

---

# ASI CERTIFICATION PERFORMANCE STANDARD

---



PRESENTED TO

# ALCOA CORPORATION

CERTIFICATE  
NUMBER

32

ASI  
STANDARD

PERFORMANCE  
STANDARD  
(V2 2017)

CERTIFICATION  
LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITOR

DNV BUSINESS  
ASSURANCE  
SERVICES UK  
LTD.

DATE OF ISSUE

18 JULY 2022

DATE OF EXPIRY

17 JULY 2025

CERTIFIED SINCE

17 JULY 2019

AUTHORISED BY

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

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

Alcoa World Alumina (AWA) Juruti Mine (Brazil)  
including the port, ore beneficiation and  
administrative facilities.

# SUMMARY AUDIT REPORT PERFORMANCE STANDARD

## OVERVIEW

MEMBER NAME	Alcoa Corporation
ENTITY NAME	Alcoa World Alumina (AWA) Juruti Mine
CERTIFICATION SCOPE	Alcoa World Alumina (AWA) Juruti Mine (Brazil) including the port, ore beneficiation and administrative facilities.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>• Bauxite Mining</li></ul>
ASI STANDARD	<ul style="list-style-type: none"><li>• Performance Standard V2</li></ul>
AUDIT TYPE	<ul style="list-style-type: none"><li>• Initial Certification Audit (23 – 25 April 2019)</li><li>• Re-Certification Audit (26 – April 29 2022)</li></ul>
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none"><li>• 23 – 25 April 2019 (Initial Certification Audit)</li><li>• 26 – 16 April 2022 (Re-Certification Audit)</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>• 17 May 2019 (Initial Certification Audit)</li><li>• 9 June 2022 (Re-Certification Audit)</li></ul>
AUDIT SCOPE	<p><u>Initial Certification Audit (23 – 25 April 2019)</u> Alcoa World Alumina (AWA) Juruti Mine including the port, ore beneficiation and administrative facilities.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>• Bauxite Mining</li></ul> <p>All relevant criteria in the ASI Performance Standard were included in the Audit Scope.</p> <p><u>Re-Certification Audit (26 – April 29 2022)</u> Alcoa World Alumina (AWA) Juruti Mine including the port, ore beneficiation and administrative facilities.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>• Bauxite Mining</li></ul>

---

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

18 July 2022 – 17 July 2025

---

NEXT AUDIT  
TYPE

Surveillance Audit

---

NEXT AUDIT  
DUE DATE

17 January 2024

---

CERTIFICATE  
NUMBER

32

---

## SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
PRINCIPLE 1 BUSINESS INTEGRITY		
1.1 Legal Compliance	Conformance	<p>The Entity has a local department and a global corporate structure to manage the legal requirements applicable to its operations. The ethical conduct and compliance Policies are available at:</p> <p><a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct</a>  <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/anti-corruption">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/anti-corruption</a>  <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/international-trade-compliance-policy">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/international-trade-compliance-policy</a>  <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/integrity-line">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/integrity-line</a></p>
1.2 Anti-Corruption	Conformance	<p>The Entity has established an Anti-Corruption Policy approved by the Chief Executive Officer (CEO). The Anti-Corruption Policy is available at:</p> <p><a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/anti-corruption">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/anti-corruption</a></p>
1.3 Code of Conduct	Conformance	<p>The Entity has a documented Code of Conduct that is communicated to all Stakeholders. The Code of Conduct is available at:</p> <p><a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct</a></p>
PRINCIPLE 2 POLICY & MANAGEMENT		
2.1a Environmental, Social, and Governance Policy (implement and maintain)	Conformance	<p>The Entity implements and maintains environmental, social, and governance Policies consistent with the practices included in the ASI Performance Standard.</p>
2.1b Environmental, Social, and Governance Policy (senior management)	Conformance	<p>The Entity's environmental, social, and governance Policies are approved by the plant General Manager.</p>
2.1c Environmental, Social, and Governance Policy (communication)	Conformance	<p>The Entity has established a Management System Policy, published and communicated to employees and contractors:</p> <p><a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/ehs-vision-values-mission-and-policy">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/ehs-vision-values-mission-and-policy</a></p> <p>This Policy includes Quality, Productivity and Environment, Health, and Safety (EHS) aspects. For other social and governance issues, refer to the Global Human Rights Policy:</p> <p><a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy.asp">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy.asp</a>  and the Code of Conduct:</p>

