensity data are published on the Entity's website: https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305767863400.pdf
5.3a-e GHG Emissions Reduction Plans	Conformance	<p>The Entity has defined the 2023 as the base year, used the ASI Entity-level greenhouse gas reduction pathway method to establish GHG emissions reduction targets consistent with the commitment to green and low-carbon development, and consistent with a 1.5°C warming scenario. The GHG Emissions Reduction Plan are established and implemented. The Entity publicly disclosed the GHG Emissions Reduction Pathway/Targets and GHG Emissions Reduction Plan on the website: https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305768274561.pdf</p> <p>There is a mechanism to review the GHG Emissions Reduction Plan annually and review the Pathway if needed.</p>
5.4 GHG Emissions Management	Conformance	<p>The Entity has established an Energy Management System Manual and GHG Inventory Procedure, which defines the GHG emissions control measures and annual analysis of GHG emissions according to the ISO 14064-1:2018 standard to achieve performance aligned with the GHG Emissions Reduction Plan and targets.</p> <p>The Entity has obtained the "EATNS carbon management system evaluation certificate" issued by the carbon management system evaluation committee of Shanghai Environment and Energy Exchange, which confirms the integrity of its carbon management system including GHG data collection, decision-making and Management System, performance evaluation procedure and operational control.</p>
6. EMISSIONS, EFFLUENTS AND WASTE		
6.1a-f Emissions to Air	Minor Non-Conformance	<p>Implementing the Environment Management System and legal requirements, the Entity has identified, assessed and quantified Material Emissions to Air from its activities, implemented control plans and monitored the effectiveness of the control plans periodically and reviewed the control plans regularly and in the case of any major change or non-conformance.</p> <p>The Entity has publicly disclosed its environmental performance, pollutant discharge information and the operation status of air emission control in its ESG Report, Chapter 3 Green Development for Environmental Protection, page 60: https://ylgf.chinalco.com.cn/kcxfz/gsesgbg/gsesg_bg/202410/P020241012564704605575.pdf</p> <p>However, the Entity has not established and disclosed the air emissions reduction plan in the ESG Report.</p>
6.2a-g Discharges to Water	Conformance	In accordance with the approved Environmental Impact Assessment (EIA) report and Pollutant Discharge Permit, the wastewater collection system has been established, and wastewater is 100% recycled, with

CRITERION	RATING	COMMENT
		zero discharge to external drainage/water systems. The Entity collects, treats and recycles wastewater. The quarterly monitoring results indicate the water quality meets the required recycled water standards. As per the monitoring results of surrounding soils, surface water and underground water, no pollutants were identified.
6.3a-g Assessment and Management of Spills and Leakages	Conformance	An assessment of risk areas of operations where Spills and Leakages may contaminate air, water and soil has been undertaken following the risk assessment process of the Environmental Management System. The relevant management plan has been established and implemented. The Entity reviews the plans periodically and if needed after a Spill/Leakage event or a major change in the business. The latest version of the management plan is disclosed on the website: https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305768008738.pdf
6.4a-b Public Disclosure of Spills and Leakages	Not Applicable	This Criterion is not applicable as there have been no incidents of Spills or Leakages. However, the Environmental Impact Assessment Report assesses the potential impact of Material Spills and Leakages as soon as practicable after an incident.
6.5a-c Waste Management and Reporting	Conformance	Waste management is addressed in the Environmental Management System. The Entity has implemented a waste management strategy in accordance with the Waste Mitigation Hierarchy. The Entity has mitigated Material impacts by re-using and recycling wastes. The disposal of Hazardous Waste complies with applicable legal requirements. The quantity of Hazardous and Non-Hazardous Waste generated by the Entity from its activities in 2023 is disclosed at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305768029928.pdf https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305768290198.pdf
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)	Conformance	In accordance with applicable legal requirements on Hazardous Waste, Spent Pot Lining (SPL) is collected, labelled, stored and transferred to licensed suppliers for disposal. The Entity does not currently landfill any SPL, nor discharges SPL to any water environment. The Entity has established a comprehensive SPL treatment facility to neutralize SPL and recover and recycle the carbon and refractory materials from SPL.
6.8a-d Dross	Conformance	In accordance with applicable legal requirements on Hazardous Waste, Dross is collected, labelled, stored and transferred to licensed suppliers for disposal. No leakage has been observed and/or reported. Dross is sent to a treatment facility to maximize the recovery of Aluminium by treatment of Dross and Dross residues, and the recycling of treated Dross residues. There is no landfilling of Dross residues.

