
ASI CERTIFICATION
PERFORMANCE
STANDARD



PRESENTED TO

**ALCOA -
ALUMINERIE DE
BÉCANCOUR INC.**

CERTIFICATE
NUMBER

147

ASI
STANDARD

PERFORMANCE
STANDARD
(V2 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI
ACCREDITED
AUDITOR

DNV
BUSINESS
ASSURANCE
SERVICES
UK LTD.

DATE OF ISSUE

10 AUGUST 2021

DATE OF EXPIRY

9 AUGUST 2024

CERTIFIED SINCE

10 AUGUST 2021

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

*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

Aluminum Smelting, Casthouse and administrative
associated facilities at Aluminerie de Bécancour
Inc. (Canada).

SUMMARY AUDIT REPORT PERFORMANCE STANDARD

OVERVIEW

MEMBER NAME	Alcoa Corporation
ENTITY NAME	Alcoa - Aluminerie de Bécancour Inc.
CERTIFICATION SCOPE	Aluminum Smelting, Casthouse and administrative associated facilities at Aluminerie de Bécancour Inc. (Canada).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">Aluminium SmeltingCasthouses
ASI STANDARD	<ul style="list-style-type: none">Performance Standard V2
AUDIT TYPE	<ul style="list-style-type: none">Initial Certification Audit
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	1 – 3 June 2021
AUDIT REPORT SUBMISSION	17 July 2021
AUDIT SCOPE	<p>The audit scope included Aluminum Smelting, Casthouse and administrative associated facilities at Alcoa - Aluminerie de Bécancour Inc. (Canada).</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">Aluminium SmeltingCasthouses <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

10 August 2021 – 9 August 2024

NEXT AUDIT
TYPE

Re-Certification Audit

NEXT AUDIT
DUE DATE

9 August 2024

CERTIFICATE
NUMBER

147

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
PRINCIPLE 1 BUSINESS INTEGRITY		
1.1 Legal Compliance	Conformance	Alcoa's Legal department consists of in-house counsel who are qualified lawyers in the main jurisdictions where Alcoa has operations and are responsible for maintaining awareness and, together with Alcoa's Ethics & Compliance organization, for ensuring compliance with applicable laws.
1.2 Anti-Corruption	Conformance	To ensure fighting against corruption, Alcoa has established and implemented a Code of Conduct and an Anti-Corruption Program and Policy that can be accessed on Alcoa website: https://www.alcoa.com/global/en/who-we-are/ethics-compliance Employees most exposed follow specific training courses offered by the corporation. An integrity line to denounce practices that do not meet the Code of Conduct and/or the Anti-Corruption program is in place and published to the following link: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/integrity-line
1.3 Code of Conduct	Conformance	The Alcoa Code of Conduct is a corporate policy covering business integrity, business activities, conflicts of interest, anti-corruption, relations with customers and suppliers, and compliance with Human Rights. The Code of Conduct is reviewed regularly and is available in English and French at the following link: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct.asp
PRINCIPLE 2 POLICY & MANAGEMENT		
2.1a Environmental, Social, and Governance Policy (implement and maintain)	Conformance	The Health, Safety and Environment Policy has been defined and endorsed by the plant manager. Corporate EHS Policy is an independent part of the ISO 14001:2015 Environmental Management System. The policies are set out in various places in the factory. The policy integrates the EHS, social and governance aspects. The policy is accessible via the Alcoa Bécancour portal and can be found in the quality manual. The EHS Policy can also be consulted at:

