

ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

Kobelco Automotive Aluminum Rolled Products (China) Co.,Ltd

CERTIFICATE NUMBER

340

ASI STANDARD

PERFORMANCE
STANDARD
(V3.1 2023)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITING FIRM

DNV BUSINESS
ASSURANCE SERVICES
UK LTD.

DATE OF ISSUE

22 NOVEMBER 2023

DATE OF EXPIRY

21 NOVEMBER 2026

CERTIFIED SINCE

22 NOVEMBER 2023

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. H.', followed by a long horizontal line.

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

Tianjin plant facility in Tianjin, China,
covering the production of thin
automobile Aluminium alloy plate
and strip (series 5000 and 6000).

AUDIT REPORT PERFORMANCE STANDARD

OVERVIEW

MEMBER NAME	Kobe Steel, Ltd.
ENTITY NAME	Kobelco Automotive Aluminum Rolled Products (China) Co.,Ltd
CERTIFICATION SCOPE	Tianjin plant facility in Tianjin, China, covering the production of thin automobile Aluminium alloy plate and strip (series 5000 and 6000).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">Material Conversion
ASI STANDARD	<ul style="list-style-type: none">Performance Standard V3.1
AUDIT TYPE	<ul style="list-style-type: none">Initial Certification Audit (25 – 26 September 2023)Surveillance Audit (17 – 18 April 2025)
AUDIT FIRM	<ul style="list-style-type: none">DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none">25 – 26 September 2023 (Initial Certification Audit)17 – 18 April 2025 (Surveillance Audit)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">7 November 2023 (Initial Certification Audit)13 May 2025 (Surveillance Audit)
AUDIT SCOPE	<p><u>Initial Certification Audit (25 – 26 September 2023)</u></p> <p>The Audit Scope covered the Tianjin plant operations for the production of thin automobile aluminium alloy plate and strip. The main production process include continuous annealing process, surface treatment process, slitter and slitting process.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none">Material Conversion <p>All relevant supply chain activities, and Criteria in the Performance Standard were included in the Audit Scope.</p> <p><u>Surveillance Audit (17 – 18 April 2025)</u></p> <p>The Audit Scope covered the Tianjin plant operations for the production of thin automobile Aluminium alloy plate and strip. The main production process includes continuous annealing process, surface treatment process, slitter and slitting process.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none">Material Conversion <p>Criteria that were identified as non-conformities from the previous Audit were included in the Audit Scope.</p>
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 November 2023 – 21 November 2026

NEXT AUDIT TYPE

Re-Certification Audit

NEXT AUDIT DATE

21 November 2026

CERTIFICATE NUMBER

340



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

Kobelco Automotive Aluminum Rolled Products (China) Co., Ltd (the 'Entity') is owned by Kobelco Group, which is a wholly owned subsidiary of Kobe Steel. The factory is located in Tianjin, within the Xiqing Economic-Technological Development Area and focuses on the production and sale of series 5000 and 6000 thin automobile Aluminium alloy plates and strips.

The main production process includes one heat treatment line, one surface treatment line, longitudinal cutting, cross-cutting equipment and supporting public auxiliary facilities, with an annual output of 100,000 tonnes of Aluminium alloy automotive surface sheet.

Currently, the Entity also has one production workshop, one office building, one substation, five electrical rooms, one quality assurance room, one pharmaceutical warehouse, one compressor room, one maintenance centre, and one turning tool grinding room. In addition, there is one independent secondary circulation water treatment equipment, one wastewater treatment facility and one boiler room. The factory covers an area of over 67,000 square metres (m²) and a total construction area of approximately 30,500 m².

