
ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

ALCOA

CERTIFICATE
NUMBER

71

ASI
STANDARD

PERFORMANCE
STANDARD
(V2 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI
ACCREDITED
AUDITOR

DNV GL

DATE OF ISSUE

6 FEBRUARY 2020

DATE OF EXPIRY

5 FEBRUARY 2023

CERTIFIED SINCE

6 FEBRUARY 2020

AUTHORISED BY

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

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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

Mosjøen Smelting facility, including manufacture of prebake anode, primary aluminium production and aluminium cast products (from liquid metal and recycling pre-consumer scrap); and associated facilities.

SUMMARY AUDIT REPORT PERFORMANCE STANDARD

OVERVIEW

MEMBER NAME	Alcoa
ENTITY NAME	Alcoa Mosjøen
CERTIFICATION SCOPE	Mosjøen Smelting facility, including manufacture of prebake anode, primary aluminium production and aluminium cast products (from liquid metal and recycling pre-consumer scrap); and associated facilities.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">Aluminium Smelting, Aluminium Re-melting/Refining, Casthouses
ASI STANDARD	<ul style="list-style-type: none">Performance Standard V2
AUDIT TYPE	<ul style="list-style-type: none">First Certification Audit
AUDIT FIRM	DNV GL
AUDIT DATE	<ul style="list-style-type: none">3 December 2019 . 5 December 2019 (First Certification Audit)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">4 January 2020 (First Certification Audit)
AUDIT SCOPE	<p>Smelting, including baking furnace, administrative facilities and the Casthouse as part of the Smelter.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">Aluminium Smelting, Aluminium Re-melting/Refining, Casthouses <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

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

6 February 2020 - 5 February 2023

NEXT AUDIT
TYPE

Re-certification Audit

NEXT AUDIT
DUE DATE

5 February 2023

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NUMBER

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SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
PRINCIPLE 1 BUSINESS INTEGRITY		
1.1 Legal Compliance	Conformance	The Entity has implemented systems to ensure legal compliance, with the appointment of a competent legal team across organizational functions. The Entity has defined policies and procedures to ensure the identification of risks and compliance with the applicable legislation.
1.2 Anti-Corruption	Conformance	The Entity has defined policies and procedures to identify and manage risks against Corruption in all its forms, including Extortion and Bribery, consistent with Applicable Law and prevailing international standards. A local Ethics Handbook has been developed and is available to all employees in the Entity and subcontractors. During the audit and our investigations no situations related to breaches on applicable laws have been found. https://www.alcoa.com/global/en/who-we-are/ethics-compliance/anti-corruption.asp
1.3 Code of Conduct	Conformance	A code of conduct has been defined and communicated to all interested parties, covering all the key aspects of the business, business activities, conflicts of interest, relations with customers and suppliers, and compliance with Human Rights. The code of conduct is reviewed regularly, translated to Norwegian and employees and subcontractors are trained. https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/code-conduct/Code_Conduct_Norwegian.pdf
PRINCIPLE 2 POLICY & MANAGEMENT		
2.1a Environmental, Social, and Governance Policy (implement and maintain)	Conformance	The entity has implemented and maintained, at relevant levels in the Organisation, Environmental, Social and Governance policies. The Entity holds valid ISO 14001 and 50001 certificates. Corporate policies are also available, e.g. Global EHS Policy: https://www.alcoa.com/sustainability/en/environment-health-safety.asp Alcoa Human Rights Policy: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy.asp

