
ASI CERTIFICATION
PERFORMANCE
STANDARD



PRESENTED TO

SHANGHAI UNISON ALUMINIUM PRODUCTS CO., LTD.

CERTIFICATE
NUMBER

277

ASI
STANDARD

PERFORMANCE
STANDARD
(V2 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITOR

SGS-CSTC
STANDARDS
TECHNICAL
SERVICES

DATE OF ISSUE

5 MAY 2023

DATE OF EXPIRY

4 MAY 2026

CERTIFIED SINCE

5 MAY 2023

AUTHORISED BY

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

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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

Manufacture of Aluminium parts (car body, chassis,
and battery tray) at the facility in Qingpu District,
Shanghai (China).

SUMMARY AUDIT REPORT

PERFORMANCE STANDARD

OVERVIEW

MEMBER NAME	Shanghai Unison Aluminium Products Co., Ltd.
ENTITY NAME	Shanghai Unison Aluminium Products Co., Ltd.
CERTIFICATION SCOPE	Manufacture of Aluminium parts (car body, chassis, and battery tray) at the facility in Qingpu District, Shanghai (China).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">Material Conversion (Production and Transformation)
ASI STANDARD	<ul style="list-style-type: none">Performance Standard V2
AUDIT TYPE	<ul style="list-style-type: none">Initial Certification Audit
AUDIT FIRM	SGS-CSTC Standards Technical Services
AUDIT DATE	<ul style="list-style-type: none">12 – 13 December 2022
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">20 March 2023
AUDIT SCOPE	<p>The audit scope includes the manufacture of aluminium parts (car body, chassis, and battery tray) at the facility in Qingpu District, Shanghai (China).</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">Material Conversion (Production and Transformation) <p>All relevant criteria in the ASI Performance Standard were included in the audit scope.</p>
AUDIT OUTCOME	<ul style="list-style-type: none">Certification
AUDIT METHODOLOGY DECLARATION	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"><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.<input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.<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.

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

CERTIFICATION PERIOD 5 May 2023 – 4 May 2026

NEXT AUDIT TYPE Surveillance Audit

NEXT AUDIT DUE DATE 4 November 2024

CERTIFICATE NUMBER 277

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
PRINCIPLE 1 BUSINESS INTEGRITY		
1.1 Legal Compliance	Conformance	<p>The Entity has established a procedure to identify Applicable Law and regulations regarding environment, health and safety and a list has been established. The Entity undertakes a compliance evaluation annually.</p> <p>There are no records of fines or complaints on the official government website: https://www.shgp.gov.cn</p>
1.2 Anti-Corruption	Conformance	<p>The Entity has established a procedure to implement anti-corruption and has identified high-risk areas. The Entity has established different actions to monitor anti-corruption, including signed anti-corruption agreements with suppliers and providing internal training.</p> <p>The Entity's Anti-Corruption Policy is available at: http://www.unisonal.com/uploadfile/2022/1130/20221130103445680.pdf</p>
1.3 Code of Conduct	Conformance	<p>The Entity has published a Code of Conduct that includes principles relevant to environmental, social and governance performance: http://www.unisonal.com/uploadfile/2022/1222/20221222105618832.pdf</p>
PRINCIPLE 2 POLICY & MANAGEMENT		
2.1a Environmental, Social, and Governance Policy (implement and maintain)	Conformance	<p>The Entity has established Policies to address environmental, social, and governance practices, which has been signed by senior management, is on display within the plant and available online: http://www.unisonal.com/uploadfile/2022/1222/20221222105618832.pdf</p>
2.1b Environmental, Social, and Governance Policy (senior management)	Conformance	<p>Policies are reviewed annually during the management review meeting. The ASI Policy has been incorporated into training within the Entity and communicated with Suppliers.</p>
2.1c Environmental, Social, and Governance Policy (communication)	Conformance	<p>The Entity has communicated the Policies internally on the bulletin board in the plant and is made available externally: http://www.unisonal.com/uploadfile/2022/1222/20221222105618832.pdf</p>
2.2 Leadership	Conformance	<p>The Entity has appointed the Quality Director as the ASI Management Representative. The management responsibilities and authority of the role are defined.</p>

