

# ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

# JSC - Arconic SMZ

CERTIFICATE NUMBER  
**250**

ASI STANDARD  
**PERFORMANCE  
STANDARD  
(V3 2022)**

CERTIFICATION LEVEL  
**FULL  
CERTIFICATION**

ASI ACCREDITED  
AUDITING FIRM  
**BUREAU VERITAS  
CERTIFICATION**

DATE OF ISSUE  
**20 DECEMBER 2022**

DATE OF EXPIRY  
**19 DECEMBER 2025**

CERTIFIED SINCE  
**20 DECEMBER 2019**

## AUTHORISED BY

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

Aluminium Stewardship Initiative Ltd  
ACN 606 661 125, Australia  
[info@aluminium-stewardship.org](mailto:info@aluminium-stewardship.org)

*Validity of this Certificate is subject to  
continued conformance with the  
applicable ASI Standard and can be  
verified at  
[www.aluminium-stewardship.org](http://www.aluminium-stewardship.org)*

## CERTIFICATION SCOPE

Casthouse and Aluminium  
Products fabrication at the Samara  
Metallurgical Plant in Samara,  
Russia.

# AUDIT REPORT PERFORMANCE STANDARD

## OVERVIEW

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MEMBER NAME	Arconic
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ENTITY NAME	JSC - Arconic SMZ
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CERTIFICATION SCOPE	Casthouse and Aluminium Products fabrication at JSC Arconic SMZ in Samara, Russia.
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SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>• Casthouses</li><li>• Semi-Fabrication</li></ul>
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ASI STANDARD	<ul style="list-style-type: none"><li>• Performance Standard V3</li></ul>
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AUDIT TYPE	<ul style="list-style-type: none"><li>• Initial Certification Audit (30 October – 29 November 2019)</li><li>• Re-Certification Audit and Scope Change (18 – 24 October 2022)</li></ul>
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AUDIT FIRM	Bureau Veritas Certification
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AUDIT DATE	<ul style="list-style-type: none"><li>• 30 October – 29 November 2019 (Initial Certification Audit)</li><li>• 18 – 24 October 2022 (Re-Certification Audit and Scope Change)</li></ul>
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AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>• 26 November 2019 (Initial Certification Audit)</li><li>• 13 December 2022 (Re-Certification Audit and Scope Change)</li></ul>
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AUDIT SCOPE	<p><u>Initial Certification Audit (30 October – 29 November 2019)</u> The audit scope covered the activities at Arconic Samara, Russia.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"><li>• Casthouses</li><li>• Semi-Fabrication</li></ul> <p>All applicable criteria in the ASI Performance Standard were included in the audit scope.</p> <p><u>Re-Certification Audit and Scope Change (18 – 24 October 2022)</u> The audit scope covered the Samara production facility, and the general Arconic company policies and standards at Arconic SMZ JSC Head Office, Moscow, Russia.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"><li>• Casthouses</li><li>• Semi-Fabrication</li></ul> <p>All applicable criteria in the ASI Performance Standard were included in the audit scope.</p>
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AUDIT OUTCOME

- Certification

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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.

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CERTIFICATION PERIOD

20 December 2022 – 19 December 2025

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NEXT AUDIT TYPE

Re-Certification Audit

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NEXT AUDIT DATE

19 December 2025

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CERTIFICATE NUMBER

250



If you have an inquiry or complaint about this Certification, go to the third-party EthicsPoint portal at: <https://aluminium-stewardship.ethicspoint.com/>

EthicsPoint is a comprehensive and confidential reporting tool that enables complaints to be securely raised, managed and responded to. This enables anonymity to be maintained where desired by complainants, or as relevant to whistleblowing situations.

Information is available in five languages – English, French, Chinese, German and Portuguese (Brazil). Translation services provided by EthicsPoint enable complaints and correspondence to be managed in multiple languages.

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## ENTITY OVERVIEW

JSC Arconic SMZ commenced operation in 1960 as Kuibyshev Metallurgical Plant with casthouse, extrusion and rolling aluminium production. In 1998 it was named OJSC Samara Metallurgical Plant. Since February 2005, the plant has been part of Alcoa's enterprise structure as Alcoa SMZ JSC. After Alcoa's restructuring in 2016, it was registered as Arconic SMZ JSC, owned by Arconic. In May 2022, Arconic announced the sale of the Samara Metallurgical Plant.

From 1960 the scope of work included such aluminium productions as casthouse, rolling, extrusion, and forging. Equipment and production processes have, step by step, been under improvement and modernization. At present, the Samara Metallurgical Plant is the largest industrial producer of aluminium semi-finished products in Russia with a capacity of 260,000 MT per year. The plant's products include a variety of flat rolled products: coils, sheets, plates, panels; extrusions and forgings, such as pipes, profiles, bars and rods. Alongside the aluminium solutions the plant manufactures semi-finished products made of titanium alloys.

The plant has certified management systems according to standards: ISO 14001:2015, ISO 9001:2015, AS 9100 (avia) and TS 16949 (auto). In 2019 and 2022 JSC Arconic SMZ obtained ASI certification according to the ASI Performance Standard and Chain of Custody.