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2.1b Environmental, Social, and Governance Policy (senior management)	Conformance	The policies and procedures are reviewed and updated on a regular basis, and all corporate policies and procedure have senior management approval. Local Quality, Environment, Health and safety policy is signed by the Entity Managing Director. The entity holds valid ISO 9001, 14001 and 50001 certificates.
2.1c Environmental, Social, and Governance Policy (communication)	Conformance	The Entity communicates the policies internally and externally as appropriate and through multiple channels: - Internally: Through internal management system (INOSA), boards and screens - Externally: https://www.alcoa.com/sustainability/en/pdf/EHS-Values-Policy-Principles.pdf
2.2 Leadership	Conformance	In accordance with the ASI Performance Standard as well as its Environmental and Management System, the Entity has nominated the Managing Director as having overall responsibility and authority for ensuring conformance with this Standard.
2.3a Environmental and Social Management Systems (environmental)	Conformance	The entity has documented and implemented integrated environmental and social management systems and is ISO 14001:2015 certified. https://www.alcoa.com/norway/no/default.asp
2.3b Environmental and Social Management Systems (social)	Conformance	The entity has documented and implemented integrated Social Management Systems. Strong commitment, participation and cooperation between union, management and employees are the founding elements in the social management system.
2.4 Responsible Sourcing	Conformance	The Entity has implemented a responsible sourcing Policy covering environmental, social and governance issues. Policies are available at https://www.alcoa.com/global/en/who-we-are/ethics-compliance/ and https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/Supplier_Standards.pdf
2.5 Impact Assessments	Conformance	The Entity has procedures and systems in place to conduct environmental, social, cultural and Human Rights Impact Assessments, including a

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		gender analysis, for new projects or major changes to existing facilities. The entity clearly demonstrates a proactive and inclusive approach with key stakeholders both internally and externally when facing major changes and projects.
2.6 Emergency Response Plan	Conformance	The Entity has site specific emergency response plans developed in collaboration with potentially affected stakeholder groups such as Communities, Workers and their representatives, and relevant government bodies on environment, safety and fire department. A systematic approach with planning and training based on the identified risks and regulatory requirements could be demonstrated. An information brochure to external and neighbours is available on the web: https://www.alcoa.com/norway/no/pdf/Storulykke info-En-orientering-til-naboer-Mosjoen.pdf
2.7 Mergers and Acquisitions	Conformance	The Entity reviews environmental, social and governance issues in the Due Diligence process for mergers and acquisitions. These elements are governed centrally in the corporation.
2.8 Closure, Decommissioning and Divestment	Conformance	The Entity has processes and procedures to review environmental, social and governance issues in the planning process for closure, decommissioning and divestment. A corporate procedure is established and national competent authorities and regulators have specific requirements in permits and operating licenses.
PRINCIPLE 3 TRANSPARENCY		
3.1 Sustainability Reporting	Conformance	<p>The Entity prepares the annual sustainability report in line with GRI (Global Reporting Initiative) guidelines and makes the information publicly available on the company website and on printed reports:</p> <p>https://www.alcoa.com/sustainability/en/pdf/2018-Sustainability-Report.pdf</p> <p>All Environmental reporting to the Norwegian Environment Agency is publicly available on: https://www.norskeutslipp.no/no/Diverse/Virkso mhet/?CompanyID=5116</p> <p>Every second year the site in Norway prepares and documents an environment and sustainability report.</p>

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3.2 Non-compliance and liabilities	Conformance	The Entity publicly discloses information on significant fines, judgments, penalties and non-monetary sanctions for failure to comply with Applicable Law through their annual reporting. (pg. 33 of Annual Report https://investors.alcoa.com/~media/Files/A/Alcoa-IR/documents/annual-reports-and-proxy-information/annual-report-2018.pdf).
3.3a Payments to governments (legal and contractual)	Conformance	The Entity demonstrated policies and processes to ensure compliance with the requirements of ASI and the legal requirements applicable to payments to governments. Only legal and obligatory payments related to taxes and duties are paid. In the Alcoa Corporate Annual report all payments to governments are (taxes or tributes) are transparently reported: https://investors.alcoa.com/~media/Files/A/Alcoa-IR/documents/annual-reports-and-proxy-information/annual-report-2018.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 Entity has implemented accessible, transparent, understandable and culturally and gender sensitive, Complaints Resolution Mechanisms, adequate to address stakeholder complaints, grievances and requests for information relating to its operations. This is accessible through a link on the web https://www.alcoa.com/global/en/who-we-are/ethics-compliance/
PRINCIPLE 4 MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment (life cycle impacts)	Conformance	The Entity has implemented and certified its environmental management system and evaluates environmental aspects in a life cycle perspective. A Life Cycle Assessment procedure has been developed and an Environmental Product Declaration, EPD, considering the products produced is established. The EPD is in accordance with ISO 14025, 3 party verified and with the declaration number 4787971128.101.1
4.1b Environmental Life Cycle Assessment (cradle to gate)	Conformance	Cradle to gate Life cycle assessment is developed through 3rd party verified Environmental Product Declaration, EPD, as stated in 4.1a. The information is available and

