
ASI CERTIFICATION
PERFORMANCE
STANDARD



PRESENTED TO

**ALCOA WORLD
ALUMINA (AWA)
JURUTI MINE**

CERTIFICATE
NUMBER

32

ASI
STANDARD

PERFORMANCE
STANDARD
(V2 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITOR

DNV BUSINESS
ASSURANCE
SERVICES UK
LTD.

DATE OF ISSUE

18 JULY 2022

DATE OF EXPIRY

17 JULY 2025

CERTIFIED SINCE

17 JULY 2019

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'John' followed by a long horizontal line.

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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

Alcoa World Alumina (AWA) Juruti Mine (Brazil)
including the port, ore beneficiation and
administrative facilities.

SUMMARY AUDIT REPORT PERFORMANCE STANDARD

OVERVIEW

MEMBER NAME	Alcoa Corporation
ENTITY NAME	Alcoa World Alumina (AWA) Juruti Mine
CERTIFICATION SCOPE	Alcoa World Alumina (AWA) Juruti Mine (Brazil) including the port, ore beneficiation and administrative facilities.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">Bauxite Mining
ASI STANDARD	<ul style="list-style-type: none">Performance Standard V2
AUDIT TYPE	<ul style="list-style-type: none">Initial Certification Audit (23 – 25 April 2019)Re-Certification Audit (26 – 29 April 2022)Surveillance Audit (13 – 16 November 2023)
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none">23 – 25 April 2019 (Initial Certification Audit)26 – 16 April 2022 (Re-Certification Audit)13 – 16 November 2023 (Surveillance Audit)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">17 May 2019 (Initial Certification Audit)9 June 2022 (Re-Certification Audit)19 December 2023 (Surveillance Audit)
AUDIT SCOPE	<p><u>Initial Certification Audit (23 – 25 April 2019)</u> Alcoa World Alumina (AWA) Juruti Mine including the port, ore beneficiation and administrative facilities.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none">Bauxite Mining <p>All relevant criteria in the ASI Performance Standard were included in the Audit Scope.</p> <p><u>Re-Certification Audit (26 – 29 April 2022)</u> Alcoa World Alumina (AWA) Juruti Mine including the port, ore beneficiation and administrative facilities.</p> <p>Supply chain activities included in the Audit Scope:</p>

-
- Bauxite Mining

All relevant criteria in the ASI Performance Standard were included in the Audit Scope.

Surveillance Audit (13 – 16 November 2023)

Alcoa World Alumina (AWA) Juruti Mine including the port, ore beneficiation and administrative facilities.

Supply chain activities included in the Audit Scope:

- Bauxite Mining

All relevant criteria in the ASI Performance Standard were included in the Audit Scope.

AUDIT
OUTCOME

- Certification

AUDIT
METHODOLOGY
DECLARATION

The Auditors confirm that:

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

CERTIFICATION
PERIOD

18 July 2022 – 17 July 2025

NEXT AUDIT
TYPE

Re-Certification Audit

NEXT AUDIT
DUE DATE

17 July 2025

CERTIFICATE
NUMBER

32

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
PRINCIPLE 1 BUSINESS INTEGRITY		
1.1 Legal Compliance	Conformance	<p>The Entity has a local department and a global corporate structure to manage the legal requirements applicable to its operations.</p> <p>The ethical conduct and compliance Policies are available at:</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/anti-corruption</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/international-trade-compliance-policy</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/integrity-line</p>
1.2 Anti-Corruption	Conformance	<p>The Entity has established an Anti-Corruption Policy approved by the Chief Executive Officer (CEO):</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/anti-corruption</p>
1.3 Code of Conduct	Conformance	<p>The Entity has a documented Code of Conduct that is communicated to all Stakeholders. The Code of Conduct is available at:</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct</p>
PRINCIPLE 2 POLICY & MANAGEMENT		
2.1a Environmental, Social, and Governance Policy (implement and maintain)	Conformance	<p>The Entity implements and maintains environmental, social and governance Policies consistent with the practices included in the ASI Performance Standard. The Policies are available at:</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/ehs-vision-values-mission-and-policy</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct</p>
2.1b Environmental, Social, and Governance Policy (senior management)	Conformance	<p>The Entity's environmental, social, and governance Policies are approved by the plant General Manager.</p>
2.1c Environmental, Social, and Governance Policy (communication)	Conformance	<p>The Entity has established a Management System Policy and published and communicated it to employees and Contractors.</p> <p>This Policy includes Quality, Productivity and Environmental, Health and Safety (EHS) aspects.</p>