CRITERION	RATING	COMMENT
		<a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct.asp">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct.asp</a> The Entity's Integrated Management System Policy is publicly displayed on the main gate and provided to local Stakeholders.
2.2 Leadership	Conformance	The Entity has global and local managers to ensure that the ASI Performance Standard requirements are met.
2.3a Environmental and Social Management Systems (environmental)	Conformance	The Entity maintains a social-environmental management program approved by the local authorities. The Entity monitors and implements appropriate actions on the environmental aspects and impacts identified to keep the Management System effectively implemented and aligned with the corporate strategy.
2.3b Environmental and Social Management Systems (social)	Conformance	The Entity has implemented a documented Environmental and Social Management Systems.
2.4 Responsible Sourcing	Conformance	The Entity has established an adequate Responsible Sourcing Policy to evaluate suppliers and sub-contractors. The Policy is available at: <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/supplier-standards">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/supplier-standards</a>
2.5 Impact Assessments	Conformance	The Entity has conducted Impact Assessments in the area of Bauxite waste, including assessments on Human Rights, Environmental and Social Impact. However, there have been no new projects or major changes since the Entity became a member of ASI.
2.6 Emergency Response Plan	Conformance	The Entity has demonstrated the implementation of Emergency Response Plans, including the participation of internal and external Stakeholders. Simulations and drills are conducted at periodic intervals to evaluate the effectiveness of the plans.
2.7 Mergers and Acquisitions	Conformance	The Entity has defined the corporate process for mergers, acquisitions, and divestitures and a strategy for entering into a new country.
2.8 Closure, Decommissioning and Divestment	Conformance	The Entity has defined the site closure plan containing all phases and investments required to close the site.
PRINCIPLE 3 TRANSPARENCY		
3.1 Sustainability Reporting	Conformance	The Entity has developed and publicly communicated the Alcoa Sustainability Report for 2021:

CRITERION	RATING	COMMENT
		<a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a>
3.2 Non-compliance and liabilities	Conformance	The Entity has not received notifications, warnings, or economic or operational sanctions for non-compliance with legal requirements applicable to its operations.
3.3a Payments to governments (legal and contractual)	Conformance	The Entity is subject to annual corporate audits ensuring compliance. The Entity also has provisions regarding the communication of financial results in its internal policies.
3.3b Payments to governments (disclosure – bauxite mining)	Conformance	The Entity made payments to the Government related to the required taxes, as demonstrated by the certificates and other federal, municipal, and social security documentation. For further information please refer to the following: <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a> <a href="https://investors.alcoa.com/financials/annual-reports-and-proxy-statements/default.aspx">https://investors.alcoa.com/financials/annual-reports-and-proxy-statements/default.aspx</a>
3.4 Stakeholder complaints, grievances and requests for information	Conformance	The Entity has a local department and a global corporate structure to manage the legal requirements applicable to its operations. The ethical conduct and compliance Policies, including the complaints hotline, are available at: <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct</a> <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/anti-corruption">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/anti-corruption</a> <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/international-trade-compliance-policy">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/international-trade-compliance-policy</a> <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/integrity-line">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/integrity-line</a>
PRINCIPLE 4 MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment (life cycle impacts)	Conformance	The Entity has evaluated the life cycle impacts of its major product lines for which Aluminium is considered or used, based on ISO 14040:2006 and ISO 14044:2006.
4.1b Environmental Life Cycle Assessment (cradle to gate)	Conformance	The Entity has developed the Life Cycle Assessment (LCA) for Bauxite and Alumina with a cradle-to-gate approach which is made available to customers upon request. For further information refer to the 2021 Sustainability Report: <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a>

