

# ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

# Shandong Innovation Metal Technology Co., Ltd.

CERTIFICATE NUMBER  
**521**

ASI STANDARD  
**PERFORMANCE  
STANDARD  
(V3.1 2023)**

CERTIFICATION LEVEL  
**FULL  
CERTIFICATION**

ASI ACCREDITED  
AUDITING FIRM  
**SGS-CSTC  
STANDARDS  
TECHNICAL SERVICES**

DATE OF ISSUE  
**12 JANUARY 2026**

DATE OF EXPIRY  
**11 JANUARY 2029**

CERTIFIED SINCE  
**12 JANUARY 2026**

## AUTHORISED BY

A stylized, handwritten signature in black ink, consisting of a series of loops and a long horizontal stroke.

Aluminium Stewardship Initiative Ltd  
ACN 606 661 125, Australia  
[info@aluminium-stewardship.org](mailto:info@aluminium-stewardship.org)

*Validity of this Certificate is subject to  
continued conformance with the  
applicable ASI Standard and can be  
verified at  
[www.aluminium-stewardship.org](http://www.aluminium-stewardship.org)*

## CERTIFICATION SCOPE

Manufacture of un-forged  
Aluminium alloy ingots and  
Aluminium alloy profiles at  
Shandong Innovation Metal  
Technology Co., Ltd., located in  
Shandong Province, China.

# AUDIT REPORT PERFORMANCE STANDARD

## OVERVIEW

MEMBER NAME	Shandong Innovation Group Co., Ltd.
ENTITY NAME	Shandong Innovation Metal Technology Co., Ltd.
CERTIFICATION SCOPE	Manufacture of un-forged Aluminium alloy ingots and Aluminium alloy profiles at Shandong Innovation Metal Technology Co., Ltd., located in Shandong Province, China.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>Aluminium Re-melting/Refining</li><li>Casthouses</li><li>Semi-Fabrication</li></ul>
ASI STANDARD	<ul style="list-style-type: none"><li>Performance Standard V3.1</li></ul>
AUDIT TYPE	<ul style="list-style-type: none"><li>Initial Certification Audit</li></ul>
AUDIT FIRM	SGS-CSTC Standards Technical Services
AUDIT DATE	<ul style="list-style-type: none"><li>21 – 22 October 2025</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>19 November 2025</li></ul>
AUDIT SCOPE	<p>The Audit Scope includes the manufacture of un-forged Aluminium alloy ingots and Aluminium alloy profiles at Shandong Innovation Metal Technology Co., Ltd., located in Shandong Province, China.</p> <p>The Supply Chain Activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>Aluminium Re-melting/Refining</li><li>Casthouses</li><li>Semi-Fabrication</li></ul> <p>All relevant Criteria in the ASI Performance Standard were included in the Audit Scope.</p>
AUDIT OUTCOME	<ul style="list-style-type: none"><li>Certification</li></ul>
AUDIT METHODOLOGY DECLARATION	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"><li><input checked="" type="checkbox"/> The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this report.</li><li><input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.</li><li><input checked="" type="checkbox"/> The Audit Scope and audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope.</li></ul>

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☑ The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.

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CERTIFICATION PERIOD 12 January 2026 – 11 January 2029

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NEXT AUDIT TYPE Surveillance Audit

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NEXT AUDIT DATE 11 July 2027

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CERTIFICATE NUMBER 521

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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.

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## ENTITY OVERVIEW

Shandong Innovation Metal Technology Co., Ltd. (the 'Entity') is located in Middle Section of Yuehe 6th Road Economic and Technological Development Zone, Zouping City Binzhou, Shandong P.R. China. It was registered and established in 2007 and is a large modern comprehensive enterprise mainly engaged in the production and operation of high-end Aluminium alloy bars, plates, wires, profiles, structural components and other products. The products are widely used in transportation, automobiles, industrial products, electronics, power, construction, decoration and other fields. It is one of the largest production and research and development base of Aluminium alloy materials in China, among which the market share of Aluminium alloy bars has ranked first in the country for many consecutive years.

The Entity employs 255 people and Contractors and has an annual production of 350,000 tonnes of Aluminium alloy ingots. Key physical features of the site include the workshop's main equipment, which comprises casting wells, smelting furnaces, online degassing equipment, tubular filter boxes, homogenising furnaces, annealing furnaces and sawing equipment. The organisation has also constructed office buildings, canteens, car parks, dormitories, and sports and fitness facilities at the plant.