The plant is situated in the large industrial Russian city of Samara and is one of the city-forming enterprises. Due to the effective environmental management system, negative environmental impacts are minimal. According to local mass media, the plant has less environmental impact than the other large industrial city plants. Arconic SMZ is a multiple winner of the regional competition "ECOLEADER" in the category 'Industrial Giant'.

In terms of revenue, Arconic SMZ has been consistently ranked among the Top 300 largest companies in Russia for many years. Arconic SMZ is in the TOP 50 best employers in Russia according to the HeadHunter group of companies (among companies numbering 1,000 -5,000 people).

The plant has unique equipment, such as the world's largest vertical hydraulic press with a maximum force of 75,000 tons. One of the largest horizontal presses with a force of 20,000 tons. Specialists of the plant have given new life to this equipment by upgrading the hydraulic system and the electrical control system.

Key external stakeholders include the regional governmental authorities, customers representing major industries, citizens of Samara city and the region.

With approximately 3,000 employees in Russia, JSC Arconic SMZ is advancing the ground transportation, aerospace, packaging, industrial and construction markets, while receiving recognition for its significant contribution and support of local communities.

## SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
<b>1. BUSINESS INTEGRITY</b>		
1.1 Legal Compliance	Conformance	The Entity has implemented systems to maintain awareness of and ensure compliance with Applicable Law. The Entity has defined a governance approach to compliance, including legal counsels in all activities related to the plant, the maintenance of a Legal Registry and the use of external legal service providers to complement in-house competencies.
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. The Entity implements the Arconic Corporation Anti-Corruption Policy, available at:</p> <p><a href="https://www.arconic.com/anti-corruption-policy?p_l_back_url=%2Fsearch%3Fq%3DANTI-CORRUPTION%2BPOLICY">https://www.arconic.com/anti-corruption-policy?p_l_back_url=%2Fsearch%3Fq%3DANTI-CORRUPTION%2BPOLICY</a></p> <p>As part of the anti-corruption and compliance system, the Entity has implemented a robust anti-corruption risk management process, gift acceptance procedures and guidance on interactions with government officials.</p>
1.3a-e 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 onboarding and on an annual basis. The Entity Implements the Arconic Code of Conduct, available in different languages at:</p> <p><a href="https://www.arconic.com/code-of-conduct">https://www.arconic.com/code-of-conduct</a></p>
<b>2. POLICY AND MANAGEMENT</b>		
2.1a-f Environmental, Social, and Governance Policy	Conformance	<p>The Entity has developed and implemented a series of Policies and programs that are in accordance with the environmental, social and governance practices of the ASI Performance Standard. These policies are summarised publicly.</p> <p>Arconic EHS Policy: <a href="https://www.arconic.com/documents/42106/101790/Arconic-EHS-Policy.pdf">https://www.arconic.com/documents/42106/101790/Arconic-EHS-Policy.pdf</a></p> <p>Arconic Environmental Management Policy: <a href="https://www.arconic.com/documents/42106/101790/Arconic-Environmental-Statement.pdf">https://www.arconic.com/documents/42106/101790/Arconic-Environmental-Statement.pdf</a></p> <p>Arconic Social Responsibility Policy: <a href="https://www.arconic.com/social">https://www.arconic.com/social</a></p> <p>The Entity's senior management has endorsed the Environment, Health and Safety (EHS) Policy which is regularly reviewed and supported through provision of adequate resources. The Entity has an EHS Council, composed of staff from the EHS and legal teams. The Council is a strategic body, and it must approve any new initiatives.</p>

CRITERION	RATING	COMMENT
2.2a-c Leadership	Conformance	The Entity has nominated senior Management Representatives, the EH&S Deputy Director and Vice President of Global Rolled Products, as having overall responsibility and authority for ensuring conformance with the ASI Performance Standard, the implementation of the Environmental, Social and Governance (ESG) Policies and communication of the Policies. These roles have sufficient authority to provide adequate resources for the establishment, implementation, maintenance and improvement of the Management Systems required.
2.3a Environmental and Social Management Systems - Environmental	Conformance	The Entity has obtained ISO 14001 certification for its Environmental Management System.
2.3b Environmental and Social Management Systems - Social	Conformance	The Entity has developed a Social Management System, comprising of procedures that define its implementation, and records demonstrating effective execution. Internal audits are conducted regularly, with results stored in the Arconic Self Assessment Tool (ASAT) or another location specific depository.
2.4a-e Responsible Sourcing	Conformance	<p>The Entity has implemented a responsible sourcing Policy covering environmental, social and governance (ESG) issues. The Entity has implemented the Arconic Supplier Standard, publicly available at: <a href="https://www.arconic.com/documents/42106/95882/Supplier-Standards-English.pdf">https://www.arconic.com/documents/42106/95882/Supplier-Standards-English.pdf</a></p> <p>The ESG aspects of responsible sourcing are managed centrally at Arconic as many of the Entity's suppliers deliver goods to more than one Arconic 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.</p>
2.5a-g Environmental and Social Impact Assessments	Not Applicable	Risk assessments are typically undertaken for acquisitions and divestitures. The Entity has procedures that define EHS assessment and risk management requirements in these cases. The Entity has not initiated any New Projects or Major Changes to the Facility or production processes in the last ten years, therefore no Impact Assessments were required. In the foreseeable future there are no such planned changes, however, in case of future New Projects or Major Changes, environmental, social, cultural and Human Rights Impact Assessments, including a gender analysis will be undertaken as a part of mandatory reviews of project documentation by responsible state bodies.
2.6a-h Human Rights Impact Assessment	Not Applicable	Risk assessments are typically undertaken for acquisitions and divestitures. The Entity has procedures that define EHS assessment and risk management requirements in these cases. In case of New Projects or Major Changes, environmental, social, cultural and Human Rights Impact Assessments, including a gender analysis will be undertaken as a part of mandatory reviews of project documentation by responsible state bodies.
2.7a-f Emergency Response Plan	Conformance	The Entity has developed and implemented emergency response plans which are reviewed every five years, or after any changes to the Business, or alteration in the nature or scale of emergency incident risks in accordance with Russian Federation legal requirements. The