CRITERION	RATING	COMMENT
4.1c Environmental Life Cycle Assessment (public communication)	Conformance	Information on the LCAs for Bauxite and Alumina is available upon request. The publicly shared reports include underlying assumptions and system boundaries. For further information refer to the 2021 Sustainability Report: <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a>
4.2 Product design	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a Aluminium Process Scrap (targets)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3b Aluminium Process Scrap (alloy separation)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.4a Collection and recycling of products at end-of-life (strategy)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.4b Collection and recycling of products at end-of-life (engagement)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
PRINCIPLE 5 GREENHOUSE GAS EMISSIONS		
5.1 Disclosure of GHG emissions and energy use	Conformance	The Entity has published an annual technical report on GHG Emissions data. The report is available at: <a href="https://registropublicoemissoes.fgv.br/participantes/990">https://registropublicoemissoes.fgv.br/participantes/990</a>
5.2 GHG emissions reductions	Conformance	Alcoa has long-term strategic sustainability objectives that are integrated into all its businesses. The GHG (direct and indirect) emissions reduction targets are aligned with the below 2°C decarbonisation path, to reduce GHG emissions intensity by 30 percent by 2025 and 50 percent by 2030 from a 2015 baseline: <a href="https://www.alcoa.com/sustainability/en/sustainability-at-alcoa/strategic-long-term-goals">https://www.alcoa.com/sustainability/en/sustainability-at-alcoa/strategic-long-term-goals</a> Information on the Entity's corporate strategy on air emissions is included in the Sustainability Report: <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a>
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.

CRITERION	RATING	COMMENT
PRINCIPLE 6 EMISSIONS, EFFLUENTS AND WASTE		
6.1 Emissions to Air	Conformance	<p>The Entity has a Policy on climate change: <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/climate-change-policy/Climate-Change-Policy-EN.pdf">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/climate-change-policy/Climate-Change-Policy-EN.pdf</a></p> <p>The GHG emissions data is published annually in the technical report: <a href="https://registropublicodeemissoes.fgv.br/participantes/990">https://registropublicodeemissoes.fgv.br/participantes/990</a></p> <p>The Entity published a Sustainability Report demonstrating its commitment and action on climate change: <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a></p>
6.2 Discharges to Water	Conformance	<p>The Entity has quantified, monitored, and reported on Discharges to Water that may have adverse effects on humans or the environment.</p>
6.3a Assessment and Management of Spills and Leakage (assessment)	Conformance	<p>The Entity has maintained an updated evaluation process of the main risk areas of its operations where Spills and Leakages can contaminate the air, water and/or soil.</p>
6.3b Assessment and Management of Spills and Leakage (management)	Conformance	<p>The Entity has a management plan and external communication regarding Spills and Leakages. Information on the Entity's environmental performance is included in the Sustainability Report: <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a></p>
6.4a Reporting of Spills (immediate disclosure)	Conformance	<p>The Entity has developed and implemented procedures for the investigation of Spills and the internal and external communication related to environmental incidents.</p>
6.4b Reporting of Spills (regular reporting)	Conformance	<p>The Entity has developed and implemented procedures for the investigation of Spills and the internal and external communication related to environmental incidents. Alcoa has included information on significant Spills across its global operations in the annual Sustainability Report: <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a></p>
6.5a Waste management and reporting (strategy)	Conformance	<p>The Entity has established environmental targets for waste generation and disposal, including the reduction of landfilled waste by 15 percent by 2025 and 25 percent by 2030, from a 2015 baseline and the reduction of Bauxite Residue land requirements</p>



CRITERION	RATING	COMMENT
		<p>per metric ton of Alumina produced by 15 percent by 2030, from a 2015 baseline:</p> <p><a href="https://www.alcoa.com/sustainability/en/sustainability-at-alcoa/strategic-long-term-goals">https://www.alcoa.com/sustainability/en/sustainability-at-alcoa/strategic-long-term-goals</a></p> <p>Environmental performance on waste generation and disposal published in the sustainability report.</p> <p><a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a></p>
6.5b Waste management and reporting (disclosure)	Conformance	<p>The Entity has publicly disclosed the amount of Hazardous and Non-Hazardous Waste generated from its operations and the corporate goals to reduce and/or eliminate it. Environmental performance on waste generation and disposal are published in the Sustainability Report:</p> <p><a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a></p>
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 (start of the art technologies)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
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.