CRITERION	RATING	COMMENT
		The appointment letter was communicated to employees through email and notice.
2.3a Environmental and Social Management Systems (environmental)	Conformance	The Entity has documented and implemented an integrated Environmental Management System, which is certified to ISO14001:2015: http://www.unisonal.com/uploadfile/2022/1222/20221222105844325.pdf
2.3b Environmental and Social Management Systems (social)	Conformance	The Entity has documented and implemented an integrated Management System. The Entity has obtained certification against IATF 16949, ISO 14001 and ISO 45001. The Entity has documented and implemented social responsibility management systems.
2.4 Responsible Sourcing	Minor Non-Conformance	The Entity has implemented a Responsible Sourcing Policy covering environmental, social and governance issues: http://www.unisonal.com/uploadfile/2022/1222/20221222105618832.pdf The Policy has been communicated with suppliers. An ASI Due Diligence Sheet has been established and implemented. However, Due Diligence for one contractor has not yet been performed.
2.5 Impact Assessments	Conformance	The Entity has a procedure to conduct environmental, social, cultural and Human Rights Impact Assessments, including a gender analysis, for New Projects or Major Changes to existing facilities. At present, there are no planned new projects or major changes. Environmental, social, cultural and Human Rights Impact Assessments were conducted when the Entity was established.
2.6 Emergency Response Plan	Minor Non-Conformance	The Entity has site specific emergency response plans developed in collaboration with potentially affected stakeholders' groups. Emergency response drills are performed; however, the Entity did not follow up the findings raised during fire drills.
2.7 Mergers and Acquisitions	Conformance	The Entity has established a procedure for mergers and acquisitions that addresses the requirement for Due Diligence. Since the Entity's establishment, there have no mergers or acquisitions.
2.8 Closure, Decommissioning and Divestment	Conformance	The Entity has established a procedure for closure, decommissioning and divestment that addresses the review of environmental, social and governance issues during the planning process. Should the Entity

CRITERION	RATING	COMMENT
		undergo closure, decommissioning or divestment, it would be publicly announced via the China Securities Journal.
PRINCIPLE 3 TRANSPARENCY		
3.1 Sustainability Reporting	Minor Non-Conformance	<p>The Entity has publicly disclosed the 2021 Sustainability Development Report: http://www.unisonal.com/uploadfile/2022/1213/20221213031439229.pdf</p> <p>However, the Sustainable Development Report is incomplete and some information such as non-compliance and liabilities, payments to governments, Greenhouse Gas emissions, reporting of Spills, Human Rights Due Diligence has not been disclosed.</p>
3.2 Non-compliance and liabilities	Conformance	<p>The Entity has implemented a procedure to address information disclosure. To date there has not been any significant fines, judgments, penalties and non-monetary sanctions for failure to comply with Applicable Law.</p> <p>The Entity presented a compliance statement issued by the Qingpu Environment Bureau in 2022. The information of non-compliance and liabilities is available at: http://eid.csrc.gov.cn/mnt/storage/stock/pre_ipo/pre_ipo2021/11/29/1638177930055%E4%B8%8A%E6%B5%B7%E5%8F%8B%E5%8D%87%E9%93%9D%E4%B8%9A%E8%82%A1%E4%BB%BD%E6%9C%89%E9%99%90%E5%85%AC%E5%8F%B8%E9%A6%96%E6%AC%A1%E5%85%AC%E5%BC%80%E5%8F%91%E8%A1%8C%E8%82%A1%E7%A5%A8%E5%B9%B6%E4%B8%8A%E5%B8%82%E6%8B%9B%E8%82%A1%E8%AF%B4%E6%98%8E%E4%B9%A6%E7%BC%88%E7%94%B3%E6%8A%A5%E7%A8%BF2021%E5%B9%B411%E6%9C%8822%E6%97%A5%E6%8A%A5%E9%80%81%E7%BC%89.pdf</p>
3.3a Payments to governments (legal and contractual)	Conformance	<p>The Entity only has made on its behalf, payments to governments on a legal and/or contractual basis. Payments to the government mainly consist of taxes and public charges, including water and electricity consumption fees. For details, refer to: http://eid.csrc.gov.cn/mnt/storage/stock/pre_ipo/pre_ipo2021/11/29/1638177930055%E4%B8%8A%E6%B5%B7%E5%8F%8B%E5%8D%87%E9%93%9D%E4%B8%9A%E8%82%A1%E4%BB%BD%E6%9C%89%E9%99%90%E5%85%AC%E5%8F%B8%E9%A6%96%E6%AC%A1%E5%85%AC%E5%BC%80%E5%8F%91%E8%A1%8C%E8%82%A1%E7%A5%A8%E5%B9%B6%E4%B8%8A%E5%B8%82%E6%8B%9B%E8%82%A1%E8%AF%B4%E6%98%8E%E4%B9%A6%E7%BC%88%E7%94%B3%E6%8A%A5%E7%A8%BF2021%E5%B9%B411%E6%9C%8822%E6%97%A5%E6%8A%A5%E9%80%81%E7%BC%89.pdf</p>

