

ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

Alcoa Lista

CERTIFICATE NUMBER
103

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

CERTIFICATION
LEVEL
**FULL
CERTIFICATION**

ASI ACCREDITED
AUDITING FIRM
**DNV BUSINESS
ASSURANCE SERVICES
UK LTD.**

DATE OF ISSUE
18 NOVEMBER 2023

DATE OF EXPIRY
17 NOVEMBER 2026

CERTIFIED SINCE
18 NOVEMBER 2020

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. Hall', 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

Development and production of
aluminium extrusion ingots, foundry
metal and manufacture of anode
briquette; and associated facilities
at Alcoa Lista (Norway).

AUDIT REPORT PERFORMANCE STANDARD

OVERVIEW

MEMBER NAME	Alcoa Corporation
ENTITY NAME	Alcoa Lista
CERTIFICATION SCOPE	Development and production of aluminium extrusion ingots, foundry metal and manufacture of anode briquette; and associated facilities at Alcoa Lista (Norway).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">Aluminium Re-melting/RefiningAluminium SmeltingCasthouses
ASI STANDARD	<ul style="list-style-type: none">Performance Standard V3
AUDIT TYPE	<ul style="list-style-type: none">Initial Certification Audit (23– 24 September 2020)Re-Certification and Scope Change Audit (15 – 19 October 2023)
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none">23 – 24 September 2020 (Initial Certification Audit)15 – 19 October 2023 (Re-Certification and Scope Change Audit)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">30 October 2020 (Initial Certification Audit)18 November 2023 (Re-Certification and Scope Change Audit)
AUDIT SCOPE	<p><u>Initial Certification Audit (23 – 24 September 2020)</u></p> <p>Development and production of aluminium extrusion ingots, foundry metal and manufacture of anode briquettes at Alcoa Lista (Norway).</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> <p><u>Re-Certification and Scope Change Audit (15 – 19 October 2023)</u></p> <p>The Audit Scope covered the development and production of aluminium extrusion ingots, foundry metal and manufacture of anode briquettes at Alcoa Lista (Norway).</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">Aluminium SmeltingAluminium Re-melting/RefiningCasthouses

All relevant supply chain activities, and Criteria in the 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.
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CERTIFICATION PERIOD

18 November 2023 - 17 November 2026

NEXT AUDIT TYPE

Re-Certification Audit

NEXT AUDIT DATE

17 November 2026

CERTIFICATE NUMBER

103



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.

ENTITY OVERVIEW

Alcoa Lista is Norway's southernmost aluminium plant situated in Agder County near the town and, in the municipality of, Farsund. It officially opened 1st of July 1971, as an aluminium smelter consisting of three pot lines, a casthouse, and with support structures and functions both in-house and outsourced. The smelter produces billets for extrusion purposes and exports 100% of its output to the European market. It also delivers molten alloyed metal directly to Aludyne, an adjacent car part manufacturer.

As a major employer in the region, approximately 270 full-time workers are directly connected to Alcoa with several more connected through suppliers and support functions. Alcoa Lista has an annual nameplate capacity of 94,000 metric tons of primary aluminium but from summer 2022, one-third of primary production has been curtailed with recent output being closer to 60,000 metric tons. However, by introducing alloys and cold metal the nameplate capacity of produce is about 135,000 metric tons.

The operations itself is located on industry regulated land 5km away from the closest major settlement and is part of Alcoa Norway AS which encompasses Mosjøen smelter and Lista smelter, both wholly owned by Alcoa Ltd.

MATURITY RATINGS

A rating of maturity (low, medium or high) determined by the Auditor that provides a general assessment in terms of systems, Residual Risk and performance assigned to a Sustainability Component.

Maturity ratings are not a direct assessment of conformance to the Standard.