CRITERION	RATING	COMMENT
		emergency response plans are disclosed to local Ministry of Emergency Situations (EMERCOM) organisations and local specialists that may be involved or affected by the emergency. Public disclosure is in accordance with international and Russian legal requirements.
2.8a-d Suspended Operations	Conformance	The Entity has developed a business resilience plan to address suspended or significantly altered operations due to conflict/civil unrest; pandemics; natural disasters; cyber-attack and other situations. This plan was implemented during the COVID-19 pandemic conditions and demonstrated the readiness of the Entity to respond to factors outside its control, and the adequacy of its resources.
2.9a-b 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 as defined in the EHS standard. The EHS standard defines the qualifications of the individuals conducting the EHS assessment (e.g., third party or Arconic EHS employees). EHS checklists define additional requirements beyond. All documents are stored on the EHS SharePoint.
2.10a-b Closure, Decommissioning and Divestment	Conformance	Closure, decommissioning and divestment activities are not planned in the near future. When applicable, activities around closure, decommissioning and divestment will be driven by Corporate functional teams with conducting a review of environmental, social and governance consequences and consultation, where possible, with the participation of Affected Populations and Organisations.
<b>3. TRANSPARENCY</b>		
3.1a-b Sustainability Reporting	Conformance	The Arconic Group's Sustainability Report describes the Entity's environmental, social and economic impacts, and is made available on the website and reported to the Global Reporting Initiative (GRI):  <a href="https://www.arconic.com/documents/42106/101796/2020-Sustainability-Report.pdf">https://www.arconic.com/documents/42106/101796/2020-Sustainability-Report.pdf</a>  Furthermore, the Entity submits environmental data to the Carbon Disclosure Project.
3.2 Non-compliance and Liabilities	Conformance	Arconic Corporation produces a publicly available report that summarizes significant fines, judgments, penalties and non-monetary sanctions related to non-compliance. Please refer to the Arconic 2020 Sustainability Report, page 35:  <a href="https://www.arconic.com/documents/42106/101796/2020-Sustainability-Report.pdf">https://www.arconic.com/documents/42106/101796/2020-Sustainability-Report.pdf</a>
3.3a-c Payments to Governments	Conformance	The Entity has the required policies, procedures, training and due diligence processes to ensure that payments made to governments are only on a legal and/or contractual basis. It was evidenced during the audit that all requirements related to payments to government authorities have been defined by Arconic's global Anti-Corruption Policy and corresponding procedures. All payments to government authorities are transacted via bank transfer. Independent third party audits of accounting statements are conducted regularly.

CRITERION	RATING	COMMENT
		<p>Refer to the Arconic 2021 Annual Report, section 'Government Regulation' on page 12 and 'Compensation and Benefits Programs' on page 14:</p> <p><a href="https://www.arconic.com/documents/42106/97639/2021-Arconic-Annual-Report.pdf">https://www.arconic.com/documents/42106/97639/2021-Arconic-Annual-Report.pdf</a></p> <p>The Entity has implemented a procedure in accordance with the Anti-Corruption Policy to ensure no payments are made to any political parties.</p>
3.4a-f Stakeholder Complaints, Grievances and Requests for Information	Conformance	The Entity has implemented a procedure to address Stakeholder complaints/information requests. The procedure is available to Stakeholders, and protects the Stakeholder raising the complaint (if necessary). The Entity has an Honesty Line (8-800-100-94-35).
<b>4. MATERIAL STEWARDSHIP</b>		
4.1a Environmental Life Cycle Assessment	Conformance	The Life Cycle Assessments (LCAs) referenced by the Entity are those conducted for each product line by the North American Aluminum Association and European Aluminum Association. The Entity has participated in the North American Aluminum Association's LCA studies.
4.1b-c Environmental Life Cycle Assessment - Disclosure	Conformance	The Entity has communicated information on the LCA studies via Arconic's issued press releases. The Entity can respond to customer requests for LCA information on their Aluminium product(s), as evidenced by interviews with the responsible specialists.
4.2 Product Design	Conformance	<p>The Entity has maintained a focus on improving the design of its products through the Arconic Centres of Excellence and the Arconic Technical Centre, focusing on three key areas including operations; customers' sustainability and supply chain. The Entity has implemented measures to drive supply chain sustainability into their suppliers' processes and practices. This includes focusing on innovation and helping customers capture opportunities for product improvement and as well as driving sustainable design through the Arconic Global Supplier Sustainability Program. For further information, refer to the Arconic 2020 Sustainability Report, pages 13, 14 and 53:</p> <p><a href="https://www.arconic.com/documents/42106/101796/2020-Sustainability-Report.pdf">https://www.arconic.com/documents/42106/101796/2020-Sustainability-Report.pdf</a></p>
4.3a-b Aluminium Process Scrap	Conformance	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. Scrap suppliers receive material from automotive and aerospace dismantlers as well as producers. The Entity is assessed against the Global Revert Utilization Core Operating Standard Assessment. The Entity has recently initiated this process for the coming year and will conduct re-certification bi-annually. To achieve its long-term strategic goals in recycling, the Entity purchases a large volume of secondary Aluminium alloys on the market (up to 52% of Recycled Aluminium), promoting the collection and processing of Aluminium scrap in Russia.
4.4a-c Collection and Recycling of Products at	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.