CRITERION	RATING	COMMENT
		https://www.alcoa.com/global/en/who-we-are/ethics-compliance/ehs-vision-values-mission-and-policy
2.1b Environmental, Social, and Governance Policy (senior management)	Conformance	<p>The Corporate Governance Guidelines define the way Alcoa Corporation does business. It starts with its Values and Business Conduct Policies. In addition, a specific Committee of the Board has been formed to provide guidance on matters relating to the Company's corporate and social responsibility, including but not limited to safety and health, good corporate citizenship, environmental sustainability, and social issues.</p>
2.1c Environmental, Social, and Governance Policy (communication)	Conformance	<p>Alcoa's policies and procedures related to Environmental, Social and Governance aspects are mainly communicated externally through their website, contracts and internally through their hiring processes. For policies please see: http://investors.alcoa.com/corporate-governance/governance-documents https://www.alcoa.com/global/en/who-we-are/values/default.asp https://www.alcoa.com/sustainability/en/environment-health-safety.asp https://www.alcoa.com/global/en/who-we-are/ethics-compliance/default.asp</p>
2.2 Leadership	Conformance	<p>The Entity's General Manager, as leader for ASI certification, has overall responsibility and authority to ensure conformity with ASI requirements. The role regularly informs all employees on the importance of certification and is supported by other managers.</p>
2.3a Environmental and Social Management Systems (environmental)	Conformance	<p>The Entity has a documented and mature Environmental Management System that is ISO 14001:2015 certified.</p>
2.3b Environmental and Social Management Systems (social)	Conformance	<p>The Entity has implemented a Social Management System that identifies each social stakeholder, assesses social and community impacts to them and draws up projects and strategies to address them.</p> <p>A Community Consultation Committee is in place to ensure identification of stakeholders needs and expectations and the Entity activities impacts on them. The Alcoa fund is available to help social and community projects. Details can be found at the following link: https://www.alcoa.com/canada/fr/engagement/fund</p>

CRITERION	RATING	COMMENT
2.4 Responsible Sourcing	Conformance	Alcoa has implemented an effective responsible sourcing policy and procedures covering environmental, social and governance issues. Alcoa's Supplier Standards are publicly available at: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/Supplier_Standards.pdf
2.5 Impact Assessments	Conformance	Alcoa has developed environmental aspects and impacts assessments in all plants. The methodology is based on ISO 14001:2015. All major projects must go through an impact study according to regulatory requirements. These impact studies must include environmental, social and economic impact assessment of the project. Any capital expenditure (CAPEX) project goes through a documented Health-Safety Environment review process that include social, cultural and stakeholders impact assessment. No major changes have taken place since the start of Entity activities.
2.6 Emergency Response Plan	Conformance	An effective Emergency Response Plan is in place, which has been informed by stakeholder consultation and meets regulatory requirements.
2.7 Mergers and Acquisitions	Conformance	Alcoa has set a corporate process to Mergers and Acquisitions, and Divestitures and a Strategy for New Country Entry. Part of these processes is to conduct a Due Diligence on buyers/sellers that incorporates Environmental, Social and Governance aspects.
2.8 Closure, Decommissioning and Divestment	Conformance	Alcoa implemented and maintains an Environment, Health and Safety Assessments of Prospective Acquisitions and Divestitures process through its Environmental Management System.
PRINCIPLE 3 TRANSPARENCY		
3.1 Sustainability Reporting	Conformance	The Entity provides monthly data to the corporate body in regards with its financial, environmental, social and governance performance. The corporate team compile and publish the results through an annual Sustainability Report. This report is available on the Alcoa website at the following link: https://www.alcoa.com/sustainability/en
3.2 Non-compliance and liabilities	Conformance	Alcoa Corporation's annual and quarterly reports are publicly available on the Company website, and discloses the Company's fines, judgments,

CRITERION	RATING	COMMENT
		penalties and non-monetary sanctions for failure to comply with applicable law, to the extent material, any fines, judgments, penalties and non-monetary sanctions. Please see the link: http://investors.alcoa.com/sec-filings
3.3a Payments to governments (legal and contractual)	Conformance	<p>All payments to governments are taxes or tributes and are reported in the Annual Report, available on the website: https://alcoa.q4cdn.com/375357455/files/doc_financials/2020/ar/Alcoa-2020-Annual-Report-Final-Bookmarked.pdf</p> <p>For Alcoa Bécancour, only the payments required by regulation are made (such as authorization request, payment of sanitation certificate fees, payment of water withdrawal rights). Payments related to withholding taxes and employer contributions are managed by Alcoa Canadian Shared Services.</p>
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	<p>The Entity has implemented an accessible, transparent, understandable and culturally and gender sensitive Complaints Resolution Mechanism, adequate to address stakeholder complaints, grievances and requests for information relating to its operations. https://www.alcoa.com/global/en/who-we-are/ethics-compliance/integrity-line.asp</p>
PRINCIPLE 4 MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment (life cycle impacts)	Conformance	<p>Alcoa currently has a certified Environmental Product Disclosure (EPD) for the low-carbon product Ecolum. A Life Cycle Assessment (LCA) was conducted to support the EPD and is cradle to gate including impacts from the raw material supply, transportation to the manufacturer and manufacturing stages.</p> <p>Alcoa also have a copy of the 2015 IAI Life Cycle Assessment report, and the US Aluminum Association EPD for Primary Aluminum Ingot. These are both cradle to gate assessments, and includes bauxite and alumina inputs.</p> <p>Alcoa has developed a LCA for bauxite and alumina as well.</p> <p>Alcoa Bécancour. is aware that an LCA has been conducted to support EPD and it is cradle to gate. Alcoa Bécancour is included in this LCA. This includes the impacts of raw material sourcing,</p>