	GOVERNANCE	ENVIRONMENT	SOCIAL	COMBINED RATING
SYSTEMS	High	Medium	High	High
RISKS	High	High	High	High
PERFORMANCE	High	Medium	High	High
OVERALL		HIGH		

FINDINGS

CRITERION	RATING	COMMENT
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	<p>The Entity has defined Policies and procedures to identify and manage risks against Corruption in all its forms, including Extortion and Bribery, consistent with applicable law and prevailing international standards. The Code of Conduct and Ethics has been developed and is mandatory for all employees and all subcontractors. Anti-Corruption training is mandatory for managers and staff. The Anti-Corruption Policy is publicly available at: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/anti-corruption</p> <p>The Sustainability Report includes information on its rules and procedures, page 22: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p>
1.3a-e Code of Conduct	Conformance	The Code of Conduct and Ethics has been defined and communicated to all interested parties, covering all key aspects of the business, business activities, conflict of interest, relations with customers and suppliers, and compliance with Human Rights. The Code of Conduct and Ethics has been translated to Norwegian and all employees and subcontractors receive training on the Code. The Code of Conduct and Ethics is publicly disclosed, it is reviewed regularly and updated on any changes to the Business or on any indication of inadequate operational controls. The Code of Conduct and Ethics is available at: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct
2. POLICY AND MANAGEMENT		
2.1a-f Environmental, Social, and Governance Policy	Conformance	<p>The Entity has implemented and maintained, at relevant levels in the organisation, environmental, social and governance Policies. The Entity holds valid ISO 9001, 14001 and 50001 Certificates. Corporate Policies are also available, e.g., Global EHS Policy: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/ehs-vision-values-mission-and-policy</p> <p>Alcoa Human Rights Policy: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy</p> <p>The Policies and procedures are reviewed and updated regularly, and all corporate Policies and procedures have senior management approval. Local Quality, Environment, Health, and Safety Policies are signed by the Entity's Managing Director.</p> <p>The Entity communicates the Policies internally and externally as appropriate and through multiple channels via an Alcoa website, internal Management System, intranet, information boards and screens, and mandatory training.</p>
2.2a-c Leadership	Conformance	In accordance with the Entity's Quality, Environmental and Social Management System, the Entity has nominated the Managing Director

CRITERION	RATING	COMMENT
		as having overall responsibility and authority for ensuring conformance with the ASI Performance Standard.
2.3a Environmental and Social Management Systems – Environmental	Conformance	<p>The Entity has documented and implemented integrated Environmental and Social Management Systems and is ISO 14001:2015 certified: https://www.alcoa.com/norway/no/environment</p> <p>The Annual Report for Alcoa Norway is publicly available at: https://www.alcoa.com/norway/no/pdf/Alcoa-Norway-AS-%C3%85rsberetning-2022.pdf</p>
2.3b Environmental and Social Management Systems – Social	Conformance	The Entity has documented and implemented a Social Management System. The Management System states that commitment, participation and cooperation between Workers' unions, management and employees are important aspects of the Entity's Social Management System.
2.4a-e Responsible Sourcing	Minor Non-Conformance	<p>The Entity has implemented a Responsible Sourcing Policy to address environmental, social and governance issues. The Responsible Sourcing Policy is available at: https://www.alcoa.com/global/en/who-we-are/ethics-compliance</p> <p>and</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/supplier-standards</p> <p>The SOP Responsible Sourcing Framework; is reviewed every two years. However, it was identified the local sourcing of goods and services in particular for transportation services, has not been evaluated and approved in accordance with Alcoa's Responsible Sourcing Policy and procedures.</p>
2.5a-g Environmental and Social Impact Assessments	Not Applicable	This Criterion is not applicable to the Entity, as there have been no New Projects or Major Changes to existing Facilities.
2.6a-h Human Rights Impact Assessment	Not Applicable	This Criterion is not applicable to the Entity, as there have been no New Projects or Major Changes to existing Facilities.
2.7a-f Emergency Response Plan	Conformance	<p>The Entity has developed site-specific Emergency Response Plans in collaboration with potentially affected Stakeholder groups including the municipality, employees and their representatives, relevant government bodies on environment, safety, and the fire department. A systematic approach with planning and training based on identified risks and regulatory requirements could be demonstrated.</p> <p>Information on the Emergency Response Plans for external parties and neighbours is available at: https://www.alcoa.com/norway/no/pdf/storulykke-informasjon.pdf.</p>
2.8a-d Suspended Operations	Conformance	The Entity has established processes and procedures to review environmental, social and governance issues in the planning process for suspended operations. A corporate procedure for business resilience is established, taking into account specific requirements in permits and operating licenses from national competent authorities and regulators. Suspended Operations processes are typically managed on a Corporate level, in cooperation with site management.

