
ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

ALCOA

CERTIFICATE
NUMBER

71

ASI
STANDARD

PERFORMANCE
STANDARD
(V2 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI
ACCREDITED
AUDITOR

DNV
BUSINESS
ASSURANCE
SERVICES
UK LTD.

DATE OF ISSUE

6 FEBRUARY 2023

DATE OF EXPIRY

5 FEBRUARY 2026

CERTIFIED SINCE

6 FEBRUARY 2020

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. H.', with a long horizontal line extending to the right.

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*Validity of this Certificate is subject to continued
conformance with the applicable ASI Standard
and can be verified at*

www.aluminium-stewardship.org

CERTIFICATION SCOPE

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

SUMMARY AUDIT REPORT

PERFORMANCE STANDARD

OVERVIEW

MEMBER NAME	Alcoa
ENTITY NAME	Alcoa Mosjøen
CERTIFICATION SCOPE	Mosjøen Smelting facility, including manufacture of prebake anode, primary aluminium production and aluminium cast products (from liquid metal and recycling pre-consumer scrap); and associated facilities.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">Aluminium SmeltingAluminium Re-melting/RefiningCasthouses
ASI STANDARD	<ul style="list-style-type: none">Performance Standard V2
AUDIT TYPE	<ul style="list-style-type: none">First Certification Audit (3 – 5 December 2019)Re-Certification Audit (15 – 18 November 2022)
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none">3 – 5 December 2019 (First Certification Audit)15 – 18 November 2022 (Re-Certification Audit)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">4 January 2020 (First Certification Audit)22 December 2022 (Re-Certification Audit)
AUDIT SCOPE	<p><u>First Certification Audit (3 – 5 December 2019)</u></p> <p>The audit scope includes smelting, including baking furnace, administrative facilities and the Casthouse as part of the Smelter.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">Aluminium SmeltingAluminium Re-melting/RefiningCasthouses <p>All relevant criteria in the ASI Performance Standard were included in the audit scope.</p>

Re-Certification Audit (15 – 18 November 2022)

The audit scope includes smelting, including baking furnace, administrative facilities and the Casthouse as part of the Smelter.

Supply chain activities included in the audit scope:

- Aluminium Smelting
- Aluminium Re-melting/Refining
- Casthouses

All relevant criteria in the ASI Performance Standard were included in the audit scope

AUDIT
OUTCOME

- Certification

AUDIT
METHODOLOGY
DECLARATION

The Auditors confirm that:

- The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this report.
- The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.
- The Audit Scope and audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope.
- The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.

CERTIFICATION
PERIOD

6 February 2023 - 5 February 2026

NEXT AUDIT
TYPE

Re-certification Audit

NEXT AUDIT
DUE DATE

5 February 2026

CERTIFICATE
NUMBER

71

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
PRINCIPLE 1 BUSINESS INTEGRITY		
1.1 Legal Compliance	Conformance	The Entity has implemented systems to ensure legal compliance, with the appointment of a competent legal team across organisational functions. The Entity has defined policies and procedures to ensure the identification of risks and compliance with Applicable Law.
1.2 Anti-Corruption	Conformance	The Entity has defined policies and procedures to identify and manage risks of Corruption in all its forms, including Extortion and Bribery, consistent with Applicable Law and prevailing international standards. Employees receive training in anti-Corruption measures. A local Ethics Handbook has been developed and is available to all employees in the Entity and sub-Contractors. https://www.alcoa.com/global/en/who-we-are/ethics-compliance
1.3 Code of Conduct	Conformance	A Code of Conduct has been defined and communicated to all interested parties, addressing all key aspects of the business, business activities, conflicts of interest, relations with customers and suppliers, and compliance with Human Rights. The Code of Conduct is reviewed regularly, translated into Norwegian and employees and sub-Contractors are trained. https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/code-conduct/Code_Conduct_Norwegian.pdf
PRINCIPLE 2 POLICY & MANAGEMENT		
2.1a Environmental, Social, and Governance Policy (implement and maintain)	Conformance	The Entity has implemented and maintained at relevant levels in the organisation, Environmental, Social and Governance Policies. Corporate policies are also available including the Global EHS Policy at: https://www.alcoa.com/sustainability/en/environment-health-safety.asp
2.1b Environmental, Social, and Governance Policy (senior management)	Conformance	The policies and procedures are reviewed and updated on a regularly, and all corporate policies and procedures have senior management approval. Local Quality, Environment, Health, and Safety Policy is signed by the Entity Managing Director.
2.1c Environmental, Social, and Governance Policy (communication)	Conformance	The Entity communicates the policies internally and externally as appropriate and through multiple

