

ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

YUNNAN ALUMINIUM CO., LTD.

CERTIFICATE NUMBER

260

ASI STANDARD

PERFORMANCE
STANDARD
(V3.1 2023)

CERTIFICATION LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITING FIRM

DNV BUSINESS
ASSURANCE
SERVICES UK LTD.

DATE OF ISSUE

10 JUNE 2026

DATE OF EXPIRY

18 MAY 2029

CERTIFIED SINCE

19 MAY 2023

AUTHORISED BY

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

Aluminium Stewardship Initiative Ltd
ACN 606 661 125, Australia
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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

Yunnan Aluminium Co., Ltd. is located in Kunming, Yunnan Province (China). The seven entities included are distributed across six prefectures of Yunnan.

Yunnan Wenshan Aluminium Co., Ltd., located in the Wenshan Zhuang and Miao Autonomous Prefecture, is mainly engaged in Bauxite Mining, Aluminium smelters and Aluminium foundries.

Yangzonghai Aluminium Electrolysis Branch of Yunnan Aluminium Industry Co., Ltd. mainly operates Aluminium smelters and Aluminium foundries.

Yunnan Yunlv Runxin Aluminium Co., Ltd., located in the Honghe Prefecture, mainly operates Aluminium smelters and Aluminium foundries.

Yunnan Yunlv Zexin Aluminium Co., Ltd., located in Qujing City, mainly operates Aluminium smelters and Aluminium foundries.

Qujing Yunlv Yuxin Aluminium Co., Ltd., located in Qujing City, mainly operates Aluminium smelters and Aluminium foundries.

Yunnan Yunlv Haixin Aluminium Co., Ltd., located in Zhaotong City, mainly operates Aluminium smelters and Aluminium foundries.

Heqing Yixin Aluminium Co., Ltd., located in Dali Bai Autonomous Prefecture, mainly operates Aluminium smelters and Aluminium foundries.

AUDIT REPORT PERFORMANCE STANDARD

OVERVIEW

MEMBER NAME	YUNNAN ALUMINIUM CO., LTD.
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ENTITY NAME	YUNNAN ALUMINIUM CO., LTD.
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CERTIFICATION SCOPE	Yunnan Aluminium Co., Ltd. is located in Kunming, Yunnan Province (China). The seven entities included are distributed across six prefectures of Yunnan: Yunnan Wenshan Aluminium Co., Ltd., located in the Wenshan Zhuang and Miao Autonomous Prefecture, is mainly engaged in Bauxite Mining, Alumina Refining, Aluminium smelters and Aluminium foundries. Yangzonghai Aluminium Electrolysis Branch of Yunnan Aluminium Industry Co., Ltd. mainly operates Aluminium smelters and Aluminium foundries. Yunnan Yunlv Runxin Aluminium Co., Ltd., located in the Honghe Prefecture, mainly operates Aluminium smelters and Aluminium foundries. Yunnan Yunlv Zexin Aluminium Co., Ltd., located in Qujing City, mainly operates Aluminium smelters and Aluminium foundries. Qujing Yunlv Yuxin Aluminium Co., Ltd., located in Qujing City, mainly operates Aluminium smelters and Aluminium foundries. Yunnan Yunlv Haixin Aluminium Co., Ltd., located in Zhaotong City, mainly operates Aluminium smelters and Aluminium foundries. Heqing Yixin Aluminium Co., Ltd., located in Dali Bai Autonomous Prefecture, mainly operates Aluminium smelters and Aluminium foundries.
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SUPPLY CHAIN ACTIVITIES	• Bauxite Mining • Alumina Refining • Aluminium Smelting • Aluminium Re-melting/Refining • Casthouses • Semi-Fabrication
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ASI STANDARD	Performance Standard V3.1
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AUDIT TYPE	• Initial Certification Audit (9 – 28 October 2022) • Surveillance Audit (17 – 25 March 2025) • Re-Certification Audit (16 – 27 March 2026)
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AUDIT FIRM	DNV Business Assurance Services UK Ltd.
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AUDIT DATE	• 9 – 28 October 2022 (Initial Certification Audit) • 17 – 25 March 2025 (Surveillance Audit) • 16 – 27 March 2026 (Re-Certification Audit)
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AUDIT REPORT SUBMISSION	• 16 January 2023 (Initial Certification Audit) • 2 July 2025 (Surveillance Audit) • 27 April 2026 (Re-Certification Audit)
AUDIT SCOPE	<u>Initial Certification Audit (9 – 28 October 2022)</u> The Audit Scope covers the headquarters of Yunnan Aluminium Co., Ltd. and the seven entities of Yunnan Wenshan Aluminium Co., Ltd., Yunnan Aluminium Co., Ltd. – Yangzonghai Aluminium Electrolysis Branch, Yunnan Yunlv Runxin Aluminium Co., Ltd., Yunnan Yunlv Zexin Aluminium Co., Ltd., Qujing Yunlv Yuxin Aluminium Co., Ltd., Yunnan Yunlv Haixin Aluminium Co., Ltd. and Heqing Yixin Aluminium Co., Ltd.. The supply chain activities included in the Audit Scope: • Bauxite Mining • Alumina Refining • Aluminium Smelting • Aluminium Re-melting/Refining • Casthouses • Semi-Fabrication All relevant Criteria in the ASI Performance Standard were included in the Audit Scope. <u>Surveillance Audit (17 – 25 March 2025)</u> The Audit Scope covered the following sites using the ASI multi-site sampling approach, the headquarters of Yunnan Aluminium Co., Ltd. and four entities, Yangzonghai Aluminium Electrolysis Branch, Yunnan Aluminium Co., Ltd., Yunnan Wenshan Aluminium Co., Ltd., and Yunnan Yunlv Runxin Aluminium Co., Ltd. The supply chain activities included in the Audit Scope: • Bauxite Mining • Alumina Refining • Aluminium Smelting • Aluminium Re-melting/Refining • Casthouses • Semi-Fabrication Criteria that were identified as non-conformities from the previous Audit were included in the Audit Scope. <u>Re-Certification Audit (16 – 27 March 2026)</u> The Audit Scope covered the headquarters of Yunnan Aluminium Co., Ltd. and five entities, including Heqing Yixin Aluminum Co., Ltd.; Qujing Yunlv Yuxin Aluminum Co., Ltd.; Yangzonghai Aluminium Electrolysis Branch, Yunnan Aluminum Co., Ltd., Yunnan Wenshan Aluminium Co., Ltd.; Yunnan Yunlv Haixin Aluminum Co.,Ltd. The Entity uses the ASI multi-site sampling approach and the site Yunnan Yunlv Runxin Aluminum Co., Ltd. and Yunnan Yunlv Zexin Aluminum Co.,Ltd. were not included in the Audit Scope. The supply chain activities included in the Audit Scope: • Bauxite Mining • Alumina Refining • Aluminium Smelting • Aluminium Re-melting/Refining • Casthouses • Semi-Fabrication All relevant Criteria in the ASI Performance Standard were included in the Audit Scope.
AUDIT OUTCOME	Certification