7. WATER STEWARDSHIP

CRITERION	RATING	COMMENT
7.1a-b Water Assessment and Disclosure	Conformance	The Entity has identified and documented water withdrawal and use by source and type in the EIA. The Entity has assessed the water-related risks, which considered the surrounding water environment, water withdrawal and discharge, and the effectiveness of the existing management measures. The risk was identified as low, there are no Material water-related risks in the Entity's Area of Influence. The Water Resources Risk Assessment Report is accessible at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305768292876.pdf
7.2a-e Water Management	Minor Non-Conformance	The Entity has assessed the water-related risks, which considered the surrounding water environment, water withdrawal and discharge, and the effectiveness of the existing management measures. The water management plans are implemented with time-bound and targets. However, the Entity does not disclose the specific reduction plan of water resources management in the ESG Report.
8. BIODIVERSITY AND ECOSYSTEM SERVICES		
8.1a Biodiversity and Ecosystem Services Risk and Impact Assessment	Conformance	Biodiversity and Ecosystem Services Risk and Impact Assessments are included in the EIA, which are conducted by qualified Third Parties approved by the local Environmental Protection Agency. As per the approved EIA reports, there are no Biodiversity-sensitive areas in the Entity's Area of Influence. The Entity has assessed the risk and Materiality of the impacts on Biodiversity from the land use and activities in the Entity's Area of Influence. The risks and potential impacts on Biodiversity and Ecosystem Services have been assessed as low. The Biodiversity Assessment Report for the Entity is available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305768078173.pdf
8.1b Biodiversity and Ecosystem Services Risk and Impact Assessment - Priority	Not Applicable	This Criterion is not applicable to the Entity, as the risks and potential impacts have been assessed and documented as low. No Priority Ecosystem Services are identified.
8.2a-g Biodiversity Management	Not Applicable	This Criterion is not applicable to the Entity, as the risks and potential impacts have been assessed and documented as low.
8.3a-c Management of Priority Ecosystem Services	Not Applicable	This Criterion is not applicable to the Entity, as no Priority Ecosystem Services have been identified.
8.4 Alien Species	Conformance	The Entity has identified the risks of the introduction of Alien Species during operation and transportation activities and assessed whether the activities could have Material adverse impacts on Biodiversity and Ecosystem Services. The risk was identified as low.
8.5a-b Commitment to "No Go" in World Heritage Properties	Conformance	The Entity has committed to not exploring or developing New Projects in World Heritage Properties. There are no World Heritage Properties in the Entity's Area of Influence.
8.6a-d Protected Areas	Not Applicable	This Criterion is not applicable to the Entity, as it is located within an industrial park with no Protected Areas present.

CRITERION	RATING	COMMENT
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 established a gender-responsive Code of Conduct to respect Human Rights, promote gender equality and comply with the UN Guiding Principles on Business and Human Rights. The Code of Conduct is available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305767833280.pdf</p> <p>The Entity has established a procedure to conduct a Human Rights Due Diligence process. Implementation of the Human Rights Policy and relevant performance are reviewed. The Human Rights Impact Report and information on the affected Communities' engagement approach and the Complaints Resolution Mechanism are publicly disclosed at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305768226242.pdf</p> <p>The Entity has identified the Affected Populations and Organisations as Stakeholders, and complaints, grievances channels are public to all Stakeholders, with relevant information available in the ESG Report 2023, page 26: https://ylgf.chinalco.com.cn/kcxzf/gsesgbg/gsesg_bg/202410/P020241012564704605575.pdf</p> <p>No significant adverse Human Rights impacts are caused by or contributed to by the Entity's operation. Entity commits to provide for or cooperate in remediation through legitimate processes if there is a negative impact on Human Rights identified or reported.</p>
9.2a-e Gender Equity and Women's Empowerment	Conformance	<p>The Entity commits itself in the Code of Conduct to protect female Workers and commits to respect and promote gender equity and women's empowerment within the Group. The Entity respects for the rights and interests of women and develops activities to support work-life balance, especially for women.</p> <p>The Entity has publicly disclosed information on the gender equity Policy and performance on the protection of female Workers: https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305768216536.pdf</p> <p>Female Workers' remuneration is equivalent to male Workers, each department and management team have female Workers, and no Discrimination is noted. There is female representation at Board level. Relevant information is disclosed in the ESG Report 2023: https://ylgf.chinalco.com.cn/kcxzf/gsesgbg/gsesg_bg/202410/P020241012564704605575.pdf</p>
9.3a-I Indigenous Peoples	Not Applicable	This Criterion is not applicable, as per the assessment report and definition specified in ASI Performance Standard, there are no Indigenous Peoples within the Entity's Area of Influence. However, the Entity has established and implemented Policies and processes to ensure respect for the rights and interests of Indigenous Peoples.