CRITERION	RATING	COMMENT
		channels. Internally this is undertaken through an internal Management System (INOSA), boards and screens, intranet, and team sites. Externally it is available at: https://www.alcoa.com/global/en/who-we-are/values#priorities
2.2 Leadership	Conformance	The Entity has nominated the Plant Manager as having overall responsibility and authority for ensuring conformance with the ASI Performance Standard.
2.3a Environmental and Social Management Systems (environmental)	Conformance	The Entity has documented and implemented integrated environmental and social Management Systems and is ISO 14001:2015 certified.
2.3b Environmental and Social Management Systems (social)	Conformance	The Entity has documented and implemented an integrated social Management System and policies on Occupational Health and Safety. A firm commitment, participation, and cooperation between the union, management and employees are the founding elements of the social Management System.
2.4 Responsible Sourcing	Conformance	The Entity has implemented a Responsible Sourcing Policy addressing environmental, social and governance issues. Policies are available at: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/supplier-standards
2.5 Impact Assessments	Conformance	The Entity has procedures and systems in place to conduct environmental, social, cultural and Human Rights Impact Assessments, including a gender analysis, for New Projects or Major Changes to existing Facilities.
2.6 Emergency Response Plan	Conformance	The Entity has site specific emergency response plans developed in collaboration with potentially affected Stakeholder groups such as the municipality, employees, union representatives and relevant government bodies on the environment, safety, and fire prevention. The Entity has demonstrated a systematic approach with planning and training based on the identified risks and regulatory requirements.
2.7 Mergers and Acquisitions	Conformance	The Entity reviews environmental, social and governance issues in the Due Diligence process for mergers and acquisitions. These elements are governed by Alcoa at a corporate level.

CRITERION	RATING	COMMENT
2.8 Closure, Decommissioning and Divestment	Conformance	The Entity has processes and procedures to review environmental, social and governance issues in the planning process for any situation involving closure, decommissioning or divestment. A corporate procedure has been established and national competent authorities and regulators have specific requirements prescribed within permits and operating licenses.
PRINCIPLE 3 TRANSPARENCY		
3.1 Sustainability Reporting	Conformance	<p>The Entity prepares an annual Sustainability Report on a corporate level and makes the information publicly available at: https://www.alcoa.com/sustainability/en/flipbook/68/index.html</p> <p>Environmental reporting to the Norwegian Environment Agency for the production site in Mosjøen is publicly available at: https://www.norskeutslipp.no/no/Diverse/Virksomhet/?CompanyID=5116</p> <p>The Norwegian production sites in Lista and Mosjøen publish an Annual Report available at: https://www.alcoa.com/norway/no/pdf/Arsrapport-2021-Alcoa-Norway-ANS.pdf</p>
3.2 Non-compliance and liabilities	Conformance	<p>The Entity publicly discloses information on any fines, judgments, penalties, or non-monetary sanctions for failure to comply with Applicable Law through its annual sustainability reporting. More information within 2021 Sustainability Report, page 161: https://www.alcoa.com/sustainability/en/flipbook/162/index.html. The Entity did not receive any such sanctions in 2021.</p>
3.3a Payments to governments (legal and contractual)	Conformance	<p>The Entity has demonstrated policies and processes to ensure compliance with the requirements of ASI and the legal requirements applicable to payments to governments. Only legal and obligatory payments related to taxes and duties are paid. Payments are disclosed in the 2021 Sustainability Report: https://www.alcoa.com/sustainability/en/flipbook/index.html</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	The Entity has implemented Complaints Resolution Mechanisms, and an Integrity line to address Stakeholder complaints, grievances and requests