CRITERION	RATING	COMMENT
		<p>transportation to the manufacturer, and manufacturing steps.</p> <p>A copy of the Primary Aluminum Ingot Life Cycle Assessment Report is available. These are both cradle-to-gate ratings, and include bauxite and alumina inputs.</p>
4.1b Environmental Life Cycle Assessment (cradle to gate)	Conformance	<p>Customers are free to request the Life Cycle Assessment (LCA)/ Environmental Product Disclosure (EPD) to Alcoa. The EPD is also available online through the UL website at: https://spot.ul.com/main-app/products/detail/5ad1f04355b0e82d946abb93?page_type=Products%20Catalog</p> <p>It is also referred in the Sustainability Report at: https://www.alcoa.com/sustainability/en/pdf/2020-Sustainability-Report.pdf</p> <p>Alcoa has developed a LCA for Bauxite and Alumina considering a cradle-to-gate approach and customers can request this information.</p>
4.1c Environmental Life Cycle Assessment (public communication)	Conformance	<p>Marketing materials for Ecolum reference the Environmental Product Disclosure (EPD). The Alcoa Sustainability Report also includes a link to the EPD, available at: https://www.alcoa.com/sustainability/en/pdf/2020-Sustainability-Report.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 managers take into account the reintroduction of waste in ovens. The computerized inventory takes into account, in the preparation of the furnaces, for example the various scrap available which could be added according to their specifications, and the alloys in the furnaces. Technical information can be added to the castings.</p> <p>Scrap collection is monitored daily via a KPI available at all times with the objective of minimizing the production of scrap. Additionally, another KPI is in place to track the reduction in scrap inventory.</p> <p>A plan is in place with the operators to reintroduce the waste.</p>
4.3b Aluminium Process Scrap (alloy separation)	Conformance	<p>A complete computerized scrap inventory is available to provide the alloy, weight and size of each ingot. Tools are also available to validate the compatibility of the ingot in inventory versus the casting in progress.</p>

CRITERION	RATING	COMMENT
		<p>The Alcoa system records all the information related to the arrival of metal, the castings to be made, the available inventory and possible adjustments.</p> <p>There are also separate storage areas to prevent mistakes.</p> <p>Support is also given to all suppliers for any concerns or for general questions regarding Alcoa's Supplier Standards through the contact: SupplierSustainability@alcoa.com</p>
4.4a Collection and recycling of products at end-of-life (strategy)	Conformance	<p>All of the smelting/casthouses operations are Primary Casthouses and are very far away from end consumers and, therefore, end-of-life management. Between Alcoa and final consumers, there are, at least, 3 to 4 other manufacturers.</p> <p>However, Alcoa is pushing end-of-life recycling through global external activities. They have been member of The Recycling Partnership, the biggest aluminium recycling organization in North America for many years. Alcoa Foundation has been a founding partner and contributed financially on an annual basis to their recycling programs, focused on post-consumer recycling all across the US. Details are available at: https://recyclingpartnership.org/funding-partners/</p>
4.4b Collection and recycling of products at end-of-life (engagement)	Conformance	<p>Alcoa is pushing end-of-life recycling through global external activities. They have been members of The Recycling Partnership, the biggest aluminium recycling organization in North America for many years. Alcoa Foundation has been a founding partner and contributed financially on an annual basis to their recycling programs, focused on post-consumer recycling all across the US. Detailed are available at: https://recyclingpartnership.org/funding-partners/</p>
PRINCIPLE 5 GREENHOUSE GAS EMISSIONS		
5.1 Disclosure of GHG emissions and energy use	Conformance	<p>GHG emissions are publicly reported in three places:</p> <p>1 - Alcoa corporate for the Sustainability Report: https://www.alcoa.com/sustainability/en/pdf/2020-Sustainability-Report.pdf</p> <p>2- To the National Pollutant Release Inventory (NPRI), at the Canadian Federal Level.</p> <p>3 - The Québec Atmospheric Emissions Inventory (IQÉA).</p> <p>These three entities require different calculations and emission factors.</p>