CRITERION	RATING	COMMENT
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 mapped water sources within its catchments, use and destination, and has the appropriate permits required by local authorities.
7.1b Water assessment (risk assessment)	Conformance	The Entity has evaluated and monitored the water-related risks related to the abstraction, consumption, and destination of water and periodically reports its performance to the environmental agency. The Entity communicates its performance and strategic actions on water resources management in the Sustainability Report: <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a>
7.2a Water management (management plans)	Conformance	The Entity communicates its performance and strategic actions on water resources management in the Sustainability Report: <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a>
7.2b Water management (monitoring)	Conformance	The Entity has published its performance on water resources management in the Sustainability Report: <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a>
7.3 Disclosure of water usage and risks	Conformance	The Entity has published its environmental performance regarding water withdrawal and use and disclosed the related material risks and improvement actions on water resources management in the Sustainability Report, on page 151: <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a>
PRINCIPLE 8 BIODIVERSITY		
8.1 Biodiversity assessment	Conformance	The Entity has implemented Environmental Control Plans as part of the Socio-environmental Management Program to mitigate the impacts related to the operation of the site and its potential impact on Biodiversity. The Biodiversity Plan, based

CRITERION	RATING	COMMENT
		<p>on the inventory, diagnosis, and survey of impacts, uses an appropriate methodology, which contemplates the risks and materiality of the impacts on biodiversity. The Biodiversity policy is available at:  <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/biodiversity-policy">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/biodiversity-policy</a>  The Sustainability Report presents the performance and actions on biodiversity:  <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a></p>
8.2a Biodiversity management (biodiversity action plans)	Conformance	<p>The Entity has a Biodiversity Action Plan and has implemented this in association with the biotic environment monitoring program (fauna, flora, water, etc.). The main objective of the monitoring program is to evaluate the potential impacts on the biotic environment and the evolution of degraded areas. The results and actions taken are presented in the annual Environmental Information Report.</p>
8.2b Biodiversity management (consultation and mitigation hierarchy)	Conformance	<p>The Entity has a Biodiversity Action Plan with a Mitigation Hierarchy approach to avoid, minimise, rehabilitate, or compensate for biodiversity impacts. The Entity presents its performance and actions regarding Biodiversity in the Sustainability Report:  <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a></p>
8.2c Biodiversity management (reporting)	Conformance	<p>The Entity has developed and publicly communicated the biodiversity outcomes in the Sustainability Report:  <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a></p>
8.3 Alien Species	Conformance	<p>The Entity has implemented a monitoring program for fauna and flora populations which includes Alien Species and periodically reports monitoring results to the regulatory environmental agency.</p>
8.4a Commitment to “No Go” in World Heritage properties (exploration and new mines)	Conformance	<p>The Entity does not operate in World Heritage Sites (historic and cultural). The Entity has published information regarding commitment to World Heritage Sites (historic and cultural) in the Sustainability Report:  <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a></p>
8.4b Commitment to “No Go” in World Heritage properties (existing operations)	Not Applicable	<p>This Criterion is not applicable as the Entity does not operate in World Heritage Sites (historic and cultural).</p>

