
ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

ARCONIC

CERTIFICATE
NUMBER

60

ASI
STANDARD

PERFORMANCE
STANDARD
(V2 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI
ACCREDITED
AUDITOR

DNV
BUSINESS
ASSURANCE
SERVICES UK
LTD.

DATE OF ISSUE

20 DECEMBER 2019

DATE OF EXPIRY

19 DECEMBER 2022

CERTIFIED SINCE

20 DECEMBER 2019

AUTHORISED BY

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

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

Arconic Corporate Center, USA: Corporate governance, environmental and social processes set to support the manufacturing sites. Centralized ESG supplier assessments.

Samara, Russia: Casthouse and Aluminium Products fabrication.

Kofem, Hungary: Cast house and Aluminium Product fabrication.

Bohai, China: Casthouse and Aluminium Product fabrication.

SUMMARY AUDIT REPORT

PERFORMANCE STANDARD

OVERVIEW

MEMBER NAME	Arconic
ENTITY NAME	Arconic Corporation
CERTIFICATION SCOPE	<p>Arconic Corporate Center, USA: Corporate governance, environmental and social processes set to support the manufacturing sites. Centralized ESG supplier assessments.</p> <p>Samara, Russia: Casthouse and Aluminium Products fabrication.</p> <p>Kofem, Hungary: Casthouse and Aluminium Product fabrication.</p> <p>Bohai, China: Casthouse and Aluminium Product fabrication.</p>
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">• Casthouses• Semi-Fabrication• Material Conversion (Production and Transformation)
ASI STANDARD	<ul style="list-style-type: none">• Performance Standard V2
AUDIT TYPE	<ul style="list-style-type: none">• Initial Certification Audit (30 October – 29 November 2019)• Scope Change Audit (28 November 2019 – 10 January 2020)• Scope Change Audit (2 – 4 November 2020)• Surveillance Audit (9 – 10 June (Remote) and 6 – 7 July 2021 (On-site))
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none">• 30 October – 29 November 2019 (Initial Certification Audit)• 28 November 2019 – 10 January 2020 (First Scope Change Audit)• 2 – 4 November 2020 (Second Scope Change Audit)• 9 – 10 June 2021 (Remote) and 6 – 7 July 2021 (On-site) (Surveillance Audit)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">• 26 November 2019 (Initial Certification Audit)• 14 February 2020 (First Scope Change Audit)• 18 December 2020 (Second Scope Change Audit)• 16 November 2021 (Surveillance Audit)
AUDIT SCOPE	<p><u>Initial Certification Audit (30 October – 29 November 2019)</u></p> <p>The audit scope covered the activities at the Arconic Inc. Corporate Center in Pittsburgh, United States and Arconic Samara, Russia.</p>

Supply chain activities included in the audit scope:

- Casthouses
- Semi-Fabrication
- Material Conversion

All applicable criteria in the ASI Performance Standard were included in the audit scope.

First Scope Change Audit (28 November – 10 January 2020)

The audit scope covered the activities at Arconic-Kőfém, Hungary and Arconic Itapissuma, Brazil.

Supply chain activities included in the audit scope:

- Casthouses
- Semi-Fabrication
- Material Conversion

All applicable criteria in the ASI Performance Standard were included in the audit scope.

Second Scope Change Audit (2 – 4 November 2020)

The audit scope covered the activities at Arconic Bohai, China.

Arconic Itapissuma was removed from the certification scope as part of this second scope change audit.

Supply chain activities included in the audit scope:

- Casthouses
- Semi-Fabrication

All applicable criteria in the ASI Performance Standard were included in the audit scope.

Surveillance Audit (9 – 10 June (Remote) and 6 – 7 July 2021 (On-site))

The audit scope covered the Arconic Corporate Center, USA and Arconic Bohai, China.

Supply chain activities included in the audit scope:

- Casthouses
- Semi-Fabrication
- Material Conversion (Production and Transformation)

All applicable criteria in the ASI Performance Standard were included in the audit scope.

At the time of the audit access to all the sites was not possible, due to COVID-19 related travel restrictions. The audit of the Bohai site in China was undertaken on-site, whilst the Corporate Center in USA was audited as a 'desktop' exercise, in accordance with ASI Interim Policy regarding Audits, Audit-Related Travel and Coronavirus (v4), and included a remote review of relevant documentation.

- Certification

AUDIT METHODOLOGY DECLARATION	<p>The Auditors confirm that:</p> <ul style="list-style-type: none">• 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	20 December 2019 – 19 December 2022
NEXT AUDIT TYPE	Re-Certification Audit
NEXT AUDIT DUE DATE	19 December 2022
CERTIFICATE NUMBER	60

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
PRINCIPLE 1 BUSINESS INTEGRITY		
1.1 Legal Compliance	Conformance	<p>The Entity has systems in place to maintain awareness of and ensure compliance with Applicable Law. The Entity defines a compliant governance approach, including legal counsels in all regions where Arconic operates, maintenance of a Legal Registry and using external legal service providers for complementing in-house competencies.</p> <p>In addition, a robust compliance monitoring system at local locations was observed. This included a compliance register and monitoring system, regular communication to workers and contractors, compliance audits by local regulatory bodies and third-party ISO 14001 certification audits (Bohai, China follows related requirements of ISO 14001 during operation although is not yet certified against ISO 14001).</p>
1.2 Anti-Corruption	Conformance	<p>The Entity has the required policies, procedures, training and Due Diligence to work against Corruption in all its forms, including Extortion and Bribery, consistent with Applicable Law and prevailing international standards. Arconic's Anti-Corruption Policy is available at:</p> <p>https://www.arconic.com/global/en/investors/anti-corruption-policy.asp</p> <p>As part of its Anti-Corruption and compliance system, Arconic implemented a robust Anti-Corruption risk management process, gift acceptance procedures and guidance on interactions with government officials. Training programmes, Anti-Corruption management systems and ethical and complaints mechanisms are effectively implemented.</p>
1.3 Code of Conduct	Conformance	<p>The Entity has implemented a Code of Conduct including principles relevant to environmental, social and governance performance. The Code of Conduct is reviewed regularly by management, training is provided to all employees during on-boarding and on an annual basis. Arconic's Code of Conduct is available via the link below in different languages:</p> <p>https://www.arconic.com/global/en/who-we-are/code-of-conduct.asp</p> <p>Employee training and employee awareness of the Code of Conduct and available grievance mechanisms were verified during local site visits to In-Scope Facilities.</p>
PRINCIPLE 2 POLICY & MANAGEMENT		