CRITERION	RATING	COMMENT
		<p>For other social and governance issues, refer to the Global Human Rights Policy: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy.asp and the Code of Conduct: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct.asp</p> <p>The Entity's Integrated Management System Policy is also printed and publicly displayed at the main gate (and provided to local Stakeholders).</p>
2.2 Leadership	Conformance	The Entity has global and local managers to ensure that the ASI Performance Standard requirements are met.
2.3a Environmental and Social Management Systems (environmental)	Conformance	<p>The Entity maintains a social-environmental management program approved by the local authorities. The Entity monitors and implements appropriate actions on the environmental aspects and impacts identified to keep the Management System effectively implemented and aligned with the corporate strategy.</p> <p>The Entity has an integrated Environmental Management System.</p> <p>Policies are available on the Entity's website: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct</p> <p>The 2022 Sustainability Report is available at: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p>
2.3b Environmental and Social Management Systems (social)	Conformance	The Entity has implemented a documented Environmental and Social Management Systems.
2.4 Responsible Sourcing	Conformance	<p>The Entity has established an adequate Responsible Sourcing Policy (Alcoa's Supplier Standards) to evaluate suppliers and subcontractors. The Policy is available at: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/supplier-standards</p>
2.5 Impact Assessments	Conformance	The Entity has conducted Impact Assessments in the area of Bauxite waste, including assessments on Human Rights, environmental and social impact. However, there have been no new projects or major changes since the Entity became a member of ASI.
2.6 Emergency Response Plan	Minor Non-Conformance	The Entity has demonstrated the implementation of Emergency Response Plans, including the participation of internal and external Stakeholders. Simulations and drills are conducted at periodic intervals to evaluate the effectiveness of the plans.

CRITERION	RATING	COMMENT
		However, the Entity needs to enhance monitoring actions in its area of influence in order to mitigate unsafe practices that could compromise the Health and Safety of its Workers, other Stakeholders or facility structures.
2.7 Mergers and Acquisitions	Conformance	The Entity has defined the corporate process for mergers, acquisitions and divestitures and a strategy for entering a new country.
2.8 Closure, Decommissioning and Divestment	Conformance	The Entity has adequately defined the site closure plan containing all phases and investments required to close the site.
PRINCIPLE 3 TRANSPARENCY		
3.1 Sustainability Reporting	Conformance	The Entity has developed and publicly communicated the Alcoa Sustainability Report for 2022: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf
3.2 Non-compliance and liabilities	Conformance	The Entity has not received notifications, warnings, or economic or operational sanctions for non-compliance with legal requirements applicable to its operations.
3.3a Payments to governments (legal and contractual)	Conformance	The Entity undergoes annual corporate audits to ensure compliance. The Entity also has provisions regarding the communication of financial results in its internal policies. The Entity has implemented an Anti-Corruption Policy: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/anti-corruption
3.3b Payments to governments (disclosure – bauxite mining)	Conformance	The Entity's consolidated financial statements present the amounts paid from consolidated operations in Brazil and are presented in accordance with the materiality levels used for disclosure. Information on the Entity's compliance and performance on financial and compliance issues is available at: https://investors.alcoa.com/investor-overview/default.aspx The Entity has implemented a Code of Conduct and an Anti-Corruption Policy: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct https://www.alcoa.com/global/en/who-we-are/ethics-compliance/anti-corruption
3.4 Stakeholder complaints, grievances and requests for information	Conformance	The Entity has a local department and a global corporate structure to manage the legal requirements applicable to its operations. The ethical conduct and compliance Policies, including the complaints hotline, are available at: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct https://www.alcoa.com/global/en/who-we-are/ethics-compliance/anti-corruption