AUDIT METHODOLOGY
DECLARATION

The Auditors confirm that:

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

CERTIFICATION PERIOD

19 May 2026 – 18 May 2029

NEXT AUDIT TYPE

Surveillance Audit

NEXT AUDIT DATE

18 November 2027

CERTIFICATE NUMBER

260



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 Aluminium Co., Ltd (the 'Entity') was founded in 1970 and listed in 1998 (Stock Code: 000807). In December 2018, Yunnan Aluminium Co., Ltd officially became a member of Aluminium Corporation of China (Chinalco), which is a State-owned group. All sites in the Certification Scope are in Yunnan Province, China.

Over the recent years, the Entity has been committed to the Policy of green and low-carbon development. It followed the philosophy of building a low-carbon, clean and sustainable integrated Aluminium industry for the whole industrial chain.

The Entity is a major supplier of hydropower Aluminium in the domestic market, a major manufacturer of ultra-thin Aluminium foil in China and a national industry standard maker of casting Aluminium alloy ingot. Its high-grade, customised and standardised Aluminium ingots and Aluminium materials are widely used in the defence and military industry, aerospace, rail transportation, electronics industry and other fields, of which, A356 casting Aluminium alloy has maintained its leading position in the domestic market. The following provides an overview of the supply chain activities and Products of each Facility within the Certification Scope:

Yunnan Wenshan Aluminium Co., Ltd. is located in Gaodeng Road, North District of Wenshan City, Wenshan Zhuang and Miao Autonomous Prefecture. It has established a complete Aluminium industry chain across 'Bauxite – Alumina – electrolytic Aluminium'. The primary source of Bauxite is the Waishantou Bauxite Mine, located in Liujing Township, Wenshan City. It has an annual production capacity of approximately 1.4 million tonnes of Alumina, 500,000 tonnes of electrolytic Aluminium, and 150,000 tonnes of Aluminium alloy materials. The main products include metallurgical-grade Alumina, electrolytic Aluminium, and Aluminium alloy products, including aluminium alloy rods and cast ingots (such as A356 Aluminium alloy).

Yangzonghai Aluminium Electrolysis Branch of Yunnan Aluminium Industry Co., Ltd. is located at the headquarters location in Qidian Street, Chenggong District Kunming City. It mainly operates Aluminium smelters and Aluminium foundries for the production of liquid Aluminium, cast Aluminium alloy ingots and electrician round Aluminium rod, Aluminium and Aluminium alloy welding materials.

Yunnan Yunlv Runxin Aluminium Co., Ltd. is located in Datun Town, Gejiu City, Honghe Prefecture. It mainly operates Aluminium smelters and Aluminium foundries for the production of liquid Aluminium, casting Aluminium alloy ingots and deformed Aluminium alloy ingots.

Yunnan Yunlv Zexin Aluminium Co., Ltd. is located in Situn community, Shengjing street, Fuyuan County, Qujing City. It mainly operates Aluminium smelters and Aluminium foundries for the production of liquid Aluminium, remelting Aluminium ingots, casting Aluminium alloy ingots and deformed Aluminium alloy ingots.

Qujing Yunlv Yuxin Aluminium Co., Ltd. is located in Baishui Town, Zhanyi District, Qujing City. It mainly operates Aluminium smelters and Aluminium foundries for the production of liquid Aluminium and Aluminium ingots for remelting.

Yunnan Yunlv Haixin Aluminium Co., Ltd. is located in the mining and metallurgical processing base of Zhaoyang Industrial Park, Zhaotong City. It mainly operates Aluminium smelters and Aluminium foundries for the production of liquid Aluminium, Aluminium ingots for remelting, cast Aluminium alloy ingots and deformed Aluminium alloy ingots.

Heqing Yixin Aluminium Co., Ltd. is located in Qiping village, Qiping village committee, Xiyi Town, Heqing County, Dali Bai Autonomous Prefecture. It mainly operates Aluminium smelters and Aluminium foundries for the production of liquid Aluminium, Aluminium ingots for remelting and cast Aluminium alloy ingot.