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

FINDINGS

CRITERION	RATING	COMMENT
1. BUSINESS INTEGRITY		
1.1 Legal Compliance	Conformance	The Entity has developed and implemented Policies, systems, procedures, and processes that conform to the ASI Performance Standard legal compliance requirements. The status of legal compliance is evaluated annually. The Entity has systems in place to maintain awareness of and ensure Compliance with Applicable Law.
1.2 Anti-Corruption	Conformance	The Entity has established a Policy and associated procedures to manage anti-Corruption. A 'whistleblowing' mechanism for internal and external interested parties has also been established and training is provided to employees engaged in higher-risk functions. A review of the 'whistleblowing' log and complaint register confirmed that there have been no reports of Corruption cases in the past two years.
1.3a-e Code of Conduct	Conformance	The Entity has implemented a Code of Conduct that includes principles related to environmental, social and governance (ESG) performance. The Entity has implemented measures, including training and communication to raise awareness about the code among business partners and suppliers. The Code of Conduct will be reviewed in the annual management review meeting or when there is a major change or control gap. The Code of Conduct is publicly disclosed at: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/p-yuangongxingdongjizhunheguishouce.pdf
2. POLICY AND MANAGEMENT		
2.1a-f Environmental, Social, and Governance Policy	Conformance	The Entity ASI Policy addresses environmental, social, and governance issues and has been approved by senior management. Senior management demonstrates commitment to the implemented Policies, and support through the provision of resources. The ASI Policy is reviewed in the annual management review meeting. An overview is also included in the ASI Performance Standard (PS) management manual, and when there is a major Business change or control gap, the ASI Policy shall be reviewed. The Policies are disclosed at: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/%E7%A5%9E%E9%92%A2%E6%B1%BD%E8%BD%A6%E9%93%9D%E6%9D%90%EF%BC%88%E5%A4%A9%E6%B4%A5%EF%BC%89%E6%9C%89%E9%99%90%E5%85%AC%E5%8F%B8-ASI%E6%96%B9%E9%92%88.pdf
2.2a-c Leadership	Conformance	A Senior Management Representative has been nominated. The responsibility and authorities to establish, implement, maintain and continually improve the ASI Management System are clearly defined.
2.3a Environmental and Social Management Systems – Environmental	Conformance	The Entity has implemented and documented an Environmental Management System and holds a valid ISO 14001:2015 certification. The latest external audit was in March 2025, with no major non-conformances raised.
2.3b Environmental and Social Management Systems – Social	Conformance	The Entity has documented and implemented a Social Management System. The main social and Occupational Health and Safety (OH&S) impacts are identified and assessed and associated management

CRITERION	RATING	COMMENT
		provisions for preventing and/or mitigating these impacts are established and implemented.
2.4a-e Responsible Sourcing	Conformance	The Entity has developed and implemented Policies, systems, procedures, and processes that address responsible sourcing. The Entity conducts second-party Due Diligence audits of major next-tier suppliers' sites to qualify them. The procurement team and relevant personnel are trained annually on responsible sourcing requirements. The Responsible Purchasing Policy is reviewed in the annual management review meeting and is also reviewed if there is a major change or control gap. The Responsible Purchasing Policy is available at: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/01.CSR_.pdf
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.
2.6a-h Human Rights Impact Assessment	Not Applicable	This Criteria is Not Applicable to the Entity as there are no New Projects or Major Changes to existing Facilities.
2.7a-f Emergency Response Plan	Conformance	<p>The Entity has established comprehensive emergency response plans, the Emergency Response Plan for Production Safety Accidents and the Environmental Emergency Plan. Both plans are registered with the relevant government agencies. The Entity provides relevant training to employees and conducts drills. The two emergency response plans are reviewed every three years, or when there is a major change or control gap and re-summitted to the authorities for registration.</p> <p>Both emergency response plans are disclosed at: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/%E7%A5%9E%E9%92%A2%E6%BI%BD%E8%BD%A6%E9%93%9D%E6%9D%90%EF%BC%88%E5%A4%A9%E6%B4%A5%EF%BC%89%E6%9C%89%E9%99%90%E5%85%AC%E5%8F%B8%E5%AE%89%E5%85%A8%E7%BB%BC%E5%90%88%E5%BA%94%E6%80%A5%E9%A2%84%E6%A1%882022.pdf and https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/j-huanjingyingjiyuan.pdf</p>
2.8a-d Suspended Operations	Conformance	The Entity has identified scenarios where it may have to suspend or significantly alter operations due to factors outside its control and considering their impact on the environment, society, and governance. It has assessed the risks, developed a Business Continuity Plan, and provided relevant training. The Plan has been approved by management. The trigger for review is included in the ASI PS management manual.
2.9a-b Mergers and Acquisitions	Conformance	As part of the Due Diligence processes for Mergers and Acquisitions, the Entity has established a procedure to review its ESG practices including interactions with Affected Populations and Organisations regarding Material ESG impacts. There are no mergers or acquisitions currently planned.