CRITERION	RATING	COMMENT
		Calculations used for the annual provincial return are verified annually by a third party.
5.2 GHG emissions reductions	Conformance	<p>Alcoa has set itself GHG targets that are published annually in the Sustainability Report at the following link: https://www.alcoa.com/sustainability/en/pdf/2020-Sustainability-Report.pdf</p> <p>The Aluminum Smelter has set itself time-bounded targets for greenhouse gases and a goal of anode effect minutes per tank day. The GHG data and objectives are monitored monthly by the management committee. Actions related to these objectives are included in the operational plan. The externally published Sustainability Report includes both direct and indirect emissions.</p>
5.3a Aluminium Smelting (management system)	Conformance	<p>Site specific procedures are available to demonstrate how PFC emissions, carbon consumption, and fuel efficiency are controlled locally.</p> <p>There are processes in place to ensure that GHG performance is maintained.</p>
5.3b Aluminium Smelting (up to and including 2020)	Conformance	<p>Third party certification of Scope 1 and 2 emissions includes site roll-up of data. GHG emissions are already under 8 tonnes CO₂-eq per metric tonne Aluminium.</p>
5.3c Aluminium Smelting (after 2020)	Not Applicable	Not applicable. Alcoa Bécancour commenced activities in 1986.
PRINCIPLE 6 EMISSIONS, EFFLUENTS AND WASTE		
6.1 Emissions to Air	Conformance	<p>An inventory of air pollutant emissions exists. Emissions are reported annually according to provincial requirements and federal requirements. At the corporate level, certain programs are reported at monthly or quarterly frequencies, and certain data are automatically collected by the corporate body from production database.</p>
6.2 Discharges to Water	Conformance	<p>A sanitation certificate regulates the wastewater from the plant. This certificate defines the rejection standards, the rejection monitoring requirements including the parameters, measurement and sampling frequencies. All the results (water discharge) are entered into the PRRI monitoring file provided by the Ministry of the Environment and the Fight Against Climate Change (MELCC). This file is submitted to</p>

CRITERION	RATING	COMMENT
		MELCC every month. In the event that standards or criteria are exceeded, government authorities are informed and Alcoa must analyze the situation and put corrective measures in place.
6.3a Assessment and Management of Spills and Leakage (assessment)	Conformance	The Entity conducts assessments of major risk areas of operations where spills and leakage may contaminate air, water and/or soil.
6.3b Assessment and Management of Spills and Leakage (management)	Conformance	<p>The Entity holds a valid ISO 14001 certificate, has completed risk assessments of spill and leakage potential, has an inventory of chemical and product storage with contamination potential. The Entity has an emergency plan and communication protocol.</p> <p>The Entity defines through the emergency plan how and when to report a spill including to governmental authorities.</p> <p>The Entity has an incident recording and monitoring procedure and adequate training on the prevention and control of spills.</p>
6.4a Reporting of Spills (immediate disclosure)	Conformance	The Entity has procedures in place to disclose to affected parties the volume, type and potential impact of significant spills immediately after an incident. Evidence shows these procedures are followed in the event of an incident.
6.4b Reporting of Spills (regular reporting)	Conformance	<p>The Entity publicly discloses impact assessments of the spills and remediation actions taken, and reports publicly on an annual basis in the Alcoa Sustainability Report, available at the following link:</p> <p>https://www.alcoa.com/sustainability/en</p>
6.5a Waste management and reporting (strategy)	Conformance	The Entity implements a waste management plan that is designed in accordance with the Waste Mitigation Hierarchy.
6.5b Waste management and reporting (disclosure)	Conformance	<p>The Entity has disclosed to the Ministry of Environment, on an annual basis, the quantity of Hazardous and Non-Hazardous Waste generated by the Entity, and associated waste disposal methods. The quantity of hazardous and non-hazardous waste and associated disposal methodology is published at the corporate level in the Sustainability Report available at the following link:</p> <p>https://www.alcoa.com/sustainability/en</p>
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 (state 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 an SPL storage building, where SPL is stored prior to shipment. The storage is inspected quarterly in line with legal requirements.
6.7b Spent Pot Lining (SPL) (recovery and recycling)	Conformance	The SPL management plan defines the management of spent pot lining (SPL) reduction from source to disposal. The SPL management plan aims at reducing the disposal of SPL at landfill. Operational activities are optimized to minimize the production of buried residues to make it possible to segregate the carbon and the refractory part at the source, allowing the Entity to manage them separately. Recycling avenues for SPL are frequently assessed.
6.7c Spent Pot Lining (SPL) (Untreated SPL)	Conformance	The Alcoa standard for SPL forbids the landfilling of untreated SPL and the Entity's SPL management program ensures it complies. Supplier audits and environmental permit validation are performed to ensure all SPL are treated before being landfilled.
6.7d Spent Pot Lining (SPL) (review of alternatives)	Conformance	The SPL management program of the Entity details the current situation of SPL recycling opportunities for landfill alternatives. Recycling processes are assessed and the management program is updated at least annually.
6.7e Spent Pot Lining (SPL) (marine and aquatic environments)	Conformance	The SPL management program of the Entity defines the storage and disposal requirements to ensure no SPL is discharged into marine or aquatic environments. The government operation permit defines specific and strict legal requirements regarding the storage and disposal of SPL.