CRITERION	RATING	COMMENT
		8%82%A1%E8%AF%B4%E6%98%8E%E4%B9%A6%EF%BC%88%E7%94%B3%E6%8A%A5%E7%A8%BF2021%E5%B9%B411%E6%9C%8822%E6%97%A5%E6%8A%A5%E9%80%81%EF%BC%89.pdf
3.3b Payments to governments (disclosure - bauxite mining)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.4 Stakeholder complaints, grievances and requests for information	Conformance	The community communication procedure has been established and implemented. The Entity has an accessible Complaints Resolution Mechanism in place and complaints can be made via the contact details on the website: http://www.unisonal.com/index.php?m=content&c=index&a=lists&catid=30 To date, the Entity has not received any complaints.
PRINCIPLE 4 MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment (life cycle impacts)	Conformance	The Entity has a Life Cycle Assessment (LCA) for its Aluminium products conversion, prepared in February 2022.
4.1b Environmental Life Cycle Assessment (cradle to gate)	Conformance	The Entity has not received any customer requests for its LCA to date, however the report is available on the website.
4.1c Environmental Life Cycle Assessment (public communication)	Conformance	The Entity has disclosed the LCA report, available at: http://www.unisonal.com/uploadfile/2022/1222/2022122105804672.pdf
4.2 Product design	Conformance	The Entity has established and implemented a procedure that addresses the product yield rate and carbon reduction targets are established to reduce the environmental life cycle impacts of the end product.
4.3a Aluminium Process Scrap (targets)	Conformance	The Entity has established and implemented a production scrap management procedure, which requires the daily collection, weighing and storing in dedicated facilities all Aluminium Process Scrap. Aluminium scrap collection records are maintained.
4.3b Aluminium Process Scrap (alloy separation)	Conformance	The Entity separates Aluminium alloys and grades for recycling.
4.4a Collection and recycling of products at end-of-life (strategy)	Conformance	The Entity has established a plan for collecting and recycling Products at End of Life with targets and timelines. The Entity cooperates with Shanghai Aluminum Association to collect and recycle products at End of Life.
4.4b Collection and recycling of	Conformance	The Entity has established an Aluminium scrap

CRITERION	RATING	COMMENT
products at end-of-life (engagement)		management procedure. The Entity communicates with its main customers to discuss how to improve the recycling rate of products at End of Life. A plan on the collection and recycling of products at end of life has been established to increase the recycling rate.
PRINCIPLE 5 GREENHOUSE GAS EMISSIONS		
5.1 Disclosure of GHG emissions and energy use	Conformance	The Entity has accounted for and publicly disclosed material Greenhouse Gas (GHG) emissions and energy use by source on an annual basis.
5.2 GHG emissions reductions	Minor Non-Conformance	The Entity has published time-bound GHG emissions reduction targets. However, the Entity has not implemented a plan to achieve these targets.
5.3a Aluminium Smelting (management system)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.3b Aluminium Smelting (up to and including 2020)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.3c Aluminium Smelting (after 2020)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
PRINCIPLE 6 EMISSIONS, EFFLUENTS AND WASTE		
6.1 Emissions to Air	Conformance	The Entity has quantified and reported Emissions to Air that have adverse effects on the environment and has implemented plans to minimize these adverse impacts. Emissions to Air are tested annually via a licensed agency. The procedure for treatment of emissions to air has been established: http://www.unisonal.com/uploadfile/2022/1130/20221130103213336.pdf
6.2 Discharges to Water	Conformance	The Entity has quantified and reported Discharges to Water that have adverse effects on humans or the environment, and implemented plans to minimise these adverse impacts. The Entity has made available its wastewater treatment procedure: http://www.unisonal.com/uploadfile/2022/1130/20221130103325150.pdf
6.3a Assessment and Management of Spills and Leakage (assessment)	Conformance	The Entity has conducted an assessment of major risk areas of operations where Spills and Leakage may contaminate air, water and/or soil: http://www.unisonal.com/uploadfile/2022/1130/20221130103628805.pdf
6.3b Assessment and Management of Spills and Leakage	Conformance	The Entity has established an emergency response plan that addresses the management of Spills and