CRITERION	RATING	COMMENT
2.10a-b Closure, Decommissioning and Divestment	Conformance	The Entity has established a procedure to review ESG practices in the planning process for closure, decommissioning, and divestment and interactions with Affected Populations and Organisations to develop monitoring activities. There is no closure, decommissioning or divestment activities currently planned.
3. TRANSPARENCY		
3.1a-b Sustainability Reporting	Conformance	The 2024 ESG Data Book Report is compiled and publicly disclosed by KOBELCO Group. The report includes information on the Entity (Kobelco Tianjin) and covers KOBELCO Group's governance approach to environmental, social, and economic impacts and its Material environmental, social, and economic impacts related to principles in ASI Performance Standard. The Integrated ESG Data Book Report is available at: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/esg2024_e.pdf
3.2 Non-compliance and Liabilities	Conformance	<p>The Entity has not been issued any monetary fines, judgments, penalties or non-monetary sanctions in the past two years. This was verified during the Audit via interviews with management representatives and the official websites of relevant government agencies and Non-Government Organizations (NGOs).</p> <p>The relevant information is disclosed in an official statement by the Entity at: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/%E7%A5%9E%E9%92%A2%E6%B1%BD%E8%BD%A6%E9%93%9D%E6%9D%90%EF%BC%88%E5%A4%A9%E6%B4%A5%EF%BC%89%E6%9C%89%E9%99%90%E5%85%AC%E5%8F%B8%E5%85%B3%E4%BA%8E%E8%A1%8C%E6%94%BF%E5%A4%84%E7%BD%9A%E7%9A%84%E5%A3%B0%E6%98%8E.pdf</p>
3.3a-c Payments to Governments	Conformance	<p>According to the internal control procedure, payments to governments are only made on a legal basis. These payments to governments include taxes and no other items as confirmed within their financial disclaimer, available at: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/%E7%A5%9E%E9%92%A2%E6%B1%BD%E8%BD%A6%E9%93%9D%E6%9D%90%EF%BC%88%E5%A4%A9%E6%B4%A5%EF%BC%89%E6%9C%89%E9%99%90%E5%85%AC%E5%8F%B8%E7%9A%84%E5%A3%B0%E6%98%8E.pdf.</p>
3.4a-f Stakeholder Complaints, Grievances and Requests for Information	Conformance	<p>The Entity has established a Complaints Resolution Policy and encourages 'whistleblowing' regarding misconduct. The privacy of 'whistleblowers' is guaranteed. The hotline and email address for reporting misconduct are publicly disclosed at: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/q-neibujuebaohaibao.pdf</p> <p>The Complaints Resolution Mechanism is disclosed at: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/%E4%B8%BE%E6%8A%A5%E5%88%B6%E5%BA%A6-%E7%A5%9E%E9%92%A2%E6%B1%BD%E8%BD%A6%E9%93%9D%E6%9D%90%EF%BC%88%E5%A4%A9%E6%B4%A5%EF%BC%89%E6%9C%89%E9%99%90%E5%85%AC%E5%8F%B8.pdf</p>
4. MATERIAL STEWARDSHIP		

CRITERION	RATING	COMMENT
4.1a Environmental Life Cycle Assessment	Conformance	<p>The Entity has conducted an environmental Life Cycle Assessment (LCA) on its main product series. The assessment was conducted in accordance with relevant provisions of international standards such as ISO 14040 and ISO 14044. The LCA was performed using open LCA software and used relevant data from Ecoinvent (v3.9). The LCA report is available on the Entity's website at:</p> <p>5000 series: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/e-lvban5000xichanpinshengmingzhouqibaogao-V2.pdf</p> <p>6000 series: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/f-lvban6000xichanpinshengmingzhouqibaogao-V2.pdf</p>
4.1b-c Environmental Life Cycle Assessment - Disclosure	Conformance	<p>The LCA report publicly disclosed by the Entity provides comprehensive disclosure of the LCA information for its products from 'cradle to gate'. Furthermore, the Entity commits to providing the entire Environmental LCA Report through external communication if necessary. In the publicly disclosed LCA report, the Entity has fully disclosed relevant LCA information, including basic assumptions, system boundaries, and associated data.</p>
4.2 Product Design	Conformance	<p>The Entity itself does not engage in any product design activities. However, the Entity incorporates relevant sustainability goals into its production process control and raw material procurement processes to enhance the sustainability of its products, including the environmental life cycle impact of the final products.</p>
4.3a-b Aluminium Process Scrap	Conformance	<p>The Entity has implemented a target for the collection, recycling, and/or reuse of process Scrap has been set at 100% and has been predominantly achieved to date. A Scrap management procedure has been established to ensure the achievement of this objective. The Entity has implemented various technological and management measures to reduce the generation of Aluminium processing Scrap in its operational processes. The Entity collects and recycles Aluminium processing Scrap internally, and all Scrap is then delivered to Aluminium recycling processors for re-use.</p>
4.4a-c Collection and Recycling of Products at End of Life - Material Conversion and other Manufacturing	Conformance	<p>The Entity has developed a recycling material technology development plan based on the overall strategy of its parent company, KOBELCO Group, which was implemented in 2023. The strategic goal of this plan is to partially incorporate Recycled Aluminium into its products within the next five years. The Entity has also committed to regular communication with its parent company to assess the progress and achievement of the recycling Aluminium utilisation strategy. The Entity ensures timely adjustments to its recycling Aluminium strategy and goals based on these evaluations. The Entity's Recycling Aluminium Utilisation Strategy is available at: https://www.kobelco-aluminum.com/kechixufazhan/index.html</p>
4.4d Collection and Recycling of Products at End of Life	Conformance	<p>The Entity's parent company, KOBELCO Group, has established a recycling Aluminium utilisation strategy. This strategy includes the recycling of Aluminium based on the guidelines for resource circulation and utilisation set by the Japan Aluminum Association. Leveraging the presence of a KOBELCO Group subsidiary in China, the Entity is gradually undertaking research and development efforts to</p>