CRITERION	RATING	COMMENT
6.8a Dross (recovery)	Conformance	The Entity currently maximises the recovery of aluminium by treatment of dross and dross residues. More than 50% of metal inside dross are recycled.
6.8b Dross (recycling)	Conformance	The Entity currently maximises the recovery of aluminium by treatment of dross and dross residues. More than 50% of metal inside dross are recycled.
6.8c Dross (review of alternatives)	Conformance	The Entity facility is considering dross residue recycling projects and targets on dross reduction and recycling are established. Regarding the recycling of dross internally, it is planned to carry out a small-scale test to validate certain parameters of the recycling of alloyed dross. Alcoa Bécancour is constantly reviewing for possible improvement to reduce dross burial.
PRINCIPLE 7 WATER STEWARDSHIP		
7.1a Water assessment (mapping)	Conformance	The Entity defines a water balance sheet which identify and map each source of water, its use as well as all discharge points.
7.1b Water assessment (risk assessment)	Conformance	The Entity's area of influence and the watershed impacted are identified in the biodiversity report. Risks related to the water withdrawal and use on the watershed, specific to the facility activities have been assessed.
7.2a Water management (management plans)	Conformance	The water management plan identifies projects that could lead to water consumption reduction. Alcoa Bécancour prepares annual water consumption declaration based on monthly reading as required by regulation.
7.2b Water management (monitoring)	Conformance	Monitoring of water consumption is done periodically at plant entry points and by reading flowmeters on the main consuming processes.
7.3 Disclosure of water usage and risks	Conformance	Under the Quebec Water Act, the water withdrawal of the Entity must be reported to the government annually. Detailed water metrics that contain water withdrawal, usage and discharge type are reported to Corporate on a quarterly basis. Annually, Alcoa disclose all water usage in

CRITERION	RATING	COMMENT
		Alcoa's Sustainability Report available at the following link: https://www.alcoa.com/sustainability/en
PRINCIPLE 8 BIODIVERSITY		
8.1 Biodiversity assessment	Conformance	A detailed biodiversity risk assessment has been conducted based on Entity's land use and activities to assess their impact on the identified area of influence.
8.2a Biodiversity management (biodiversity action plans)	Conformance	An action plan has been developed to protect biodiversity following the completion of the risk analysis. To carry out the risk analysis, Alcoa Bécancour consulted specialists at the Ministry of the Environment. The actions involve minimizing discharges of atmospheric emissions and minimizing contamination of water discharges into the river.
8.2b Biodiversity management (consultation and mitigation hierarchy)	Conformance	The action plan to protect biodiversity indicates Alcoa Bécancour's area of influence as well as sensitive species or environments. It also summarizes the legal requirements in this area. The action plan has been presented to external and internal stakeholders in order to obtain their comments on the risk analysis carried out and on the means to be taken to protect it by following the hierarchy of actions.
8.2c Biodiversity management (reporting)	Conformance	The results of the monthly monitoring for the biodiversity action plan are provided to the Quebec Ministry of the Environment. An Atlas of water is then established by the government which is public and which everyone can consult: https://www.environnement.gouv.qc.ca/eau/atlas/index.htm With the results provided by Alcoa Bécancour. to the National Pollutant Release Inventory (NPRI), the federal government has posted a public consultation link on several air contaminants accessible to all: https://indicators-map.canada.ca/App/CESI_ICDE?keys=AirEmissions_GHG&GoCTemplateCulture=en-CA
8.3 Alien Species	Conformance	Maritime transport is considered to be the route with the greatest potential for the introduction of invasive alien species by ship transporting coke and alumina.