CRITERION	RATING	COMMENT
2.1a Environmental, Social, and Governance Policy (implement and maintain)	Conformance	<p>The Entity implements a series of Policies and programs that are in line with the environmental, social and governance practices of the ASI Performance Standard. These Policies are summarized publicly at:</p> <p>https://www.arconic.com/global/en/investors/governance-and-policies.asp</p> <p>To access Arconic's Environmental Management Policy, please see the link below:</p> <p>https://www.arconic.com/global/en/who-we-are/pdf/Arconic-Environmental-Statement.pdf</p> <p>To access Arconic's Environment, Health and Safety Policy, please see the link below:</p> <p>https://www.arconic.com/global/en/who-we-are/pdf/Arconic-EHS-Policy.pdf</p> <p>Local implementation of corporate-level policies were reviewed at the In-Scope Facilities.</p>
2.1b Environmental, Social, and Governance Policy (senior management)	Conformance	<p>The Entity Senior Management have endorsed the Environment, Health and Safety (EHS) Policy which is regularly reviewed and supported through provision of adequate resources. Arconic has an Environment, Health and Safety (EHS) Council, composed of staff from EHS and legal teams. The Council is a strategic body in the company which approves new initiatives. At a local level, annual management reviews and regular reviews of the Policies were evidenced at In-Scope Facilities.</p>
2.1c Environmental, Social, and Governance Policy (communication)	Conformance	<p>The Entity effectively communicates its environmental, social and governance Policies to internal and external stakeholders. These Policies are summarized publicly at:</p> <p>https://www.arconic.com/governance-and-policies</p> <p>To access the Arconic Environmental Management Policy, please see the link below:</p> <p>https://www.arconic.com/global/en/who-we-are/pdf/Arconic-Environmental-Statement.pdf</p> <p>To access the Arconic Environment, Health and Safety Policy, please see the link below:</p> <p>https://www.arconic.com/global/en/who-we-are/pdf/Arconic-EHS-Policy.pdf</p> <p>Communication of these Policies are available in the local languages at In-Scope Facilities.</p>
2.2 Leadership	Conformance	<p>The Executive Vice President, Chief Legal Officer and Corporate Secretary is accountable for ESG with the responsibility for implementation of the requirements of the ASI Performance Standard with the Vice President of EHS and Sustainability.</p>

CRITERION	RATING	COMMENT
2.3a Environmental and Social Management Systems (environmental)	Conformance	The Entity's facilities are ISO 14001 certified, whilst the Bohai, China site complies with corporate principles/standards, and the review/assessment of the Environmental and Social management standards are completed periodically using the Entity's EHS1 ASAT tool (Arconic Self-Assessment Tool). Regarding Health and Safety, the site uses the Entity's H&S ASAT tools to complete periodic reviews to ensure compliance.
2.3b Environmental and Social Management Systems (social)	Conformance	The Entity has developed a Social Management System, comprising of procedures that define implementation of the system, and records demonstrating effective execution of the system. Internal audits are conducted on a regular basis, with results stored in the Entity's ASAT tool or other location specific depositories.
2.4 Responsible Sourcing	Conformance	The Entity has implemented a responsible sourcing Policy covering environmental, social and governance issues. Arconic's Supplier Standard is publicly available at: https://www.arconic.com/Supplier-Standards Environmental, social and governance aspects of responsible sourcing are managed centrally as many of Arconic's suppliers deliver goods to more than one location. This includes a supplier risk assessment and supplier Due Diligence questionnaire, associated training and mitigation measures for aluminium and raw materials containing aluminium for use in aluminium products.
2.5 Impact Assessments	Conformance	Risk assessments are primarily conducted related to acquisitions, divestitures and significant investments and changes. The Entity has procedures that define EHS assessment and risk management requirements in these cases. Environmental, social, cultural and Human Rights Impact Assessments, including a gender analysis, is carried out as a part of mandatory reviews of project documentation and permitting requirements.
2.6 Emergency Response Plan	Conformance	The Entity's facilities have either achieved ISO 14001 certification or operate equivalent management systems. The Entity operates internal procedures, standards and audit guidelines that addresses emergency prevention and response, aligned to the requirements of ISO 14001 and ISO 45001. These procedures have been informed by stakeholder consultation including Workers and regulatory agencies.