CRITERION	RATING	COMMENT
		increase the use of Recycled Aluminium. The goal is to achieve a 30% recycling rate by 2050.
5. GREENHOUSE GAS EMISSIONS		
5.1a-b Disclosure of GHG Emissions and Energy Use	Conformance	<p>The Entity has publicly disclosed its annual raw material usage, energy consumption, and corresponding Greenhouse Gases (GHG) emissions through the 'Product Carbon Footprint Report' published on its official website. The greenhouse gas emission data has undergone third-party verification, and the GHG emission data and verification statement are available at: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/14064%E9%A1%B9%E7%9B%AE%E8%AF%81%E4%B9%A6-%E7%A5%9E%E9%92%A2%E6%B1%BD%E8%BD%A6%E9%93%9D%E6%9D%90%E7%BC%88%E5%A4%A9%E6%B4%A5%E7%BC%89%E6%9C%89%E9%99%90%E5%85%AC%E5%8F%B8%E7%BC%882023%E7%BC%89.pdf</p> <p>Energy use data are disclosed at: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/%E6%B8%A9%E5%AE%A4%E6%B0%94%E4%BD%93%E7%9B%98%E6%9F%A5%E6%8A%A5%E5%91%8A-%E7%A5%9E%E9%92%A2%E6%B1%BD%E8%BD%A6%E9%93%9D%E6%9D%90-2024.pdf</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 GHG Emissions Reduction Plans	Conformance	The Entity has an established Greenhouse Gas Emission Reduction Plan and pathway according to the ASI Entity-Level GHG Pathways Method which is consistent with the 1.5°C scenario.
5.3b-e GHG Emissions Reduction Plans – Targets, review and disclosure	Conformance	<p>The Entity has established a five-year greenhouse gas emissions reduction target and implementation plan, with an estimated reduction of 14% by 2027 compared to the emissions generated in 2021. The Entity publicly discloses its emission reduction target, implementation plan, and performance: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/ASI-5.2-01%E6%B8%A9%E5%AE%A4%E6%B0%94%E4%BD%93%E5%87%8F%E6%8E%92%E5%B7%A5%E4%BD%9C%E5%AE%9E%E6%96%BD%E6%96%B9%E6%A1%88%E7%A5%9E%E9%92%A220250327.pdf</p> <p>Regular reviews are conducted to assess the progress towards achieving the emission reduction target and the implementation status of the reduction plan.</p>
5.4 GHG Emissions Management	Conformance	The Entity has defined the management approaches to GHG emissions with a focus on energy management. Through site observations, document review and interviews, it is confirmed that the Entity manages energy consumption and monitors the Management System performance to achieve the GHG Emissions Reduction Plan.

CRITERION	RATING	COMMENT
6. EMISSIONS, EFFLUENTS AND WASTE		
6.1a-f Emissions to Air	Conformance	<p>The Entity annually compiles and reports its atmospheric pollutant emissions, which are publicly disclosed on the local environmental protection department's information platform at: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/%E6%89%A7%E8%A1%8C%E6%8A%A5%E5%91%8A-%E7%A5%9E%E9%92%A2%E6%B1%BD%E8%BD%A6%E9%93%9D%E6%9D%90%E5%BC%88%E5%A4%A9%E6%B4%A5%E5%BC%89%E6%9C%89%E9%99%90%E5%85%AC%E5%8F%B8-2024%E5%B9%B4-1.pdf</p> <p>The Entity has taken necessary measures to enhance the energy efficiency of its gas boilers to reduce exhaust gas emissions. Regular monitoring of atmospheric pollutant emissions is conducted to ensure Compliance with Applicable Laws and regulations. Furthermore, the Entity commits to reviewing and revising its management plan whenever any changes in the Entity may alter the primary risks associated with atmospheric pollutant emissions.</p>
6.2a-g Discharges to Water	Conformance	<p>The Entity has publicly disclosed the details of its wastewater discharge, including the types of wastewater and volumes, available at: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/esg2024_e.pdf</p> <p>Information regarding water pollutant emissions from the Entity is available via the</p> <p>Water Resources Risk Assessment Report: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/g-shuiziyuanfengxianpinggubaogao-V2.pdf</p> <p>and Emission License Enforcement Report: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/%E6%89%A7%E8%A1%8C%E6%8A%A5%E5%91%8A-%E7%A5%9E%E9%92%A2%E6%B1%BD%E8%BD%A6%E9%93%9D%E6%9D%90%E5%BC%88%E5%A4%A9%E6%B4%A5%E5%BC%89%E6%9C%89%E9%99%90%E5%85%AC%E5%8F%B8-2024%E5%B9%B4-1.pdf</p> <p>In accordance with the water management objectives set by its headquarters, the Entity has formulated corresponding targets and management plans for water recycling. Details on these plans are available in the ESG Data Book 2024: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/esg2024_e.pdf</p> <p>The Entity has established a Wastewater Management Procedure and commits to reviewing and revising the plan whenever any changes in the Entity's activities may alter the primary risks associated with water pollutant emissions, as well as when there are signs or trends indicating water pollution is becoming uncontrollable.</p>
6.3a-g Assessment and Management of Spills and Leakages	Conformance	<p>The Entity has established a risk assessment and management procedure, which identifies and evaluates the risks of pollution leaks and seepage and develops corresponding emergency response measures and plans.</p> <p>Both the risk identification and emergency response plans are available at:</p> <p>Emergency Response Plan: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/j-huanjingyingjiyuan.pdf</p>