CRITERION	RATING	COMMENT
		compliance/anti-corruption https://www.alcoa.com/global/en/who-we-are/ethics-compliance/international-trade-compliance-policy https://www.alcoa.com/global/en/who-we-are/ethics-compliance/integrity-line
PRINCIPLE 4 MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment (life cycle impacts)	Conformance	The Entity has evaluated the life cycle impacts of its major product lines for which Aluminium is considered or used, based on ISO 14040:2006 and ISO 14044:2006.
4.1b Environmental Life Cycle Assessment (cradle to gate)	Conformance	The Entity has developed the Life Cycle Assessment (LCA) for Bauxite and Alumina with a cradle-to-gate approach which is made available to customers upon request. For further information refer to the 2022 Sustainability Report: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf
4.1c Environmental Life Cycle Assessment (public communication)	Conformance	Information on LCAs for Bauxite and Alumina are available upon request. The publicly shared reports include underlying assumptions and system boundaries. For further information refer to the 2022 Sustainability Report: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf
4.2 Product design	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a Aluminium Process Scrap (targets)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3b Aluminium Process Scrap (alloy separation)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.4a Collection and recycling of products at end-of-life (strategy)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.4b Collection and recycling of products at end-of-life (engagement)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
PRINCIPLE 5 GREENHOUSE GAS EMISSIONS		
5.1 Disclosure of GHG emissions and energy use	Conformance	The Entity has published an annual technical report on GHG Emissions data. The report is available at: https://sistema-registropublicodeemissoes.fgv.br/public/organizations/990/cycles/16.pdf

CRITERION	RATING	COMMENT
5.2 GHG emissions reductions	Conformance	Alcoa has long-term strategic sustainability objectives that are integrated into all its businesses. The GHG (direct and indirect) emissions reduction targets are aligned with the below 2°C decarbonisation path, to reduce GHG emissions intensity by 30 percent by 2025 and 50 percent by 2030 from a 2015 baseline: https://www.alcoa.com/sustainability/en/sustainability-at-alcoa/strategic-long-term-goals Information on the Entity's corporate strategy on air emissions is included in the Sustainability Report: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf
5.3a Aluminium Smelting (management system)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.3b Aluminium Smelting (up to and including 2020)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.3c Aluminium Smelting (after 2020)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
PRINCIPLE 6 EMISSIONS, EFFLUENTS AND WASTE		
6.1 Emissions to Air	Conformance	The Entity monitors and takes actions to minimise emissions into the atmosphere that have adverse effects on humans or the environment, as reported in the company's Environmental Impact Study. The Entity ensures that relevant measurement instruments are calibrated according to appropriate traceable standards and that Stakeholders are communicated and trained on the subject of air emissions management.
6.2 Discharges to Water	Conformance	The Entity has quantified, monitored, and reported on Discharges to Water that may have adverse effects on humans or the environment.
6.3a Assessment and Management of Spills and Leakage (assessment)	Conformance	The Entity has maintained an updated evaluation process of the main risk areas of operations where Spills and Leakages could contaminate air, water and/or soil. This is facilitated via the Environmental Aspects and Impacts Worksheets. The risk assessment is based on the FEMEA (Failure Mode and Effect Analysis) Tool, including procedures for productive or support areas that include the main risks and their respective controls.
6.3b Assessment and Management of Spills and Leakage (management)	Conformance	The Entity has developed an external communication plan, compliance controls and a monitoring program in place to prevent and detect Spills and Leakages. An Emergency Response Plan has been developed with the use of risk analysis techniques applied to the Entity's