CRITERION	RATING	COMMENT
2.9a-b Mergers and Acquisitions	Conformance	Alcoa Corporate has established a corporate strategy and procedures related to Mergers and Acquisitions. However, if these occur in future, the Entity will review environmental, social and governance issues in the Due Diligence process for Mergers and Acquisitions. These elements are governed by Alcoa Corporation.
2.10a-b Closure, Decommissioning and Divestment	Conformance	Alcoa Corporate has established procedures related to Closure, Decommissioning and Divestment situations and national competent authorities and regulators have specific requirements for permits and operating licenses. However, if they occur, the Entity has processes and procedures to review environmental, social and governance issues in the planning process for Closure, Decommissioning and Divestment.
3. TRANSPARENCY		
3.1a-b Sustainability Reporting	Conformance	<p>The Entity prepares an Annual Sustainability Report which is developed in accordance with the Global Reporting Initiative (GRI) guidelines and provides this information publicly available at: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p> <p>All Environmental reporting to the Norwegian Environment Agency is available at: https://www.norskeutslipp.no/no/Diverse/Virksomhet/?CompanyID=5310.</p> <p>The Norwegian sites prepare and document an Annual Report which is available at: https://www.alcoa.com/norway/no/pdf/Alcoa-Norway-AS-%C3%85rsberetning-2022.pdf</p>
3.2 Non-compliance and Liabilities	Conformance	<p>The Entity has established procedures to publicly disclose information relating to significant fines, judgments, penalties and non-monetary sanctions for failure to comply with Applicable Law through annual reporting. No fines, judgments, penalties, or non-monetary sanctions have been received in recent years (i.e. 2019-2023). The Annual Report for Alcoa Norway is available at: https://www.alcoa.com/norway/no/pdf/Alcoa-Norway-AS-%C3%85rsberetning-2022.pdf</p>
3.3a-c Payments to Governments	Conformance	<p>The Entity has demonstrated Policies and processes to ensure conformance with ASI and compliance with legal requirements applicable to payments to governments. Only legal and obligatory payments related to taxes and duties are paid. Information on payments are available in the Sustainability Report, page 60: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p> <p>The Entity has implemented a Political Contributions Policy that prohibits the use of organisational funds, property, services, or other items of value for political purposes.</p>
3.4a-f Stakeholder Complaints, Grievances and Requests for Information	Conformance	The Entity has implemented accessible, transparent, understandable, and culturally and gender-sensitive, Complaints Resolution Mechanisms, adequate to address Stakeholder complaints, grievances and requests for information relating to its operations. The mechanism established is the Integrity line, which is reviewed regularly and shared with the public. The Integrity line is available at:

CRITERION	RATING	COMMENT
		https://www.alcoa.com/norway/no https://www.alcoa.com/global/en/home
4. MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment	Conformance	The Entity has implemented and certified an Environmental Management System and evaluates environmental aspects from a life cycle perspective. A Life Cycle Assessment Procedure has been developed and Environmental Product Declarations (EPDs) considering the products produced, are available for all main low-carbon Ecolum™ product families.
4.1b-c Environmental Life Cycle Assessment - Disclosure	Conformance	The Entity has developed a cradle-to-gate Life Cycle Assessment (LCA) information is available upon customer request. The Entity offers a third-party verified LCA in the form of an Environmental Product Declaration (EPD) for its Ecolum™ low-carbon products. Customers can use these EPDs, which are available upon request, for the LCA of their products. The LCA information includes underlying information and system boundaries.
4.2 Product Design	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a-b Aluminium Process Scrap	Conformance	The Entity has established targets and action plans to minimise Process Scrap. All Process Scrap generated from the Casthouse is recycled on-site. 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-c Collection and Recycling of Products at End of Life - Material Conversion and other Manufacturing	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.4d Collection and Recycling of Products at End of Life	Minor Non-Conformance	The Entity recycles all internally generated aluminium scrap. Locally, the site has an agreement with a neighbour company to process and re-melt the scrap generated at this facility. The Lista site has currently no technology or infrastructure installed to be able to recycle post-consumer aluminium scrap, and does not engage with local, regional or national collection and recycling systems to support efforts to increase recycling rates in its markets for products containing aluminium.
5. GREENHOUSE GAS EMISSIONS		
5.1a-b Disclosure of GHG Emissions and Energy Use	Conformance	<p>The Entity is a member of the EU Emissions Trading Scheme (EU ETS). The direct emissions by source are calculated and reported annually to the Norwegian Environment Agency and are Third Party verified. The emissions are publicly available at:</p> <p>https://www.norskeutslipp.no/no/Diverse/Virksomhet/?CompanyID=5310</p> <p>The Greenhouse Gases (GHG) emissions and energy consumption for the two Norwegian smelters including the Entity are disclosed in Alcoa Norway Annual Report, pages 10-12:</p>