CRITERION	RATING	COMMENT
		<p>Leakage/Leakage Risk Identification and Risk Evaluation Checklist: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/t-ASI-PSXielouweixianyuanbianishi-KARP-V2.pdf</p> <p>The Entity conducts regular inspections to identify potential hazards related to leaks and seepage and prepares a Soil and Groundwater Pollution Hazard Inspection Report. The Entity also commits to reviewing and revising the relevant emergency response and leak or seepage prevention management plans whenever any changes may alter the substantial risks associated with leaks and seepage, as well as when there are indications of control deficiencies.</p>
6.4a-b Public Disclosure of Spills and Leakages	Conformance	The Entity has outlined the process for reporting Spills and Leakages in its environmental protection management procedure and emergency response plans. There have been no recorded incidents of Spills in the past three years.
6.5a-c Waste Management and Reporting	Conformance	<p>Waste management is addressed via the Entity's Environmental Management System. The Entity has implemented a Waste Management Strategy in accordance with the Waste Mitigation Hierarchy. The Entity mitigates the Material impacts by both re-using and recycling waste. The disposal of Hazardous Waste complies with applicable legal requirements. The Entity publicly discloses the quantity of Hazardous and Non-Hazardous Waste generated by the Entity from its activities in 2024, and is available at: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/%E6%89%A7%E8%A1%8C%E6%8A%A5%E5%91%8A-%E7%A5%9E%E9%92%A2%E6%B1%BD%E8%BD%A6%E9%93%9D%E6%9D%90%E7%BC%88%E5%A4%A9%E6%B4%A5%E7%BC%89%E6%9C%89%E9%99%90%E5%85%AC%E5%8F%B8-2024%E5%B9%B4-1.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	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
7. WATER STEWARDSHIP		
7.1a-b Water Assessment and Disclosure	Conformance	<p>In its environmental impact and water resource risk assessments, the Entity has determined and documented its water intake and usage based on the source and type of water. The Entity has assessed the risks associated with water, considering the surrounding water environment, water intake and discharge, as well as the effectiveness of existing management measures, the Entity's water resource risk is considered low, and there are no significant water-related risks within the Entity's Area of Influence.</p> <p>The Entity has prepared a risk assessment report and a water balance diagram related to water, including water use data by source and type, available at: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/g-shuiziyuanfengxianpinggubaogao-V2.pdf</p>
7.2a-e Water Management	Not Applicable	This Criterion is not applicable to the Entity as the water resource risk is considered low according to the Environmental Impact Assessment