CRITERION	RATING	COMMENT
		for information relating to the Entity's operations. This is accessible via: https://www.alcoa.com/global/en/who-we-are/ethics-compliance
PRINCIPLE 4 MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment (life cycle impacts)	Conformance	The Entity has implemented an environmental Management System and evaluates environmental aspects from a life cycle perspective. A Life Cycle Assessment (LCA) procedure has been developed and an Environmental Product Declaration (EPD) considering the products produced, has been established.
4.1b Environmental Life Cycle Assessment (cradle to gate)	Conformance	The Entity has developed a cradle-to-gate LCA and has been third party verified in the Environmental Product Declaration (EPD). The information will be provided upon request or can be downloaded via the Entity's website.
4.1c Environmental Life Cycle Assessment (public communication)	Conformance	Cradle-to-gate LCA is developed through third party verified Environmental Product Declaration (EPD). The information will be provided upon request or is available via the Entity's website.
4.2 Product design	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a Aluminium Process Scrap (targets)	Conformance	The Entity has established targets and action plans to minimise process scrap. All process scrap generated from the Casthouse is recycled at the site. Aluminium from old furnaces in the potroom is remelted in the Casthouse and pot pads are processed and recycled at an external supplier.
4.3b Aluminium Process Scrap (alloy separation)	Conformance	The Entity has established systems and processes to separate Aluminium alloys and grades for recycling. All process scrap is recycled on site and the production system gives the needed structure and traceability for separating Aluminium alloys and grades for recycling.
4.4a Collection and recycling of products at end-of-life (strategy)	Conformance	The Entity has a strategic partnership with a trader/supplier to re-melt collected process scrap (converted Pre-Consumer Scrap for one customer). The Entity has invested in an induction furnace to remelt Pre-Consumer Scrap. The Entity also invests in research and development projects to enhance the recycling of Aluminium.

CRITERION	RATING	COMMENT
4.4b Collection and recycling of products at end-of-life (engagement)	Conformance	As a member of The Recycling Partnership, the biggest Aluminium recycling organisation in North America, Alcoa Corporation is involved, engaged, and supports activities promoting collecting and recycling systems to increase recycling rates. Locally, the Entity has a strategic partnership with a trader/supplier to re-melt collected process scrap (converted Pre-Consumer Scrap for one customer). The Entity does not buy scrap from local companies.

PRINCIPLE 5 GREENHOUSE GAS EMISSIONS

5.1 Disclosure of GHG emissions and energy use	Conformance	The Entity is a part of the EU Emissions Trading Scheme. The direct emissions by source are calculated and reported annually to the Norwegian Environment Agency and publicly disclosed at: https://www.norskeutslipp.no/no/Diverse/Virksomhet/?CompanyID=5116 CO ₂ emissions and energy use for both the Lista and Mosjøen Entities are disclosed in Alcoa Norway's 2021 Annual Report: https://www.alcoa.com/norway/no/pdf/Arsrapport-2021-Alcoa-Norway-ANS.pdf
5.2 GHG emissions reductions	Conformance	The Entity has a continuous focus to reduce and improve Greenhouse Gases (GHG) Emissions and energy consumption. Reduction targets have been set both by the Entity and by Alcoa on a corporate level. The reduction targets are available at: https://www.alcoa.com/sustainability/en/flipbook/10/index.html
5.3a Aluminium Smelting (management system)	Conformance	The Entity's Energy Management Systems drive the governance, controls, and improvement processes at the site. The Entity has demonstrated over time a commitment in to continuously work on energy and emission reductions. The EU Emission Trading Scheme (EU ETS) requires an operator to implement a Management System with procedures and governance covering roles and responsibilities, quality control and methodology for calculating the carbon footprint.
5.3b Aluminium Smelting (up to and including 2020)	Conformance	The Entity's GHG emissions are verified by an accredited third party related to the EU emissions trading scheme. The calculated carbon footprint is at 1.84 tonnes CO ₂ -eq per tonne of Aluminium for Scope 1 and 2 emissions.

CRITERION	RATING	COMMENT
5.3c Aluminium Smelting (after 2020)	Not Applicable	This Criterion is not applicable as the Entity has no plans to commission new Aluminium Smelting Facilities after 2020 at the Entity.