CRITERION	RATING	COMMENT
(management)		Leakage. To date, there have been no Spills or Leakage.
6.4a Reporting of Spills (immediate disclosure)	Conformance	The emergency response plan for environmental events defines the process to report Spills to affected parties including the Local Community, neighbours and local government.
6.4b Reporting of Spills (regular reporting)	Conformance	All information on Spills is made available on the website, as outlined in the assessment report: http://www.unisonal.com/uploadfile/2022/1130/20221130103628805.pdf . There have been no significant spills reported to date.
6.5a Waste management and reporting (strategy)	Conformance	A solid waste management procedure that defines the waste management strategy has been established and implemented. Wastes are classified, stored and disposed of using the Waste Mitigation Hierarchy. Different waste bins are available to collect recyclable waste, non-recyclable waste and Hazardous Waste. For Hazardous Waste, the Entity has implemented a hazardous waste treatment plan as per legal requirements, available at: http://www.unisonal.com/uploadfile/2022/1212/20221212042028835.pdf For Non-Hazardous Waste, detailed information on waste treatment is registered in the solid waste information management system: http://www.unisonal.com/uploadfile/2022/1212/20221212041950135.pdf
6.5b Waste management and reporting (disclosure)	Conformance	The annual quantity of Hazardous and Non-Hazardous Waste generated by the Entity and the disposal methods are reported on the website in the section on solid waste information: http://www.unisonal.com/uploadfile/2022/1212/20221212041950135.pdf
6.6a Bauxite Residue (storage construction)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6b Bauxite Residue (integrity checks and controls)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6c Bauxite Residue (water discharge)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6d Bauxite Residue (marine and aquatic environments)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6e Bauxite Residue (state of the art technologies)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
6.6f Bauxite Residue (remediation)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7a Spent Pot Lining (SPL) (storage and management)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7b Spent Pot Lining (SPL) (recovery and recycling)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7c Spent Pot Lining (SPL) (Untreated SPL)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7d Spent Pot Lining (SPL) (review of alternatives)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7e Spent Pot Lining (SPL) (marine and aquatic environments)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.8a Dross (recovery)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.8b Dross (recycling)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.8c Dross (review of alternatives)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
PRINCIPLE 7 WATER STEWARDSHIP		
7.1a Water assessment (mapping)	Conformance	The Entity has identified its water withdrawal and source, which is the municipal water supply. This information is available at: http://www.unisonal.com/uploadfile/2022/1130/20221130103554674.pdf
7.1b Water assessment (risk assessment)	Conformance	The Entity has assessed water-related risks within Watersheds in the Entity's Area of Influence. The assessment report is available at: http://www.unisonal.com/uploadfile/2022/1130/20221130103554674.pdf
7.2a Water management (management plans)	Not Applicable	This Criterion is not applicable, as according to the assessment report, the water-related risks have been assessed as low.
7.2b Water management (monitoring)	Not Applicable	This Criterion is not applicable, as according to the assessment report, the water-related risks have been assessed as low. However, the Entity's wastewater is tested by a third party annually.
7.3 Disclosure of water usage and risks	Conformance	The Entity has identified the source of its water, which is the municipal water supply. There is no underground or surface water withdrawn. The detailed