CRITERION	RATING	COMMENT
		Report and water resource risk assessment report. In addition, there are no significant water-related risks within the Entity's Area of Influence.
8. BIODIVERSITY AND ECOSYSTEM SERVICES		
8.1a Biodiversity and Ecosystem Services Risk and Impact Assessment	Conformance	An assessment of Biodiversity and Ecosystem Services risks and impacts has been incorporated in the Entity's Environmental Impact Assessment (EIA) Report conducted by a qualified third party and approved by the local environmental protection agency. Based on the EIA report and the results of the Biodiversity risk assessment, there are no Biodiversity-sensitive areas within the Entity's scope of influence. The Entity is located within an industrial zone which is managed by the local government and has an effective Environmental Management System. Therefore, the level of risk is considered low.
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 identified have been assessed and documented as low risk according to the EIA Report. Furthermore, no Priority Ecosystem Services were identified in this assessment.
8.2a-g Biodiversity Management	Not Applicable	This Criterion is not applicable to the Entity as the risks and potential impacts are 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 are identified.
8.4 Alien Species	Conformance	The Entity has established a management Policy and procedures to identify and prevent the introduction of invasive species in operations and logistics activities. The Entity has assessed whether these activities would have significant adverse impacts on Biodiversity and Ecosystem Services. Based on the results of the Biodiversity Assessment, the Entity's activities pose a low risk of the introduction of invasive species.
8.5a-b Commitment to "No Go" in World Heritage Properties	Conformance	In its management manual, the Entity commits to not explore or develop New Projects or make Major Changes in World Heritage Properties. There are no World Heritage Properties in or adjacent to the Entity's Area of Influence.
8.6a-d Protected Areas	Conformance	In its management manual, the Entity commits to the protection of the environment. There are no Protected Areas in or adjacent to the Entity's Area of Influence.
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	The Entity has implemented a policy with the commitment to respect Human Rights including gender equity and has communicated the Policy to all Stakeholders through a Stakeholder engagement process.

CRITERION	RATING	COMMENT
		<p>The Entity conducts an annual review of the implementation of this Policy through management review and commits to revising the Policy should significant potential risk changes or control deviations arise. The Policy is publicly disclosed at: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/%E7%A5%9E%E9%92%A2%E6%B1%BD%E8%BD%A6%E9%93%9D%E6%9D%90%EF%BC%88%E5%A4%A9%E6%B4%A5%EF%BC%89%E6%9C%89%E9%99%90%E5%85%AC%E5%8F%B8-ASI%E6%96%B9%E9%92%88.pdf</p> <p>The Entity has established and implemented a Human Rights Due Diligence process, the risks to Human Rights are identified and assessed, and the major risks identified are within the supply chain. The Entity's Supplier Code of Conduct is communicated to major suppliers. The associated mitigation and control measures are established and implemented, such as audits for major suppliers. The supplier audit reports show no adverse cases. The Human Rights Due Diligence process is reviewed in the annual management review meeting.</p> <p>The Entity has identified the populations and organisations affected by its operational activities (including neighbouring businesses and employees around the plant locations). The Entity's Human Rights Risk Assessment Report indicates that its impact on the Human Rights of populations and organisations within its sphere of influence is minimal. The Entity has cultivated relationships and maintains close communication with populations and organisations through the management committee of the industrial zone where it operates.</p> <p>No negative issues were identified online regarding any Human Rights related to the Entity.</p>
9.2a-e Gender Equity and Women's Empowerment	Conformance	<p>The Entity has implemented Policies to respect the rights of women and a program to promote gender equity and women's empowerment throughout the whole employment process. No complaints have been received from women Workers. Interviewed women Workers stated they know their rights and there was no negative feedback. The Entity assesses the program on Gender Equity and Women's Empowerment; the report is disclosed in the annual ESG report in 2024, pages 9 and 59-68: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/esg2024_e.pdf</p>
9.3a-i Indigenous Peoples	Not Applicable	<p>This Criterion is not applicable to the Entity, as there are no Indigenous Peoples within the Entity's Area of Influence.</p>
9.4a Free, Prior, and Informed Consent (FPIC) - New Projects or Major Changes	Not Applicable	<p>This Criterion is not applicable to the Entity, as there are no Indigenous Peoples within the Entity's Area of Influence.</p>
9.4b Free, Prior, and Informed Consent (FPIC) - Bauxite Mining	Not Applicable	<p>This Criterion is not applicable to the Entity's Certification Scope.</p>
9.4c Free, Prior, and Informed Consent (FPIC) - Demonstrate support	Not Applicable	<p>This Criterion is not applicable to the Entity, as there are no Indigenous Peoples within the Entity's Area of Influence.</p>