CRITERION	RATING	COMMENT
		<p>facilities, through the coordination of the Environment and Labor Safety Department and with the collaboration of technicians and operators from the various areas that make up the Industrial Complex.</p> <p>Entity has a defined Individual Emergency Plan which lists the official institutions that must be communicated immediately, regardless of the volume spilled.</p> <p>The Entity has an appropriate system in place to communicate to affected parties the volume, type, and potential impact of significant Spills immediately following an incident.</p> <p>Environmental performance and additional information on Spills is disclosed in the 2022 Sustainability Report: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p>
6.4a Reporting of Spills (immediate disclosure)	Conformance	The Entity has developed and implemented procedures for the investigation of Spills and the internal and external communication related to environmental incidents.
6.4b Reporting of Spills (regular reporting)	Conformance	<p>The Entity has developed and implemented procedures for the investigation of Spills and the internal and external communication related to environmental incidents. Alcoa has included information on significant Spills across its global operations in the 2022 Sustainability Report: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p>
6.5a Waste management and reporting (strategy)	Conformance	<p>The Entity has established environmental targets for waste generation and disposal, including the reduction of landfilled waste by 15 percent by 2025 and 25 percent by 2030, from a 2015 baseline and the reduction of Bauxite Residue land requirements per metric tonne of Alumina produced by 15 percent by 2030, from a 2015 baseline: https://www.alcoa.com/sustainability/en/sustainability-at-alcoa/strategic-long-term-goals</p> <p>Environmental performance on waste generation and disposal published in the 2022 Sustainability Report: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p>
6.5b Waste management and reporting (disclosure)	Conformance	<p>The Entity has publicly disclosed the amount of Hazardous and Non-Hazardous Waste generated from its operations and the corporate goals to reduce and/or eliminate it. Environmental performance on Waste generation and disposal are published in the 2022 Sustainability Report: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p>

CRITERION	RATING	COMMENT
6.6a Bauxite Residue (storage construction)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6b Bauxite Residue (integrity checks and controls)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6c Bauxite Residue (water discharge)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6d Bauxite Residue (marine and aquatic environments)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6e Bauxite Residue (state of the art technologies)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.6f Bauxite Residue (remediation)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7a Spent Pot Lining (SPL) (storage and management)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7b Spent Pot Lining (SPL) (recovery and recycling)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7c Spent Pot Lining (SPL) (Untreated SPL)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7d Spent Pot Lining (SPL) (review of alternatives)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7e Spent Pot Lining (SPL) (marine and aquatic environments)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.8a Dross (recovery)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.8b Dross (recycling)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.8c Dross (review of alternatives)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
PRINCIPLE 7 WATER STEWARDSHIP		
7.1a Water assessment (mapping)	Conformance	The Entity has evaluated and monitored water-related risks related to the abstraction, consumption, and destination of water and periodically reports its performance to the Environmental Agency. The Entity communicates its performance and strategic actions on water resources management in the 2022 Sustainability Report:

CRITERION	RATING	COMMENT
		https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf
7.1b Water assessment (risk assessment)	Conformance	The Entity has evaluated and monitored the water-related risks related to the abstraction, consumption, and destination of water and periodically reports its performance to the environmental agency. The Entity communicates its performance and strategic actions on water resources management in the Sustainability Report: https://www.alcoa.com/sustainability/en/pdf/2021-Sustainability-Report.pdf
7.2a Water management (management plans)	Conformance	The Entity communicates its performance and strategic actions on water resources management in the 2022 Sustainability Report: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf
7.2b Water management (monitoring)	Conformance	The Entity has published its performance on water resources management in the 2022 Sustainability Report: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf
7.3 Disclosure of water usage and risks	Conformance	The Entity has published its environmental performance regarding water withdrawal and use and disclosed the related material risks and improvement actions on water resources management in the 2022 Sustainability Report: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf
PRINCIPLE 8 BIODIVERSITY		
8.1 Biodiversity assessment	Conformance	The Entity has implemented Environmental Control Plans as part of the Socio-environmental Management Program to mitigate the impacts related to the operation of the site and its potential impact on Biodiversity. The Biodiversity Plan, based on the inventory, diagnosis, and survey of impacts, uses an appropriate methodology, which contemplates the risks and materiality of the impacts on Biodiversity. The Biodiversity Policy is available at: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/biodiversity-policy The Sustainability Report presents the performance and actions on Biodiversity: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf
8.2a Biodiversity management (biodiversity action plans)	Conformance	The Entity has developed a Biodiversity Action Plan that includes targets and timelines to address the material impacts identified in the Biodiversity assessment and monitor its effectiveness. This Plan is consultative and