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

FINDINGS

CRITERION	RATING	COMMENT
1. BUSINESS INTEGRITY		
1.1 Legal Compliance	Minor Non-Conformance	The Entity has implemented Policies, systems, and procedures to ensure full Compliance with legal requirements, regulations, and customer obligations. The Legal Compliance Department oversees compliance across the Entity and conducts annual reviews to ensure ongoing adherence. All Applicable Laws and regulations have been identified, and no significant Compliance-related issues have been reported. The Entity's compliance evaluation process is at risk of regulatory violation however, as some sites do not adequately distinguish 'business outsourcing' from 'labour dispatch arrangements'.
1.2 Anti-Corruption	Conformance	The Entity has established and implemented Policies and procedures to identify and prevent Corruption, including the Guidelines for Anti-Corruption Risk Prevention and Control. In alignment with Applicable Law and prevailing standards, the Entity is committed to combating all forms of Corruption, such as extortion and Bribery. According to the Improper Conduct Register and regular internal control audit reports, no cases of Corruption have been reported over the past three years.
1.3a-e Code of Conduct	Conformance	The Entity has established an ASI Policy and corporate Code of Conduct at Group level, incorporating principles relevant to environmental, social, and governance (ESG) performance. Senior management annually reviews the appropriateness, completeness, and effectiveness of these policies during management review meetings. The Entity commits to review these policies whenever significant changes in ESG risks or control deficiencies occur. The Code of Conduct is available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202604/P020260421587271153061.pdf
2. POLICY AND MANAGEMENT		
2.1a-f Environmental, Social, and Governance Policy	Conformance	The Entity has established a senior management-approved ASI Policy that is aligned with the ASI Performance Standard, serving as a framework for guiding ESG practices and ensuring operational compliance. The Policy is communicated internally to employees and publicly disclosed at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202604/P020260421587271175999.pdf The Entity conducts annual reviews to ensure the relevance and effectiveness of the Policy and to revise in response to significant business changes or identified control deficiencies.
2.2a-c Leadership	Conformance	The Entity has appointed the Senior Vice President as the ASI Management Representative for the Group and has assigned responsibilities at the subsidiary level to departmental managers or deputy vice general managers. A cross-departmental ASI working group at both headquarters and the subsidiaries ensures consistent implementation of the ASI Standards across the organization. The ASI Policies and procedures are systematically communicated to

CRITERION	RATING	COMMENT
		employees through targeted training programs, promoting organization-wide awareness and understanding.
2.3a Environmental and Social Management Systems – Environmental	Conformance	The Entity's headquarters and all subsidiaries have implemented and documented an Environmental Management System and hold valid ISO 14001:2015 certificates.
2.3b Environmental and Social Management Systems – Social	Conformance	The Entity has developed a comprehensive Social Management System integrating corporate governance, administrative management, and Labour Rights management to align operations with ethical, legal, and social standards. It has identified and assessed risks in key areas, including governance, Labour Rights, community engagement, and Occupational Health and Safety, and implemented targeted measures to prevent or mitigate adverse impacts, ensuring sustainable and socially responsible business practices.
2.4a-e Responsible Sourcing	Minor Non-Conformance	The Entity has implemented Policies, systems, and procedures aligned with responsible sourcing requirements, and assesses supply chain risks through supplier social responsibility audits, commitment letters, and questionnaires. Annual training is provided for procurement personnel. The Responsible Sourcing Policy, part of the Supply Chain Code of Conduct, is publicly disclosed at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202604/P020260421587271164083.pdf The Policy is reviewed annually, with re-evaluations triggered by significant business changes or control deficiencies. It was identified during the Audit however, that there is insufficient assessment of mining subcontractors and overly long audit cycles for certain suppliers.
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 of Major Changes at its Facilities since the last Audit. However, the Entity has implemented social and environmental Management Systems that include annual reviews of environmental, community, and health and safety risks and impacts, and associated control plans. Since 2017, the Entity has performed social Impact Assessments for New Projects or significant changes, as required by local regulations. Information on Group's Environmental and Social Impact Assessments is disclosed in the ESG Report, under the 'Materiality Analysis', 'Environmental Protection', and 'Community Management' sections.
2.6a-h Human Rights Impact Assessment	Not Applicable	This Criterion is not currently applicable to the Entity, as there have been no New Projects of Major Changes at its Facilities since the last Audit. The Entity has established documented procedures to identify and assess risks related to Human Rights and business ethics during the initiation of New Projects or Major Changes, with control measures aligned with ASI Performance Standards and legal requirements. Information on the Group's Human Rights management, including gender equality and performance metrics, is publicly disclosed in the annual ESG Report under the 'Sustainability Performance' and 'Community Relations' sections.
2.7a-f Emergency Response Plan	Conformance	The Entity has established a Business Continuity and Resumption Plan and Emergency Response Plans to address risks such as fire, earthquakes, hazardous chemical leaks, extreme weather, labour