## 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
<b>SYSTEMS</b>	Medium	Medium	Low	MEDIUM
<b>RISKS</b>	Medium	Medium	Medium	MEDIUM
<b>PERFORMANCE</b>	Medium	Medium	Medium	MEDIUM
<b>OVERALL</b>	MEDIUM			

## FINDINGS

CRITERION	RATING	COMMENT
<b>1. BUSINESS INTEGRITY</b>		
1.1 Legal Compliance	Conformance	The Entity has established a list of Applicable Laws, regulations, and other requirements for environment, and occupational health and safety. The list is updated quarterly, and a compliance evaluation has been completed. It was confirmed via the Institute of Public & Environmental Affairs (IPE) website ( <a href="http://www.ipe.org.cn">www.ipe.org.cn</a> ) that there are no records of violations.
1.2 Anti-Corruption	Conformance	The Entity has established an anti-Bribery management system, and the Complaints Mechanism is available on the website, including the a 'whistleblowing' hotline and email contacts. Employees have been trained, and staff in all key sensitive positions have signed an integrity commitment. The anti-Bribery Policy has been communicated with Stakeholders. It was confirmed on the national credit information platform ( <a href="http://www.creditchina.gov.cn">www.creditchina.gov.cn</a> ) that there are no cases of Bribery related to the Entity.
1.3a-e Code of Conduct	Conformance	The Entity has implemented a Code of Conduct which includes principles relevant to environmental, social and governance performance, and signed by senior management. The Code of Conduct is available at: <a href="https://innovationmetal.com/d/file/p/2025/10-17/136a6e14a8f57ec55e455e08fa9a3ca3.pdf">https://innovationmetal.com/d/file/p/2025/10-17/136a6e14a8f57ec55e455e08fa9a3ca3.pdf</a>
<b>2. POLICY AND MANAGEMENT</b>		
2.1a-f Environmental, Social, and Governance Policy	Conformance	The Entity has established and implemented an Environmental, Social, and Governance (ESG) Policy. The General Manager has approved the Policy, which is reviewed every three years. The ESG Policy is posted on site and communicated to employees and external Stakeholders and is available at: <a href="https://innovationmetal.com/d/file/p/2025/10-17/5508baa9335951ef08457b4aa270f1c1.pdf">https://innovationmetal.com/d/file/p/2025/10-17/5508baa9335951ef08457b4aa270f1c1.pdf</a>
2.2a-c Leadership	Conformance	The Entity has nominated the Vice General Manager as the Management Representative, with the overall responsibility and authority for ensuring Conformance with the requirements of the ASI Performance Standard.
2.3a Environmental and Social Management Systems – Environmental	Conformance	The Facility has implemented an ISO 14001:2015 Environment Management System and obtained an ISO 14001 certificate. The certificate is valid, and an internal audit was performed. The Environment Management System is effectively implemented.
2.3b Environmental and Social Management Systems – Social	Conformance	The Facility has established and implemented a Social Responsibility Management System based on the SA8000 standard, and a social responsibility management manual and supporting procedures have been implemented. Employees are trained. Internal audits and management reviews are performed regularly.
2.4a-e Responsible Sourcing	Conformance	The Entity has established a Responsible Sourcing Policy which is signed off by the General Manager. Employees are trained on the Policy, and it is communicated to suppliers. The Due Diligence management procedure has been implemented to assess suppliers.