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		https://www.alcoa.com/norway/no/pdf/Alcoa-Norway-AS-%C3%85rsberetning-2022.pdf
5.2a Aluminium Smelter GHG Emissions Intensity - Started production after 2020	Not Applicable	This Criterion is not applicable, since the Entity commenced production prior to 2020 and there are no new smelters planned.
5.2b Aluminium Smelter GHG Emissions Intensity - In production up to and including 2020	Conformance	The Entity's GHG emissions are annually verified by an accredited third party related to EU ETS. A carbon footprint from cradle to gate has been calculated to be below 5 tonnes (t) CO ₂ e/t Aluminium, covering the direct and indirect emissions. The Entity reports being on track to reduce GHG emissions intensity from refining and smelting (Scope 1 and Scope 2) by 30 per cent by 2025 and 50 per cent by 2030 from a 2015 baseline.
5.3a-e GHG Emissions Reduction Plans	Minor Non-Conformance	The Entity continually focuses on reducing and improving GHG emissions and energy consumption. The site is certified against ISO 50001 Energy Management Systems, with continuous improvements in energy consumption and GHG emission with targets established at the local and corporate levels. The reduction targets are available in the Sustainability Report, page 77: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf Alcoa's global strategy to reduce GHG emissions that contribute to climate change uses the hierarchy of mitigation and is aligned with achieving a below 2°C global warming scenario by 2050.
5.4 GHG Emissions Management	Conformance	The Entity has implemented GHG Management Systems which are certified according to both ISO 14001 Environmental Management Systems and ISO 50001 Energy Management Systems. The Management Systems drive the governance, controls, and improvement processes at the site. The Entity has demonstrated over time a strong commitment to continuously work on energy and GHG emission reduction with good results. The EU ETS requires the implementation of a Management System with procedures and governance covering roles and responsibilities, quality control and methodology for the calculation of the carbon footprint.
6. EMISSIONS, EFFLUENTS AND WASTE		
6.1a-f Emissions to Air	Conformance	The Entity monitors and reports its Emissions to Air as part of its monitoring program established to mitigate and report on its environmental performance. The Entity holds a valid permit from the Norwegian Environment Agency, which was last updated in 2023 and reports annually to the Agency on emissions and performance. The Report is publicly available at: https://www.norskeutslipp.no/en/Miscellaneous/Company/?CompanyID=5310 Plans for reducing impacts and minimise impacts from Emissions to Air are included in the Annual Report for Alcoa Norway: https://www.alcoa.com/norway/no/pdf/Alcoa-Norway-AS-%C3%85rsberetning-2022.pdf