CRITERION	RATING	COMMENT
		International ships operating in Canadian waters are subject to laws and regulations relating to ballast water management However, no potential introduction of Alien Species that could have significant adverse impacts on biodiversity has been identify within the area of influence and activities of the Entity.
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.
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	Alcoa has a Human Rights Policy which is publicly available on its website at the following link: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy
9.1b Human Rights Due Diligence (process)	Conformance	A Human Rights Due Diligence was performed and documented following the model established by the Danish Institute for Human Rights. It seeks to identify, prevent, mitigate and account for any issues that may need to be addressed. According to the outcome of the due diligence performed, no human rights issues are identified. A due diligence process is performed and reports periodically to the Executive Team on the progress.
9.1c Human Rights Due Diligence (remediation)	Conformance	The Entity has policies that allow anyone who feels aggrieved to address their point and to ensure it is taken care of. At the time of the audit, no adverse impact on human rights had been raised nor identified. However, if this was the case, the due diligence and the project process identify and implement an action plan to mitigate any adverse effect on human rights.

CRITERION	RATING	COMMENT
9.2 Women's Rights	Conformance	<p>The Equal Employment Opportunity Policy is available on the Alcoa's website at the following link: https://www.alcoa.com/global/en/careers/pdf/Alcoa-EEO.pdf</p> <p>Over the last years, the strategy and affirmative action on gender equity was strengthened through the Alcoa Women's Network actions.</p> <p>The Entity also respects and applies the Charter of Rights and Freedoms of the government of Quebec.</p> <p>There are currently no charges or complaints regarding discrimination on the basis of sex. A diversity committee is also established that implements strategies to attract women to different positions as well as to have a work environment that is as inclusive as possible.</p>
9.3 Indigenous Peoples	Conformance	<p>The Entity has not identified any presence of Indigenous People within their area of influence. However, the Entity is maintaining periodic communication with the closest Indigenous community.</p>
9.4 Free, Prior, and Informed Consent (FPIC)	Conformance	<p>The Entity has not identified any presence of Indigenous People within their area of influence.</p>
9.5 Cultural and sacred heritage	Conformance	<p>The Entity carried out an impact study prior to the site's construction. The area of influence established at the time does not reach the closest Indigenous community, which is located 10 km from the limit of the industrial park.</p> <p>No sacred or cultural heritage sites and values are identified.</p>
9.6a Resettlements (avoid or minimise)	Conformance	<p>The Entity does assess alternatives to avoid or minimize community displacement in case of expansion or operation modification projects. These assessments consider the environmental, social, cultural and financial risks, impacts, costs and benefits, as well as remediation measures applied for all jurisdictions through different legal and/or internal processes.</p> <p>The Entity's operations have always taken place on the site which was defined at the start of operations. No expansions have been undertaken and the nature of the operations remained unchanged.</p>
9.6b Resettlements (where unavoidable)	Conformance	<p>There has been no resettlement since the establishment of the facility and therefore no situation where physical displacement occurred.</p>