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		<p>will be provided upon request or could be downloaded from the web: https://www.alcoa.com/global/en/what-we-do/aluminum/cast-products/pdfs/Alcoa-EPD-Cast-Products.pdf</p>
4.1c Environmental Life Cycle Assessment (public communication)	Conformance	<p>Cradle to gate Life cycle assessment is developed through 3rd party verified Environmental Product Declaration, EPD, as stated in 4.1a. The information is available and will be provided upon request or could be downloaded on the web: https://www.alcoa.com/global/en/what-we-do/aluminum/cast-products/pdfs/Alcoa-EPD-Cast-Products.pdf</p>
4.2 Product design	Not Applicable	<p>This criterion is not applicable to the Entity's certification scope.</p>
4.3a Aluminium Process Scrap (targets)	Conformance	<p>The Entity has established targets and action plans to minimize process scrap. All process scrap generated from the casthouse is recycled on site. Aluminium from old furnaces in the potroom (Bleed outs) is remelted in the cast house and pot pads are processed and recycled at external supplier.</p>
4.3b Aluminium Process Scrap (alloy separation)	Conformance	<p>The Entity has established systems and processes to separate Aluminium alloys and grades for recycling. All process scrap is recycled on site and the production system gives the needed structure and traceability for separating aluminium alloys and grades for recycling.</p>
4.4a Collection and recycling of products at end-of-life (strategy)	Conformance	<p>As a member of The Recycling Partnership, the biggest Al recycling organization in North America, the Alcoa corporation is involved, engaged and supporting activities promoting collecting and recycling systems to increase recycling rates.</p> <p>Locally the site in Mosjøen has a strategic partnership with a trader/supplier to re-melt collected process scrap (converted pre-consumer scrap for one particular customer). The entity does not buy scrap from local companies.</p>
4.4b Collection and recycling of products at end-of-life (engagement)	Conformance	<p>As a member of The Recycling Partnership, the biggest Al recycling organization in North America, the Alcoa corporation is involved,</p>

CRITERION	RATING	COMMENT
		<p>engaged and supporting activities promoting collecting and recycling systems to increase recycling rates.</p> <p>Locally the site in Mosjøen has a strategic partnership with a trader/supplier to re-melt collected process scrap (converted pre-consumer scrap for one particular customer). The entity does not buy scrap from local companies.</p>
PRINCIPLE 5 GREENHOUSE GAS EMISSIONS		
5.1 Disclosure of GHG emissions and energy use	Conformance	<p>The Entity is part of the EU ETS (Emission Trading Scheme). The direct emissions by source are calculated and reported annually to the Norwegian Environment Agency and publicly disclosed on the web site norskeutslipp.no: https://www.norskeutslipp.no/no/Diverse/Virkso/mhet/?CompanyID=5116#</p> <p>Further, the aggregated GHG emissions and energy consumption are reported centrally and disclosed in the Alcoa Sustainability report: https://www.alcoa.com/sustainability/en/pdf/2018-Sustainability-Report.pdf pages 52-58</p>
5.2 GHG emissions reductions	Conformance	<p>The Entity has a continuous focus to reduce and improve the GHG emissions and energy consumption. The plant is certified against ISO 50001, energy management, driving continuous improvement on energy consumption and thus GHG emissions. Targets have been set both locally and centrally. In the sustainability report reduction targets are publicly disclosed, https://www.alcoa.com/sustainability/en/pdf/2018-Sustainability-Report.pdf page 15. The local target is supported by action plans in different departments.</p>
5.3a Aluminium Smelting (management system)	Conformance	<p>The entity is certified against the ISO50001 (Energy Management) standard. The management system drives the governance, controls and improvement processes at the plant. The Entity has demonstrated over time a strong commitment in to continuously work on energy and emission reduction. Very good results have been demonstrated over several years. The EU ETS (EU Emission Trading Scheme) requires to implement a management system with procedures and governance covering roles and responsibilities, quality</p>