CRITERION	RATING	COMMENT
6.2a-g Discharges to Water	Conformance	The Entity quantifies and reports its Discharges to Water as part of its monitoring program established to mitigate and report on its environmental performance. The Entity holds a valid permit from the Norwegian Environment Agency and reports annually to the Agency on discharges and performance. The report is publicly available at: https://www.norskeutslipp.no/en/Miscellaneous/Company/?CompanyID=5310
6.3a-g Assessment and Management of Spills and Leakages	Conformance	The Entity regularly assesses major risks related to environmental aspects and potential Spills and Leakages from the production processes and site activities including transport. Government bodies, third parties and Alcoa Corporate perform audits frequently. The Entity has established a management and external communication plan, compliance controls and a monitoring programme to prevent, detect and mitigate accidental Spills and Leakages. The plan is reviewed regularly and is shared with the municipality of Farsund and local emergency services.
6.4a-b Public Disclosure of Spills and Leakages	Conformance	The Entity has implemented a management and external communication plan, compliance controls and a monitoring programme to prevent and detect Spills and Leakages. Spills and Leakages are reported to the competent authority immediately after an incident. The Entity has established procedures to publicly disclose the volume, type and potential impact of Material Spills and remediation actions taken, and report publicly on an annual basis. Accidental Spills are reported annually to the Norwegian Environment Agency: https://www.norskeutslipp.no/no/Diverse/Virksomhet/?CompanyID=5310
6.5a-c Waste Management and Reporting	Conformance	The Entity has established practices to mitigate the generation of wastes and to reuse or recycle wastes. The Entity also participates in research and development projects to reduce waste. Data related to waste generated is reported to the authorities at: https://www.avfallsdeklarerer.no The Entity annually reports Non-Hazardous Waste and Hazardous Waste data to the Norwegian Environment Agency: https://www.norskeutslipp.no/no/Diverse/Virksomhet/?CompanyID=5310 Data for waste generated from the Facility is disclosed in the Annual Report for Alcoa Norway, page 9: https://www.alcoa.com/norway/no/pdf/Alcoa-Norway-AS-%C3%85rsberetning-2022.pdf The Entity has implemented a waste management strategy in accordance with the Waste Mitigation Hierarchy.
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)	Conformance	The Entity has implemented systems and management procedures related to Spent Pot Lining (SPL), and handling. The operation is indoors with no release of SPL or Leakage to the environment. The sorted fractions are transported to the national treatment plant NOAH Langøya for Hazardous Waste, All quantities are registered and declared to the national registry (www.avfallsdeklarerer.no) and reported to the Norwegian Environment Agency

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		<p>(https://www.norskeutslipp.no/no/Diverse/Virksomhet/?CompanyID=5310)</p> <p>The Entity via Alcoa and other industry actors in Norway is working in a joint research program to improve SPL handling and find permanent solutions for recycling SPL.</p>
6.8a-d Dross	Conformance	<p>The Entity maximises the recovery of Aluminium through the treatment of Dross and Dross residues. The Facility recovers Aluminium from Dross internally with the use of drip pans, and externally in cooperation with an external Dross processor supplier. Dross is stored and handled indoors with no leachate to the environment. All Aluminium from Dross which is recovered by the external supplier is returned to the site and recycled at the Entity. No Dross residue is landfilled and by-products from the recovery process are sold externally. All waste fractions generated are disclosed in the Annual Report for Alcoa Norway, page 9: https://www.alcoa.com/norway/no/pdf/Alcoa-Norway-AS-%C3%85rsberetning-2022.pdf</p>
7. WATER STEWARDSHIP		
7.1a-b Water Assessment and Disclosure	Conformance	<p>The Entity has established procedures to map and monitor its water use by source. There are three sources of water used at the Facility; industrial water for process cooling, seawater for cleaning of Emissions to Air (an SO₂ scrubber) and sanitary water from the municipality. Water use from all sources is monitored and disclosed in the Annual Report for Alcoa Norway, page 10: https://www.alcoa.com/norway/no/pdf/Alcoa-Norway-AS-%C3%85rsberetning-2022.pdf</p> <p>The Facility has assessed its water withdrawal and use based on type and source in its Area of Influence. The Facility is located in an area with abundant annual rainfall and an inherent low risk of water scarcity.</p>
7.2a-e Water Management	Not Applicable	<p>This Criterion is not applicable to the Entity, as the water-related risks identified are assessed and documented as low.</p>
8. BIODIVERSITY AND ECOSYSTEM SERVICES		
8.1a Biodiversity and Ecosystem Services Risk and Impact Assessment	Conformance	<p>The Entity has undertaken a comprehensive assessment of Biodiversity and Ecosystem Services risks from its land use and activities. The Entity has established a prioritised action plan. The Entity has engaged third parties like the Norwegian Institute for Water Research (NIVA) and Norwegian Institute for Air Research (NILU) to map the Facility's environmental impacts on water quality, the seabed in Husebybukta and moss in surrounding vegetation.</p>
8.1b Biodiversity and Ecosystem Services Risk and Impact Assessment - Priority	Conformance	<p>The Entity has assessed the risks and potential impacts on biodiversity and Ecosystem Services from its activities. The Facility has implemented action plans to mitigate its impacts. The plans have also been shared with Farsund municipality.</p>