PRINCIPLE 6 EMISSIONS, EFFLUENTS AND WASTE

6.1 Emissions to Air	Conformance	<p>The Entity has established systems and procedures to monitor and report Emissions to Air to national authorities and internally at the group level. The aggregated performance is presented in the Sustainability Report and the Annual Report, both available on the company website, https://www.alcoa.com/sustainability/en/flipbook/index.html and at https://www.alcoa.com/norway/no/pdf/Arsrapport-2021-Alcoa-Norway-ANS.pdf</p> <p>Emissions are also reported to Norwegian authorities and available to the public at: https://www.norskeutslipp.no/no/Diverse/Virksomhet/?CompanyID=5116</p>
6.2 Discharges to Water	Conformance	<p>The Entity has established systems and procedures to report on Discharges to Water to national authorities and internally to the group level. The aggregated performance is presented in the 2021 Sustainability Report available at: https://www.alcoa.com/sustainability/en/flipbook/index.html</p> <p>Discharges to Water are reported annually according to the operational permit and are disclosed by the Norwegian Environment Agency at: https://www.norskeutslipp.no/no/Diverse/Virksomhet/?CompanyID=5116</p>
6.3a Assessment and Management of Spills and Leakage (assessment)	Conformance	The Entity regularly assesses major risks related to environmental aspects and potential Spills and Leakages from the production processes.
6.3b Assessment and Management of Spills and Leakage (management)	Conformance	The Entity has a management and external communication plan, compliance controls and a monitoring programme in place to prevent and detect any Spills or Leakage to air, water or soil. No spills or leakage to the environment were reported in 2021.
6.4a Reporting of Spills (immediate disclosure)	Conformance	The Entity has established systems to report and communicate to affected parties the potential impacts of significant spills. Emergency response plans have been established and are regularly reviewed and tested. Any spills reported to the authorities are available at:

CRITERION	RATING	COMMENT
		https://www.norskeutslipp.no/no/Diverse/Virksomhet/?CompanyID=5116
6.4b Reporting of Spills (regular reporting)	Conformance	The Entity has established systems and a reporting culture to address and disclose potential significant spills. An annual report to Norwegian authorities includes documentation on the Entity's list of incidents and records related to any Spill or Leakage to the environment, available at: https://www.norskeutslipp.no/no/Diverse/Virksomhet/?CompanyID=5116 .
6.5a Waste management and reporting (strategy)	Conformance	The Entity has implemented a waste management strategy focusing on waste mitigation, recycling, and reuse. Waste management and improvement programs on the reduction of waste generation and use of waste fractions are established. Waste is sent to or collected by partner companies. In 2021, Alcoa Corporation launched a focused waste optimisation program across its operations.
6.5b Waste management and reporting (disclosure)	Conformance	The Entity discloses, on an annual basis, the quantity of hazardous and non-Hazardous Waste generated by the Entity and associated waste disposal methods used. This is reported in the annual report to Norwegian authorities and Alcoa Norway's Annual Report. In the Alcoa Sustainability report, aggregated waste levels are reported. https://www.norskeutslipp.no/no/Diverse/Virksomhet/?CompanyID=5116 https://www.alcoa.com/norway/no/pdf/Arsrapport-2021-Alcoa-Norway-ANS.pdf https://www.alcoa.com/sustainability/en/flipbook/146/index.html
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.