CRITERION	RATING	COMMENT
2.7 Mergers and Acquisitions	Conformance	The Corporate Development team has overall responsibility for mergers and acquisitions, and assigns a member of the Environment, Health and Safety (EHS) team to implement the EHS requirements defined in the EHS Standard. The EHS Standard defines the qualifications of the individuals conducting the EHS assessment (third-party or Arconic EHS staff). EHS checklists define additional requirements. Documents are stored on the EHS Sharepoint.
2.8 Closure, Decommissioning and Divestment	Conformance	The Corporate Development team has overall responsibility for closure, decommissioning and divestment transactions, and assigns a member of the Environment, Health and Safety (EHS) team to assess any Environment, Social and Governance (ESG) issues, including those defined in the EHS Standard. The EHS Standard defines the qualifications of the individuals conducting the EHS assessment (third party or Arconic EHS staff). ESG issues are assessed and included in documentation concerning any structural changes to the business as was evidenced in recent divestment.
PRINCIPLE 3 TRANSPARENCY		
3.1 Sustainability Reporting	Conformance	The Entity's Sustainability Report describes its environmental, social and economic impacts, and is made available on the website: https://www.arconic.com/global/en/who-we-are/pdf/sustainability-reports/2020-Sustainability-Report.pdf
3.2 Non-compliance and liabilities	Conformance	The Entity produces a publicly available report that summarizes significant fines, judgments, penalties and non-monetary sanctions related to non-compliance. Please see the Arconic 2020 Sustainability Report, page 37: https://www.arconic.com/global/en/who-we-are/pdf/sustainability-reports/2020-Sustainability-Report.pdf
3.3a Payments to governments (legal and contractual)	Conformance	The Entity has the required Policies, procedures, training and due diligence to ensure that payments made to governments are only on a legal/contractual basis. All payments to government authorities are recorded/carried out on a basis of a bank transfer and according to the Arconic Global Anti-Corruption Policy and corresponding procedures. Independent third-party audits of accounting statements are conducted on a regular basis.

CRITERION	RATING	COMMENT
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 a procedure to address stakeholder complaints/information requests. The procedure is available to stakeholders around the world, and protects the stakeholder raising the complaint, if necessary. Arconic's Integrity Line is available at:</p> <p>https://www.arconic.com/integrity-line</p> <p>The Entity has obtained ISO 14001 certification with the exception of Bohai. This Facility follows the corporate principle on stakeholder complaints, grievances and requests for information. The Integrity Line is available and well communicated to all stakeholders (local numbers are provided on the website).</p> <p>External stakeholders use the Integrity Line regarding employment and suppliers.</p>
PRINCIPLE 4 MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment (life cycle impacts)	Conformance	The Life Cycle Assessments (LCAs) referenced by the Entity are the LCAs conducted for each product line by the North American Aluminium Association and European Aluminium Association and Studies. The Entity participated in the studies with the North America Aluminium Industry
4.1b Environmental Life Cycle Assessment (cradle to gate)	Conformance	Upon request, the Entity guides customers to access the publicly available Life Cycle Assessment (LCA) reports on the North America and European Aluminium Association websites of their major product lines. These LCA's are cradle-to-gate with supplementary information covering other life cycle stages available on request.
4.1c Environmental Life Cycle Assessment (public communication)	Conformance	<p>The Entity contributes to industry LCA studies and communicates publicly on LCA's and Environmental Product Declarations which contain information on methodology, modelling and system boundaries. It also produces product specific data for a range of product lines. Please see below example links:</p> <p>https://www.aluminum.org/sustainability-reports (for US LCA's for various product groups)</p> <p>https://european-aluminium.eu/resource-hub/environmental-profile-report-2018 (for entire Aluminium value chain EU)</p> <p>https://www.kawneer.com/kawneer/north_america/en/info_page/product_transparency.asp</p>

CRITERION	RATING	COMMENT
		<p>https://www.kawneer.com/kawneer/united_kingdom/en/info_page/aluminium_lifecycle.asp (for US and Europe building materials LCA's)</p>
4.2 Product design	Conformance	<p>The Entity maintains a strong focus on improving the design of its products through its Centres of Excellence and the Arconic Technical Centre, focusing on three key areas including operations, customers' sustainability and supply chain. The Entity implements measures to drive supply chain sustainability in suppliers' processes and practices. This includes focus on innovation and helping customers capture opportunities for product improvement and as well as driving sustainable design through Arconic's Global Supplier Sustainability Program. For innovative solutions that help customers achieve their sustainability goals, see the 2020 Sustainability Report, 'Product' section: https://www.arconic.com/global/en/who-we-are/pdf/sustainability-reports/2020-Sustainability-Report.pdf</p>
4.3a Aluminium Process Scrap (targets)	Conformance	<p>The Entity documents their scrap recycling goal including to reduce internal scrap and target 100% recycling of process scrap which is in line with the ASI Performance Standard. The Entity assesses all sites against an internal standard.</p> <p>At the Bohai Facility all scrap sources (scrap generation, monitoring, on site -process of scrap handling and selling procedures) are managed. Aluminium scrap is separated by alloys and types with aim of maximum involvement into production process. The remainder of scrap is subject for sale to external customers (e.g brazing scrap).</p>
4.3b Aluminium Process Scrap (alloy separation)	Conformance	<p>The Entity separates Aluminium alloys and grades for recycling. In accordance with internal procedures all wastes are separated along types of alloys and stored separately which was evidenced during the site tour of the on-site audits.</p>
4.4a Collection and recycling of products at end-of-life (strategy)	Conformance	<p>The Entity's recycling strategy is based on increasing scrap intake in the production process to replace Primary Aluminium used, based on the input of both Post-Consumer and Pre-Consumer Scrap. The recycling plans are site-specific and monitored by cross-functional teams. The Entity assesses all sites against an internal standard.</p> <p>To achieve its long-term strategic recycling goals, the Bohai site purchases secondary aluminium alloys on the market (up to 15% of recycled aluminium).</p>