CRITERION	RATING	COMMENT
		The Responsible Sourcing Policy will be reviewed every three years and it is available at: <a href="https://innovationmetal.com/d/file/p/2025/10-17/14419d8f252e479f9432a0132ea6cfde.pdf">https://innovationmetal.com/d/file/p/2025/10-17/14419d8f252e479f9432a0132ea6cfde.pdf</a>
2.5a-g Environmental and Social Impact Assessments	Not Applicable	This Criterion is not applicable to the Entity, as there have been no New Projects or Major Changes to existing Facilities since the Entity joined ASI.
2.6a-h Human Rights Impact Assessment	Not Applicable	<p>This Criterion is not applicable to the Entity, as there are no New Projects or Major Changes to existing Facilities.</p> <p>However, the Entity completed an Environmental Impact Assessment for a construction project in 2021 prior to becoming an ASI Member. The associated Human Rights Assessment Report is available at: <a href="https://innovationmetal.com/d/file/p/2025/10-17/9e7ace23c56ece00f4650efcb13cc9ff.pdf">https://innovationmetal.com/d/file/p/2025/10-17/9e7ace23c56ece00f4650efcb13cc9ff.pdf</a></p>
2.7a-f Emergency Response Plan	Conformance	<p>The Entity has developed emergency plans for incidents involving environmental pollution and work safety, including special emergency plans and on-site disposal programs. Emergency drills have been conducted. The emergency plans are available at:</p> <p>Emergency Response Plan for Sudden Environmental Incidents: <a href="https://innovationmetal.com/d/file/p/2025/10-22/0a7195c84afee4b3ca62dceadc13ca0a.pdf">https://innovationmetal.com/d/file/p/2025/10-22/0a7195c84afee4b3ca62dceadc13ca0a.pdf</a></p> <p>Production Safety Accident Emergency Response Plan: <a href="https://innovationmetal.com/d/file/p/2025/10-17/8f807f31c754816fbc7690543033722e.pdf">https://innovationmetal.com/d/file/p/2025/10-17/8f807f31c754816fbc7690543033722e.pdf</a></p>
2.8a-d Suspended Operations	Conformance	The Entity has established and implemented a Suspended Operations Management Regulation and Business Resilience Plan. There are no changes to the Business or any indication of a control gap.
2.9a-b Mergers and Acquisitions	Conformance	The Entity has established mergers and acquisitions regulations to specify the procedure for the review of environmental, social, and governance issues in the Due Diligence process for mergers and acquisitions. There has been no mergers or acquisitions at the Entity.
2.10a-b Closure, Decommissioning and Divestment	Conformance	The Entity has established the procedure for reviewing environmental, social and governance issues in the planning process for closure, decommissioning and divestment. There has been no closure, decommissioning or divestments at the Entity.
<b>3. TRANSPARENCY</b>		
3.1a-b Sustainability Reporting	Conformance	The Entity has prepared and disclosed the 2024 Environmental, Social and Governance Report, which is in accordance with the Global Reporting Initiative (GRI) standards and UN Sustainable Development Goals (SDGs): <a href="https://innovationmetal.com/d/file/p/2025/10-17/0ba9afe75f0ef5e705a58c712c93eebd.pdf">https://innovationmetal.com/d/file/p/2025/10-17/0ba9afe75f0ef5e705a58c712c93eebd.pdf</a>
3.2 Non-compliance and Liabilities	Conformance	It was confirmed on the national credit information platform ( <a href="http://www.creditchina.gov.cn">www.creditchina.gov.cn</a> ) that there were no fines, judgments, penalties and non-economic sanctions in 2024. For details, refer to:

CRITERION	RATING	COMMENT
		<p>Corporate Credit Report: <a href="https://innovationmetal.com/d/file/p/2025/10-17/c6f553808bcbcdaf53c016aca0ad9c8f.pdf">https://innovationmetal.com/d/file/p/2025/10-17/c6f553808bcbcdaf53c016aca0ad9c8f.pdf</a></p> <p>Credit China Report: <a href="https://innovationmetal.com/d/file/p/2025/10-17/78cb658d7384f4c8c28f1eab83628d99.pdf">https://innovationmetal.com/d/file/p/2025/10-17/78cb658d7384f4c8c28f1eab83628d99.pdf</a></p>
3.3a-c Payments to Governments	Conformance	<p>The Entity has developed an Anti-Corruption Policy and procedures. Based on the Policy, the Entity is prohibited from making any payments to government officials other than for legal compliance. The Entity has provided an audit report on its 2024 financial statements, issued by an independent third party, which includes payments made to the government. All payments disclosed by the Entity are available at: <a href="https://innovationmetal.com/d/file/p/2025/10-17/8e1ac14f829880ca15647360ec295424.pdf">https://innovationmetal.com/d/file/p/2025/10-17/8e1ac14f829880ca15647360ec295424.pdf</a></p>
3.4a-f Stakeholder Complaints, Grievances and Requests for Information	Conformance	<p>The Entity has established procedures to specify a Complaints Mechanism for internal and external Stakeholders, including emails and phone numbers. Complaints may be received on issues such as the environment, safety, business ethics, and Human Rights.</p> <p>At present, no complaints from Stakeholders have been received. The complaint channels are disclosed at: <a href="https://innovationmetal.com/news/Publicity/284.html">https://innovationmetal.com/news/Publicity/284.html</a></p> <p>The Complaints Mechanism is reviewed every five years.</p>
4. MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment	Conformance	<p>The Entity has issued and implemented a Product Life Cycle Assessment (LCA) management procedure and has strictly implemented it through training. The Entity has also engaged a Third Party to conduct the LCA and prepare a Product LCA report, as well as to obtain the required data.</p> <p>The LCA Report is available at: <a href="https://innovationmetal.com/d/file/p/2025/10-17/36fad7fca7a570fde80d4e4e202e2b1d.pdf">https://innovationmetal.com/d/file/p/2025/10-17/36fad7fca7a570fde80d4e4e202e2b1d.pdf</a></p>
4.1b-c Environmental Life Cycle Assessment - Disclosure	Conformance	<p>The Entity's LCA covers a 'cradle-to-gate' approach and is publicly available at: <a href="https://innovationmetal.com/d/file/p/2025/10-17/36fad7fca7a570fde80d4e4e202e2b1d.pdf">https://innovationmetal.com/d/file/p/2025/10-17/36fad7fca7a570fde80d4e4e202e2b1d.pdf</a></p>
4.2 Product Design	Conformance	<p>The Entity has developed a new product development process control procedure and a new product trial management method, with ecological design as the strategy, ultimately adhering to the development concept of 'green, low-carbon, and circular', and setting sustainability goals for specific new products.</p>
4.3a-b Aluminium Process Scrap	Minor Non-Conformance	<p>The Entity has established a waste recycling management system and an Aluminium recycling strategic plan, which will be strictly implemented after training. The strategic plan includes the implementation path of strategic goals.</p> <p>The Aluminum Recycling Strategic Plan is disclosed publicly at: <a href="https://innovationmetal.com/d/file/p/2025/10-17/3c6135be0b9ab619bfe9f84a3663ca6b.pdf">https://innovationmetal.com/d/file/p/2025/10-17/3c6135be0b9ab619bfe9f84a3663ca6b.pdf</a></p>