CRITERION	RATING	COMMENT
6.7a Spent Pot Lining (SPL) (storage and management)	Conformance	<p>The Entity has implemented robust systems and management processes related to Spent Pot Lining (SPL) handling. The operation is indoors with no release of SPL or leachate to the environment. The sorted end fraction is landfilled at NOAH, a national landfill for Hazardous Waste. All quantities are registered and declared to the competent authority and published at:</p> <p>https://www.norskeutslipp.no/no/Diverse/Virksomhet/?CompanyID=5116</p>
6.7b Spent Pot Lining (SPL) (recovery and recycling)	Conformance	<p>The Entity separates different fractions from the demolition of old pots. Carbon, steel, metal pot and refractory materials are separated in the demolition process and each fraction is stored and transported. Iron and other metals are reused or recycled. Alcoa and other industry actors in Norway work on several research programs to improve the SPL handling and find permanent solutions for the recycling of SPL.</p>
6.7c Spent Pot Lining (SPL) (Untreated SPL)	Conformance	<p>SPL is stored indoors at the plant and delivered to NOAH, an approved landfill site for Hazardous Waste in Norway.</p> <p>No untreated SPL is sent to landfill where there is potential for adverse environmental effects.</p>
6.7d Spent Pot Lining (SPL) (review of alternatives)	Conformance	<p>The Entity works continuously to identify permanent solutions to recycle and not landfill SPL. A joint industry project in Norway, where the Entity is a major contributor, has been initiated. The primary objective of the research project is to develop a sustainable process for material recycling of SPL with high value products.</p>
6.7e Spent Pot Lining (SPL) (marine and aquatic environments)	Conformance	<p>SPL is stored indoors at the plant and is delivered to the NOAH landfill at Langøya, an approved landfill for Hazardous Waste in Norway. No SPL is discharged to marine or aquatic environments.</p>
6.8a Dross (recovery)	Minor Non-Conformance	<p>The Entity has established processes and procedures to maximise the recovery of Aluminium by treatment of Dross and Dross residues. The Entity recovers Aluminium from Dross internally with the use of drip pans, and externally in co-operation with an external Dross processor. All recovered Aluminium from Dross by the external supplier is transported back to the site and recycled. At the time of the audit, there were Dross pans stored in the open air which is not in compliance with Alcoa's internal procedures.</p>

CRITERION	RATING	COMMENT
6.8b Dross (recycling)	Conformance	The Entity remelts 100% of the recovered Aluminium from Dross returned from its external dross processor. The Norwegian operations participate in a joint research project with other industrial partners which aims to further enhance the recovery of Aluminium metal from the Dross process.
6.8c Dross (review of alternatives)	Conformance	The Entity recovers Aluminium from Dross with an external partner. No Dross residues are landfilled and by-products from the recovery process are sold externally. Alternative options for Dross treatment are elaborated in the joint research project with other Norwegian industrial partners - NoBAI. More information is in the Annual Report 2021, page 1: https://www.alcoa.com/norway/no/pdf/Arsrapport-2021-Alcoa-Norway-ANS.pdf and the 2021 Sustainability Report, page 146: https://www.alcoa.com/sustainability/en/flipbook/148/index.html
PRINCIPLE 7 WATER STEWARDSHIP		
7.1a Water assessment (mapping)	Conformance	The Entity has a documented water balance showing water input and output flows, with a monitoring of water use at the facility.
7.1b Water assessment (risk assessment)	Conformance	Water is abundant in Mosjøen and risk assessments conclude that there is a low risk for water scarcity at the facility and surrounding areas. The region has a low risk level for water scarcity, according to World Resources Institute. Although considered a low risk, the Entity monitors its water use.
7.2a Water management (management plans)	Not Applicable	This Criterion has been rated as not applicable due to the low risk level identified during the risk assessment.
7.2b Water management (monitoring)	Not Applicable	This Criterion has been rated as not applicable due to the low risk level identified during the risk assessment.
7.3 Disclosure of water usage and risks	Minor Non-Conformance	Water withdrawal and use is monitored and disclosed by the Entity on a corporate level in the Sustainability report. At site level, use of municipal water, industrial water and sea water is monitored continuously. Water use at the Entity has not been publicly disclosed but is available to external parties upon request.
PRINCIPLE 8 BIODIVERSITY		