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8.2a-g Biodiversity Management	Conformance	The Entity has developed a Biodiversity Action Plan in cooperation with a Qualified Specialist, in accordance with the Biodiversity Mitigation Hierarchy and is reviewed annually. The Biodiversity Action Plan has been shared with relevant Stakeholders in Farsund municipality.
8.3a-c Management of Priority Ecosystem Services	Conformance	The Entity manages its impacts on the environment through mitigation activities and monitoring. Energy use and water use are monitored, and reduction plans have been implemented. Surveillance of impact on the surrounding area is conducted by both the Entity and by third parties including NILU and NIVA. Protected Areas and areas with importance to flora and fauna in the vicinity of the production Facility have been identified.
8.4 Alien Species	Conformance	The Entity has performed a Biodiversity risk assessment and evaluated the risk of the introduction of Alien Species that could potentially have an impact on Biodiversity and Ecosystem Services. The Facility has identified measures to prevent the introduction of Alien Species through control mechanisms for the management of ballast water from ships and imported wooden pallets.
8.5a-b Commitment to "No Go" in World Heritage Properties	Conformance	The Entity has a public commitment to not explore, mine or operate in World Heritage sites. It has no exploration, mining or other operational activities occurring within World Heritage sites. The commitment is disclosed in the Sustainability Report, page 96: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf
8.6a-d Protected Areas	Conformance	The Entity is located close to the Lista Wetlands System, a network of Ramsar-listed reserves with varied habitat types which is important to migratory birds. Close to the Facility is also a conservation area (Landskapsvernområde). The Entity complies with regulations and legal requirements specifically attributed to these areas. The Entity has also implemented management plans, monitoring, and mitigation actions to reduce the impact of its activities. The plans have been shared with the municipality of Farsund.
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		
9.1a-d Human Rights Due Diligence	Conformance	The Entity has implemented a Human Rights Due Diligence Process to identify potential risks and implement actions to eliminate or minimise them. The scope of the process involved the identification of risks and impacts, remediation, Grievance Mechanisms, reporting, and feedback, on the following topics such as working and labour conditions, safety, land management, integrity, health, safety and environment, and relationships with communities, suppliers, and customers. The Facility has not caused or contributed to adverse Human Rights impacts. The Entity has demonstrated that Policies are in place to cooperate in any remediation required. The Alcoa Human Rights Program includes Alcoa Human Rights Policy, Due Diligence, and remediation and Grievance Mechanisms. Information on this program is included in the 2022 Sustainability report, page 52:

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		<p>https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p> <p>The Human Rights Policy is available at: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-en.pdf</p>
9.2a-e Gender Equity and Women's Empowerment	Conformance	<p>The Entity has established a Code of Conduct addressing gender equity and women's Empowerment. The Facility has a target of increasing female employees to obtain a better gender balance among its staff and has introduced measures to increase the number of female employees and leaders. Measures such as a Global inclusion and diversity council have been established at the corporate level. The program promoting gender equity and women's empowerment is reviewed annually and the program and results are publicly disclosed in the Annual Report for Norway, pages 12-13 and the Alcoa 2022 Sustainability Report, pages 67-71:</p> <p>https://www.alcoa.com/norway/no/pdf/Alcoa-Norway-ANS-Annual-report-2022.pdf</p> <p>https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p>
9.3a-i Indigenous Peoples	Not Applicable	The Criterion is not applicable to the Entity as there are no Indigenous Peoples in the Lister region in Norway where the Entity operates.
9.4a Free, Prior, and Informed Consent (FPIC) - New Projects or Major Changes	Not Applicable	The Criterion is not applicable to the Entity as there are no Indigenous Peoples in the Lister region in Norway where the Entity operates.
9.4b Free, Prior, and Informed Consent (FPIC) - Bauxite Mining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.4c Free, Prior, and Informed Consent (FPIC) - Demonstrate support	Not Applicable	The Criterion is not applicable to the Entity as there are no Indigenous Peoples in the Lister region in Norway where the Entity operates.
9.5a Cultural and Sacred Heritage - Identification	Not Applicable	The Criterion is not applicable to the Entity, as there are no sacred or cultural heritage sites and values within the Entity's Area of Influence.
9.5b Cultural and Sacred Heritage - Impacts	Not Applicable	The Criterion is not applicable to the Entity, as there are no sacred or cultural heritage sites and values within the Entity's Area of Influence.
9.6a-i Displacement	Not Applicable	This Criterion is not applicable to the Entity as there are no Indigenous Peoples in the Lister region in Norway where the Entity operates. The Entity is located in an industrial site, and there are no plans for further expansion of the Entity operating site that require resettlement.
9.7a-h Affected Populations and Organisations	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. The Entity has a proactive approach to working with Local Communities and organisations to improve and support mutual interests. The organisation explores with the Local Community opportunities to