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		control and methodology for calculating the carbon footprint.
5.3b Aluminium Smelting (up to and including 2020)	Conformance	Alcoa Mosjøen GHG emissions are annual verified by an accredited 3 rd party related to the EU ETS trading scheme (by DNVGL). A carbon footprint has been calculated to 1,84 t CO ₂ e/t Aluminium covering the direct emissions. Scope 2 emissions is set to zero due to the energy supply from hydroelectric power production. The plant has long term contracts with hydroelectric power producers and will also enter a contract with windfarm electricity producers. https://www.alcoa.com/norway/no/news/release.s.asp?id=2018/06/alcoa-signerer-ny-vindkraftavtale&year=y2018
5.3c Aluminium Smelting (after 2020)	Not Applicable	The Entity has no plans to start up Aluminium Smelters after 2020 in Mosjøen, Norway, where the emissions from production is above 8 tonnes CO ₂ -eq per metric tonne Aluminium.
PRINCIPLE 6 EMISSIONS, EFFLUENTS AND WASTE		
6.1 Emissions to Air	Conformance	The Entity has good systems and procedures to report on emissions to air to national authorities and internally at group level. The aggregated performance is presented in the sustainability report and the annual report, both available on the company website, https://www.alcoa.com/sustainability/en/pdf/2018-Sustainability-Report.pdf https://investors.alcoa.com/financial-reports/annual-reports-and-proxy-statements
6.2 Discharges to Water	Conformance	The Entity has good systems and procedures to report on discharges to water to national authorities and internally to group level. The aggregated performance is presented in the sustainability report and the annual report, available on the company web: https://www.alcoa.com/sustainability/en/pdf/2018-Sustainability-Report.pdf , https://investors.alcoa.com/financial-reports/annual-reports-and-proxy-statements
6.3a Assessment and Management of Spills and Leakage (assessment)	Conformance	The Entity is ISO 14001 certified and regularly assesses major risks related to environmental aspects and potential spills and leakages from the production processes.

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6.3b Assessment and Management of Spills and Leakage (management)	Conformance	The Entity has a management and external communication plan, compliance controls and a monitoring programme in place to prevent and detect Spills and Leakage.
6.4a Reporting of Spills (immediate disclosure)	Conformance	The entity has systems to report and communicate to affected parties on potential impacts of significant spills. Emergency response plans are established and regularly reviewed and tested. https://investors.alcoa.com/~media/Files/A/Alcoa-IR/documents/annual-reports-and-proxy-information/annual-report-2018.pdf and https://www.norskeutslipp.no/no/Diverse/Virksomhet/?CompanyID=5116#
6.4b Reporting of Spills (regular reporting)	Conformance	The Entity has good systems and a reporting culture to address and disclose potential significant spills. An annual report to Norwegian authorities includes documentation on the Entity's list of incidents and records related to spills and/or leakages. The report is available upon request to the National Environmental Agency. https://www.norskeutslipp.no/no/Diverse/Virksomhet/?CompanyID=5116#
6.5a Waste management and reporting (strategy)	Conformance	The Entity has a waste management strategy focusing on waste mitigation, recycling and reuse. Waste management and improvement programs on reduction of waste generation and use of waste fractions is established. Waste is sent to or collected by partner companies.
6.5b Waste management and reporting (disclosure)	Conformance	The Entity discloses, on an annual basis, the quantity of Hazardous and Non-Hazardous Waste generated by the Entity, and associated waste disposal methods. This is reported in the annual report to Norwegian authorities and the corporate sustainability report. https://www.norskeutslipp.no/no/Diverse/Virksomhet/?CompanyID=5116# https://www.alcoa.com/sustainability/en/pdf/2018-Sustainability-Report.pdf
6.6a Bauxite Residue (storage construction)	Not Applicable	This criterion is not applicable to the Entity's certification scope.