CRITERION	RATING	COMMENT
8.1 Biodiversity assessment	Conformance	The Entity has assessed the risk and materiality of the impacts on biodiversity from the land use and activities in the Entity's Area of Influence and the Biodiversity Mitigation Hierarchy is implemented in the methodology used.
8.2a Biodiversity management (biodiversity action plans)	Conformance	The Entity has carried out biodiversity mapping resulting in an action plan for biodiversity aspects.
8.2b Biodiversity management (consultation and mitigation hierarchy)	Conformance	The Entity has assessed the risk and materiality of the impacts on biodiversity from the land use and activities in the Entity's Area of Influence and the Biodiversity Mitigation Hierarchy.
8.2c Biodiversity management (reporting)	Conformance	The biodiversity action plans are designed in accordance with biodiversity challenges. The Entity reports on biodiversity issues to stakeholders in the Sustainability report and locally in meetings with external stakeholders and reports to the Norwegian Environment Agency. The sustainability report is published on the website https://www.alcoa.com/sustainability/en/flipbook/index.html
8.3 Alien Species	Conformance	The Entity has implemented procedures and guidance on environmental and product stewardship addressing topics such as biodiversity and Alien Species.
8.4a Commitment to "No Go" in World Heritage properties (exploration and new mines)	Not Applicable	This Criterion is not applicable to the Entity's certification scope.
8.4b Commitment to "No Go" in World Heritage properties (existing operations)	Not Applicable	This Criterion is not applicable to the Entity's certification scope.
8.5a Mine rehabilitation (best available techniques)	Not Applicable	This Criterion is not applicable to the Entity's certification scope.
8.5b Mine rehabilitation (financial provisions)	Not Applicable	This Criterion is not applicable to the Entity's certification scope.
PRINCIPLE 9 HUMAN RIGHTS		
9.1a Human Rights Due Diligence (policy)	Conformance	The Entity has established a Human Rights Policy. Alcoa's sustainability report also contains a full section on sustainable development goals (pages 34-39) which is available at: https://www.alcoa.com/sustainability/en/flipbook/36/index.html

CRITERION	RATING	COMMENT
9.1b Human Rights Due Diligence (process)	Conformance	A Human Rights Due Diligence Process was implemented to identify potential risks and implement actions to eliminate or minimize risks. The scope involved the identification of risks and impacts, remediation, grievance mechanism, reporting and feedback, on the following topics: working and labor conditions, safety, land management, integrity, health, safety and environment, relationships with communities, suppliers and customers.
9.1c Human Rights Due Diligence (remediation)	Not Applicable	The Entity has not caused or contributed to adverse human rights impacts. Alcoa Corporation has demonstrated that policies are in place to cooperate in the remediation through legitimate processes where this is an issue.
9.2 Women's Rights	Conformance	The Entity Code of Conduct supports diversity among its employees. Alcoa Mosjøen has a target of gender balance among its staff and has introduced various measures to increase the number of female employees and female leaders.
9.3 Indigenous Peoples	Conformance	<p>There are no settlements of Indigenous people in or around Mosjøen affected by the Entity. The Sami people present in Mosjøen are fully integrated in the community.</p> <p>There has been a dispute between Jillien-Njaarke Reindeer District and Øyfjellet Wind Farm in the vicinity to Mosjøen. Alcoa Mosjøen is not part of the dispute, but the wind farm is part of the Entity's area of influence since Alcoa has a long-term contract to purchase power from the wind farm. The case is disclosed in the 2021 Sustainability report, page 67: https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</p> <p>Alcoa has established an Indigenous Peoples Policy which respects the rights and interests of indigenous peoples. The policy is published on the website: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/indigenous-peoples-policy</p>
9.4 Free, Prior, and Informed Consent (FPIC)	Conformance	The Entity has implemented procedures and practices including cooperation with local stakeholders and evaluation of impacts on Indigenous Peoples for all new projects and major changes to existing production facilities. The Entity's Indigenous Peoples Policy is available at the website: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/indigenous-peoples-

CRITERION	RATING	COMMENT
		<p>policy</p> <p>There are no settlements of Indigenous people in or around Mosjøen affected by the Entity. The Sami people present in Mosjøen are fully integrated in the community.</p> <p>Øyfjellet Wind Farm is part of Alcoa's area of influence since Alcoa has a long-term contract to purchase power from the wind farm. There has been a dispute between Jillien-Njaarke Reindeer District and Øyfjellet Wind Farm regarding a reindeer trekking route. Alcoa is not part of the dispute, but has reported the case in its 2021 sustainability report, page 67:</p> <p>https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf</p>
9.5 Cultural and sacred heritage	Conformance	Norwegian Law on cultural heritage will apply if the site will need to expand, no such issue has been raised in the past. The Entity has established policies and procedures to consult with local, regional and national government bodies in such cases..
9.6a Resettlements (avoid or minimise)	Not Applicable	There are no such projects where physical displacements of communities or people are necessary or relevant
9.6b Resettlements (where unavoidable)	Not Applicable	There are no such projects where physical displacements of communities or people are necessary or relevant.
9.7a Local Communities (rights and interests)	Conformance	The Entity's community engagement and corporate social responsibility (CSR) reporting guidelines demonstrate respect for the legal and customary rights and interests of Local Communities.
9.7b Local Communities (impacts)	Conformance	The Entity's Code of Conduct and Ethics clearly states that the Entity takes appropriate steps to prevent and address any adverse impact on local community. There is a close cooperation with the local community through meetings with Vefsn municipality and "Distriktsutvalget" (District committee/panel). The Entity has a permit from the Norwegian Environment Agency with strict requirements for emissions to air, discharges to water, noise limits and waste handling.
9.7c Local Communities (livelihoods)	Conformance	The Entity has a proactive approach of working with local communities and neighbourhood organizations to improve and support mutual interests. The Entity supports local initiatives within