CRITERION	RATING	COMMENT
4.4b Collection and recycling of products at end-of-life (engagement)	Conformance	<p>The Entity is involved in The Aluminium Association (including Brazilian and European associations), and is a member of ASI. The Aluminium Association is establishing a new Sustainability Group, in which the Entity is involved, with the objectives, to advise on industry issues and the associations' overall strategy on sustainability issues.</p> <p>The Entity reports data to the Aluminium Association on scrap usage.</p> <p>The Entity actively participates in the programs of the Aluminium Association of Russia.</p> <p>and the Samara site actively interacts with regional and national aluminium scrap processors</p>
PRINCIPLE 5 GREENHOUSE GAS EMISSIONS		
5.1 Disclosure of GHG emissions and energy use	Conformance	<p>The Entity monitors their GHG emissions at site level and collects the data annually and reports at the corporate level. The Entity also reports their GHG emissions annually to the Carbon Disclosure Project (CDP). GHG emissions are disclosed in the Sustainability Report, page 19 - 21: https://www.arconic.com/global/en/who-we-are/pdf/sustainability-reports/2020-Sustainability-Report.pdf</p>
5.2 GHG emissions reductions	Minor Non-Conformance	<p>The Entity is progressing towards achieving their GHG emission reduction target. The Direct and Indirect GHG emissions equalled 2.01 million metric tons in 2019 – a 9.5 % decrease from 2018. The Entity has established a target to reduce annual energy intensity (and related emissions intensity) of their Global Rolled Products operations by 30% by 2030 compared to its 2005 baseline.</p> <p>The Entity also reports and discloses their GRP energy and GHG efficiency targets in the 2017/18 CDP: https://www.cdp.net/en/responses/64106</p> <p>However, at the time of audit, the Entity did not have time-bound GHG emission reduction targets, as they were still in development.</p>
5.3a Aluminium Smelting (management system)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.3b Aluminium Smelting (up to and including 2020)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope
5.3c Aluminium Smelting (after 2020)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
PRINCIPLE 6 EMISSIONS, EFFLUENTS AND WASTE		

CRITERION	RATING	COMMENT
6.1 Emissions to Air	Conformance	<p>Annual Environment Action Plans include actions to minimise Emissions to Air as part of each site's continuous improvement plan. The Entity's air emissions are disclosed in the 2020 Sustainability Report, page 21-23:</p> <p>https://www.arconic.com/global/en/who-we-are/pdf/sustainability-reports/2020-Sustainability-Report.pdf</p>
6.2 Discharges to Water	Conformance	<p>The Entity has established a corporate internal water standard based on best practices. The Entity conducts internal audits that include a compliance component at a frequency determined by the identified risk level for the site.</p> <p>The methodology for determining the Entity's wastewater treatment and discharge is developed at the site level.</p> <p>The Bohai site has two wastewater treatment stations as required by the approved EIA report, in good operational order. The discharge status is monitored once a quarter and monitoring in Q4 2020 and Q1 2021 indicate the major pollutants meet the legal discharge limit.</p> <p>Public reporting on water discharges, withdrawals and consumption is available at:</p> <p>https://www.arconic.com/global/en/who-we-are/pdf/sustainability-reports/2020-Sustainability-Report.pdf</p>
6.3a Assessment and Management of Spills and Leakage (assessment)	Conformance	<p>The Entity has not received any fines or had any legal claims for significant Spills and Leakages that may contaminate air, water and/or soil in the facilities under scope.</p> <p>The Entity has conducted a risk assessment on the risk of Spills and Leakage at all sites. A detailed inventory has been developed to identify all the sumps, basement, trenches and pits and detailed action plans for higher risks are being progressed.</p> <p>The Bohai site conducted a risk assessment for the environmental emergency covering the Spills and Leakage; The risk assessment report was registered with the local Environment Protection Bureau.</p>
6.3b Assessment and Management of Spills and Leakage (management)	Conformance	<p>The Entity implements a standard to report on significant Spills and major environmental incidents</p> <p>An Emergency Preparedness and Response Plan procedure provides a template for communication with affected parties, such as Communities and neighbours, should Spills or releases occur.</p> <p>Based on the risk assessment, the Bohai site built containment facilities and established management</p>

CRITERION	RATING	COMMENT
		<p>procedures. The facilities are approved by the local Environmental Protection Bureau.</p> <p>Training courses are provided to Workers and emergency response drills are conducted periodically.</p>
6.4a Reporting of Spills (immediate disclosure)	Conformance	<p>Spills over 5 gallons outside designated containment, including Spills defined as significant (in excess of 500 gallons, not contained), are tracked and reported into the Entity's Incident Management System to assess if a regulatory deviation occurred. Spills that meet certain thresholds are also reported to appropriate agencies and spill response teams. Communication procedures are established to inform affected parties, such as Communities, neighbours, emergency response teams and regulators. Significant spills are reported in the annual Sustainability Report, Waste and Spills section, page 30:</p> <p>https://www.arconic.com/global/en/who-we-are/pdf/sustainability-reports/2020-Sustainability-Report.pdf</p>
6.4b Reporting of Spills (regular reporting)	Conformance	<p>Significant Spills are reported in the annual Sustainability Report, page 23:</p> <p>https://www.arconic.com/global/en/who-we-are/pdf/sustainability-reports/2019-Sustainability-Report.pdf</p> <p>The Entity defines a significant Spill as one that is in excess of 1,893 liters (500 gallons) and/or meets the internal corporate definition of a major environmental incident. The Entity disclosed two major spills that occurred at its sites in 2019.</p>
6.5a Waste management and reporting (strategy)	Conformance	<p>The Entity implements a waste management standard which outlines the Waste Mitigation Hierarchy. All sites implement programs to reduce, reuse, and/ or recycle their waste to minimize the amount of waste requiring disposal as well as to comply with applicable rules and restrictions. All sites report Hazardous and Non-Hazardous Waste quantities to relevant authorities on a regular basis.</p>
6.5b Waste management and reporting (disclosure)	Conformance	<p>The Entity publicly discloses the quantity of Hazardous and Non-Hazardous Waste in the annual Sustainability Report, Waste and Spills section, page 22:</p> <p>https://www.arconic.com/global/en/who-we-are/pdf/sustainability-reports/2019-Sustainability-Report.pdf</p> <p>The Bohai site registers the solid waste generated in its operation with the government website for solid</p>