CRITERION	RATING	COMMENT
		shortages, and key equipment breakdowns, production safety and environmental accidents. These Plans are developed collaboratively with potentially affected Stakeholder groups, including Local Communities, government agencies, and Workers and their representatives. Employees receive regular training on emergency procedures, and drills are conducted for scenarios such as fires, chemical leaks, and evacuations. Any issues identified during these exercises or desk reviews are promptly rectified, and Plans are revised as needed. The Entity also commits to re-evaluating its Emergency Response Plans whenever internal changes alter the scope of potential risks. The summary of latest version of the Emergency Response Plans is publicly disclosed at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202604/P020260421587271185479.pdf
2.8a-d Suspended Operations	Conformance	The Entity has established a Business Continuity and Resumption Plan to manage situations requiring the suspension or significant alteration of operations due to factors beyond its control. The Entity is committed to complying with Applicable Law and company policies on layoffs, while also consulting employee organizations where necessary. The Plan is subject to regular review and in the event of Material ESG risks arising from business changes or indications of control gaps. No suspension activities have occurred over the past three years.
2.9a-b Mergers and Acquisitions	Conformance	The Entity has developed management procedures for mergers and acquisitions, including equity investment and property management, in accordance with the requirements of the ASI Performance Standard. Senior management are committed to conducting Due Diligence for any future mergers and acquisitions, ensuring a review of ESG-related practices, including those related to Historic Aluminium Operations. No such activities have taken place in the past three years.
2.10a-b Closure, Decommissioning and Divestment	Conformance	The Entity has established a management procedure for closure, decommissioning and divestment in conformance with the requirements of the ASI Performance Standard. No such activities have occurred in the past three years.
3. TRANSPARENCY		
3.1a-b Sustainability Reporting	Conformance	The Entity complies with regulatory requirements and internationally recognised standards, such as the Global Reporting Initiative (GRI), by regularly publishing its annual Environment, Social and Governance (ESG) Report. This Report transparently outlines the Entity's ESG practices, including ESG risk management mechanisms, Material topic identification processes, Stakeholder concerns, and management approaches with performance metrics. The ESG Report is available at: https://www.cninfo.com.cn/new/disclosure/detail?orgId=gssz0000807&announcementId=1225043170&announcementTime=2026-03-28
3.2 Non-compliance and Liabilities	Conformance	The Entity has implemented comprehensive procedures for risk assessment, legal compliance, and information disclosure, and regularly publishes its annual financial and sustainability reports. The 2025 Financial Report and the 2025 ESG Report, 'Compliance

CRITERION	RATING	COMMENT
		Management' section (page 21) disclose that the Entity incurred no significant fines, penalties, rulings, or non-monetary sanctions for legal violations in 2025: https://www.cninfo.com.cn/new/disclosure/detail?orgId=gssz0000807&announcementId=1225043170&announcementTime=2026-03-28
3.3a-c Payments to Governments	Conformance	The Entity has not made, nor authorized on its behalf, any payments to Governments except on a legal and/or contractual basis. As required by law, the Entity's annual accounting report is publicly disclosed on the official market information disclosure platform, CNINFO, available at: https://www.cninfo.com.cn/new/disclosure/detail?orgId=gssz0000807&announcementId=1225043142&announcementTime=2026-03-28
3.4a-f Stakeholder Complaints, Grievances and Requests for Information	Conformance	The Entity has established and effectively implemented a complaint and appeal mechanism to address Stakeholder concerns in an open, transparent, fair, and impartial manner. Stakeholders can raise concerns through multiple channels, and the mechanism is reviewed annually during the ASI management review meeting. The Entity commits to re-evaluating the mechanism in response to significant business changes affecting ESG risks or indications of control gaps. The Stakeholder Communication Mechanism provides a detailed description of how Stakeholder concerns, including grievances, are managed and covers the full process from receipt, handling, to provision of feedback, available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202604/P020260421587272190068.pdf
4. MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment	Conformance	The Entity has conducted environmental Life Cycle Assessments (LCA) for its main Products, including cast Aluminium alloy ingots, remelt Aluminium ingots, and electrical Aluminium round bars. Supported by its ISO 14001:2015-certified Environmental Management System, these assessments evaluate environmental impacts and risks across the product lifecycle. Using industry-recognized LCA software and databases, the assessments are conducted in accordance with ISO 14040 and ISO 14044 standards.
4.1b-c Environmental Life Cycle Assessment - Disclosure	Conformance	The Entity has carried out 'cradle-to-gate' LCAs for its main Products and has prepared LCA reports in accordance with the principles outlined in ISO 14040 and ISO 14044. These reports include essential details such as key assumptions, system boundaries, assessment results, and sensitivity analyses. The Entity is committed to providing these LCA reports to customers upon request, in compliance with relevant contractual terms, and sharing lifecycle assessment information about its Aluminium Products through Stakeholder engagement. Based on interviews and document reviews, no such requests have been received to date.
4.2 Product Design	Conformance	From the initial design phase, the Entity has integrated environmental considerations across the entire lifecycle of its Products and aligned its practices with sustainable development goals. These include reducing greenhouse gas emissions intensity per unit of product, increasing the proportion of recycled Aluminium in products, optimizing mineral resource utilization, and minimizing waste