CRITERION	RATING	COMMENT
9.5a Cultural and Sacred Heritage - Identification	Not Applicable	This Criterion is not applicable to the Entity, as there is no Cultural and Sacred Heritage in the Entity's Area of Influence.
9.5b Cultural and Sacred Heritage - Impacts	Not Applicable	This Criterion is not applicable to the Entity, as there are no Indigenous Peoples within the Entity's Area of Influence.
9.6a-i Displacement	Not Applicable	This Criterion is not applicable to the Entity, as there are no New Projects and Major Changes causing resettlements. However, the Entity has established a process to review and assess the alternative options that avoid and minimise resettlement and displacements.
9.7a-h Affected Populations and Organisations	Conformance	<p>The Entity has established the Policy to commit to respecting the legal and customary rights and interests of Local Communities in their lands, livelihoods and their use of natural resources.</p> <p>The Entity has established and implemented compliance management and risk control procedures to identify, prevent, monitor and mitigate any significant impacts caused by its activities, including those related to Health and Safety, social and cultural Human Rights and environmental impacts. The Entity works closely with the Industrial Estate Management Committee and, through its Stakeholder engagement process, consults and involves Affected Populations and Organisations in the development of its management plans, such as the formulation of the Safety Contingency Plan and the Environmental Contingency Plan.</p> <p>In addition, the Entity actively participates in and allocates resources to various community public welfare activities organised by the Industrial Zone Management Committee, including public awareness campaigns on road safety, fire prevention and telecommunications fraud prevention.</p> <p>The Entity's primary impact on neighbouring populations and organisations arises from the potential environmental impacts of its production activities, particularly relating to the emission of air pollutants. To address this, the Entity has developed an environmental control plan in accordance with legal requirements and regularly reports the status of its implementation to the Environmental Protection Agency. The relevant plans and implementation reports are made available to the public, available at: https://permit.mee.gov.cn/perxxgkinfo/xkgkAction!xkgk.action?xkgk=ge txgkContent&dataid=ecb593f614234f9ebfab36a415ee62aa</p>
9.8a Conflict-Affected and High-Risk Areas - Strong Management Systems	Conformance	The Entity has implemented a policy to not use conflict minerals and has established and established a Management System, which includes supply chain mapping, risk assessment, control plan, Due Diligence audits and reporting. The Entity provides training to all relevant employees, and the policy and requirements are communicated to suppliers.
9.8b Conflict-Affected and High-Risk Areas - Identify and assess risks	Conformance	The Entity has mapped its supply chain, and the materials used by the Entity which are predominantly sourced from a single supplier located in Korea. The supplier is currently certified to the ASI Performance Standard. Therefore, the risk has been assessed as low. A risk assessment was conducted on another material supplier from Japan, and the results confirm that the risk profile for this supplier is also low.

CRITERION	RATING	COMMENT
9.8c Conflict-Affected and High-Risk Areas – Strategy to respond to risks	Conformance	The Entity responds to risks as defined by following the OECD Due Diligence Guidance of Minerals from Conflict-Affected and High-Risk Areas (CAHRAs). Based on the risk assessment report, the Entity does not use materials from the CAHRAs and no 'red flags' in the supply chain have been identified, and the Entity maintains their relationships with all material suppliers.
9.8d Conflict-Affected and High-Risk Areas – Audit of due diligence	Conformance	The Entity's requirements on CAHRAs are incorporated within its supplier Due Diligence audits. The Entity conducts supplier Due Diligence audits for major Tier 1 suppliers. The Audit reports confirm that no materials are currently sourced from within CAHRAs.
9.8e Conflict-Affected and High-Risk Areas – Report annually	Conformance	The Entity has established a mechanism to disclose its performance related to ASI Performance Standard requirements regarding CAHRAs. The Entity publicly discloses its Due Diligence performance and results in the ESG Data Book 2024, page 69: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/esg2024_e.pdf
9.9 Security practice	Conformance	As defined in the contract signed between the Entity and the security company, the Entity has included a commitment to ensure security activities shall respect Human Rights and training is provided to security guards. Body searches are not permitted, and security personnel undertake their duties humanely. No complaints against security activities were received.
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 and Collective Bargaining is restricted or limited in China.
10.1d Freedom of Association and Right to Collective Bargaining – Alternative means in context of Applicable Law	Conformance	<p>The Entity has implemented a Policy to respect employees' rights. The Entity's Management demonstrates they respect the Right to Freedom of Association and Collective Bargaining and has implemented a mechanism to ensure that all employees can elect their employee representatives freely. The employee representatives have the right to negotiate with management on employee concerns about labour rights and Environmental, Health and Safety (EHS) issues. Interviewed Workers confirmed that they are aware of their right to freely elect their representatives.</p> <p>Currently, there are no employee representatives elected, as Workers can report concerns through the Trade Union committee, the committee members are democratically elected by Workers, which includes production Workers.</p> <p>Workers can lodge complaints or concerns to Union committee members and/or directly with management.</p>
10.2a Child Labour	Conformance	There is no evidence of Child Labour or young Workers at the Entity, and the Entity has implemented a Policy prohibiting Child Labour. The age of each candidate is verified by the Entity.
10.3a-c Forced Labour	Conformance	The Entity has implemented a Policy for 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. Based on interviews with Workers and