CRITERION	RATING	COMMENT
End of Life - Material Conversion and other Manufacturing		
4.4d Collection and Recycling of Products at End of Life	Conformance	<p>Arconic Corporation is involved with the Aluminum Association (including Brazilian and European associations), including involvement with the newly created sustainability working group to guide staff participation, advise on industry issues and the associations' overall strategy on sustainability issues. The Entity reports data to the Aluminum Association for scrap usage to be reported anonymously.</p> <p>The Entity is a member of the Russian Aluminum Association and has actively participated in programs on the development of the Russian market for Aluminium products in such industrial areas as engineering and construction. The Entity actively interacts with regional and national Aluminium scrap processors, united in a council of secondary Aluminium industry enterprises and actively works on the development of the Aluminium products market and carries out outreach on the environmental benefits of Aluminium for end users.</p>
<b>5. GREENHOUSE GAS EMISSIONS</b>		
5.1a-b Disclosure of GHG Emissions and Energy Use	Conformance	<p>The Entity has monitored their Greenhouse Gas (GHG) Emissions, and annually collects the data and reports to Arconic Corporate. Arconic's consolidated GHG emissions data is reported in the Arconic 2020 Sustainability Report, page 19:</p> <p><a href="https://www.arconic.com/documents/42106/101796/2020-Sustainability-Report.pdf">https://www.arconic.com/documents/42106/101796/2020-Sustainability-Report.pdf</a></p> <p>The Entity via Arconic also reports their GHG emissions annually to the Carbon Disclosure Project (CDP).</p> <p>The Entity has implemented a system for the collection and analysis of energy use data and GHG emissions by source.</p>
5.2a Aluminium Smelter GHG Emissions Intensity - Started production after 2020	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.2b Aluminium Smelter GHG Emissions Intensity - In production up to and including 2020	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope
5.3a-e GHG Emissions Reduction Plans	Conformance	<p>The Entity has established a target to reduce annual energy intensity (and related emissions intensity) of their Global Rolled Products (GRP) operations by 30% by 2030 compared to its 2005 baseline and is on track to achieve their target, with 73% of the target achieved to date.</p> <p>The GRP energy and GHG efficiency target is noted in the 2017/18 CDP disclosure:</p> <p><a href="https://www.cdp.net/en/responses/64106">https://www.cdp.net/en/responses/64106</a></p> <p>The ultimate aim is the implementation of the Entity's GHG Emissions Reduction Plan and the GHG Emissions Reduction Pathway based on the 1.5 C degree warming scenario.</p>

CRITERION	RATING	COMMENT
5.4 GHG Emissions Management	Conformance	The Entity has implemented the Management System, evaluation procedures, and operating controls to achieve performance aligned with the GHG Emissions Reduction Plan and targets. The Entity via Arconic reports the GHG emissions for the year 2020 in its 2020 Sustainability Report. The Entity monitors GHG emissions at site level and annually collects data and reports at the corporate level. The Entity also reports their GHG emissions annually via Arconic to the Carbon Disclosure Project (CDP).
<b>6. EMISSIONS, EFFLUENTS AND WASTE</b>		
6.1a-f Emissions to Air	Conformance	<p>Arconic has developed a corporate level Air Emissions Management Standard that the Entity has implemented. This standard addresses: an emissions inventory; permit/license/compliance program and managing requirements; emissions and process change; control equipment operation, and; reporting in accordance with legal requirements.</p> <p>The Entity has undertaken environmental industrial control (monitoring of emissions to air). The Entity has established an emissions instrumental control schedule. During the instrumental control, exceedances of air pollution emissions were not identified and therefore no adverse impacts on humans and the environment were identified. The annual Environment Action Plan includes actions to minimise Emissions to Air as part of the continuous improvement plan. The Entity reports to the federal government authority annually and the local government quarterly. Emissions are disclosed in the Arconic 2020 Sustainability Report, section 'Environmental', page 14:</p> <p><a href="https://www.arconic.com/documents/42106/101796/2020-Sustainability-Report.pdf">https://www.arconic.com/documents/42106/101796/2020-Sustainability-Report.pdf</a></p>
6.2a-g Discharges to Water	Conformance	<p>Arconic has developed a Water Standard at the corporate level that the Entity has implemented. This standard addresses: water identification and characterisation; permit/license/compliance program and managing requirements; process change that affects withdrawal rates, discharge volume or characteristics; wastewater treatment operation and control, and; reporting of water sustainability metrics.</p> <p>Site-level audits at the Entity confirmed that there are no adverse effects on humans or the environment resulting from Discharges to Water, and the site operates in accordance with the operational permit and local regulatory requirements.</p>
6.3a-g Assessment and Management of Spills and Leakages	Conformance	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. The Entity has conducted a sumps, pits and basements risk assessment for assessing the risk of spills and leaks. A detailed inventory has been developed to identify all the sumps, basements, trenches and pits. An environmental risk assessment for spills and leakages (titled Plans for Localization and Liquidation Consequences of Accidental Spills) has been undertaken. During the modelling of spillage situations and adequate training sessions, no major risks were revealed where Spills and Leakages may lead to air, water and/or soil significant contaminations.
6.4a-b Public Disclosure of Spills and Leakages	Conformance	Spills/releases above five gallons and outside designated containment are tracked and reported in the Entity's incident