CRITERION	RATING	COMMENT
8.5a Mine rehabilitation (best available techniques)	Conformance	The Entity has prepared the Degraded Areas Recovery Plan and Mine Closure Plan, which describe the procedures for mine closure, Rehabilitation, monitoring, and associated processes, using the best available technologies. The actions on the closure and Rehabilitation of areas are outlined in the Sustainability Report: <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a>
8.5b Mine rehabilitation (financial provisions)	Conformance	The Entity has documented its forecast costs and the financial provisions for the closure and rehabilitation of mining areas. For further information refer to the Sustainability Report: <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a>
PRINCIPLE 9 HUMAN RIGHTS		
9.1a Human Rights Due Diligence (policy)	Conformance	The Entity has a Human Rights Policy and a Policy dedicated to the rights of Indigenous Peoples available to Stakeholders: <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-en.pdf">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-en.pdf</a> <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/indigenous-peoples-policy/Indigenous-Peoples-Policy-English.pdf">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/indigenous-peoples-policy/Indigenous-Peoples-Policy-English.pdf</a> The Sustainability Report describes the Entity's actions on Due Diligence regarding Human Rights: <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a>
9.1b Human Rights Due Diligence (process)	Conformance	The Entity has defined a Due Diligence process for Human Rights, demonstrating the identification, prevention, and mitigation of actual and potential impacts on Human Rights. The Human Rights Policy is published and available to Stakeholders: <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-en.pdf">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-en.pdf</a> The Sustainability Report describes the Entity's actions on Due Diligence regarding Human Rights: <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a>
9.1c Human Rights Due Diligence (remediation)	Conformance	The Entity has defined a Due Diligence process for Human Rights, demonstrating the identification, prevention, and mitigation of actual and potential impact on Human Rights and has defined the procedure for communication and consultation on

CRITERION	RATING	COMMENT
		<p>remediation actions and controls. The Human Rights Policy is published and available to Stakeholders:  <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-en.pdf">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-en.pdf</a></p> <p>The Sustainability Report describes the Entity's actions on Due Diligence regarding Human Rights:  <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a></p>
9.2 Women's Rights	Conformance	<p>The Entity has implemented policies on Human Rights and Equal Employment Opportunity:  <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-en.pdf">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-en.pdf</a>  <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/equal-employment-opportunity/equal-employment-opportunity-policy-en.pdf">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/equal-employment-opportunity/equal-employment-opportunity-policy-en.pdf</a></p> <p>The Sustainability Report details the Entity's actions on diversity, inclusion, and gender equity:  <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a></p>
9.3 Indigenous Peoples	Conformance	<p>The Entity has implemented policies and processes to ensure respect for the rights and interests of Indigenous Peoples in accordance with international standards, including the International Labour Organisation (ILO) Convention C169 and the UN Declaration on the Rights of Indigenous Peoples. The Entity's Human Rights Policy is available to Stakeholders:  <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-en.pdf">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-en.pdf</a></p> <p>The Entity's Indigenous People Policy dedicated to Indigenous Peoples is available to Stakeholders:  <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/indigenous-peoples-policy/Indigenous-Peoples-Policy-English.pdf">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/indigenous-peoples-policy/Indigenous-Peoples-Policy-English.pdf</a></p>
9.4 Free, Prior, and Informed Consent (FPIC)	Conformance	<p>The Entity has implemented policies and processes to ensure respect for the rights and interests of Indigenous Peoples in accordance with international standards, including ILO Convention C169 and the UN Declaration on the Rights of Indigenous Peoples. The Entity's Human Rights policy is available to Stakeholders:</p>

CRITERION	RATING	COMMENT
		<p><a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-en.pdf">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-en.pdf</a></p> <p>The Entity's Human Rights policy dedicated to Indigenous Peoples is available to Stakeholders: <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/indigenous-peoples-policy/Indigenous-Peoples-Policy-English.pdf">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/indigenous-peoples-policy/Indigenous-Peoples-Policy-English.pdf</a></p>
9.5 Cultural and sacred heritage	Conformance	<p>The Entity has implemented procedures for the identification of sacred and/or cultural heritage sites and values within the Entity's Area of Influence. According to its operating licence, the Entity implements the technical requirement for the communication and mandatory preservation of identified archaeological sites in its Area of Influence.</p>
9.6a Resettlements (avoid or minimise)	Conformance	<p>As part of the ongoing operations, the Entity conducted a technical study and issued a report on environmental impacts. Resettlement was required for thirty-two families directly affected by the project. The Entity provided financial compensation to the families and monitored their adaptation to their new conditions and implemented social programs such as facilitating formal education. The Sustainability Report describes the Entity's resettlements for 2021. The report is available at: <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a></p>
9.6b Resettlements (where unavoidable)	Conformance	<p>As part of the ongoing operations, the Entity conducted a technical study and issued a report on environmental impacts. Resettlement was required for thirty-two families directly affected by the project. The Entity provided financial compensation to the families and monitored their adaptation to their new conditions and implemented social programs such as facilitating formal education. The Sustainability Report describes the Entity's resettlements for 2021. The report is available at: <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a></p>
9.7a Local Communities (rights and interests)	Conformance	<p>The Entity has defined documented policies and procedures to identify and assess the legal and customary rights of Local Communities. The Human Rights Due Diligence process identified impacts to the lands and livelihoods of Stakeholders.</p>