CRITERION	RATING	COMMENT
		respect and support their livelihoods through for instance communication with the Community and local schools, sports clubs, and NGOs.
9.8a Conflict-Affected and High-Risk Areas - Strong Management Systems	Conformance	<p>Procurement and Responsible Sourcing are managed at the Corporate level, Alcoa has implemented an Aluminium supply chain Due Diligence programme to further manage risks in the Aluminium supply chain to avoid involvement in armed conflict or Human rights abuses. Alcoa's responsible sourcing programme and Supplier standards are available at:</p> <p>https://www.alcoa.com/global/en/contact/supplier/responsible-sourcing-program https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/supplier-standards/Supplier_Standards.pdf</p> <p>The Entity is located in Norway, a country where there is no armed conflict or Human Rights abuses in Conflict-Affected and High-Risk Areas (CAHRAs).</p>
9.8b Conflict-Affected and High-Risk Areas - Identify and assess risks	Conformance	At a corporate level, Alcoa has implemented an Aluminium supply chain Due Diligence program to further manage risk in the Aluminium supply chain to avoid involvement in armed conflict or Human rights abuses.
9.8c Conflict-Affected and High-Risk Areas - Strategy to respond to risks	Conformance	At a corporate level, Alcoa has implemented an Aluminium supply chain Due Diligence program, including a strategy to respond to identified risks, to further manage risk in the Aluminium supply chain and to avoid involvement in armed conflict or Human Rights abuses.
9.8d Conflict-Affected and High-Risk Areas - Audit of due diligence	Conformance	<p>At a corporate level, Alcoa has implemented an Aluminium supply chain Due Diligence program to manage risk in the Aluminium supply chain to avoid involvement in armed conflict or Human Rights abuses. Alcoa has initiated the assessment and tracking of its raw minerals from CAHRAs in line with the London Metal Exchange's (LME) responsible sourcing requirements, see the Sustainability report, page 37: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p>
9.8e Conflict-Affected and High-Risk Areas - Report annually	Conformance	<p>At a corporate level, Alcoa has implemented an Aluminium supply chain Due Diligence program to manage risk in the Aluminium supply chain to avoid involvement in armed conflict or Human Rights abuses. Alcoa reports on its supply chain Due Diligence in the sustainability report, pages 36-39: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p>
9.9 Security practice	Conformance	The Entity has established sound security practices and security staff operate in accordance with the Alcoa Code of Conduct and are trained on-site in line with Alcoa Principles.
10. LABOUR RIGHTS		
10.1a-c Freedom of Association and Right to Collective Bargaining	Conformance	The Entity's plant management respects the Rights of Workers to associate freely with Labour Unions and cooperates actively with the Workers' unions. The Plant management respects the Rights of Workers to Collective Bargaining and participates in Collective Bargaining Processes with Workers' representatives.