CRITERION	RATING	COMMENT
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)	Conformance	The Entity has implemented robust systems and management related to Spent pot Lining, SPL handling. The operation is indoors with no release of SPL or leachate to the environment. The sorted fractions are transported to the national deposit and storage for dangerous waste, NOAH (https://en.noah.no/for-clients/what-is-received/industry/). All quantities are registered and declared in the national registry: https://www.norskeutslipp.no/no/Diverse/Virkso/mhet/?CompanyID=5116#
6.7b Spent Pot Lining (SPL) (recovery and recycling)	Conformance	The Entity separates different fractions from the demolition of old pots. Carbon, steel, metal pot and refractory materials are separated in the demolition process and each fraction is stored and transported as described in 6.7a. Iron and other metals are reused or recycled. Alcoa and other industry actors in Norway are working in a joint research program to improve the SPL handling and find permanent solutions on recycling of SPL.
6.7c Spent Pot Lining (SPL) (Untreated SPL)	Conformance	SPL is stored indoors at the plant and delivered to NOAH landfill at Langøya, an approved landfill site for hazardous waste in Norway. No untreated SPL is sent to landfill where there is potential for adverse environmental effects.
6.7d Spent Pot Lining (SPL) (review of alternatives)	Conformance	The Entity is continuously working to find permanent solutions to recycle and not landfill Spent Pot Lining. A joint Industry project in Norway, where the entity is a major player, has been initiated. The primary objective of the research project is to develop a sustainable

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		process for material recycling of SPL with high value products.
6.7e Spent Pot Lining (SPL) (marine and aquatic environments)	Conformance	Spent Pot Line, SPL, is stored indoor at the plants and delivered to NOAH landfill at Langøya, an approved landfill for hazardous waste in Norway. No SPL is discharged to marine or aquatic environments.
6.8a Dross (recovery)	Conformance	The Entity is maximising the recovery of Aluminium by treatment of Dross and Dross residues. The plant is recovering aluminium from dross internally with use of drip pans, and externally in co-operation with an external dross processor supplier. All recovered aluminium from Dross by external supplier is transported back to the site and recycled. There are procedures in place for internal treatment of dross.
6.8b Dross (recycling)	Conformance	The Entity is re-melting 100% of the recovered aluminium from Dross returned from the dross processor.
6.8c Dross (review of alternatives)	Conformance	The Entity is recovering Aluminium from dross with an external partner. No Dross residue are landfilled and by-products from the recovery process is sold externally.
PRINCIPLE 7 WATER STEWARDSHIP		
7.1a Water assessment (mapping)	Conformance	The entity has a documented water balance showing water inputs and output flows, sources and destination.
7.1b Water assessment (risk assessment)	Conformance	Water is abundant in Mosjøen and risk assessment states a low risk for water scarcity at the facility and surrounding areas.
7.2a Water management (management plans)	Not Applicable	This criterion has been rated as not applicable due to the low risk level identified during the risk assessment.
7.2b Water management (monitoring)	Not Applicable	This criterion has been rated as not applicable due to the low risk level identified during the risk assessment.
7.3 Disclosure of water usage and risks	Conformance	Water withdrawal and use is monitored and disclosed by the entity. Water level for process