CRITERION	RATING	COMMENT
		<p>prepared in accordance with the Biodiversity Mitigation Hierarchy. The main objective of the monitoring program is to evaluate the potential impacts on the biotic environment and the evolution of degraded areas. The results and actions taken are presented in the annual Environmental Information Report.</p> <p>The Entity has implemented a Biodiversity Policy: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/biodiversity-policy</p> <p>The Entity discloses its performance and actions on Biodiversity in the 2022 Sustainability Report: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p>
8.2b Biodiversity management (consultation and mitigation hierarchy)	Conformance	<p>The Entity has developed a Biodiversity Action Plan that includes targets and timelines to address the material impacts identified in the Biodiversity assessment and monitor its effectiveness. This Plan is consultative and prepared in accordance with the Biodiversity Mitigation Hierarchy.</p> <p>The Entity has implemented a Biodiversity Policy: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/biodiversity-policy</p> <p>The Entity discloses its performance and actions on Biodiversity in the 2022 Sustainability Report: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p>
8.2c Biodiversity management (reporting)	Conformance	<p>The Entity has developed and publicly communicated the Biodiversity outcomes in the Sustainability Report: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p>
8.3 Alien Species	Conformance	<p>The Entity has implemented a monitoring program for fauna and flora populations which includes Alien Species and periodically reports monitoring results to the regulatory environmental agency.</p> <p>The Entity has an inventory of invasive plant and animal species. The Biodiversity Management Plan includes specific technical assessments on the potential introduction of alien and invasive species.</p>
8.4a Commitment to “No Go” in World Heritage properties (exploration and new mines)	Conformance	<p>The Entity does not operate in World Heritage Sites (historic and cultural). The Entity has published information regarding commitment to World Heritage Sites (historic and cultural) in the 2002 Sustainability Report: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p>

CRITERION	RATING	COMMENT
8.4b Commitment to “No Go” in World Heritage properties (existing operations)	Not Applicable	<p>This Criterion is not applicable as the Entity does not operate in World Heritage Sites (historic and cultural). The Entity has published information on its commitment to World Heritage Sites (historic and cultural) in the 2022 Sustainability Report:</p> <p>https://www.alcoa.com/sustainability/en/pdf/2022-Sustainability-Report.pdf</p>
8.5a Mine rehabilitation (best available techniques)	Conformance	<p>The Entity has prepared the Degraded Areas Recovery Plan and Mine Closure Plan that describes the procedures for mine closure, progressive rehabilitation, monitoring and associated processes, using best available technologies.</p> <p>The Entity has developed, and is currently using a new rehabilitation technique that involves less movement of materials, more efficient and effective coverage of the areas to be rehabilitated, as well as reduced greenhouse gas emissions, since the use of machinery and equipment is optimised.</p> <p>Actions on the closure and rehabilitation of areas are outlined in the 2022 Sustainability Report:</p> <p>https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p> <p>The Degraded Areas Recovery Plan (developed with the company Restauração Ambiental Sistêmica) is available at:</p> <p>http://www.rasambiental.com.br/wp-content/uploads/2014/05/Premio-Excelencia-RAS-Alcoa3.pdf</p>
8.5b Mine rehabilitation (financial provisions)	Conformance	<p>The Entity has appropriate documentation to forecast costs and financial provisions relating to closure and mining areas.</p> <p>The Entity has developed, and is currently using a new rehabilitation technique that involves less movement of materials, more efficient and effective coverage of the area to be rehabilitated, as well as reduced greenhouse gas emissions, since the use of machinery and equipment is optimised. In this way, the Entity is able to optimize the management of operational resources and thus increase the number of rehabilitated areas.</p> <p>The 2022 Sustainability Report describes the Entity's actions on closure and progressive rehabilitation of areas.</p> <p>https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p>
PRINCIPLE 9 HUMAN RIGHTS		
9.1a Human Rights Due Diligence (policy)	Conformance	<p>The Entity has a Human Rights Policy published and a Policy dedicated to the rights of Indigenous Peoples available to Stakeholders:</p>