CRITERION	RATING	COMMENT
		<p>management, document review and site observation, Workers are hired directly by the Entity, do not pay any fees to be hired, no deposits are required, and loans are not provided to Workers. Identification documents are not withheld and with no unreasonable restriction on movement. Workers can freely terminate their employment with prior notice.</p> <p>The Entity discloses its 2023 Modern Slavery Statement at: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/u-nulizhijirenkoufanmaishengming-KARP.pdf</p>
10.4a-c Non-Discrimination	Conformance	<p>The Entity is committed to non-Discrimination and no cases have been received to date. Recruitment advertisements, training, promotion, and termination records indicate the decisions are solely based on the candidate's ability to perform the job's requirements rather than other personal characteristics. A review of payment records demonstrates equal pay for the same work and interviewed Workers confirm they feel equal within the Entity. The Entity provides training courses to promote a culture of non-Discrimination.</p>
10.5 Communication and engagement	Conformance	<p>Direct and frequent communication channels with Workers and Worker representatives are established. Communication channels are disclosed to Workers who can raise their concerns regarding working conditions and the resolution of workplace and compensation issues, without threat of reprisal, intimidation or Harassment.</p>
10.6a-g Violence and Harassment	Conformance	<p>The Entity respects its employees; disciplinary measures are in compliance with legal requirements and require the confirmation of the involved Worker. The Entity does not engage in, nor tolerates the use of corporal punishment, mental or physical coercion, Harassment, and gender-based Violence including sexual Harassment, or verbal abuse of Workers. The Policy on Violence and Harassment is included in the policy at: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/%E7%A5%9E%E9%92%A2%E6%B1BD%E8%BD%A6%E9%93%9D%E6%9D%90%EF%BC%88%E5%A4%A9%E6%B4%A5%EF%BC%89%E6%9C%89%E9%99%90%E5%85%AC%E5%8F%B8-ASI%E6%96%B9%E9%92%88.pdf</p>
10.7a-c Remuneration	Conformance	<p>The Entity's wage structure is clearly defined, and the basic wage is much higher than the local legal minimum wage. The total payment meets Workers' basic needs. The Entity documents wage payments and all Workers are paid promptly by bank transfer on the 25th of each month (including allowances which are paid on the 25th of the current month, and Overtime wages which are paid on the 25th of the following month). Detailed information on wages, allowance, Overtime compensation, and deductions are included on each payslip.</p>
10.8a-c Working Time	Minor Non-Conformance	<p>Working hours are recorded using an integrated circuit card. Regular working hours are 40 hours per week, five days per week. Working hours are monitored and controlled. Monthly Overtime hours do not exceed the legal limit. Paid leave is provided to eligible Workers as required by Applicable Laws and regulations. However, a sample of working hour records reviewed during the Audit demonstrated that two Workers did not receive one day off per seven days.</p>

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 and billboards on-site.
11. OCCUPATIONAL HEALTH AND SAFETY		
11.1a Occupational Health and Safety (OH&S) Management System	Conformance	The Entity has established, implemented, and maintains an Occupational Health and Safety Management System (OHSMS) that is continually improved. All sites, including the Entity that are managed under Kobelco, hold valid ISO 45001:2018 certificates, which demonstrates the parent company's commitment to Occupational Health and Safety (OH&S). Through on-site observations, document reviews, and interviews with management and Workers, it has been determined that the OHSMS is effective. This indicates that the system is successfully preventing workplace hazards, promoting a safe and healthy working environment, and complying with relevant regulations and standards.
11.1b-e Occupational Health and Safety (OH&S) Management System - Reviews and disclosure	Minor Non-Conformance	<p>The Entity conducts periodic reviews of its OHSMS through mechanisms including monthly safety meetings, an annual evaluation of legal compliance, an annual internal audit based on ISO 45001:2018 and management review meetings. Should any indication of a control gap arise during these reviews, a thorough assessment is conducted to determine the necessity of implementing potential corrective and/or preventive actions. This proactive approach ensures that any identified issues or gaps in the OH&S Management System are promptly addressed.</p> <p>To promote transparency and share performance information, the achievement of OH&S objectives and targets for 2023 are publicly disclosed at: https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/%E6%9D%A1%E6%AC%BE11.I-ISO45001%E7%AE%A1%E7%90%86%E4%BD%93%E7%B3%BB%E6%88%90%E6%95%88vi-2024%E5%B9%B4OHS-Management-System-Management-Performance.pdf</p> <p>However, the Entity has not conducted and disclosed a comparative analysis of performance with peer Businesses and leading practices.</p>
11.2 Employee engagement on Health and Safety	Conformance	The Entity has established a system for Worker consultation and participation in OH&S matters. The Entity encourages Workers to report issues of concern or provide suggestions regarding OH&S, either individually or through Worker representatives. Additionally, these OH&S issues, along with the corresponding actions or improvement measures, are discussed during the annual employee representative meeting, generating further suggestions for improvement.

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DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	22 November 2023	Initial Certification Audit – Full Certification
1	16 June 2025	Surveillance Audit; Correction to the Rev 0 rating for 9.6a-i to 'Not Applicable'