CRITERION	RATING	COMMENT
9.7b Local Communities (impacts)	Conformance	The Entity has conducted a risk assessment to include the impacts of Resettlement and/or displacement on Local Communities. Action plans and controls have been developed and implemented to prevent and mitigate adverse impacts on the livelihoods of Local Communities. The Sustainability Report describes the Entity's action taken: <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a>
9.7c Local Communities (livelihoods)	Conformance	The Entity has engaged with Local Communities regarding the development of actions and plans to prevent and/or mitigate adverse impacts on their livelihoods.
9.8 Conflict-Affected and High-Risk Areas	Conformance	In accordance with its Human Rights Policy, the Entity does not contribute to armed conflicts or Human Rights abuses. The Entity is located in an area that may be characterised as being in a conflict affected setting, as defined by the International Alert report 'Human rights due diligence in conflict-affected settings, 2018'. The Entity has standards for its supply chain clearly defining rules and expectations for suppliers, contractors, and others with whom they do business. The Entity implements a supplier evaluation and qualification process.
9.9 Security practice	Conformance	The Entity has a private security process that respects the national laws of Federal Policy and Human Rights in line with recognised standards.
PRINCIPLE 10 LABOUR RIGHTS		
10.1a Freedom of Association and Right to Collective Bargaining (freedom of association)	Conformance	The Entity has a Human Rights Policy which describes the commitment to respecting Workers' freedom to join Labour Unions and Associations: <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy</a> The Entity's Sustainability Report describes the scope of the Union's action: <a href="https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf">https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</a>
10.1b Freedom of Association and Right to Collective Bargaining (collective bargaining)	Conformance	The Entity maintains records of negotiations between the Entity and the Labour Union or Workers association, including collective bargaining agreements and compliance with national laws.
10.1c Freedom of Association and Right to Collective Bargaining (alternative means)	Not Applicable	This Criterion is not applicable as local legislation does not restrict the right to Freedom of Association

CRITERION	RATING	COMMENT
		and Collective Bargaining, thus not requiring alternative means of Association for Workers.
10.2a Child Labour (minimum age)	Conformance	<p>The Entity does not use or support the use of Child Labour and only employs Workers over the legal minimum age and in accordance with its Code of Conduct:</p> <p><a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct</a></p> <p>The Entity only employs Workers over 18 years, as described in the Human Rights Policy:</p> <p><a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy</a></p>
10.2b Child Labour (hazardous)	Conformance	The Entity does not use or support the use of Child Labour and only employs Workers over 18 years.
10.2c Child Labour (worst forms)	Conformance	The Entity does not use or support the use of Child Labour and only employs Workers over 18 years.
10.3a Forced Labour (human trafficking)	Conformance	The Entity does not use or support the use of Forced Labour, slave labour or Human Trafficking.
10.3b Forced Labour (deposits, fees, advances)	Conformance	The Entity does not require any form of deposit, recruitment fee or equipment advance from Workers either directly or through employment or recruitment agencies.
10.3c Forced Labour (migrant workers)	Conformance	<p>The Entity does not require Migrant Workers to lodge deposits or security payments at any time. The Entity complies with the requirements for hiring Workers as defined in its Code of Conduct and Human Rights Policy:</p> <p><a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct</a></p> <p><a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy</a></p>
10.3d Forced Labour (debt bondage)	Conformance	The Entity complies with its Human Rights Policy and Code of Conduct and does not support Forced Labour including holding Workers in Debt Bondage or forcing them to work to pay off debt.
10.3e Forced Labour (freedom of movement)	Conformance	The Entity complies with its Human Rights Policy and Code of Conduct and does not support Forced Labour and does not unreasonably restrict the freedom of movement of Workers in the workplace or in on-site housing.
10.3f Forced Labour (retention of identity papers, permits, certificates)	Conformance	The Entity does not keep the original documents of employees, according to interviews and verification