CRITERION	RATING	COMMENT
		emissions. These principles are embedded in both product design and production process design to enhance Circular Economy outcomes. The Entity has disclosed its contributions and performance in advancing the Circular Economy in product design, process design, and mining development through its publicly available annual ESG Report.
4.3a-b Aluminium Process Scrap	Conformance	The Entity has established a target of 100% for the collection, recycling, and/or reuse of Aluminium Process Scrap and has established management procedures, including the 'Aluminium Process Scrap Quality Control' and 'Recycled Material Category and Reusing Guide', to ensure the achievement of this goal. To further support this target, the Entity has implemented various technical and management measures to minimise the generation of Aluminium Process Scrap within its operations. By recycling and utilising Aluminium Dross residue, the Entity achieves zero landfill, zero transfer, and 100% recycling of Process Waste.
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	The Entity has implemented a strategy to significantly increase the use of Post-Consumer Aluminium, targeting an annual consumption of 160,000 tonnes by 2040. To support this goal, the Entity has certified over 10 recycled Aluminium suppliers, who provide the majority of its recyclable Aluminium. In collaboration with industry associations and peers, the Entity actively drives technological advancements, promotes Aluminium recycling and reuse, increases public awareness, and advocates for a Circular Economy in the Aluminium industry. The progress and initiatives are transparently reported in the annual ESG Report, 'Green Products' section.
5. GREENHOUSE GAS EMISSIONS		
5.1a-b Disclosure of GHG Emissions and Energy Use	Minor Non-Conformance	The local authority has classified the Entity as a 'major energy-consuming and greenhouse gas-emitting unit'. As such, the Greenhouse Gas (GHG) emissions for all sites are calculated by the Entity, and it engages a Third Party to verify GHG emissions inventory reports and issue verification certificates for all sites. The energy data, GHG emissions inventory reports and the relevant verification certificates are publicly disclosed at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202604/t20260421_167669.html However, in the GHG emission calculation report, the consumption data and the relevant emission factors of some emission sources are not disclosed.
5.2a Aluminium Smelter GHG Emissions Intensity - Started production after 2020	Not Applicable	This Criterion is not applicable to the Entity, as all Aluminium Smelting Facilities commenced production before 2020.

CRITERION	RATING	COMMENT
5.2b Aluminium Smelter GHG Emissions Intensity – In production up to and including 2020	Conformance	The Entity and its Facilities are located in Yunnan Province, where hydropower is the main component of purchased electricity, which is the major GHG emissions source. The GHG emissions intensities of all sites, as included in the associated carbon footprint reports, are below 11.0 t CO ₂ e/t Al.
5.3a GHG Emissions Reduction Plans	Conformance	The Entity has established GHG emissions reduction targets consistent with the commitment to ‘green’ and ‘low-carbon’ development, and consistent with a 1.5°C warming scenario. All sites have established a GHG Emissions Reduction Plan and Pathway using the ASI Entity GHG Pathway Calculation Tool, with a 2023 baseline year
5.3b-e GHG Emissions Reduction Plans – Targets, review and disclosure	Conformance	The Entity has established a GHG Emissions Reduction Plan and Pathway using the ASI Entity GHG Pathway Calculation Tool, with a 2023 baseline year. All sites have defined their GHG emissions reduction targets, and the associated approaches based on the ASI Entity GHG Pathways Calculation Tool. Each Facility has publicly disclosed a site level GHG Emissions Reduction Plan and Pathway, are available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202604/t20260421_167669.html The GHG emissions reduction targets for all sites were achieved in 2024. The Entity has established mechanisms to review the GHG Emissions Reduction Plan annually and review the Pathway as required.
5.4 GHG Emissions Management	Conformance	To implement the various GHG Emissions Reduction Plans, the Entity has established, implemented, maintained, and continually improved its Energy Management System in accordance with ISO 50001:2018 and Carbon Asset Management System to achieve its GHG emissions reduction targets. Specific projects are established, implemented and monitored.
6. EMISSIONS, EFFLUENTS AND WASTE		
6.1a-f Emissions to Air	Conformance	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 in compliance with ISO 14001:2025 and applicable legal requirements. The control plans are reviewed regularly, and in the case of any major changes or non-conformance. The Entity has publicly disclosed its environmental performance, pollutant discharge information, periodical monitoring results and the operational status of the environmental protection facilities, and the air emissions control plan on the relevant government agency websites and on the Entity’s website, available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202604/P020260421587272128982.pdf
6.2a-g Discharges to Water	Conformance	In accordance with the approved Environmental Impact Assessment (EIA) Report and Pollutant Discharge Permit, all wastewater generated from the various production processes, including at the Refinery, is 100% recycled, and there are no discharges to external drainage/water systems. The Entity collects, treats and recycles wastewater. The quarterly monitoring results indicate that the water quality meets the required recycling water standards.

CRITERION	RATING	COMMENT
		There is no wastewater generated at the Mine site as ore-washing is prohibited. Wastewater collection facilities are built to collect seepage during operation to avoid potential pollution. Based on the monitoring results of surrounding soils, surface water and underground water at each site, no elevated pollutant levels were identified in 2025 and 2026.
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. A management plan has been established and implemented for all sites including the Bauxite Residue lagoon. The Entity reviews the plans periodically and, if needed, after a Spill/Leakage event or any major changes in the Business. The latest version of the management plan is disclosed at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202604/P020260421587271624924.pdf
6.4a-b Public Disclosure of Spills and Leakages	Conformance	The Entity has established a process to report Spills and Leakages, which is defined in the Emergency Response Plans and includes reporting to Affected Populations and Organisations. No Spills or Leakages have occurred since operations commenced at each site. The Entity is a publicly listed company and, in accordance with legal requirements, must publicly disclose key performance indicators every six months, including environmental performance. The latest information on Spills and Leakages is reported in the 2025 ESG Report, page 54, available at: https://www.cninfo.com.cn/new/disclosure/detail?orgId=gssz0000807&announcementId=1225043170&announcementTime=2026-03-28
6.5a-c Waste Management and Reporting	Conformance	Waste management is addressed under the Environmental Management System. The Entity has implemented a Waste management strategy in accordance with the Waste Mitigation Hierarchy. The Entity has mitigated potential Material impacts by reusing and recycling waste. The disposal of Hazardous Waste complies with applicable legal requirements. The quantity of Hazardous and Non-Hazardous Wastes generated by the Entity from its activities in 2025 is disclosed in the following documents: https://ylgf.chinalco.com.cn/xwzx/ywgg/202604/P020260421587271646334.pdf https://ylgf.chinalco.com.cn/xwzx/ywgg/202604/P020260421587272129365.pdf
6.6a-g Bauxite Residue	Conformance	The Entity uses new technologies, dry stacking, composite membranes and composite clay impermeable layers to prevent the release of Bauxite Residue and leachate into the environment at the Alumina Refinery site. The Entity co-operates with other companies to maximise the reuse of Bauxite Residues. An online monitoring system and CCTV system are installed to cover the reservoir areas, the safety staffs patrol the area regularly and geological investigations are conducted by a qualified Third Party. The Entity periodically monitors the quality of the underground water in the reservoir areas.