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		water and Sea water use for scrubber is monitored continuously. Water use at the Facility is also a part of the risk assessment. Water in the entity surroundings is abundant due to annual heavy rains and snow. Water scarcity is not a problem in the area of influence and water use for process water at the entity does not represent a risk for the Facility, nor surrounding areas.
PRINCIPLE 8 BIODIVERSITY		
8.1 Biodiversity assessment	Conformance	The Entity has assessed the risk and materiality of the impacts on biodiversity from the land use and activities in the Entity's area of influence and the biodiversity mitigation hierarchy is implemented in the methodology used.
8.2a Biodiversity management (biodiversity action plans)	Conformance	A thorough and comprehensive biodiversity mapping has been performed by Alcoa Mosjøen which has resulted in an action plan for biodiversity aspects.
8.2b Biodiversity management (consultation and mitigation hierarchy)	Conformance	The Entity has assessed the risk and materiality of the impacts on biodiversity from the land use and activities in the Entity's area of influence and the biodiversity mitigation hierarchy is implemented in the methodology used.
8.2c Biodiversity management (reporting)	Conformance	The biodiversity action plans are designed in accordance with biodiversity challenges. The Entity is reporting on biodiversity issues to stakeholders in the Sustainability report and locally in meetings with external stakeholders, https://www.alcoa.com/sustainability/en/pdf/2018-Sustainability-Report.pdf
8.3 Alien Species	Conformance	The Entity has implemented procedures and guidance on environmental and product stewardship addressing topics such as biodiversity and alien species.
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 operations)	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.

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8.5b Mine rehabilitation (financial provisions)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
PRINCIPLE 9 HUMAN RIGHTS		
9.1a Human Rights Due Diligence (policy)	Conformance	The Entity has established a Human Rights Policy in English https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy.aspx , and in Norwegian https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-no.pdf . Alcoa's sustainability report also contains a full section on sustainable development goals (pages 18-22), https://www.alcoa.com/sustainability/en/pdf/2018-Sustainability-Report.pdf
9.1b Human Rights Due Diligence (process)	Conformance	The Entity shows good practice in this area. A Human Rights Due Diligence Process was implemented to identify potential risks and implement actions to eliminate or minimize them. The scope involved the identification of risks and impacts, remediation, grievance mechanism, reporting and feedback, on the following topics: working and labor conditions, safety, land management, integrity, health, safety and environment, relationships with communities, suppliers and customers.
9.1c Human Rights Due Diligence (remediation)	Not Applicable	The Alcoa Mosjøen entity has not caused or contributed to adverse human rights impacts. Alcoa Corporation has demonstrated that policies are in place in order to cooperate in the remediation through legitimate processes where this is an issue.
9.2 Women's Rights	Conformance	The Entity code of conduct clearly encourages diversity among its employees. Alcoa Mosjøen has a target with gender balance among its staff and has introduced various measures in order to increase the number of female employees and female leaders.
9.3 Indigenous Peoples	Not Applicable	There are no settlements of Indigenous people in or around Mosjøen affected by the Alcoa Mosjøen smelter. The Sami people present in Mosjøen are fully integrated in the community.
9.4 Free, Prior, and Informed Consent (FPIC)	Not Applicable	There are no settlements of Indigenous people in or around Mosjøen affected by the Alcoa