CRITERION	RATING	COMMENT
		waste management, including a management plan, transferring for disposal and the relevant suppliers (disposal suppliers and transportation suppliers).
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
6.8a Dross (recovery)	Conformance	The Entity has taken multiple steps to ensure recovery of Aluminium by treatment of Dross and Dross residues. For further details please see the Sustainability Report, page 30: https://www.arconic.com/global/en/who-we-are/pdf/sustainability-reports/2020-Sustainability-Report.pdf
6.8b Dross (recycling)	Conformance	The Entity has in-house groups responsible for working with external processors to ensure the recovery of Aluminium is maximized, and includes audits of the secondaries, sending material to multiple secondaries for a comparative benchmark, and metallic testing at external labs to confirm that they are maximizing the recovered aluminium.

CRITERION	RATING	COMMENT
		The Bohai site recycles 100% of Dross by selling them to a qualified supplier. The site has a mechanism to monitor the supplier to ensure to maximize the recovery of Aluminium by treatment of Dross and Dross residues.
6.8c Dross (review of alternatives)	Not Applicable	Not applicable as no Dross residues are sent to landfill.
PRINCIPLE 7 WATER STEWARDSHIP		
7.1a Water assessment (mapping)	Conformance	<p>The Entity evaluates sites on whether they are in a stressed area or under water restrictions, using the Global Water Tool developed by the World Business Council for Sustainable Development. The Entity has developed a company-wide EHS standard related to water and wastewater management which requires sites to identify, quantify, and prepare a comprehensive inventory of water sources and impacts on the watershed.</p> <p>The Bohai site does not have water input from aquatic environments directly, only through the municipal authority. The annual water balance mapping was conducted. The water consumption in 2020 was 259,768 ton.</p>
7.1b Water assessment (risk assessment)	Conformance	<p>The Entity evaluates whether sites are in a water stressed area or under water withdrawal restrictions. The Entity has developed a company-wide EHS standard related to water and wastewater management which requires sites to identify, quantify, and prepare a comprehensive inventory of water sources and impacts on the watershed.</p> <p>The water-related risk for the Bohai site is low, as per the Environmental Impact Assessment report approved by the local Environment Protection Bureau.</p>
7.2a Water management (management plans)	Conformance	<p>The Entity provides all sites with the management system standard, requiring compliance with sustainability metrics for water management related items and includes a goal of a 10% reduction from the 2016 baseline.</p> <p>The corporate water reduction target is being reviewed at present due to the restructured business to ensure targets are reflective of the current portfolio. The Bohai site has established a target for water consumption reduction of 1.88MT per ton of product in 2021. The associated management program is established. The achievement status of the target is reviewed periodically.</p>

CRITERION	RATING	COMMENT
7.2b Water management (monitoring)	Conformance	<p>The Entity monitors water inputs and discharges by receptor and reports on this in the Sustainability Report.</p> <p>The Bohai site reviews the achievement status of all targets including water reduction monthly. In the case that the target is not met, the root cause is analysed and action taken.</p>
7.3 Disclosure of water usage and risks	Conformance	<p>The Entity reports water withdrawal sources, use and material water-related risks in the Sustainability Report, please see: https://www.arconic.com/global/en/who-we-are/pdf/sustainability-reports/2020-Sustainability-Report.pdf</p> <p>The Entity also discloses water-related risks to the Carbon Disclosure Project (CDP), please see: https://www.cdp.net/en/responses/64106</p>
PRINCIPLE 8 BIODIVERSITY		
8.1 Biodiversity assessment	Conformance	<p>The Entity assesses the risk and materiality of the impacts on biodiversity from the land use and activities in the Entity's Areas of Influence based on the Integrated Biodiversity Assessment Tool (IBAT).</p>
8.2a Biodiversity management (biodiversity action plans)	Conformance	<p>The Entity conducts risk assessments on biodiversity which have identified no material impacts on biodiversity in its Areas of Influence.</p>
8.2b Biodiversity management (consultation and mitigation hierarchy)	Minor Non-Conformance	<p>The Entity conducts risk assessments on biodiversity which have identified no material impacts on biodiversity in its Areas of Influence.</p> <p>However, there is no clear biodiversity action plan, and no corporate level approach to each site developing an action plan.</p>
8.2c Biodiversity management (reporting)	Conformance	<p>The Entity conducts risk assessments on biodiversity which have identified no material impacts on biodiversity in its Areas of Influence.</p>
8.3 Alien Species	Conformance	<p>Special requirements are established at site level for wood materials that come from quarantine areas. The materials supplier carries out checks and treatment if necessary and sends documented results of the treatment. All quarantined products entering the plant are checked for the appropriate certificates.</p> <p>For the Bohai site, as per the biodiversity risk assessment report, the only source which could introduce Alien Species is the pallets used for product package. All pallets are fumigated before using to prevent introduction of Alien Species as per the requirements of China Customhouse.</p>