CRITERION	RATING	COMMENT
		<p>management system. Spills/releases defined as significant (more than 500 gallons) are reported to appropriate agencies and spill response teams (i.e., a local division of EMRCOM).</p> <p>The Entity has established communication procedures to inform affected parties, such as Communities, neighbours, emergency response teams and regulators. There were no significant spills in the period 2019-2022.</p>
6.5a-c Waste Management and Reporting	Conformance	<p>The Waste Management Standard requires the Entity to comply with applicable regulations and support the environment and health and safety management. This standard outlines the strategy and adopts the Waste Mitigation Hierarchy, including waste reduction, recycling, incineration/treatment, and secure land disposal. The implemented Environmental Management System addresses the risk assessment related to significant environmental aspects including potential material impacts to human wellbeing and the environment.</p> <p>The Entity reports Hazardous and Non-Hazardous Waste quantities to relevant authorities regularly and has publicly disclosed this data in the Arconic 2020 Sustainability Report:</p> <p><a href="https://www.arconic.com/documents/42106/101796/2020-Sustainability-Report.pdf">https://www.arconic.com/documents/42106/101796/2020-Sustainability-Report.pdf</a></p> <p>A Federal Statistical Form '2TP - waste' is provided to a local division of the Ministry of Nature annually.</p>
6.6a-g Bauxite Residue	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope
6.7a-f Spent Pot Lining (SPL)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.8a-d Dross	Conformance	<p>The Entity has taken multiple steps to ensure the recovery of Aluminum by treatment of Dross and Dross residues. Further information is available in the Arconic 2020 Sustainability Report:</p> <p><a href="https://www.arconic.com/documents/42106/101796/2020-Sustainability-Report.pdf">https://www.arconic.com/documents/42106/101796/2020-Sustainability-Report.pdf</a></p> <p>The Entity has identified categories of Slag and the appropriate third parties to recover Aluminium from the Dross and reuse in their production process. 100% of the Dross is sent to third parties for reuse and recycling. No Dross residues are sent to landfill. 100% Slag is sent to third parties for further processing.</p>
<b>7. WATER STEWARDSHIP</b>		
7.1a-b Water Assessment and Disclosure	Conformance	<p>The Entity has conducted an assessment to evaluate the site's location in accordance with areas considered water stressed or under water restrictions, using the WBCSD Global Water Tool. The Entity does not have significant risks related to water resources.</p> <p>The Entity has implemented the Arconic EHS Standard related to water and wastewater management which requires the Entity to identify, quantify and prepare a comprehensive inventory of water sources and impacts on the Watershed. A water consumption and disposal balance is compiled which defines and displays water intake and water use for each source. For further information, refer to the Arconic 2020 Sustainability Report, page 27:</p>

CRITERION	RATING	COMMENT
		<a href="https://www.arconic.com/documents/42106/101796/2020-Sustainability-Report.pdf">https://www.arconic.com/documents/42106/101796/2020-Sustainability-Report.pdf</a>
7.2a-e Water Management	Not Applicable	<p>This Criterion is not applicable, as no significant risk related to water resources has been identified within the catchments in the Entity's Area of Influence.</p> <p>However, the Entity has implemented the Arconic management system standard that requires conformance with, among other items, sustainability metrics for water management.</p>
<b>8. BIODIVERSITY AND ECOSYSTEM SERVICES</b>		
8.1a Biodiversity and Ecosystem Services Risk and Impact 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 based on the Integrated Biodiversity Assessment Tool (IBAT). The Entity did not have any material biodiversity impacts (the site is located 65 kilometres from the Samarskaya Luka National Park, which is the nearest protected area to the site).
8.1b Biodiversity and Ecosystem Services Risk and Impact Assessment - Priority	Not Applicable	This Criterion is not applicable, as the risks and potential impacts have been assessed and documented as low.
8.2a-g Biodiversity Management	Not Applicable	The Criterion is not applicable, as the risks and potential impacts have been assessed and documented as low.
8.3a-c Management of Priority Ecosystem Services	Not Applicable	This Criterion is not applicable, as no Priority Ecosystem Services were identified in the risk assessment.
8.4 Alien Species	Conformance	The Entity has established special requirements for wooden materials. The suppliers of these materials undertake assessment and treatment as necessary and provide verification documents. All quarantined products entering the plant are checked for appropriate certificates.
8.5a-b Commitment to "No Go" in World Heritage Properties	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.6a-d Protected Areas	Conformance	The Entity has undertaken a biodiversity assessment and no negative impacts on biodiversity, including Protected Areas within the Area of Influence were identified. The Entity will continue operations in compliance with all local and national laws and international guidance to minimise impacts on the environment and local species.
8.6e Protected Areas - Bauxite Mining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.7a-i Mine Rehabilitation	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