CRITERION	RATING	COMMENT
		The Audit identified deficiencies in the Entity's Scrap management however, including only managing Level 1 wastes in a ledger and not including Levels 2 to 4 wastes.
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 established a waste recycling management system and an Aluminium recycling strategic plan. The recycling system includes downstream customers and social acquisition points. This includes signing recycling agreements with customers.</p> <p>The Recycling Strategy Publicity is available at:  <a href="https://innovationmetal.com/d/file/p/2025/10-17/3c6135be0b9ab619bfe9f84a3663ca6b.pdf">https://innovationmetal.com/d/file/p/2025/10-17/3c6135be0b9ab619bfe9f84a3663ca6b.pdf</a></p>
<b>5. GREENHOUSE GAS EMISSIONS</b>		
5.1a-b Disclosure of GHG Emissions and Energy Use	Conformance	<p>The Shandong Luyuan Energy Conservation Certification Technology Engineering Co., Ltd. was commissioned to conduct a verification of the Entity's Greenhouse Gas (GHG) emissions for the period 1 January 2023 to 31 December 2024. The GHG Verification Report is available at:  <a href="https://innovationmetal.com/d/file/p/2025/10-17/faca6a3d4b8d7bfb07ccde6e9ab041af.pdf">https://innovationmetal.com/d/file/p/2025/10-17/faca6a3d4b8d7bfb07ccde6e9ab041af.pdf</a></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 developed a GHG Emissions Reduction Plan with Intermediate Targets. The emissions reduction approach meets the scenario requirements of controlling global temperature rise to 1.5 degrees Celsius and is in alignment with the ASI methodology.
5.3b-e GHG Emissions Reduction Plans – Targets, review and disclosure	Conformance	<p>The Greenhouse Gas Emissions Reduction Plan including Reduction Pathways and progress toward emissions reductions, is available at:  <a href="https://innovationmetal.com/d/file/p/2025/10-17/ca218f578de698ee536e513f203f54df.pdf">https://innovationmetal.com/d/file/p/2025/10-17/ca218f578de698ee536e513f203f54df.pdf</a></p> <p>The Entity will annually review GHG Emissions Reduction Plans and conduct a review of its GHG Emissions Reduction Pathways when there is a change of their emissions reduction benchmarks or targets.</p>
5.4 GHG Emissions Management	Conformance	The Entity has established and implemented GHG management and control procedures, GHG record control procedures, and GHG data quality management procedures, which were developed and strictly implemented after training.