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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	The Entity has a Human Rights Policy expressing a commitment to respect Human Rights. The Policy makes reference to the UN Guiding Principles on Business and Human Rights. The Policy is available on the Entity’s web page and is also part of the Code of Conduct: http://www.arconic.com/global/en/investors/human-rights.asp This Policy is part of employee training during onboarding and annual re-calibration training.
9.1b Human Rights Due Diligence (process)	Conformance	The Entity’s operating sites have a copy of the Human Rights Compliance Assessment (HRCA) which is a diagnostic tool designed to help companies detect potential Human Rights violations caused by the effect of their operations on employees, local residents and all other stakeholders.
9.1c Human Rights Due Diligence (remediation)	Conformance	There were no identified cases or contribution to adverse Human Rights impacts at the Entity’s Facilities. The Entity has a mature grievance reporting and complaint resolution mechanisms in place to handle such situations with support from corporate level.
9.2 Women’s Rights	Conformance	The Entity has a Human Rights Policy that addresses equal opportunity, Discrimination and Harassment. The Entity also has many programs for women empowerment such as Girl Scouts, New York Academy for Sciences, Society for Women Engineers, The Manufacturing Institute, Women in Manufacturing and AAUW. For further details, please see Arconic’s Women’s Network: https://www.arconic.com/global/en/join-us/AWN.asp The Bohai site has implemented policies and processes to ensure respect for the rights and

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		interests of women, consistent with international and corporate standards. The Equal Employment Opportunity Policy is in place and is communicated to all employees. No complaint is received from women Workers. Women Workers know their rights.
9.3 Indigenous Peoples	Conformance	Where Indigenous Peoples live in the area of activity or influence of the Entity, there is evidence of their inclusion in plans affecting their lands and rights including remediation work and permitting terms and conditions.
9.4 Free, Prior, and Informed Consent (FPIC)	Not Applicable	There are no Indigenous Peoples in the area of activity or influence of the Entity. Where Indigenous Peoples live in the area of activity or influence of the Entity, there is evidence of their inclusion in plans affecting their lands and rights.
9.5 Cultural and sacred heritage	Conformance	There are no cultural or sacred heritage sites identified at the Entity.
9.6a Resettlements (avoid or minimise)	Not Applicable	There are no Resettlements or Resettlement plans since the Entity joined ASI. There have been no projects implemented that caused displacement, resettlement or land acquisition.
9.6b Resettlements (where unavoidable)	Not Applicable	There are no Resettlements or Resettlement plans since the Entity joined ASI. There have been no projects implemented that caused displacement, resettlement or land acquisition.
9.7a Local Communities (rights and interests)	Conformance	<p>The Entity is active in community engagement at all sites and at a corporate level. Through the Arconic Foundation, the Entity initiates projects with a positive impact for Communities:</p> <p>https://www.arconic.com/foundation</p> <p>Employees volunteer their time and skills to community programs and projects to help local non-profit organizations.</p> <p>The Bohai site implements community programs to address the Local Community needs including environment protect activities, supporting local exemplary students and health strengthening activities.</p>
9.7b Local Communities (impacts)	Not Applicable	The Entity's Human Rights Due Diligence process did not identify any adverse impacts on the Local Communities in which it operates.
9.7c Local Communities (livelihoods)	Conformance	The Entity is active in community engagement at all sites and at a corporate level. Through the Arconic

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		<p>Foundation, the Entity initiates projects with a positive impact for the Communities: https://www.arconic.com/foundation</p>
<p>9.8 Conflict-Affected and High-Risk Areas</p>	<p>Conformance</p>	<p>Review of internet resources and management and employee interviews did not demonstrate any contribution to armed conflict or Human Rights abuses in Conflict Affected and High-Risks Areas. Please see the Entity's Code of Conduct for further detail: https://www.arconic.com/global/en/who-we-are/pdf/code-of-conduct-English.pdf</p> <p>The Bohai site conducts an analysis to determine if the conflict minerals are used in products or the production processes. The result is no conflict minerals are used, and no materials are from the Conflict-Affected and High-Risk Areas.</p> <p>The site makes a commitment to all customers and suppliers: prohibiting using the conflict minerals and communicates to all relevant stakeholders. As part of the Due Diligence process, all suppliers are required to sign the commitment letter on use of conflict minerals; No complaint on this issue has been received.</p>
<p>9.9 Security practice</p>	<p>Conformance</p>	<p>The Entity contracts its security services and have contractual requirements preventing the hire of security companies or contractors that are credibly implicated in the infringement of Human Rights. A local contractor is used at the Bohai site to safeguard human, intellectual, financial and physical assets. The supplier is committed to all Arconic rules and principles.</p>
<p>PRINCIPLE 10 LABOUR RIGHTS</p>		
<p>10.1a Freedom of Association and Right to Collective Bargaining (freedom of association)</p>	<p>Conformance</p>	<p>The Entity's Human Rights Policy addresses the Freedom of Association and Right to Collective Bargaining. Arconic sites have labour unions or Workers' councils operating on site. The Union Collective Bargaining Agreement further addresses the right to Freedom of Association. Please see: https://www.arconic.com/human-rights</p> <p>There are laws that restrict Freedom of Association in China. However, the Bohai site demonstrates respect for the right to Freedom of Association and Collective Bargaining. The site commits itself to respect the Workers' rights. There is a Labour Union of 48 committee members including 8 women.</p>