## 9. HUMAN RIGHTS

CRITERION	RATING	COMMENT
9.1a-d Human Rights Due Diligence	Conformance	<p>The Entity has a Human Rights Policy expressing a commitment to respect Human Rights:</p> <p><a href="https://www.arconic.com/human-rights">https://www.arconic.com/human-rights</a></p> <p>The Policy makes reference to the UN Guiding Principles on Business and Human Rights. The Policy is part of training for employees during onboarding and annual re-calibration training and is addressed in the Code of Conduct:</p> <p><a href="https://www.arconic.com/code-of-conduct">https://www.arconic.com/code-of-conduct</a></p> <p>The Entity uses the Human Rights Compliance Assessment (HRCA) diagnostic tool (developed by the Danish Institute for Human Rights) to help detect potential Human Rights violations on employees, local residents and other Stakeholders.</p>
9.2a-e Gender Equity and Women's Empowerment	Conformance	<p>The Entity has implemented the Arconic Human Rights Policy that addresses equal opportunity, Discrimination and harassment:</p> <p><a href="https://www.arconic.com/human-rights">https://www.arconic.com/human-rights</a></p> <p>The Entity also has many programs for women's empowerment such as Women in Manufacturing and Grow Together. For further information on women's programs, refer to:</p> <p><a href="https://www.arconic.com/grow-together">https://www.arconic.com/grow-together</a></p>
9.3a-i Indigenous Peoples	Not Applicable	This Criterion is not applicable, as there are no Indigenous Peoples in the Entity's Area of Influence or activity.
9.4a Free, Prior, and Informed Consent (FPIC) - New Projects or Major Changes	Not Applicable	This Criterion is not applicable, as there are no Indigenous Peoples in the Entity's Area of Influence or activity.
9.4b Free, Prior, and Informed Consent (FPIC) - Bauxite Mining	Not Applicable	This Criterion is not applicable, as there are no Indigenous Peoples in the Entity's Area of Influence or activity.
9.4c Free, Prior, and Informed Consent (FPIC) - Demonstrate support	Not Applicable	This Criterion is not applicable, as there are no Indigenous Peoples in the Entity's Area of Influence or activity.
9.5a-b Cultural and Sacred Heritage	Not Applicable	This Criterion is not applicable, as there no cultural or sacred heritage sites have been identified in the Entity's Area of Influence or activity.
9.5b Cultural and Sacred Heritage - Impacts	Not Applicable	This Criterion is not applicable, as there no cultural or sacred heritage sites have been identified in the Entity's Area of Influence or activity.
9.6a-i Displacement	Not Applicable	This Criterion is not applicable, as no New Projects or Major Changes have taken place since the Entity joined ASI, there are no Resettlements and no projects undertaken that would have caused displacement, resettlement or land acquisition.
9.7a-h Affected Populations and Organisations	Conformance	The Entity acknowledges the legal and customary rights and interests of potentially Affected Populations and Organisations in their lands, livelihoods and use of natural resources. Many projects are initiated