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		Annually, a Third Party is commissioned to calculate and verify carbon emissions, assess the implementation of plans and targets, and achieve emissions reduction performance.
6. EMISSIONS, EFFLUENTS AND WASTE		
6.1a-f Emissions to Air	Conformance	<p>The Entity has developed and implemented environmental monitoring and control procedures as well as waste gas management and control procedures. The Entity has obtained the required pollutant discharge permit, and it is strictly enforced.</p> <p>The Pollutant Emissions Report and Emissions Reduction Plan are reviewed annually and when the internal or external emissions limits are exceeded. Currently, there have been no cases of exceeding the standards. A review of the Plan occurs when there are changes in the Entity that result in a change in the main risk of atmospheric pollutant emissions. At present, there are no changes underway.</p> <p>The Pollutant Emissions Report and Reduction Plan Pollutant Emissions Report and Reduction Plan is available at:  <a href="https://innovationmetal.com/d/file/p/2025/10-17/363b2aae3c32f543e315e3cbbcd9adf9.pdf">https://innovationmetal.com/d/file/p/2025/10-17/363b2aae3c32f543e315e3cbbcd9adf9.pdf</a></p>
6.2a-g Discharges to Waters	Conformance	<p>The Entity does not discharge any production wastewater, and currently only domestic wastewater is generated.</p> <p>They have developed a sewage reduction plan, which is reviewed annually in the event of internal or external emissions limits being exceeded. There have been no cases of exceeding the standards. A review of the plan occurs when there are changes in the Entity that result in a change in the main risk of atmospheric pollutant emissions. At present, there are no changes underway. The Pollutant Emission Report and Reduction Plan Pollutant Emissions Report and Reduction Plan is available at: <a href="https://innovationmetal.com/d/file/p/2025/10-17/363b2aae3c32f543e315e3cbbcd9adf9.pdf">https://innovationmetal.com/d/file/p/2025/10-17/363b2aae3c32f543e315e3cbbcd9adf9.pdf</a></p>
6.3a-g Assessment and Management of Spills and Leakages	Conformance	<p>The Entity has assessed and documented the risks of Spills and Leakages and developed disposal measures.</p> <p>A Spill Prevention Management Plan has been developed, which includes a testing plan. The Plan is reviewed annually and after any Spill or Leakage incident or control deficiencies. In the event of any changes in the Entity that result in changes in the main risks, the Plan will be reviewed.</p> <p>At present, there have been no changes or control defects.</p> <p>The Spill Prevention Management Plan is available at:  <a href="https://innovationmetal.com/d/file/p/2025/10-17/ee7441db62554f44bcc5970e1353c2e3.pdf">https://innovationmetal.com/d/file/p/2025/10-17/ee7441db62554f44bcc5970e1353c2e3.pdf</a></p>
6.4a-b Public Disclosure of Spills and Leakages	Conformance	The Entity has established Spill and Leakage Management Procedure and emergency plan. The procedure and emergency plan defined that the Entity would notify Affected Populations and Organisations as soon as possible after a Spill or Leakage.
6.5a-c Waste Management and Reporting	Conformance	The Entity has signed a long-term agreement with the municipal government for the disposal of household waste. Hazardous Waste is processed through a solid waste treatment platform and is managed

CRITERION	RATING	COMMENT
		<p>via an external company, which is confirmed through the transfer receipts.</p> <p>Waste management plans have been developed to manage waste and is available at:</p> <p>Hazardous Waste Management Plan:  <a href="https://innovationmetal.com/d/file/p/2025/10-17/7921c4157e7f694e93ac12d66e9508d0.pdf">https://innovationmetal.com/d/file/p/2025/10-17/7921c4157e7f694e93ac12d66e9508d0.pdf</a></p> <p>Pollutant Emission Report and Reduction Plan:  <a href="https://innovationmetal.com/d/file/p/2025/10-17/363b2aae3c32f543e315e3cbbcd9adf9.pdf">https://innovationmetal.com/d/file/p/2025/10-17/363b2aae3c32f543e315e3cbbcd9adf9.pdf</a></p>
6.6a-g Bauxite Residue	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7a-f Spent Pot Lining (SPL)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.8a-d Dross	Conformance	<p>The Entity has established waste control and Aluminium residue recycling procedures, which are strictly implemented following training.</p> <p>Aluminium ash is first recycled through a rotary kiln, after which it is treated as Hazardous Waste by qualified units. The Entity has also established a dedicated Aluminium ash warehouse.</p> <p>After recycling, the rotary kiln is used again to recover Aluminium. After treatment, the Aluminium can be used as a building material. Aluminium residue is not sent to landfill.</p>
<b>7. WATER STEWARDSHIP</b>		
7.1a-b Water Assessment and Disclosure	Conformance	<p>The Entity has mapped its water capture according to source and type. All water is supplied by the municipal water supply system. The water resource risk assessment report prepared by the Entity indicates that the domestic water consumption is within limit, and the industrial water is reused after treatment.</p> <p>The Entity has prepared a Water Resource Risk Assessment Report, which determined the water use risk was low, disclosed at:  <a href="https://innovationmetal.com/d/file/p/2025/10-17/d113b3c5a9cb14ed2eca040806224b92.pdf">https://innovationmetal.com/d/file/p/2025/10-17/d113b3c5a9cb14ed2eca040806224b92.pdf</a></p>
7.2a-e Water Management	Not Applicable	This Criterion is not applicable to the Entity, as water-related risks were determined as low.
<b>8. BIODIVERSITY AND ECOSYSTEM SERVICES</b>		
8.1a Biodiversity and Ecosystem Services Risk and Impact Assessment	Conformance	The Entity is located in a dedicated industrial zone and is not within the ecological conservation red line. The Entity has developed a Biodiversity protection Policy and implemented a Biodiversity assessment, the assessment results of which indicate a low Biodiversity risk. The Biodiversity Assessment Report is available at:

CRITERION	RATING	COMMENT
		<a href="https://innovationmetal.com/d/file/p/2025/10-17/2409c23a00a780a45edf7dc4d29137d6.pdf">https://innovationmetal.com/d/file/p/2025/10-17/2409c23a00a780a45edf7dc4d29137d6.pdf</a>
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 to Biodiversity and Ecosystem Services have been determined to be low.
8.2a–g Biodiversity Management	Not Applicable	This Criterion is not applicable to the Entity, as the risks and potential impacts to Biodiversity and Ecosystem Services have been determined to be low.
8.3a–c Management of Priority Ecosystem Services	Not Applicable	This Criterion is not applicable to the Entity, as the risks and potential impacts to Biodiversity and Ecosystem Services have been determined to be low. No Priority Ecosystem Services are identified.
8.4 Alien Species	Conformance	The Entity has prepared an Alien Species Risk Assessment Report, which evaluates the possibility of accidental or intentional introduction of Alien Species, as well as the potential risks they may cause, and has developed risk mitigation measures. No Alien Species have been introduced.
8.5a–b Commitment to “No Go” in World Heritage Properties	Conformance	The Entity is located in a government-designated industrial zone and has made a commitment not to explore or build New Projects in World Heritage Properties. The Entity has a documented commitment to “No Go” in World Heritage Properties.
8.6a–d Protected Areas	Not Applicable	This Criterion is not applicable to the Entity, as it is not in proximity to any Protected Areas. It is located in an industrial zone and has made a commitment not to explore or build New Projects in Protected Areas.
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.
<b>9. HUMAN RIGHTS</b>		
9.1a–d Human Rights Due Diligence	Conformance	<p>The Entity has developed a Human Rights Policy Commitment Policy to promote gender equality with a commitment to comply with International Labour Organization (ILO) and United Nations (UN) conventions. The Policy is disclosed at: <a href="https://innovationmetal.com/d/file/p/2025/10-22/eb5818200827af1d230a81100ec1f3e9.pdf">https://innovationmetal.com/d/file/p/2025/10-22/eb5818200827af1d230a81100ec1f3e9.pdf</a></p> <p>The Entity has identified Affected Populations and Organizations. A Human Rights Due Diligence process is implemented and disclosed at: <a href="https://innovationmetal.com/d/file/p/2025/10-17/2bcb0e9c89c02c55b02f67d5f76e72f4.pdf">https://innovationmetal.com/d/file/p/2025/10-17/2bcb0e9c89c02c55b02f67d5f76e72f4.pdf</a></p> <p>The Entity has identified its actual and potential impacts on Human Rights. Based on the report, it is shown that the Entity respects Human Rights and observes the UN Guiding Principles on Business and Human Rights.</p>

CRITERION	RATING	COMMENT
9.2a-e Gender Equity and Women's Empowerment	Conformance	<p>The Entity has established a procedure to protect women's rights and gender equality. All female Workers have the right to take paid pregnancy leave, parental leave, and feeding leave. A feeding room is provided for female employees. Employees are trained on gender equity, and a grievance and Complaints Mechanism is in place.</p> <p>The Entity's gender equality and women's rights programme is reviewed annually and/or in the event of any changes or control deficiencies. The Entity publicly discloses the results of the measures taken to protect the rights and interests of women employees in the 2024 Sustainability Report, pages 37 and 51:  <a href="https://innovationmetal.com/d/file/p/2025/10-17/0ba9afe75f0ef5e705a58c712c93eebd.pdf">https://innovationmetal.com/d/file/p/2025/10-17/0ba9afe75f0ef5e705a58c712c93eebd.pdf</a></p>
9.3a-i Indigenous Peoples	Not Applicable	This Criterion is not applicable to the Entity, as no Indigenous Peoples are identified in the Entity's Areas of Influence.
9.4a Free, Prior, and Informed Consent (FPIC) - New Projects or Major Changes	Not Applicable	This Criterion is not applicable to the Entity, as no Indigenous Peoples were identified in the Entity's Areas of Influence, as confirmed through research and maps of the region.
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 no Indigenous Peoples were identified in the Entity's Areas of Influence.
9.5a Cultural and Sacred Heritage - Identification	Not Applicable	This Criterion is not applicable to the Entity, as no cultural and sacred heritage locations are present within the Entity's Area of Influence.
9.5b Cultural and Sacred Heritage - Impacts	Not Applicable	This Criterion is not applicable to the Entity, as no cultural and sacred heritage locations are present within the Entity's Area of Influence.
9.6a-i Displacement	Not Applicable	This Criterion is not applicable to the Entity, they do not have projects that require relocation or transfer. No resettlements have been necessary, as no residents are affected by the site.
9.7a-h Affected Populations and Organisations	Conformance	<p>The Entity has assessed the impacts resulting from its activities and on potentially Affected Peoples and Organisations, including internal employees, surrounding communities, and neighbourhood residents. There are no identified significant impacts.</p> <p>In addition, the Entity has developed a Community Engagement Plan to identify, prevent, monitor, mitigate and account for any significant impacts. The plan is available at:  <a href="https://innovationmetal.com/d/file/p/2025/10-22/eb749e20fe25602b991f69c00c8155cb.pdf">https://innovationmetal.com/d/file/p/2025/10-22/eb749e20fe25602b991f69c00c8155cb.pdf</a></p> <p>The Community Engagement Plan is updated annually, and there is follow-up on the implementation.</p>