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		Mosjøen smelter. The Sami people present in Mosjøen are fully integrated in the community.
9.5 Cultural and sacred heritage	Not Applicable	No such issue has been raised. Norwegian Law on cultural heritage will apply if the site will need to expand.
9.6a Resettlements (avoid or minimise)	Not Applicable	There are no such projects where physical displacements of communities or people are necessary or relevant
9.6b Resettlements (where unavoidable)	Not Applicable	There are no such projects where physical displacements of communities or people are necessary or relevant.
9.7a Local Communities (rights and interests)	Conformance	The Entity's community engagement and CSR reporting guidelines demonstrate respect to legal and customary rights and interests of local communities.
9.7b Local Communities (impacts)	Conformance	The Entity's Code of Conduct clearly states that the Entity takes appropriate steps to prevent and address any adverse impact on local community. There is a close cooperation with the community through direct meetings with Vefsn municipality and "Distriktsutvalget" (District committee/panel).
9.7c Local Communities (livelihoods)	Conformance	The Entity has a proactive approach of working with local communities and neighbourhood organizations to improve and support mutual interests. The organisation explore with the local Community opportunities to respect and support their livelihoods through for instance communication with the community and local schools, sports clubs and NGOs.
9.8 Conflict-Affected and High-Risk Areas	Not Applicable	Alcoa Mosjøen is located in Norway, a country where armed conflict or Human Rights abuses in Conflict-Affected and High-Risk Areas is not relevant.
9.9 Security practice	Conformance	The Facility has established good practices in this area. Security staff work according to the Alcoa Code of Conduct as all employees. Security staff are also trained on site, they are employed by Alcoa and this activity is not outsourced.

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10.1a Freedom of Association and Right to Collective Bargaining (freedom of association)	Conformance	<p>Freedom of Association and Right to Collective Bargaining is well organised in the Norwegian society. There are long traditions on cooperation and strong labour rights legislation implemented. The Entity has implemented a Human Rights Policy committing to freedom of Association and Right to Collective Bargaining.</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-en.pdf</p> <p>All trade unions present at the entity are included in cooperation and bargaining with the management.</p>
10.1b Freedom of Association and Right to Collective Bargaining (collective bargaining)	Conformance	<p>Freedom of Association and Right to Collective Bargaining is well organised in the Norwegian society. There are long traditions on cooperation and strong labours' rights legislation implemented. The Entity has implemented a Human Rights Policy committing to freedom of Association and Right to Collective Bargaining.</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-en.pdf</p> <p>All trade unions present at the plant are included in cooperation and bargaining with the management.</p>
10.1c Freedom of Association and Right to Collective Bargaining (alternative means)	Not Applicable	<p>The criterion is not applicable since Freedom of Association and Right to Collective Bargaining is well organised in the Norwegian society and is regulated by law.</p>
10.2a Child Labour (minimum age)	Conformance	<p>There is no employment of workers under the age of 17 years. The Entity Human Rights Policy and Code of Conduct both prohibit the use of child labour.</p>
10.2b Child Labour (hazardous)	Conformance	<p>There is no employment of workers under the age of 17 years. The Entity Human Rights Policy and Code of Conduct both prohibit the use of child labour.</p>
10.2c Child Labour (worst forms)	Conformance	<p>There is no employment of workers under the age of 17 years. The Entity Human Rights Policy and Code of Conduct both prohibit the use of child labour.</p>

CRITERION	RATING	COMMENT
10.3a Forced Labour (human trafficking)	Conformance	The Entity does not participate in or support human trafficking, either directly or through any employment or contracting agencies. A Human Rights Policy is implemented and contractors are regularly followed up through supplier audits and questionnaires.
10.3b Forced Labour (deposits, fees, advances)	Conformance	There is no requirement in any labour agreement, employee handbook or agreement with a recruiting firm that requires the employees to pay any type of fee or advance. This practice is not allowed by the National regulation. No incidents were found at the entity site. No deposits are held, no recruitment fees are paid.
10.3c Forced Labour (migrant workers)	Conformance	No incidents were found at the entity sites. No migrant workers are hired.
10.3d Forced Labour (debt bondage)	Conformance	No incidents were found at the entity sites.
10.3e Forced Labour (freedom of movement)	Conformance	No incidents were found at the entity sites. Workers are free to leave their working places
10.3f Forced Labour (retention of identity papers, permits, certificates)	Conformance	No original identity papers are kept by the entity.
10.3g Forced Labour (freedom to terminate employment)	Conformance	Conditions of termination of working contracts are defined by law, collective bargaining agreements and described in personal worker contracts.
10.4 Non-Discrimination	Conformance	No discrimination was found during audits and interviews at the entity's sites. The Entity has developed and implemented an Equal Employment Opportunity Policy addressing zero tolerance to discrimination and a Human Rights Policy available on the web: https://www.alcoa.com/global/en/careers/pdf/Alcoa-EEO.pdf https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy.asp
10.5 Communication and engagement	Conformance	The Entity has an open and inclusive communication between management, workers and union. The entity has an open and inclusive communication with systems in place to raise concerns, report non-conformities and for improvement suggestions.