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		information is available in the Water Resources Risk Assessment Report: http://www.unisonal.com/uploadfile/2022/1130/20221130103554674.pdf
PRINCIPLE 8 BIODIVERSITY		
8.1 Biodiversity assessment	Conformance	The Entity is located within an industrial area. An Environmental Impact Assessment (EIA) has been undertaken for the Entity. Based on the EIA and the actions implemented by the Entity, the impact on Biodiversity from the land use and activities in the Entity's Area of Influence is low. The Biodiversity Assessment Report is available at: www.unisonal.com/uploadfile/2022/1130/20221130103518901.pdf
8.2a Biodiversity management (biodiversity action plans)	Not Applicable	This Criterion is not applicable as the Biodiversity assessment determined the impact is low. The Entity is located within an industrial area.
8.2b Biodiversity management (consultation and mitigation hierarchy)	Not Applicable	This Criterion is not applicable as the Biodiversity assessment determined the impact is low.
8.2c Biodiversity management (reporting)	Not Applicable	This Criterion is not applicable as the Biodiversity assessment determined the impact is low. However, a third party monitors environmental quality annually.
8.3 Alien Species	Conformance	The Entity has established a procedure to prevent the accidental or deliberate introduction of Alien Species, which addresses custom requirements to fumigate wooden packaging material and the types of plants used in landscaping. The Entity's Biodiversity Assessment Report is available at: www.unisonal.com/uploadfile/2022/1130/20221130103518901.pdf
8.4a Commitment to "No Go" in World Heritage properties (exploration and new mines)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.4b Commitment to "No Go" in World Heritage properties (existing mines)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.5a Mine rehabilitation (best available techniques)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.5b Mine rehabilitation (financial provisions)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

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PRINCIPLE 9 HUMAN RIGHTS		
9.1a Human Rights Due Diligence (policy)	Conformance	The Entity has an approved and signed Policy demonstrating its commitment to respecting Human Rights: http://www.unisonal.com/uploadfile/2022/1130/20221130102529447.pdf
9.1b Human Rights Due Diligence (process)	Conformance	The Entity has implemented a Human Rights Due Diligence procedure that defines the process to perform Due Diligence. The Human Rights Due Diligence indicates there are no adverse Human Rights impact caused by the Entity.
9.1c Human Rights Due Diligence (remediation)	Conformance	The Entity has prepared a Human Rights Due Diligence report, which indicates that the Entity does not cause adverse Human Rights impacts. However, the Entity has established a procedure that defines how to undertake remediation should they identify as having caused or contributed to adverse Human Rights impacts.
9.2 Women's Rights	Conformance	The Entity has established and implemented a procedure for the protection of women Workers. Women Workers have the same rights as male Workers. Discrimination was not identified during worker interviews.
9.3 Indigenous Peoples	Not Applicable	This Criterion is not applicable, as there are no Indigenous Peoples in the area where the Entity operates.
9.4 Free, Prior, and Informed Consent (FPIC)	Conformance	Whilst there are no Indigenous Peoples in the area where the Entity operates, the Entity has established and implemented the Indigenous Peoples Protection Procedure. If any New Projects or Major Changes to existing Facilities are proposed, the Human Resource Department will engage with Indigenous Peoples.
9.5 Cultural and sacred heritage	Not Applicable	This Criterion is not applicable, as there are no cultural or sacred heritage sites nearby to the Entity.
9.6a Resettlements (avoid or minimise)	Not Applicable	This Criterion is not applicable, as there has been no physical displacement and Resettlement required. The Entity has developed a resettlement procedure, however, there have been no New Projects or Major Changes since the establishment of the Entity in 1992.
9.6b Resettlements (where unavoidable)	Not Applicable	This Criterion is not applicable, as there has been no physical displacement and Resettlement required. The Entity has developed a resettlement procedure, however, there have been no New Projects or Major