CRITERION	RATING	COMMENT
9.8a Conflict-Affected and High-Risk Areas – Strong Management Systems	Conformance	The Entity has demonstrated that it has implemented a Management System to avoid involvement in armed conflicts or Human Rights violations through Policies and procedures that aim at best integrity practices. The Entity has exercised risk-based Due Diligence over the Aluminium supply chain.
9.8b Conflict-Affected and High-Risk Areas – Identify and assess risks	Conformance	The Entity has exercised risk-based Due Diligence over its Aluminium supply chain, the results indicate there is no Aluminium sourced from Conflict-Affected and High-Risk Areas (CAHRAs).
9.8c Conflict-Affected and High-Risk Areas – Strategy to respond to risks	Conformance	Through the Entity's internal assessment, no materials have been sourced from CAHRAs. However, a strategy has been established to respond to any risks that may be identified in the future.
9.8d Conflict-Affected and High-Risk Areas – Audit of due diligence	Conformance	The Entity has conducted Due Diligence monitoring on its Aluminium supply chain. This ASI Audit provides an independent Third Party audit of the Entity's Due Diligence practices which meets the requirements of this Criterion.
9.8e Conflict-Affected and High-Risk Areas – Report annually	Minor Non-Conformance	<p>The Entity conducts annual supplier Due Diligence and has prepared a Responsible Mineral Supply Chain Management Report.</p> <p>The Responsible Mineral Supply Chain Management Report is disclosed at <a href="https://innovationmetal.com/d/file/p/2025/10-22/2a58abba92144f7638197ae078b6e32a.pdf">https://innovationmetal.com/d/file/p/2025/10-22/2a58abba92144f7638197ae078b6e32a.pdf</a></p> <p>Reporting on supply chain Due Diligence however is not in accordance with the requirements of the OECD guidance.</p>
9.9 Security practice	Conformance	The Entity has implemented security practices to respect Human Rights. This procedure requires security providers to respect Human Rights. All security guards have been trained in Human Rights requirements. No security-related Human Rights violations occurred.
<b>10. LABOUR RIGHTS</b>		
10.1a-c Freedom of Association and Right to Collective Bargaining	Not Applicable	This Criterion is not applicable to the Entity, as it complies with Applicable Law in China regarding Freedom of Association and the right to Collective Bargaining.
10.1d Freedom of Association and Right to Collective Bargaining – Alternative means in context of Applicable Law	Conformance	<p>The Entity has developed the Management System according to the Innovation Metal Union, the Innovation Metal Union Member (Representative) Assembly system, and the Innovation Metal Union Committee work system. They have also developed control procedures for Union formation and election management and has organised and implemented these systems.</p> <p>Representatives are elected by members. There are no other association organisations except for the Union, and employees have the right to join or leave it.</p> <p>Employees interviews confirmed that the decision to join the Committee is made entirely by the Workers. The right to Collective Bargaining is respected within the Entity.</p>