CRITERION	RATING	COMMENT
		In such a situation, Alcoa Bécancour will perform a social and environmental impact study in consultation and in cooperation with the affected parties and develop a Resettlement Action Plan.
9.7a Local Communities (rights and interests)	Conformance	Alcoa has a Stakeholder Engagement Process that all locations are required to follow to ensure positive stakeholder relationships and effective means for resolving community concerns. Annually, locations must complete a Dashboard to indicate adherence to the plan, and complete an annual Stakeholder Engagement Plan. A Community Consultation Committee is established to ensure identification of any stakeholder interests or impact on their livelihoods.
9.7b Local Communities (impacts)	Conformance	The Entity takes appropriate steps to prevent and address any adverse impacts on local community livelihoods resulting from its activities.
9.7c Local Communities (livelihoods)	Conformance	The Entity has not identified any issues affecting local communities. However, the Entity is engaged in the community through various actions (Alcoa Foundation, Donations and Sponsorships and Fund for sustainable communities) to respect and support their livelihoods.
9.8 Conflict-Affected and High-Risk Areas	Conformance	Alcoa Corporation is committed to providing transparency into the supply chain, from original source to Alcoa, in accordance with applicable laws and regulations, including the U.S. Securities and Exchange Commission's conflict minerals rule implementing the Dodd-Frank Act to ensure it does not contribute to armed conflict or human rights abuses. Alcoa's Supplier Standards contains clauses with which suppliers need to comply and it is available at the following link: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/supplier-standards The Entity operates in a very stable democratic and political context.
9.9 Security practice	Conformance	The Entity and its private security contractors follow processes to ensure respect for human rights in line with recognised standards and good practices.

CRITERION	RATING	COMMENT
10.1a Freedom of Association and Right to Collective Bargaining (freedom of association)	Conformance	The Entity employees are unionized and working conditions are agreed between workers and employer through collective labor agreement. Freedom of Association is covered by provincial and federal laws.
10.1b Freedom of Association and Right to Collective Bargaining (collective bargaining)	Conformance	The Entity respects the rights of Workers to Collective Bargaining, and adheres to collective bargaining agreements where such agreements exist. A new collective agreement was concluded at the site in 2019.
10.1c Freedom of Association and Right to Collective Bargaining (alternative means)	Not Applicable	Freedom of Association and the Right to Collective Bargaining are covered by provincial and federal laws in Canada and strictly enforced.
10.2a Child Labour (minimum age)	Conformance	The Entity has policy's, codes of conduct and procedures in place to ensure no Child Labour as defined in ILO Conventions C138 and C182 and Canadian law.
10.2b Child Labour (hazardous)	Conformance	Human Rights Policy and Code of Conduct both prohibit the use of Child Labour. Procedures on site were seen to be effective therefore there is no opportunity for child labour hazardous working.
10.2c Child Labour (worst forms)	Conformance	Human Rights Policy and Code of Conduct both prohibit the use of Child Labour. Procedures on site were seen to be effective therefore there is no opportunity for children to be involved in the Worst Forms of Child Labour.
10.3a Forced Labour (human trafficking)	Conformance	The Entity's Human Rights policy and Code of Conduct are implemented effectively through site procedures as well as procurement procedures and third party checks. It does not engage in or support Human Trafficking either directly or through any employment or recruitment agencies.
10.3b Forced Labour (deposits, fees, advances)	Conformance	The Entity's Human Rights policy and Code of Conduct are implemented effectively through site procedures as well as procurement procedures and third party checks. No deposits or security payments are required at any time.
10.3c Forced Labour (migrant workers)	Conformance	The Entity's Human Rights policy and Code of Conduct are implemented effectively through site procedures as well as procurement procedures and third party checks. No workers are held in Debt Bondage or forced to work in order to pay off a debt.