CRITERION	RATING	COMMENT
		Closure of the Alumina Refining Facility is not planned for in the immediate future and upgrading works at the residue storage facility have been completed to increase its capacity.
6.7a-f Spent Pot Lining (SPL)	Conformance	In accordance with applicable legal requirements on Hazardous Waste, the 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 environments. The Entity has a comprehensive SPL treatment facility at one site. The SPL is neutralised and recovered alongside the carbon and refractory materials. The management process has been established and implemented, and no negative findings have been raised by external audits or the authorities.
6.8a-d Dross	Conformance	Dross generated at all sites is managed in compliance with applicable legal requirements, and no Leakage has been observed and/or reported. The Entity has its own Dross treatment facility at one site to maximise 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		
7.1a-b Water Assessment and Disclosure	Conformance	The Entity has identified and documented water withdrawal and use by source and type in the Environmental Impact Assessment (EIA). The Entity has assessed the water-related risks, which include the surrounding water environment, water withdrawal and discharge, and the effectiveness of the existing management measures. The risks associated with the mining tailing pond and Bauxite Residue reservoir is medium, and low for other sites. The Water Resources Risk Assessment Report including its water withdrawal and use by source and type in 2025 is available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202604/P020260421587272134602.pdf
7.2a-e Water Management	Conformance	For the tailing pond at the mining site and the Bauxite Residue reservoir, the Entity establishes and implements the control measures in accordance with applicable legal requirements, including anti-leakage, water recycling, real-time monitoring, periodically safety inspections, and monitoring of underground water. The Entity's Water Resources Management Plan is publicly disclosed at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202604/P020260421587271770400.pdf
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 Environmental Impact Assessment (EIA) Report, which are conducted by qualified Third Parties and 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.

CRITERION	RATING	COMMENT
		The Alumina Refinery and Smelter sites are located in industrial zones planned by local governments. The Entity's Mine sites are located in areas having previously been used for cultivation and no threatened species are identified within the Area of Influence. The mining scale is not considered significant, with areas of topsoil stripping confined to the permitted area and rehabilitation is commenced immediately. As such, the risk level is considered low. The Biodiversity Risk Assessment Reports for each site are publicly disclosed at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202604/t20260421_167669.html
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 that related to the operational 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 Member's Area of Influence.
8.6a-d Protected Areas	Conformance	The Entity has established its committed to protecting the environment in its management manual. There are no Protected Areas in the Entity's Area of Influence.
8.6e Protected Areas - Bauxite Mining	Conformance	The Entity has established its committed to protecting the environment in its management manual. There are no Protected Areas in the Entity's Area of Influence.
8.7a-i Mine Rehabilitation	Conformance	The Entity has engaged a qualified Third Party to compile Mine Rehabilitation and closure plans for the mining sites, which were developed in consultation with affected communities and relevant government agencies. In accordance with local legal requirements, the Entity has established a funding facility under the surveillance of the local government agency with an agreed amount to fund the the rehabilitation and closure of its mine sites. As per site observations and Audit interviews, the mine Rehabilitation and closure plans have been implemented. Data on the rehabilitation status to date is available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202604/P02026042158721770237.pdf

9. HUMAN RIGHTS

CRITERION	RATING	COMMENT
9.1a-d Human Rights Due Diligence	Conformance	The Entity has established frameworks to address Human Rights Due Diligence practices, including: Code of Conduct: https://ylgf.chinalco.com.cn/xwzx/ywgg/202604/P020260421587271153061.pdf ASI Management Policy: https://ylgf.chinalco.com.cn/xwzx/ywgg/202604/P020260421587271175999.pdf The Entity is committed to respecting Human Rights, promoting gender equality, and aligning with the United Nations Guiding Principles on Business and Human Rights, It has implemented risk management procedures that include Human Rights Due Diligence, environmental Impact Assessments and social stability evaluations, and has Stakeholder participation mechanisms. Through annual ASI management review meetings, the Entity evaluates the implementation and effectiveness of its policies and procedures, reassessing them in response to changes in business operations, significant Human Rights risks, or indications of control deficiencies. The Entity has disclosed its Human Rights Risk Assessment Report, available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202604/P020260421587271797243.pdf Based on the Impact Assessments, management reviews, and grievance records, the Entity's operations have not caused or contributed to significant negative Human Rights impacts; however, it commits to providing or facilitating remedies through legitimate procedures if any such impacts are identified.
9.2a-e Gender Equity and Women's Empowerment	Conformance	The Entity has implemented a comprehensive management procedure to protect female employees and actively promote gender equity and women's empowerment across the organization. It publicly discloses details of its gender equity policies and performance in the ESG Report (pages 119-121) and a dedicated report, available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202604/P020260421587271779191.pdf The Entity formally reviews its gender equity initiatives at least once every two years and commits to reassessing its management procedures in response to significant changes in gender equity risks or identification of control deficiencies. Over the past three years, no complaints related to gender equity have been reported.
9.3a-i Indigenous Peoples	Not Applicable	This Criterion is not applicable to the Entity, as 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.
9.4a Free, Prior, and Informed Consent (FPIC) - New Projects or Major Changes	Not Applicable	This Criterion is not applicable to the Entity, as there are no Indigenous Peoples within the Entity's Area of Influence.
9.4b Free, Prior, and Informed Consent (FPIC) - Bauxite Mining	Not Applicable	This Criterion is not applicable to the Entity, as there are no Indigenous Peoples within its Area of Influence. Furthermore, no new Alumina or electrolytic Aluminium projects have been developed since 2018, and the latest Bauxite Mining project, WST Mining, commenced before 2021.