CRITERION	RATING	COMMENT
9.4a Free, Prior, and Informed Consent (FPIC)-- New Projects or Major Changes	Not Applicable	This Criterion is not applicable to the Entity, as the assessment report confirmed there are no Indigenous Peoples within the Entity's Area of Influence. Additionally, there has been no New Projects since 2012. However, the Entity has established and implemented Stakeholder engagement processes to manage communication with the Local Communities to obtain their major concerns on the impact of New Projects or existing operations on Local Communities.
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 there are no Indigenous Peoples within the Entity's Area of Influence and therefore Free, Prior and Informed Consent (FPIC) has not been required.
9.5a Cultural and Sacred Heritage-- Identification	Conformance	The Entity has established and implemented a procedure to identify cultural and sacred heritage and conduct risk assessments to reduce the impact on any sites. At present, all of the Entity's projects have undergone an EIA and social stability assessment, and it has been determined that there are no sacred or cultural heritage sites within the project's impact area.
9.5b Cultural and Sacred Heritage - Impacts	Not Applicable	This Criterion is not applicable, as there are no sacred or cultural heritage sites within the Entity's Area of Influence. However, the Entity has implemented a procedure to identify the cultural and sacred heritage and conduct risk assessments to reduce the impact on the sites. The Entity commits to undertaking any necessary action to avoid significant impact on cultural, historical or spiritual heritage should sites be identified.
9.6a-i Displacement	Not Applicable	This Criterion is not applicable to the Entity, as there are no Major Changes or New Projects causing resettlements in the history of the Entity.
9.7a-h Affected Populations and Organisations	Conformance	<p>The Entity has established and implemented a Stakeholder engagement process to identify the major concerns of Affected Populations and Organisations. The Entity has developed various plans to respond to the major concerns of the Affected Populations and Organisations. The implementation and progress of the plans are reviewed annually, relevant improvement actions are undertaken, and the Entity's actions and performance against the plans are publicly disclosed at:</p> <p>https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305768226242.pdf</p> <p>https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305768211001.pdf</p> <p>https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305768216536.pdf</p> <p>Relevant information is also included in the ESG Report 2023: https://ylgf.chinalco.com.cn/kcxfz/gsesgbg/gsesg_bg/202410/P020241012564704605575.pdf</p>

CRITERION	RATING	COMMENT
9.8a Conflict-Affected and High-Risk Areas - Strong management systems	Conformance	The Entity has established a Supplier Code of Conduct to commit to not using conflict minerals and implemented a Management System. Training has been provided for all relevant employees, and the Policy and requirements are communicated to suppliers and made publicly available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305767846732.pdf https://ylgf.chinalco.com.cn/kcxfz/gsesgbg/gsesg_bg/202410/P020241012564704605575.pdf
9.8b Conflict-Affected and High-Risk Areas - Identify and assess risks	Conformance	The Entity has identified and assessed the risks in its supply chain through regular risk assessment. No conflict minerals are used, no materials are from Conflict-Affected and High-Risk Areas (CAHRAs), and there are no critical Human Rights issues such as Child Labour and Forced Labour.
9.8c Conflict-Affected and High-Risk Areas - Strategy to respond to risks	Not Applicable	This Criterion is not applicable, as per the risk assessment record, no conflict minerals are used, no materials are from CAHRAs, and there are no critical Human Rights issues such as Child Labour and Forced Labour. No further action is required.
9.8d Conflict-Affected and High-Risk Areas - Audit of due diligence	Conformance	The Entity's Due Diligence practices were audited as part of this ASI Performance Standard Audit.
9.8e Conflict-Affected and High-Risk Areas - Report annually	Minor Non-Conformance	The Entity has established and implemented a Supplier Code of Conduct, performed a risk assessment and undertaken a social responsibility audit on its supply chain. The Entity commits that no conflict material will be used in its supply chain. There is no conflict minerals used, and no materials are from CAHRAs. The Entity has disclosed the supplier management in the ESG Report, Chapter 5: https://ylgf.chinalco.com.cn/kcxfz/gsesgbg/gsesg_bg/202410/P020241012564704605575.pdf However, the Entity's practice on its supply chain Due Diligence is not publicly disclosed.
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.
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 they adhere to the Applicable Laws regarding Freedom of Association and Collective Bargaining in China.
10.1d Freedom of Association and Right to Collective Bargaining - Alternative means in context of Applicable Law	Conformance	The Entity has established a Labour Union, and all Workers are members. The Labour Union Constitution outlines the Union representatives' election process and member's rights.
10.2a-c Child Labour	Conformance	The Entity has established processes to ensure no Child Labour is employed. Document review, site observations and Worker interviews