CRITERION	RATING	COMMENT
10.3d Forced Labour (debt bondage)	Conformance	The Entity's Human Rights policy and Code of Conduct are implemented effectively through site procedures as well as procurement procedures and third party checks. There is no unreasonable restriction of the freedom of movement of Workers in the workplace. There is no on-site housing
10.3e Forced Labour (freedom of movement)	Conformance	The Entity's Human Rights policy and Code of Conduct are implemented effectively through site procedures as well as procurement procedures and third party checks. There is no retention of original copies of Workers' identity papers, work permits or travel documents. A training record is kept in a system workers can access and there are no restrictions on worker access.
10.3f Forced Labour (retention of identity papers, permits, certificates)	Conformance	The Entity's Human Rights policy and Code of Conduct are implemented effectively through site procedures as well as procurement procedures and third party checks. There is no retention of original copies of Workers' identity papers, work permits or travel documents. A training record is kept in a system workers can access and there are no restrictions on worker access.
10.3g Forced Labour (freedom to terminate employment)	Conformance	The Entity's Human Rights policy and Code of Conduct are implemented effectively through site procedures and Workers have the freedom to terminate their employment at any time without penalty, given notice of reasonable length.
10.4 Non-Discrimination	Conformance	The Entity has policies, a Code of Conduct, programs and procedures in place that effectively ensure equal opportunities and it does not engage in or support discrimination in hiring, salary, promotion, training, advancement opportunities or termination of any worker.
10.5 Communication and engagement	Conformance	The employees committee and the Entity as well as operating procedures and culture ensure open communication and direct engagement with Workers and their representatives regarding working conditions and resolution of workplace and compensation issues, without threat of reprisal, intimidation or harassment.
10.6 Disciplinary practices	Conformance	The Entity has policies, a Code of Conduct and procedures in place to ensure no corporal punishment, mental or physical coercion, harassment, and gender-based violence including sexual harassment, or verbal abuse of Workers.

CRITERION	RATING	COMMENT
10.7a Remuneration (living wage)	Conformance	The Entity's policy, Code of Conduct and procedures are effective in ensuring the rights of Workers to a living wage and ensuring that wages paid for a normal working week shall always meet at least a legal or industry minimum standard and are sufficient to meet the basic needs of Workers and to provide some discretionary income.
10.7b Remuneration (method of payment)	Conformance	The Entity makes wage payments that are timely, in legal tender and fully documented.
10.8 Working Time	Conformance	The Entity complies with Applicable Law and industry standards on Working Time (including Overtime working hours), public holidays and paid annual leave.
PRINCIPLE 11 OCCUPATIONAL HEALTH AND SAFETY		
11.1a Occupational Health and Safety (OH&S) Policy (policy)	Conformance	<p>An up to date local EHS Policy is signed by the Plant Manager.</p> <p>The EHS Policy (health, safety, environment) discloses the values and commitments of management, particularly with regard to health and safety at work. It applies to plant personnel but also to subcontractors, various stakeholders and visitors. In order to implement its commitments, management has put in place an organizational and operational structure.</p> <p>The policy is implemented and communicated through several activities.</p> <p>The EHS Policy is reviewed annually and approved by management.</p> <p>The EHS Policy can be consulted at: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/ehs-vision-values-mission-and-policy</p>
11.1b Occupational Health and Safety (OH&S) Policy (workers and visitors)	Conformance	<p>The EHS Policy is posted at many places in the plant, including at the reception where each person or visitor who arrive on the site can consult it.</p> <p>The EHS Policy is available to external workers through the sub-contractor management system.</p> <p>As anybody who circulate on the site, Contractors have to completely apply and respect the EHS Policy.</p> <p>The EHS Policy is also publicly available at: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/ehs-vision-values-mission-and-policy</p>

CRITERION	RATING	COMMENT
11.1c Occupational Health and Safety (OH&S) Policy (applicable law and standards)	Conformance	The EHS Policy states that Alcoa complies with laws and set even higher standards for themselves and their suppliers. The EHS Policy is available at: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/ehs-vision-values-mission-and-policy
11.1d Occupational Health and Safety (OH&S) Policy (right to stop unsafe work)	Conformance	The EHS Policy specifically states that Workers have the right of refusal. The EHS Policy can be consulted at: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/ehs-vision-values-mission-and-policy
11.2 OH&S Management System	Conformance	Alcoa Bécancour has a Health and Safety Prevention program for the management of occupational health and safety. This document is a legal requirement and meets Province of Quebec regulation.
11.3 Employee engagement on health and safety	Conformance	Each sector of Alcoa Bécancour. has an occupational health and safety committee in which employees discuss, raise and correct issues relating to occupational health and safety. These committees meet periodically. In addition to these sector committees, there is a Global Plant health and safety committee on which all the health and safety committees participate.
11.4 OH&S performance	Conformance	Close monitoring of health and safety results is carried out every week by the management committee. Several tools help to track data and make them available to employees. Prevention activities are also monitored and help target actions to be taken to improve employee health and safety. A schedule is put in place every two years to evaluate each Health and Safety protocol. Critical protocols are evaluated every year.

Document Control and Version History

Revision	Date	Notes
0	11 August 2021	Initial Certification Audit (Full Certification)