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10.1b Freedom of Association and Right to Collective Bargaining (collective bargaining)	Conformance	<p>The Entity's Human Rights Policy addresses the Freedom of Association and Right to Collective Bargaining. The Union Collective Bargaining agreement further addresses the right to Collective Bargaining. Please see: https://www.arconic.com/human-rights</p> <p>The Policy is available on the Entity's web page and is also part of the Code of Conduct. This Policy is part of employee training during on-boarding and annual re calibration training.</p> <p>The Collective Bargaining Agreement is negotiated at the site level.</p> <p>At the Bohai site the Collective Bargaining Agreement is negotiated at site level. The records of negotiations between the Entity and the labour union, including meeting minutes and employee Collective Bargaining Agreements are reviewed at the site.</p>
10.1c Freedom of Association and Right to Collective Bargaining (alternative means)	Conformance	<p>The Entity's Human Rights Policy addresses the Freedom of Association and Right to Collective Bargaining. The Union Collective Bargaining agreement further addresses the right to Collective Bargaining. Please see: https://www.arconic.com/human-rights</p> <p>At the Bohai site there are laws that restrict Freedom of Association in China. However, the Bohai site demonstrates respect for the right to Freedom of Association and Collective Bargaining. The site commits itself to respect the Workers' rights.</p>
10.2a Child Labour (minimum age)	Conformance	<p>The Entity's Human Rights Policy addresses Child Labour and is available on the website: https://www.arconic.com/human-rights</p> <p>The Policy is part of the Entity's Code of Conduct. The Policy is part of employee training during on-boarding and annual re calibration training.</p> <p>The Entity does not use nor support the use of Child Labour.</p>
10.2b Child Labour (hazardous)	Conformance	<p>The minimum age for employment is 18 years. The Entity's Human Rights Policy addresses Child Labour and is available in the link below: https://www.arconic.com/human-rights</p> <p>The Entity does neither use nor support the use of Child Labour as defined in ILO Conventions C138 and C182, and complies with related national and international law. The Entity does not engage in or support the use of Hazardous Child Labour, as verified by a review of employee records, worker interviews, compliance reviews against local law requirements.</p>

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10.2c Child Labour (worst forms)	Conformance	<p>The minimum age for employment is 18 years. The Entity's Human Rights Policy addresses Child Labour and is available in the link below: https://www.arconic.com/human-rights</p> <p>The Policy is part of the Entity's Code of Conduct. This Policy is part of employee training during on-boarding and annual re calibration training. The Entity does neither use nor support the use of Child Labour as defined in ILO Conventions C138 and C182, and complies with related national and international law. The Entity does not engage in or support the use of Worst Forms of Child Labour. The Entity requires its suppliers to respect all laws in their jurisdiction with regard to Child Labour, as stipulated by its Supplier Standards, available at: https://www.arconic.com/global/en/contact/supplier/pdf/Supplier_Standards.pdf</p>
10.3a Forced Labour (human trafficking)	Conformance	<p>The Entity's Human Rights Policy addresses Forced Labour and is available in the link below: https://www.arconic.com/human-rights</p> <p>The Policy is part of the Entity's Code of Conduct. This Policy is part of employee training during on-boarding and annual re calibration training. The Entity does not engage in nor support Human Trafficking via direct employment or employment through labour agencies. The Entity has robust controls and processes in place to monitor employment terms and conditions via labour agencies.</p>
10.3b Forced Labour (deposits, fees, advances)	Conformance	<p>The Entity's Human Rights Policy addresses Forced Labour and is available in the link below: https://www.arconic.com/human-rights</p> <p>The standard employment contract doesn't stipulate any forms of fee for hiring, employee payments for provided equipment, special provisions for Migrant Workers, forced work as a payment of debts, unreasonable restrictions on Workers movement. This was evidenced via Worker interviews .</p>
10.3c Forced Labour (migrant workers)	Conformance	<p>The Entity's Human Rights Policy addresses Forced Labour and is available in the link below: https://www.arconic.com/human-rights</p> <p>The Entity does not require Migrant Workers to lodge deposits as evidenced in workers interviews and payroll review.</p>
10.3d Forced Labour (debt bondage)	Conformance	<p>The Entity's Human Rights Policy addresses Forced Labour and is available in the link below: https://www.arconic.com/human-rights</p>

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		<p>The Policy is part of the Entity's Code of Conduct. This Policy is part of employee training during on-boarding and annual re calibration training. The Entity does not hold Workers in Debt Bondage and force them to work off debts. This was evidenced in the review of policies, procedures, employment contracts, payroll information and worker interviews with employees and contractors.</p>
<p>10.3e Forced Labour (freedom of movement)</p>	<p>Conformance</p>	<p>The Entity's Human Rights Policy addresses Forced Labour and is available in the link below: https://www.arconic.com/human-rights The standard employment contracts do not stipulate any forms of fee for hiring, employee payments for provided equipment, special provisions for migrant workers, forced work as a payment of debts, unreasonable restrictions on workers movement. Worker interviews confirmed that the Entity does not unreasonably restrict the freedom of movement of Workers.</p>
<p>10.3f Forced Labour (retention of identity papers, permits, certificates)</p>	<p>Conformance</p>	<p>The Entity does not withhold Workers' original documents. The Entity's Human Rights Policy addresses Forced Labour and is available in the link below: https://www.arconic.com/human-rights The standard employment contracts do not stipulate any forms of fee for hiring, employee payments for provided equipment, special provisions for migrant workers, forced work as a payment of debts, unreasonable restrictions on workers movement.</p>
<p>10.3g Forced Labour (freedom to terminate employment)</p>	<p>Conformance</p>	<p>The Entity does not deny Workers the freedom to terminate their employment at any time without penalty, given notice of reasonable length. The notice period varies based on the site location. Employment Contract templates have the required language on freedom to terminate. The Entity's Human Rights Policy addresses Forced Labour and is available in the link below: https://www.arconic.com/human-rights The Policy is part of the Entity's Code of Conduct. This Policy is part of employee training during on-boarding and annual re calibration training. These processes were verified during review of employee records, employment contracts and worker interviews.</p>
<p>10.4 Non-Discrimination</p>	<p>Conformance</p>	<p>The Entity's Human Rights Policy addresses 'Equality of Opportunity' and zero tolerance for Discrimination or Harassment of any kind. The Policy is available at the link below:</p>