CRITERION	RATING	COMMENT
		Nevertheless, the Entity has established and implemented Stakeholder engagement processes to effectively manage communication with Local Communities, ensuring their major concerns regarding the impact of New Projects or existing operations are addressed.
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 or their lands in the Entity's Area of Influence, and Free Prior and Informed Consent (FPIC) is not required.
9.5a Cultural and Sacred Heritage – Identification	Conformance	The Entity has implemented processes to locate cultural and sacred heritage sites, evaluate potential risks, and mitigate impacts. Comprehensive Environmental Impact Assessments (EIA) and social stability evaluations have been conducted for all projects. Through consultations with Stakeholders, it has been verified that no sacred or cultural heritage sites are present within the Entity's Areas 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, their lands, or sacred or cultural heritage sites within the Entity's Area of Influence. Nonetheless, the Entity has established a procedure to identify cultural and sacred heritage sites and to conduct risk assessments aimed at minimizing potential impacts. The Entity remains committed to taking appropriate measures to prevent significant impacts on cultural, historical, or spiritual heritage if such sites are identified in the future.
9.6a-i Displacement	Not Applicable	This Criterion is not applicable to the Entity, as its sites are located on land classified as industrial sites developed by the local government, with no residential areas nearby. Since joining ASI in 2022, the Entity has not undertaken any New Projects, with the latest mine development project, the Wenshan WST Mine, completed before 2021. As a result, no physical or economic resettlements have occurred, nor will they be relevant to the Entity's operations.
9.7a-h Affected Populations and Organisations	Conformance	The Entity has implemented a Stakeholder engagement process to identify and address the major concerns of Affected Populations and Organisations. It has developed responsive plans, which are reviewed annually to assess progress and implement improvements. Performance information related to these plans and actions is disclosed in the Entity's ESG Report, pages 113–1118: https://www.cninfo.com.cn/new/disclosure/detail?orgId=gssz0000807&announcementId=1225043170&announcementTime=2026-03-28 The Entity further commits to reviewing and adjusting its 'Community Support' programs in response to significant changes in environmental, social, or governance priorities, or upon identification of control deficiencies.
9.8a Conflict-Affected and High-Risk Areas – Strong management systems	Conformance	The Entity has established and implemented a Management System, including a supply chain policy, defined responsibilities, allocated resources, information gathering processes, and supplier engagement mechanisms, to avoid involvement in armed conflict or Human Rights abuses. The Entity's ASI Policy, which includes the Purchasing Policy and details of the grievance channels, is disclosed in the Supply Chain Code of Conduct and the annual ESG Report.

CRITERION	RATING	COMMENT
9.8b Conflict-Affected and High-Risk Areas – Identify and assess risks	Minor Non-Conformance	The Entity has implemented a conflict-free minerals Procurement Policy and conducts supply chain Due Diligence to assess risks, including sourcing minerals from Conflict-Affected and High-Risk Areas (CAHRAs). Through these efforts and supplier feedback, it has been confirmed that the primary materials in the Entity's supply chain, Bauxite and Alumina, do not originate from CAHRA regions and that there are no critical Human Rights issues such as Child Labour or Forced Labour within the supply chain. However, the Entity has not conducted further verification regarding the Bauxite sources of certain Alumina suppliers.
9.8c Conflict-Affected and High-Risk Areas – Strategy to respond to risks	Not Applicable	This Criterion is not applicable to the Entity, as 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.
9.8d Conflict-Affected and High-Risk Areas – Audit of due diligence	Conformance	The Entity's Due Diligence practices were included in this ASI Audit, which meets the requirement of this Criterion. Additionally, the Entity regularly reviews the implementation of its Suppliers Code of Conduct and evaluates the effectiveness of its Due Diligence processes, taking prompt corrective actions to address any non-compliance identified during these reviews.
9.8e Conflict-Affected and High-Risk Areas – Report annually	Conformance	The Entity annual reports on its supply chain Due Diligence activities and has traced the material sources of all its metal suppliers and verified that none of the raw materials come from CAHRAs. The Entity's Conflict-Free Minerals Due Diligence Fact Sheet is accessible at the following link: https://ylgf.chinalco.com.cn/xwzx/ywgg/202604/P020260421587272191310.pdf
9.9 Security practice	Conformance	All security guards are employed by the Entity and are direct employees, and the Entity is committed to respecting Human Rights in all security activities. This includes prohibiting body searches and requiring security personnel to perform their duties in humane ways. All security guards are trained to understand their responsibilities and the importance of respecting Human Rights. To date, no grievances or complaints related to the Entity's security activities have been reported.
10. LABOUR RIGHTS		
10.1a-c Freedom of Association and Right to Collective Bargaining	Not Applicable	This Criterion is not applicable to the Member, as it complies with Applicable Law in China regarding Freedom of Association and Collective Bargaining. The Entity has established a Policy to respect Freedom of Association and has implemented an employee representative committee, with employee representatives freely elected by the employees.
10.1d Freedom of Association and Right to Collective Bargaining – Alternative means in context of Applicable Law	Conformance	The Entity's senior management is strongly committed to upholding employees' rights to Freedom of Association and Collective Bargaining in accordance with international labour standards. Worker representatives are democratically elected by employees every three years. Annual Worker Representative Congress meetings provide a formal platform for Workers to voice concerns and engage in constructive dialogue with senior management. Collective Bargaining