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		Changes since the establishment of the Entity in 1992
9.7a Local Communities (rights and interests)	Conformance	The Entity has established and implemented the Community Communication Procedure to protect the customary rights and interests of Local Communities. The Entity is located within an industrial area and there have been no major changes at the Entity since establishment.
9.7b Local Communities (impacts)	Conformance	The Entity has established and implemented the Community Communication Procedure to protect the customary rights and interests of Local Communities. The Entity is located within an industrial area and there have been no major changes at the Entity since establishment.
9.7c Local Communities (livelihoods)	Conformance	The Entity has established and implemented the Community Communication Procedure to protect the customary rights and interests of Local Communities. The communication mechanism between the Entity and the Communities was implemented. The Entity has engaged local retirees to implement actions to improve the livelihood of the Local Community.
9.8 Conflict-Affected and High-Risk Areas	Conformance	The Entity has implemented its Responsible Sourcing Policy, which defines that the Entity will not contribute to armed conflict or Human Rights abuses in Conflict-Affected and High-Risk Areas, available at: http://www.unisonal.com/uploadfile/2022/1130/20221130102529447.pdf The Entity has undertaken Due Diligence to identify risks associated with its suppliers.
9.9 Security practice	Conformance	All security guards are trained and qualified. The security guards' responsibilities are defined, which address responsibility for incident prevention, patrols and warnings, and that they shall respect Human Rights when performing their duties.
PRINCIPLE 10 LABOUR RIGHTS		
10.1a Freedom of Association and Right to Collective Bargaining (freedom of association)	Conformance	A Trade Union has been established at the Entity since 1995. The Entity has established a Freedom of Association and Right to Collective Bargaining Procedure, and all Workers are free to join the Trade Union.
10.1b Freedom of Association and Right to Collective Bargaining (collective bargaining)	Conformance	A Trade Union has been established at the Entity since 1995. A Collective Contract has been signed between the Entity and the Trade Union. The Entity has other individual contracts, including the Salary Collective Contract, Woman Worker Right Protection

CRITERION	RATING	COMMENT
		Contract, Occupational Health and Disease Prevention Contract, which have been signed between the Trade Union and the Entity. The Trade Union has organised activities irregularly to promote dialogue between Workers and management.
10.1c Freedom of Association and Right to Collective Bargaining (alternative means)	Conformance	A Trade Union has been established at the Entity since 1995. The Entity has established a Freedom of Association and Right to Collective Bargaining Procedure, and all Workers are free to join the Trade Union. Worker interviews confirmed that the Entity does not restrict freedom of association and collective bargaining. A Collective Bargaining Contract has been signed between the Entity and Trade Union.
10.2a Child Labour (minimum age)	Conformance	Child Labour and young worker control procedures have been established. The Entity does not use Child Labour as the youngest Worker at the Entity is 18 years old. The Due Diligence process ensures suppliers do not use Child Labour.
10.2b Child Labour (hazardous)	Conformance	The Entity has established Child Labour prevention and remediation and young worker control procedures. The age of candidates is verified prior to employment. There is neither Child Labour nor young Workers at the Entity.
10.2c Child Labour (worst forms)	Conformance	The Entity has established Child Labour prevention and remediation and young worker control procedures. Young Workers, if employed, will not be exposed to hazardous environments nor assigned to work night shifts.
10.3a Forced Labour (human trafficking)	Conformance	The Entity has established and implemented a Forced Labour Management Procedure, that ensures no Human Trafficking via direct employment or through any employment or recruitment agencies. Worker interviews confirmed there was no Human Trafficking.
10.3b Forced Labour (deposits, fees, advances)	Conformance	The Entity has implemented a policy to ensure there is no Forced Labour. Workers are recruited by the Entity or a human resources agency. Worker interviews confirmed that the Entity has never required any form of deposit, Recruitment Fee or equipment advance.
10.3c Forced Labour (migrant workers)	Conformance	The Entity has implemented a policy to ensure there is no Forced Labour. The Employee Manual stipulates that the Entity shall not require Migrant Workers to lodge deposits or security payments at any time. The occupational health check-up fee is paid by the Entity.