CRITERION	RATING	COMMENT
		Open meetings for all employees is held regularly by the plant management. Several committees, for instance Occupational Health Committee and union-management joint committee, have regular meetings.
10.6 Disciplinary practices	Conformance	Alcoa corporate standard, values and code of conduct are important guidance and rules related to disciplinary practice. https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/code-conduct/Code_Conduct_English.pdf page 9, 12 and 13. In addition the local company regulations and national legislation through the Working Environmental Act are complied with, as required to comply with the ASI Performance Standard requirement.
10.7a Remuneration (living wage)	Conformance	The Entity pays wages according to agreements with appropriate Labor Unions. The workers interviewed expressed general satisfaction with the salary levels at the entity. A tariff agreement between management and unions exists.
10.7b Remuneration (method of payment)	Conformance	Payments of wages are conducted monthly in a punctual manner. All workers are getting payslips with payments details.
10.8 Working Time	Conformance	Different shift models are in place in the Entity. These are approved by collective agreements and local authorities. The entity follows closely and has good systems in place to follow overtime use. Public holidays and Annual leave are remunerated according to Norwegian law.
PRINCIPLE 11 OCCUPATIONAL HEALTH AND SAFETY		
11.1a Occupational Health and Safety (OH&S) Policy (policy)	Conformance	The entity has developed, implemented and communicated a Health and Safety Policy endorsed and supported by senior management through provision of resources.
11.1b Occupational Health and Safety (OH&S) Policy (workers and visitors)	Conformance	The Entity Policy on Health and Safety is communicated in several ways. For instance, visually on boards and through training and contracts with external stakeholders. A Safety video is mandatory to view for all contractors and visitors entering the site. A management system, called INOSA, secure the implementation and communication of the policy.

CRITERION	RATING	COMMENT
11.1c Occupational Health and Safety (OH&S) Policy (applicable law and standards)	Conformance	The entity Policy on Health and Safety addresses that safe work always is most important, as well as a commitment to comply with all Applicable Laws and regulations. https://www.alcoa.com/sustainability/en/pdf/EHS-Values-Policy-Principles.pdf
11.1d Occupational Health and Safety (OH&S) Policy (right to stop unsafe work)	Conformance	The entity Policy on Health and Safety addresses the importance that safe work always is most important and all have the right to understand the hazards and safe practices of their work, and the authority to refuse or stop unsafe work. The policy and values are available on the web: https://www.alcoa.com/sustainability/en/pdf/EHS-Values-Policy-Principles.pdf https://www.alcoa.com/global/en/who-we-are/values/default.asp
11.2 OH&S Management System	Conformance	The Entity has a documented and implemented Occupational Health and Safety Management System that is in conformance with the Norwegian legislation "Internal control regulations".
11.3 Employee engagement on health and safety	Conformance	The Entity follows good industry practice on occupational health and safety with close cooperation with management and the employees. Several committees on health and safety are implemented. Health and safety is always the first point on the agenda in all meetings.
11.4 OH&S performance	Conformance	The Entity evaluates its occupational health and safety performance regularly and several KPIs (Key Performance Indicators) are addressed on occupational health and safety. The Entity has several tools for evaluation of performance and continuously improve.

Document Control and Version History

Revision	Date	Notes
0	6 February 2020	Issued (Full Certification)