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		<p>https://www.arconic.com/human-rights</p> <p>The Policy is part of the Entity's Code of Conduct. This Policy is part of employee training during on-boarding and annual re calibration training. The implementation of the Entity's Non-Discrimination Policy was verified via a review of training records, worker interviews, review of applicable procedures and processes (e.g. hiring process), as well as review of payroll records.</p>
10.5 Communication and engagement	Conformance	<p>The Entity maintains open communication and direct engagement with Workers without threat of reprisal, intimidation or harassment. This was evidenced via interviews with trade union local representatives and worker interviews.</p> <p>The Entity operates an Integrity Line which is available to Workers to seek advice or report grievances.</p>
10.6 Disciplinary practices	Conformance	<p>The Entity has written procedures on disciplinary actions including verbal warnings, written warnings, demotion, process change, performance improvement plans, training/coaching, reduction in pay or bonus, reassignment, suspension with pay, suspension without pay, or termination.</p> <p>The Entity does not engage in nor tolerate any other forms of disciplinary practices as evidenced through its commitment to respect Human Rights as documented in the Human Rights Policy as well as through worker interviews and review of local Collective Bargaining Agreements:</p> <p>https://www.arconic.com/human-rights</p>
10.7a Remuneration (living wage)	Conformance	<p>The Entity ensures Remuneration is competitive, complies with Collective Bargaining Agreements, complies with minimum legal wage requirements and there is no discrimination in compensation.</p> <p>At the Bohai site, the wage structure is clearly defined and wages and benefits provided to direct Workers meet or better the local legal requirement and all employees are enrolled in social insurance in accordance with the local legal requirement.</p>
10.7b Remuneration (method of payment)	Conformance	<p>The Entity has a very mature payment system in place at all sites with direct payment via bank transfer. Annual self-assessments are required by each operating entity and completed against the Entity's payroll requirements. Depending on risk, every one to five years, payroll practices are reviewed on the request of the Audit Committee of the Board and conducted by the Internal Audit function.</p>

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10.8 Working Time	Conformance	<p>The Entity meets country, Collective Bargaining Agreement and facility work hours and overtime policies. Every one to five years, each of the Entity's sites and financial processes are audited by the Arconic Internal Audit Department.</p> <p>At the Bohai site, Workers are guaranteed one day off every seven days and the maximum monthly overtime working hours are 36. The total weekly working hours are less than 60.</p>
PRINCIPLE 11 OCCUPATIONAL HEALTH AND SAFETY		
11.1a Occupational Health and Safety (OH&S) Policy (policy)	Conformance	<p>The Entity implements and maintains an Occupational Health and Safety Policy supported by senior management. Please see: https://www.arconic.com/global/en/who-we-are/pdf/Arconic-EHS-Policy.pdf</p>
11.1b Occupational Health and Safety (OH&S) Policy (workers and visitors)	Conformance	<p>The Entity's Occupational Health and Safety Policies are applied to all Workers and Visitors present in any area or activities under the Entity's control.</p>
11.1c Occupational Health and Safety (OH&S) Policy (applicable law and standards)	Conformance	<p>The Entity's Policy includes a commitment to comply with Applicable Law on Workers' Health and Safety. The Bohai site has processes to collect and identify applicable legal requirements and other requirements on OH&S. The Register of Applicable Law and regulation on OH&S is updated. The control measures are established and implemented to meet the requirements and the compliance status is evaluated annually.</p>
11.1d Occupational Health and Safety (OH&S) Policy (right to stop unsafe work)	Conformance	<p>The Entity's Policies provide Workers the ability to identify hazards and safe practices for their work, and the authority to refuse or stop unsafe work. In compliance with the Corporate OH&S Policy and the local legal requirement, the Bohai site provides training on the rights and obligations on OH&S issues, including understanding the hazards and safe practices for work, and the right to refuse or stop unsafe work. The interviewed workers are aware of the rights.</p>
11.2 OH&S Management System	Minor Non-Conformance	<p>The Entity has documented an Occupational Health and Safety Management System that complies with applicable national and international standards. A minor non-conformance is raised at the Bohai site due to insufficient information in the Communication Letter of Occupational Health Hazardous Agents.</p>
11.3 Employee engagement on health and safety	Conformance	<p>The Entity's Workers are provided with effective mechanisms to raise, discuss and participate in the</p>

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		resolution of any Occupational Health and Safety issues with management.
11.4 OH&S performance	Conformance	The Entity tracks leading and lagging OH&S indicators and compares them with their peers to look for opportunities to continuously improve. Please see the Arconic Sustainability Report 2020 for further detail: https://www.arconic.com/global/en/who-we-are/pdf/sustainability-reports/2020-Sustainability-Report.pdf

Document Control and Version History

Revision	Date	Notes
0	20 December 2019	Issued (Full Certification)
1	20 February 2020	Updated for Certification Scope change (addition of Hungary and Brazil sites).
2	27 January 2021	Updated for Certification Scope change (addition of China site and removal of Arconic Itapissuma) and corrections made to the details of the First Scope Change Audit.
3	12 January 2022	Surveillance Audit