CRITERION	RATING	COMMENT
		records of Workers. The Entity does not use agencies to hire employees.
10.3g Forced Labour (freedom to terminate employment)	Conformance	The Entity does not engage in or support the use of Forced Labour, including denying Workers the freedom to terminate their employment.
10.4 Non-Discrimination	Conformance	The Entity ensures gender equality and does not allow Discrimination. For further information refer to the following website: <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/default.asp">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/default.asp</a>
10.5 Communication and engagement	Conformance	The Entity ensures open communication and direct engagement with Workers and their representatives regarding working conditions and resolution of workplace and compensation issues, without the threat of reprisal, intimidation, or harassment.
10.6 Disciplinary practices	Conformance	The Entity has a Code of Conduct and Human Rights Policy, and stakeholders are communicated with on the standards: <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct</a> <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy</a> There are no reports of corporal punishment, mental or physical coercion, harassment, and gender-based violence, including sexual harassment, or verbal abuse of Workers.
10.7a Remuneration (living wage)	Conformance	The Entity has a Remuneration Policy that ensures Workers receive adequate remuneration paid as a monthly salary.
10.7b Remuneration (method of payment)	Conformance	The Entity pays salaries monthly as defined by local legislation. Overtime, when performed is paid appropriately.
10.8 Working Time	Conformance	The Entity complies with local legislation regarding Working Time, including Overtime, holidays and paid annual leave.
PRINCIPLE 11 OCCUPATIONAL HEALTH AND SAFETY		
11.1a Occupational Health and Safety (OH&S) Policy (policy)	Conformance	The Entity has defined and communicated the Occupational Health and Safety Policy: <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/ehs-policy/EHS-Vision-Values-Mission-and-Policy-EN.pdf">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/ehs-policy/EHS-Vision-Values-Mission-and-Policy-EN.pdf</a>

CRITERION	RATING	COMMENT
11.1b Occupational Health and Safety (OH&S) Policy (workers and visitors)	Conformance	The Entity has defined and communicated the Occupational Health and Safety Policy <a href="https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/ehs-policy/EHS-Vision-Values-Mission-and-Policy-EN.pdf">https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/ehs-policy/EHS-Vision-Values-Mission-and-Policy-EN.pdf</a> The Policy is available to visitors and internal service providers.
11.1c Occupational Health and Safety (OH&S) Policy (applicable law and standards)	Conformance	The Entity has defined and communicated the Occupational Health and Safety Policy which includes a commitment to comply with Applicable Law.
11.1d Occupational Health and Safety (OH&S) Policy (right to stop unsafe work)	Conformance	The Entity has defined and communicated its Occupational Health and Safety (OH&S) Policy. The OH&S Policies and procedures include the right of Workers to understand hazards and safe practices and the authority to refuse or stop unsafe work.
11.2 OH&S Management System	Conformance	The Entity has defined and communicated the Occupational Health and Safety (OH&S) Policy and has appropriate procedures to sustain its OH&S Management System.
11.3 Employee engagement on health and safety	Conformance	The Entity has various engagement initiatives for its safety programs, such as the 'Autonomous Groups,' an internal commission for the prevention of mining accidents.
11.4 OH&S performance	Conformance	The Entity has tools for the evaluation and continuous improvement of its Occupational Health and Safety performance.

#### **Document Control and Version History**

Revision	Date	Notes
0	18 July 2019	Initial Certification Audit – Full Certification
1	11 July 2022	Re-Certification Audit – Full Certification Correction to Certified Since date from 17 July 2019 to 18 July 2019