CRITERION	RATING	COMMENT
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 Norway does not restrict the Right to Freedom of Association and Collective Bargaining.
10.2a Child Labour	Conformance	The Entity does not employ Workers under the age of 17 years. The Entity has implemented a Human Rights Policy and Code of Conduct and Ethics that both prohibit the use of Child Labour.
10.3a-c Forced Labour	Minor Non-Conformance	<p>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 via supplier audits and questionnaires. 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. This practice is not allowed according to Norwegian regulations and no incidents were found. No deposits are held, and no Recruitment Fees are paid.</p> <p>No Migrant Workers are hired. The Entity does not retain any original copies of Workers' papers. Conditions of termination of working contracts are defined by law and Collective Bargaining Agreements and are described in personal Worker contracts. Modern slavery and forced labour are not an issue at the Entity. Modern Slavery and Modern Slavery Statement is addressed at Alcoa Corporate level.</p> <p>It is also mentioned in the 2022 Sustainability report, page 38: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p> <p>However, there is currently no Modern Slavery Statement published by the Entity that relates to its operations located in Europe.</p>
10.4a-c Non-Discrimination	Conformance	The Entity ensures equal opportunities for all employees and demonstrates no Discrimination in hiring, salary, promotion, training, advancement opportunities or termination. No Discrimination was identified during the audit and the Entity adheres to Alcoa's Equal Employment Opportunity Policy addressing zero tolerance to Discrimination: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/equal-employment-opportunity
10.5 Communication and engagement	Conformance	The Entity has open and inclusive communication between management, Workers and unions and systems in place to raise concerns, report non-conformities and for improvement suggestions. Town hall meetings for all employees are held regularly by the Entity management. Several committees, including an occupational health committee and a union-management joint committee, hold regular meetings.
10.6a-g Violence and Harassment	Conformance	The Entity has implemented the Alcoa Human Rights Policy and Code of Conduct and Ethics, which are both important guidance and rules to develop and maintain a working place free from Violence and Harassment. A labour regulation applies to all Alcoa operations in Norway, and this labour regulation is based on Alcoa's values and achieves the formal requirements. The Labour Regulation has been prepared in cooperation with employee representatives, (refer to pages 26 and 32): https://www.alcoa.com/global/en/who-we-

CRITERION	RATING	COMMENT
		are/ethics-compliance/pdf/code-conduct/Code_Conduct_English.pdf
10.7a-c Remuneration	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 and a tariff agreement between management and unions exists. Payments of wages are conducted monthly in a punctual manner and all Workers receive payslips with payment details.
10.8a-c Working Time	Conformance	Various shift models in place at the Entity have been approved through collective agreements and have been established in accordance with Norwegian law. The Entity monitors Working Time and has systems in place to track Overtime. Public holidays and Annual leave are remunerated according to Norwegian law.
10.9a-b Informing Workers of Rights	Conformance	The Entity complies with the Norwegian Working Environment Act and informs employees about their Rights through the Employee Handbook. All employees have the freedom to join Labour Unions.
11. OCCUPATIONAL HEALTH AND SAFETY		
11.1a Occupational Health and Safety (OH&S) Management System	Conformance	The Entity has a documented and implemented Occupational Health and Safety (OH&S) Management System that is in compliance with the Norwegian legislation 'Internal Control Regulations' and the Working Environment Act.
11.1b-e Occupational Health and Safety (OH&S) Management System - Reviews and disclosure	Conformance	The Entity's OH&S Management system is reviewed annually as part of the plant Management review process and the setting of next year's objectives, targets and action plans. An internal audit of the OH&S Management system is performed regularly. Audit teams consist of local Health, Safety and Environment (HES) experts, consultants, occupational health services and employee representatives. Results from internal audits are shared with employees and unions. Performance indicators are defined, both leading and lagging (including reports on risks, silent deviations, incidents (H1, 2, 3), injuries, first aid injuries and sick leave). The effectiveness of the OH&S Management System is disclosed in the annual report for Alcoa Norway, pages 5-6: https://www.alcoa.com/norway/no/pdf/Alcoa-Norway-AS-Annual-report-2022.pdf
11.2 Employee engagement on Health and Safety	Conformance	The Entity has implemented sound OH&S industry practices which incorporate close cooperation between management and the employees. Several committees on health and safety have been established and health and safety is always the first agenda item for all meetings.

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DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	18 November 2020	Initial Certification Audit – Full Certification
1	11 December 2023	Re-Certification and Scope Change Audit from Performance Standard V2 to V3; Name of Audit Firm changed from 'DNV GL' to 'DNV Business Assurance Services UK Ltd.'