CRITERION	RATING	COMMENT
		education, activities, sports clubs and NGOs through Alcoa Foundation, and voluntary work where it's employees are engaged.
9.8 Conflict-Affected and High-Risk Areas	Conformance	Alcoa Mosjøen is located in Norway, a country where armed conflict or human rights abuses is not common. The Entity has on a corporate level established policies and a supplier standard which is part of the contract with Alcoa. All suppliers are evaluated using the EcoVadis system and specific focus is on suppliers in countries or regions with armed conflict or human rights abuses and this is part of risk assessments and evaluation criteria.
9.9 Security practice	Conformance	Security staff work according to the Alcoa Code of Conduct and Ethics. Security staff are also trained on site, they are employed by the Entity and this activity is not outsourced.
PRINCIPLE 10 LABOUR RIGHTS		
10.1a Freedom of Association and Right to Collective Bargaining (freedom of association)	Conformance	Freedom of association and right to collective bargaining is well organised in the Norwegian society. There are long traditions on cooperation and strong labour rights legislation implemented. The Entity has implemented a Human Rights Policy respecting the freedom of association and right to collective bargaining. The policy is available at: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy All trade unions present at the entity are included in cooperation and bargaining with the management.
10.1b Freedom of Association and Right to Collective Bargaining (collective bargaining)	Conformance	Freedom of Association and Right to Collective Bargaining is well organised in the Norwegian society. There are long traditions on cooperation and strong labours' rights legislation implemented. The Entity has implemented a Human Rights Policy committing to freedom of Association and Right to Collective Bargaining, which is available at: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy All trade unions present at the plant are included in cooperation and bargaining with the management..
10.1c Freedom of Association and Right to Collective Bargaining (alternative means)	Not Applicable	The Criterion is not applicable since Freedom of Association and the Right to Collective Bargaining in Norway are regulated by law.
10.2a Child Labour (minimum age)	Conformance	There is no employment of workers under the age of 17 years. The Entity's Human Rights Policy and

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		Code of Conduct both prohibit the use of child labour.
10.2b Child Labour (hazardous)	Conformance	There is no employment of workers under the age of 17 years. The Entity's Human Rights Policy and Code of Conduct both prohibit the use of child labour.
10.2c Child Labour (worst forms)	Conformance	There is no employment of workers under the age of 17 years. The Entity's Human Rights Policy and Code of Conduct both prohibit the use of child labour.
10.3a Forced Labour (human trafficking)	Conformance	The Entity does not participate in or support Human Trafficking, either directly or through any employment or contracting agencies. A Human Rights Policy is implemented, and Contractors are regularly followed up through supplier audits and questionnaires.
10.3b Forced Labour (deposits, fees, advances)	Conformance	There is no requirement in any labour agreement, employee handbook or agreement with a recruiting firm that requires the employees to pay any type of fee or advance. This practice is not allowed by National regulation.
10.3c Forced Labour (migrant workers)	Conformance	The Entity does not engage in nor support the use of Forced Labour as defined in ILO Conventions. No incidents were found at the entity sites. No migrant workers are hired.
10.3d Forced Labour (debt bondage)	Conformance	The Entity has established a Human Rights policy and abides to applicable law. The Entity does not hold any employee or worker in debt bondage or force them to work in order to pay off a debt.
10.3e Forced Labour (freedom of movement)	Conformance	The Entity has implemented a Human Rights Policy and abides to applicable law. Employees and other workers are free to leave their working places.
10.3f Forced Labour (retention of identity papers, permits, certificates)	Conformance	The Entity has established a Human Rights Policy and abides by applicable law. No original identity papers are kept by the Entity.
10.3g Forced Labour (freedom to terminate employment)	Conformance	Conditions of termination of working contracts are defined by law, Collective Bargaining agreements and described in Worker contracts.
10.4 Non-Discrimination	Conformance	No discrimination was found during audits and interviews at the entity's sites. The Entity has developed and implemented an Equal Employment Opportunity Policy addressing zero tolerance to