CRITERION	RATING	COMMENT
		<p>via the Arconic Foundation that provides a positive impact to Local Communities, refer to:</p> <p><a href="https://www.arconic.com/foundation">https://www.arconic.com/foundation</a></p> <p>The Entity's employees volunteer time, energy and skills to community programs and projects to help local non-profit organisations.</p>
9.8a Conflict-Affected and High-Risk Areas – Strong management systems	Conformance	<p>The Entity has established a system that includes a supply chain Policy, responsibilities and resources, information gathering and supplier engagement. Refer to the Arconic Supplier Sustainability approach:</p> <p><a href="https://www.arconic.com/supplier-sustainability?p_l_back_url=%2Fsearch%3Fq%3DSupplier%2BSustainability">https://www.arconic.com/supplier-sustainability?p_l_back_url=%2Fsearch%3Fq%3DSupplier%2BSustainability</a></p> <p>A review of internet resources and interviews with management, employees and workshop leaders did not identify any contribution to armed conflict or Human Rights abuses in Conflict-Affected and High-Risks Areas. For further information, refer to the Arconic Code of Conduct:</p> <p><a href="https://www.arconic.com/code-of-conduct">https://www.arconic.com/code-of-conduct</a></p>
9.8b Conflict-Affected and High-Risk Areas – Identify and assess risks	Conformance	<p>The Entity has annually identified and assessed risks in the supply chain in accordance with the Supplier Sustainability 'Assess Supplier' approach:</p> <p><a href="https://www.arconic.com/supplier-sustainability?p_l_back_url=%2Fsearch%3Fq%3DSupplier%2BSustainability">https://www.arconic.com/supplier-sustainability?p_l_back_url=%2Fsearch%3Fq%3DSupplier%2BSustainability</a></p> <p>A review of internet resources and interviews with management, employees and workshop leaders did not identify any contribution to armed conflict or Human Rights abuses in Conflict-Affected and High-Risks Areas.</p>
9.8c Conflict-Affected and High-Risk Areas – Strategy to respond to risks	Conformance	<p>The Entity has designed and implemented a strategy to respond to identified risks including the Conflict Minerals Policy, the Supplier Sustainability approach and Supplier Standards.</p> <p><a href="https://www.arconic.com/documents/42106/97639/Conflict-Minerals-Policy-FINAL-External.pdf">https://www.arconic.com/documents/42106/97639/Conflict-Minerals-Policy-FINAL-External.pdf</a></p> <p><a href="https://www.arconic.com/supplier-sustainability?p_l_back_url=%2Fsearch%3Fq%3DSupplier%2BSustainability">https://www.arconic.com/supplier-sustainability?p_l_back_url=%2Fsearch%3Fq%3DSupplier%2BSustainability</a></p> <p><a href="https://www.arconic.com/documents/42106/95882/Supplier-Standards-English.pdf">https://www.arconic.com/documents/42106/95882/Supplier-Standards-English.pdf</a></p> <p>A review of internet resources and interviews with management, employees and workshop leaders did not identify any contribution to armed conflict or Human Rights abuses in Conflict-Affected and High-Risks Areas.</p>
9.8d Conflict-Affected and High-Risk Areas – Audit of due diligence	Conformance	<p>The Entity has conducted Due Diligence of suppliers in accordance with requirements of Arconic's Conflict Minerals Policy, the Supplier Sustainability approach and Supplier Standards.</p>

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9.8e Conflict-Affected and High-Risk Areas - Report annually	Conformance	The Entity has developed annual reporting documentation on supply chain Due Diligence in accordance with requirements of Arconic's Conflict Minerals Policy, the Supplier Sustainability approach and Supplier Standards.
9.9 Security practice	Conformance	The Entity has contractual requirements that prevent the hiring of security companies or Contractors with the risk of infringing on Human Rights.
<b>10. LABOUR RIGHTS</b>		
10.1a-c Freedom of Association and Right to Collective Bargaining	Conformance	<p>The Entity has adopted and implemented Arconic's Human Rights Policy, which addresses Freedom of Association and Right to Collective Bargaining.</p> <p>The Entity's management concludes the collective agreement together with the local division of the Trade Union. All important issues in public relations, human rights and labour protection are resolved by management in close cooperation with the leaders of the Trade Union's local division.</p>
10.1d Freedom of Association and Right to Collective Bargaining - Alternative means in context of Applicable Law	Not Applicable	This Criterion is not applicable, as Russian Federation Applicable Law does not restrict the right to Freedom of Association and Collective Bargaining.
10.2a-c Child Labour	Conformance	<p>The Entity has implemented the Arconic Human Rights Policy, which addresses Child Labour:</p> <p><a href="https://www.arconic.com/human-rights">https://www.arconic.com/human-rights</a></p> <p>The Policy is part of training for employees during onboarding and annual re-calibration training and is addressed in the Code of Conduct. The Entity does not use and does not support the use of Child Labour. The personnel policy is implemented in accordance with the Russian Federation Labour Code. Employee records indicated that the minimum age of Workers is 19.</p>
10.3a-c Forced Labour	Conformance	<p>The Entity has implemented the Arconic Human Rights Policy, which addresses Forced Labour:</p> <p><a href="https://www.arconic.com/human-rights">https://www.arconic.com/human-rights</a></p> <p>The Policy is part of training for employees during onboarding and annual re-calibration training and is addressed in the Code of Conduct. In accordance with the Russian Federation Labour Code and Arconic's Human Rights Policy, the Entity employs Workers only with their free consent. The Policies and procedures that state the Entity's commitment and approach to forced or compulsory labour can be viewed by references in the EHS Policy and Social Responsibility Statement:</p> <p><a href="https://www.arconic.com/documents/42106/101790/Arconic-EHS-Policy.pdf">https://www.arconic.com/documents/42106/101790/Arconic-EHS-Policy.pdf</a></p> <p><a href="https://www.arconic.com/social">https://www.arconic.com/social</a></p> <p>There were no indicators of modern slavery at the Entity. All manifestations of modern slavery (such as an act of recruiting, harbouring, transporting, providing or obtaining a person for</p>