CRITERION	RATING	COMMENT
		confirmed that there is no Child Labour or young Workers at the Entity. The youngest Worker in the Entity was 22 years old.
10.3a-c Forced Labour	Conformance	The Entity has established a Policy on the prohibition of Forced Labour including Human Trafficking. The Entity commits itself and expects its suppliers to comply with the prohibition of Forced Labour, Slavery and Human Trafficking. No case of illegal wage deductions, Debt Bondage, payment for a debt or other type of Forced Labour has been identified nor reported in the Entity. The Entity has disclosed its Modern Slavery Statement, available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305768211001.pdf
10.4a-c Non-Discrimination	Conformance	The Entity has established a commitment to non-Discrimination. The Entity's recruitment advertisements, training and promotion opportunities and termination records indicate decisions are solely based on the candidate's ability to perform the job's requirements rather than other personal characteristics. The payment records demonstrate equal pay for the same work. Workers interviewed confirm they feel they are treated equally, and, to date, no case of Discrimination has been reported. The Entity has disclosed its performance on gender equity at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305768216536.pdf
10.5 Communication and engagement	Conformance	The Entity encourages Workers to participate in the ASI Management System, and direct and frequent communication with workers and the representatives of the Workers' Council is established. Interviewed workers provided feedback on a positive working environment and direct communication.
10.6a-g Violence and Harassment	Conformance	The Entity has implemented Policies stating that Harassment and bullying are not accepted. An information brochure has been developed and distributed to all employees. The Entity's ASI Policy is clear on this issue and regular training of employees is performed. The ASI Policy is available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202407/P020240722305767854210.pdf
10.7a-d Remuneration	Conformance	The Entity and Workers sign labour contracts within a month of commencing employment at the Entity. The terms and conditions of the labour contract meet the labour contract law. The wage structure is clearly defined; and the basic wage is not less than the legal minimum wage. The total payment meets the Workers' basic needs. Overtime is paid in accordance with the legal requirements of 150% of the regular wage for Overtime on working days, 200% for weekends, and 300% on public holidays. All the employees are enrolled in the social insurance and housing fund. Moreover, the Entity has provided supplemental retirement insurance to all Workers, which is leading practice in China. Wages are paid to Workers monthly, without delay.
10.8a-c Working Time	Conformance	Working hours at the Entity are recorded and tracked. The regular working hours are 8 hours a day, 5 days a week, with a total of 40 hours a week. Working hours are monitored and controlled, and the monthly Overtime working hours do not exceed the legal monthly limit. All Workers have an average of one day off per seven-day period.

CRITERION	RATING	COMMENT
10.9a-b Informing Workers of Rights	Conformance	The Entity informs Workers of their rights through orientation training, provision of an Employee Handbook, billboards on-site, and periodic communication.
11. OCCUPATIONAL HEALTH AND SAFETY		
11.1a Occupational Health and Safety (OH&S) Management System	Conformance	The Entity has established an ISO45001:2018 certified Occupational Health and Safety (OH&S) Management System, including a management manual and procedural documents. The Management System is internally audited and is reviewed annually. The latest external audit of the Entity's OH&S Management System identified no major non-conformances. If any non-compliance is found, the root cause analysis, corrective actions and prevention actions will be finalized. As per site observation, document review and management and Worker interviews, the OH&S Management System is effective.
11.1b-e Occupational Health and Safety (OH&S) Management System – Reviews and disclosure	Conformance	The Entity has regularly reviewed the OH&S Management System, including during monthly safety meetings, annual legal compliance evaluations, annual internal audits against ISO 45001:2018, and the management review meeting. When any indication of a control gap is shown, the review is conducted to assess if the potential corrective and/or preventive actions should be implemented. The achievement of OH&S objectives/targets in 2023 and the comparative analyses of performance with peer businesses and leading practice are published in its ESG Report, Chapter 4 Forging a Human-centered Future Together: https://ylgf.chinalco.com.cn/kcxfz/gsesgbg/gsesg_bg/202410/P020241012564704605575.pdf
11.2 Employee engagement on Health and Safety	Conformance	The Entity has a system of Workers' consultation and participation in OH&S. The Workers are encouraged to report their concerns or advice on OH&S issues by themselves or via the Worker representative and management responds to the concerns and advice.

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DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	7 July 2021	Initial Certification Audit – Full Certification
1	16 May 2023	Surveillance Audit
2	20 February 2025	Re-Certification Audit and Scope Change – Full Certification