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		discrimination and a Human Rights Policy available at: https://www.alcoa.com/sustainability/en/communities/human-rights
10.5 Communication and engagement	Conformance	The Entity has an open and inclusive communication between management, workers and unions. The entity has systems in place to raise concerns, report non-conformities and for improvement suggestions. Open meetings for all employees are held regularly by the plant management. Several committees, for instance Occupational Health and Safety Committee and union-management joint committee, have regular meetings.
10.6 Disciplinary practices	Conformance	Alcoa corporate policies, values and Code of conduct and Ethics are important guidance and rules related to disciplinary practice https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/code-conduct/Code_Conduct_English.pdf In addition, national legislation through the Working Environment Act are complied with, as well as the ASI Performance Standard requirement.
10.7a Remuneration (living wage)	Conformance	The Entity pays wages according to agreements with appropriate Labour Unions. The Workers interviewed expressed general satisfaction with the salary levels at the Entity. A tariff agreement between management and unions exists.
10.7b Remuneration (method of payment)	Conformance	Payments of wages are conducted monthly in a punctual manner to each employee's bank account. All workers receive payslips with payment details.
10.8 Working Time	Conformance	Different shift models are in place in the Entity and are approved by collective agreements and the local authorities. The Entity has implemented systems in place to closely monitor Overtime. Public holidays and annual leave are remunerated according to Norwegian law.
PRINCIPLE 11 OCCUPATIONAL HEALTH AND SAFETY		
11.1a Occupational Health and Safety (OH&S) Policy (policy)	Conformance	The Entity has developed, implemented and communicated a Health and Safety Policy endorsed and supported by senior management through the provision of resources.

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11.1b Occupational Health and Safety (OH&S) Policy (workers and visitors)	Conformance	The Entity's Policy on Occupational Health and Safety is communicated in several ways. For instance, visually on boards and through training and contracts with external stakeholders. A safety instruction video is mandatory to view for all contractors and visitors entering the site. The management system INOSA secures implementation and communication of the policy.
11.1c Occupational Health and Safety (OH&S) Policy (applicable law and standards)	Conformance	The Entity's Policy on Occupational Health and Safety addresses that safe work always is most important, as well as a commitment to comply with Applicable Law and regulations. The Alcoa 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 Entity's Policy on Health and Safety addresses the importance that safe work always is most important and all have the right to understand the hazards and safe practices of their work, and the authority to refuse or stop unsafe work. The policy and values are available 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	The Entity has a documented and implemented Occupational Health and Safety Management System that is in conformance with the Norwegian legislations 'Internal control regulations' and the Working environment act. The Entity has started to prepare for an ISO 45001:2018 certification in 2023.
11.3 Employee engagement on health and safety	Conformance	The Entity has established industry practices on OH&S with close cooperation with management and the employees. Several committees on health and safety are implemented. Health and safety are always the first item on the agenda in all meetings.
11.4 OH&S performance	Conformance	The Entity evaluates its occupational health and safety performance regularly and several KPI's (Key Performance Indicators) are addressed on occupational health and safety. The Entity has several tools for evaluation of performance and to continuously improve. The performance is documented in the annual report for Alcoa Norway (2021) on page 9:

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		https://www.alcoa.com/norway/no/pdf/Arsrapport-2021-Alcoa-Norway-ANS.pdf

Document Control and Version History

Revision	Date	Notes
0	6 February 2020	Initial Certification Audit - Full Certification
1	12 January 2023	Re-Certification Audit