CRITERION	RATING	COMMENT
		Agreements are carefully negotiated, signed, and approved by senior management.
10.2a-c Child Labour	Conformance	Child Labour is prohibited in China, where the legal minimum working age is 16 years. The Entity has developed and enforced a Policy prohibiting the use of Child Labour, along with a procedure for protecting young Workers. There are no instances of Child Labour or young Workers within the Entity.
10.3a-c Forced Labour	Conformance	The Entity has established a prohibition of Forced Labor, including Human Trafficking, and has committed itself—as well as its suppliers—to comply with this policy. No cases of illegal wage deduction, debt bondage, paying off debts, or other forms of Forced Labour have been identified or reported within the Entity. The Entity's Anti-Slavery and Anti-Human Trafficking Statement is available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202604/P020260421587271788776.pdf Together the Anti-Slavery and Anti-Human Trafficking Statement and the ESG Report, 'Protecting Employee Rights' section (page 89-101) provide a detailed explanation of specific actions the Entity has taken to address modern slavery.
10.4a-c Non-Discrimination	Conformance	The Entity is committed to non-Discrimination. No case of Discrimination has been received. The recruitment advertisements and the training plan indicate that decisions are solely based on the candidate's ability to perform the job's requirements rather than other personal characteristics. Workers interviewed during the Audit confirmed that the Entity does not discriminate.
10.5 Communication and engagement	Conformance	Direct and frequent communication with Workers and the Worker representatives is established. The communication channels are announced to Workers, and Workers can raise their concerns regarding working conditions, the resolution of workplace and compensation issues, without threat of reprisal, intimidation or Harassment.
10.6a-g Violence and Harassment	Conformance	The Entity has established policies explicitly prohibiting Harassment and bullying in the workplace. To support this commitment, an informational brochure has been created and distributed to all employees. The Entity's Code of Ethics addresses this issue comprehensively and includes regular employee training to ensure awareness and compliance. The Code of Ethics is available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202604/P020260421587271153061.pdf
10.7a-c Remuneration	Conformance	The Entity maintains transparency in its wage structure and ensures that employees' monthly income, including base wages, allowances, and performance bonuses, exceeds the local statutory minimum wage standards. Overtime compensation strictly adheres to legal requirements, and mandatory allowances are provided to meet Workers' basic needs. All employees are enrolled in the legally required social insurance programs. Wages are promptly paid via bank transfer on the 25th of the following month, with detailed breakdowns of wages, allowances,

CRITERION	RATING	COMMENT
		Overtime payments, and deductions accessible through the Entity's internal system.
10.8a-c Working Time	Conformance	The Entity ensures accurate recording and monitoring of working hours to maintain legal compliance and prioritize employee well-being. Office staff work eight hours per day, five days a week, while production Workers operate under a '4 group, 3 shift' system. This system includes eight-hour shifts, with six consecutive working days followed by two rest days, and shift rotation every two days to promote balanced workloads. Overtime hours are carefully monitored to remain within the legally permitted monthly limits, and all employees are guaranteed at least one rest day within every seven-day period, demonstrating the Entity's commitment to providing fair and lawful working conditions.
10.9a-b Informing Workers of Rights	Conformance	The Entity informs its Workers of their rights, as protected in this principle and has established cooperation and communication with the Workers at all its production plants. National laws and regulations in China are respected and complied with.
11. OCCUPATIONAL HEALTH AND SAFE		
11.1a Occupational Health and Safety (OH&S) Management System	Conformance	The Entity has established, implemented, maintained and continually improved the Occupational Health and Safety (OH&S) Management System. All sites hold valid ISO 45001:2018 certification. Site observations, document review and management and Worker interviews undertaken during the Audit confirmed that the OH&S Management System is effective.
11.1b-e Occupational Health and Safety (OH&S) Management System - Reviews and disclosure	Conformance	The Entity regularly reviews the OH&S Management System via monthly safety meetings, annual legal compliance evaluations, annual internal audits against ISO 45001:2018, and management review meetings. When any indication of a control gap is identified, a review is conducted to assess if potential corrective and/or preventive actions should be implemented. The achievement of OH&S objectives and targets in 2025 and the comparative analyses of performance with peer businesses and leading practice are disclosed in the OH&S Performance Report, available at: https://ylgf.chinalco.com.cn/xwzx/ywgg/202604/P020260421587271754828.pdf
11.2 Employee engagement on Health and Safety	Conformance	The Entity has implemented a system of Workers' consultation and participation in OH&S under its Management Systems' framework and in accordance with applicable legal requirements. The Workers are encouraged to report any concerns or recommendations on OH&S issues either by themselves or via their Worker representative and in turn, management responds accordingly.

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DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	19 May 2023	Initial Certification Audit – Full Certification
1	31 August 2025	Surveillance Audit
2	10 June 2026	Re-Certification Audit – Full Certification Certification Scope for Yunnan Wenshan Aluminium Co., Ltd updated to clarify the inclusion of the Alumina Refinery.