CRITERION	RATING	COMMENT
		<p>compelled labour or commercial sex acts through the use of force, fraud, or coercion) are prohibited by Applicable Law and Workers have available different means of communicating any issue via the hotline, Workers' representatives and the local Trade Union system. The Modern Slavery Statement is disclosed:</p> <p><a href="https://www.arconic.com/documents/42106/100640/Arconic-Corporation-UK-Slavery-and-Human-Trafficking-Statement.pdf">https://www.arconic.com/documents/42106/100640/Arconic-Corporation-UK-Slavery-and-Human-Trafficking-Statement.pdf</a></p>
10.4a-c Non-Discrimination	Conformance	<p>The Arconic Human Rights Policy addresses equality of opportunity and zero tolerance for Discrimination or harassment of any kind:</p> <p><a href="https://www.arconic.com/human-rights">https://www.arconic.com/human-rights</a></p> <p>The Policy is part of training for employees during onboarding and annual re-calibration training and is addressed in the Code of Conduct. Equal opportunities and non-Discrimination are evidenced via worker interviews and results of the annual Business Conduct and Conflict of Interest Survey (for all employees) and Survey of Ethics and Compliance Awareness (with a random sampling of employees).</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. The Entity also operates an Integrity Line which is available to Workers to seek advice or report grievances.</p>
10.6a-g Violence and Harassment	Conformance	<p>The Entity has implemented corporate Policies to prevent harassment in the workplace, which prohibits harassment and violence in the workplace. The Entity provides training on aspects of the policies concerning the prevention of harassment and countering harassment and Discrimination. The policies are available at:</p> <p><a href="https://www.arconic.com/human-rights">https://www.arconic.com/human-rights</a></p> <p><a href="https://www.arconic.com/code-of-conduct">https://www.arconic.com/code-of-conduct</a></p> <p>An Ethics and Compliance Integrity Line is available in all languages and employees can anonymously report any case of violence or harassment:</p> <p><a href="https://www.arconic.com/ethics?p_l_back_url=%2Fsearch%3Fq%3Dharassment">https://www.arconic.com/ethics?p_l_back_url=%2Fsearch%3Fq%3Dharassment</a></p>
10.7a-d Remuneration	Conformance	<p>The Entity makes wage payments twice a month, (as outlined in the Collective Labour Agreement) with direct payment to employees via bank transfer. Employees receive Remuneration for working Overtime, on public holidays, and for rest days and at night. Payments are fully documented via payslips, which are accessible to employees at any time and include information on the wage calculation and deductions such as taxes and union memberships. Employees may seek consultation on payslips and wages from the HR Shared People Services department. All employees are remunerated higher than the living wage fixed in the Russian Federation.</p> <p>The Entity undertakes an annual self-assessment against payroll requirements in accordance with Arconic's corporate requirement. Depending on risk, payroll practices are reviewed at the request of the Audit Committee of the Board and conducted by the internal audit function.</p>



CRITERION	RATING	COMMENT
10.8a-c Working Time	Conformance	The Entity complies with Applicable Law and industry standards on Working Time (including Overtime working hours), public holidays and annual leave. Every employee works according to the labour schedule that is stated in the labour agreement. The description of labour schedules is included in the Arconic Code of Conduct.
10.9a-b Informing Workers of Rights	Conformance	The Entity has informed Workers of their rights through local information systems including electronic boards, bulletin boards located in every workshop, local newsletter, training and personal consultations.  Any restrictions on the Freedom of Association and Collective Bargaining are prohibited by Russian Federation legislation.
<b>11. OCCUPATIONAL HEALTH AND SAFETY</b>		
11.1a Occupational Health and Safety (OH&S) Management System	Conformance	The Entity has a documented Occupational Health and Industrial Safety Management System that complies with applicable national and international standards. The OH&S Management System addresses internal requirements on the system and compliance monitoring. The OH&S Management System is applicable to all Workers and Visitors. Further information is available in the EHS Policy and the Health and Safety Statement:  <a href="https://www.arconic.com/documents/42106/101790/Arconic-EHS-Policy.pdf">https://www.arconic.com/documents/42106/101790/Arconic-EHS-Policy.pdf</a>  <a href="https://www.arconic.com/documents/42106/101790/Arconic-HS-Statement.pdf">https://www.arconic.com/documents/42106/101790/Arconic-HS-Statement.pdf</a>
11.1b-e Occupational Health and Safety (OH&S) Management System - Reviews and disclosure	Conformance	The Entity has documented the OH&S Management System, which complies with applicable national and international standards and is reviewed every five years, or after any changes that alter Material OH&S risks or on any indication of a control gap. The Entity's Workers are provided with effective mechanisms to raise, discuss and participate in the resolution of any OH&S issues with management. The Entity tracks leading and lagging OH&S indicators and compares them with their peers to look for opportunities to continuously improve. For further information:  <a href="https://www.arconic.com/documents/42106/101790/Arconic-EHS-Policy.pdf">https://www.arconic.com/documents/42106/101790/Arconic-EHS-Policy.pdf</a>  <a href="https://www.arconic.com/documents/42106/101790/Arconic-HS-Statement.pdf">https://www.arconic.com/documents/42106/101790/Arconic-HS-Statement.pdf</a>
11.2 Employee engagement on Health and Safety	Conformance	The Entity's Workers are provided with effective mechanisms to raise, discuss and participate in the resolution of any OH&S issues with management. The Entity has implemented a Safety Committee Standard which provides participation of employees in health protection security groups and teams and a performance standard ensures a monthly labour protection day is held with the participation of employees from all departments.

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#### DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	31 January 2023	Re-Certification Audit and Scope Change - Full Certification Transfer of initial Certification Audit details (as relevant) from Certificate 60 as Samara was removed upon its renewal on 20 December 2022.

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