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		Worker interviews indicated that the Entity has not required deposits or security payments.
10.3d Forced Labour (debt bondage)	Conformance	The Entity has implemented a policy to ensure there is no Forced Labour. Worker interviews indicated that salaries are paid on monthly basis, there is no Debt Bondage and they are not forced to work to pay off a debt.
10.3e Forced Labour (freedom of movement)	Conformance	The Entity has implemented a policy to ensure there is no Forced Labour. Worker interviews indicated that Workers can move around the workplace freely, and can leave the workplace when not working. Workers can resign after one month's notice to the Entity.
10.3f Forced Labour (retention of identity papers, permits, certificates)	Conformance	The Entity has implemented a policy to ensure there is no Forced Labour. Worker interviews indicated that the Entity does not retain the original copies of Workers' identity papers, training certificates, or other personal documents.
10.3g Forced Labour (freedom to terminate employment)	Conformance	The Entity has implemented a policy to ensure there is no Forced Labour. The Employee Manual stipulates that all Workers can resign after one month notice in advance. The sampled Employee Resign Application Form demonstrated that the employees resigned without any deduction or punishment.
10.4 Non-Discrimination	Conformance	The Entity has implemented an anti-discrimination procedure that defines that any kind of Discrimination is prohibited. Training records on the Anti-Discrimination Policy are maintained. Worker interviews indicated that no Discrimination occurred.
10.5 Communication and engagement	Conformance	A Trade Union has been established at the Entity. Workers can communicate with management regarding working conditions and the resolution of workplace and compensation issues, without threat of reprisal, intimidation or harassment. Worker representatives are elected to engage on working conditions and compensation issues.
10.6 Disciplinary practices	Conformance	The Entity has established and communicated an Employee Manual with employees that defines that Disciplinary practices are not allowed and prohibits corporal punishment, mental or physical coercion, harassment, and gender-based violence including sexual harassment, or verbal abuse. Employees are provided training upon employment. The Entity's grievance mechanism is implemented. Worker interviews confirmed that disciplinary practices do not

CRITERION	RATING	COMMENT
		exist.
10.7a Remuneration (living wage)	Conformance	Remuneration is composed of a basic wage, position wage, communication fee and any allowance. The basic wage is above the local minimum wage and in compliance with legal requirements.
10.7b Remuneration (method of payment)	Conformance	Wages are paid on the 25th day of the following month, including the normal wage and any Overtime. Wages are paid by bank transfer and payroll slips are issued to employees when wages are paid. The wages were paid timely.
10.8 Working Time	Conformance	Working hours are recorded by an electronic attendance system. A Comprehensive Working Hour Permit (CWHP) has been granted by the local government and working hours are arranged in accordance with the CWHP, and comply with legal requirements.

PRINCIPLE 11 OCCUPATIONAL HEALTH AND SAFETY

11.1a Occupational Health and Safety (OH&S) Policy (policy)	Conformance	The Entity has established and implemented an Occupational Health and Safety (OH&S) Policy that senior management has endorsed and supports through provision of resources: http://www.unisonal.com/uploadfile/2022/1222/20221222105618832.pdf
11.1b Occupational Health and Safety (OH&S) Policy (workers and visitors)	Conformance	The Entity has established and implemented an OH&S Management System, which is certified to ISO 45001:2018. All employees are trained on the OH&S Policy. Visitors register at the security gate and are informed of the Entity's OH&S Policy.
11.1c Occupational Health and Safety (OH&S) Policy (applicable law and standards)	Conformance	The Entity has established and implemented an OH&S Management System. The OH&S Policy has been approved by the General Manager, which commits to comply with Applicable Law, international standard and ILO conventions.
11.1d Occupational Health and Safety (OH&S) Policy (right to stop unsafe work)	Conformance	The Entity has established and implemented an OH&S Management System. The OH&S Policy specifies that Workers have the right to understand the hazards and can stop work if it is unsafe, which was approved by the General Manager and conveyed to employees by training.
11.2 OH&S Management System	Minor Non-Conformance	The Entity has established and implemented an OH&S Management System, which is certified to ISO 45001:2018. Certificate information is available at the national certification and accreditation information

CRITERION	RATING	COMMENT
		<p>public service platform: http://cx.cnca.cn/CertECloud/result/skipResultList?certItemOne=A However, one Worker was not provided with the required pre-employment occupational health examination.</p>
11.3 Employee engagement on health and safety	Conformance	The Entity has provided Workers with a mechanism to raise, discuss and participate in the resolution of OH&S issues with management, including email, hotline, suggestion box and the Labour Union.
11.4 OH&S performance	Conformance	The Entity has established and implemented a procedure for OH&S monitoring and measurement. Occupational Health and Safety performance is monitored monthly. Based on the monitoring records, the Entity complies with Applicable Laws and regulations.

Document Control and Version History

Revision	Date	Notes
0	5 May 2023	Initial Certification Audit – Full Certification