CRITERION	RATING	COMMENT
10.2a Child Labour	Conformance	<p>The Entity has established a Policy prohibiting the use of Child Labour, and there are no child or underage Workers within the unit. The minimum age for Workers is 18 years.</p> <p>China prohibits Child Labour and underage workers (aged 16 to 18) are specially protected by law. They are not permitted to work in hazardous conditions. There is no Child Labourers or underage Workers within the Entity</p>
10.3a-c Forced Labour	Conformance	<p>The Entity explicitly prohibits Forced Labour. The Entity has not directly, or through any employment or recruitment agency, participated in or supported Human Trafficking.</p> <p>Worker interviews and document reviews confirmed that all Workers have signed labour contracts, and there is no illegal deduction of wages, Debt Bondage, debt repayment, or any other form of Forced Labour in the Entity.</p> <p>The Entity's Modern Slavery Statement is available at:  <a href="https://innovationmetal.com/d/file/p/2025/10-17/54ed790deaabcf3422a9b5b4c66018d9.pdf">https://innovationmetal.com/d/file/p/2025/10-17/54ed790deaabcf3422a9b5b4c66018d9.pdf</a></p>
10.4a-c Non-Discrimination	Conformance	<p>The Entity has established employment management procedures that include anti-Discrimination provisions to ensure equal opportunities and prohibit Discrimination or support Discrimination in accordance with International Labour Organization conventions C100 and C111. The Entity is committed to non-Discrimination, and no Discrimination cases have been received.</p> <p>Workers are aware of anti-Discrimination requirements during their employment, and the Entity promotes a culture of anti-Discrimination through training, publicity, internal communication, and other means.</p> <p>A review of documentation confirmed that employees in equivalent positions receive equal pay.</p>
10.5 Communication and engagement	Conformance	<p>The Entity has established communication and participation management procedures, as well as information exchange control procedures, to ensure open communication and direct contact with Workers and their representatives regarding the resolution of work conditions, workplace, and compensation issues, without the threat of retaliation, intimidation, or Harassment.</p>
10.6a-g Violence and Harassment	Conformance	<p>The Entity has developed a social responsibility commitment letter and established a Complaints Resolution Mechanism in case of Violence and Harassment. The Entity respects employees, disciplinary actions comply with legal provisions, and adhere to their Human Rights Policy, prohibiting Violence and inhumane treatment of employees.</p> <p>Worker interviews confirmed there is no violent or harassing behaviour at the Entity.</p> <p>Anti-Violence and Anti-Harassment Policy:  <a href="https://innovationmetal.com/d/file/p/2025/10-17/ec95a8b8d834f62a791df249bc3fbddb.pdf">https://innovationmetal.com/d/file/p/2025/10-17/ec95a8b8d834f62a791df249bc3fbddb.pdf</a></p>
10.7a-c Remuneration	Conformance	<p>The salary structure of the Entity is clear, and the monthly comprehensive salary standard provided by the Entity meets the local minimum wage requirements. The Entity has purchased five social insurances and one housing fund for all employees. The total salary</p>

CRITERION	RATING	COMMENT
		<p>meets the basic needs of Workers, and all Workers are part of the mandatory social insurance plan.</p> <p>The Entity has established a salary management control program that processes monthly payment of wages in legal currency with complete records.</p>
10.8a-c Working Time	Conformance	The Entity has clearly defined the working hours requirements for employees. The workshop implements a three-shift system with one day off per week. According to employee interviews and a review of employee attendance records, management personnel work six days a week, and have one day off, and do not work continuously for seven days. Currently, based on a six-month period, the Entity does not have a situation of exceeding eight hours.
10.9a-b Informing Workers of Rights	Conformance	The Entity has developed Policies such as employee manuals, employment management procedures, and Human Rights guidelines, and has informed employees of their Freedom of Association and Collective Bargaining rights through training, regular meetings, and other means.
<b>11. OCCUPATIONAL HEALTH AND SAFETY</b>		
11.1a Occupational Health and Safety (OH&S) Management System	Conformance	The Entity has obtained ISO 45001:2018 certification for the Occupational Health and Safety (OH&S) Management System, which is reviewed at least annually, and examined when any changes in the Entity lead to substantial changes in OH&S risks, or when deficiencies are detected.
11.1b-e Occupational Health and Safety (OH&S) Management System - Reviews and disclosure	Conformance	<p>An external audit and an internal audit of the OH&amp;S Management System are conducted annually, and the analysis of the OH&amp;S Management System is available at:</p> <p><a href="https://innovationmetal.com/d/file/p/2025/10-17/65a3fba6476c2ffc509ff04ea399235f.pdf">https://innovationmetal.com/d/file/p/2025/10-17/65a3fba6476c2ffc509ff04ea399235f.pdf</a></p>
11.2 Employee engagement on Health and Safety	Conformance	The Entity has established a safety committee with representatives, including frontline employees, who participate in hazard identification and accident handling.

#### ASI LIMITATION OF LIABILITY DISCLAIMER

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DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	12 January 2026	Initial Certification Audit – Full Certification