CRITERION	RATING	COMMENT
		<p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-en.pdf</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/indigenous-peoples-policy/Indigenous-Peoples-Policy-English.pdf</p> <p>The Sustainability Report describes the Entity's actions on Due Diligence regarding Human Rights:</p> <p>https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p>
9.1b Human Rights Due Diligence (process)	Conformance	<p>The Entity has defined a Human Rights Due Diligence process, demonstrating the identification, prevention and mitigation of actual and potential impacts on Human Rights. The Human Rights Policy is published and available to Stakeholders:</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-en.pdf</p> <p>The Sustainability Report describes the Entity's actions on Due Diligence regarding Human Rights:</p> <p>https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p>
9.1c Human Rights Due Diligence (remediation)	Conformance	<p>The Entity has defined a Due Diligence process for Human Rights, demonstrating the identification, prevention, and mitigation of actual and potential impact on Human Rights and has defined the procedure for communication and consultation on remediation actions and controls. The Human Rights Policy is published and available to Stakeholders:</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-en.pdf</p> <p>The Sustainability Report describes the Entity's actions on Due Diligence regarding Human Rights:</p> <p>https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p>
9.2 Women's Rights	Conformance	<p>The Entity has implemented policies on Human Rights and Equal Employment Opportunity:</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-en.pdf</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/equal-employment-opportunity/equal-employment-opportunity-policy-en.pdf</p> <p>The Sustainability Report details the Entity's actions on diversity, inclusion, and gender equity:</p> <p>https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p>

CRITERION	RATING	COMMENT
9.3 Indigenous Peoples	Conformance	<p>The Entity has implemented Policies and processes to ensure respect for the rights and interests of Indigenous Peoples in accordance with international standards, including the International Labour Organisation (ILO) Convention C169 and the UN Declaration on the Rights of Indigenous Peoples. The Entity's Human Rights Policy is available to Stakeholders: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-en.pdf</p> <p>The Entity's Indigenous Peoples Policy dedicated to Indigenous Peoples is available to Stakeholders: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/indigenous-peoples-policy/Indigenous-Peoples-Policy-English.pdf</p> <p>Even though the Entity does not have Indigenous communities directly affected by its operations, it maintains consistent operational and risk management procedures, policies and processes with the aim of ensuring respect for the rights and interests of Indigenous Peoples.</p> <p>The populations are 'extractivists' and riverside dwellers, considered traditional in Brazil, according to the National Policy on Traditional Populations. For this reason, there is a special process of consultation, consent and agreements with these communities. With regard to projects that support livelihoods, the initiatives that the Alcoa Institute promotes through its Local Project Support Program, whose central strategy is to provide financial support for local projects developed by civil society organisations and/or the public sector in the priority areas of education, with a focus on primary education and the generation of work and income. Specifically, four projects were approved in 2023. The program has annual invitations for proposals, providing investment opportunities for projects with the potential to generate work and income, totalling ten projects with investments in 2022 and 2023.</p>
9.4 Free, Prior, and Informed Consent (FPIC)	Conformance	<p>The Entity has implemented Policies and processes to ensure respect for the rights and interests of Indigenous Peoples in accordance with international standards, including ILO Convention C169 and the UN Declaration on the Rights of Indigenous Peoples.</p> <p>The Entity's Human Rights Policy is available to Stakeholders: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-en.pdf</p> <p>The Entity's Human Rights Policy dedicated to Indigenous Peoples is available to Stakeholders:</p>

CRITERION	RATING	COMMENT
		<p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/indigenous-peoples-policy/Indigenous-Peoples-Policy-English.pdf</p> <p>Even though the Entity does not have Indigenous communities directly affected by its operations, it maintains consistent operational and risk management procedures, policies and processes with the aim of ensuring respect for the rights and interests of Indigenous Peoples.</p>
9.5 Cultural and sacred heritage	Conformance	<p>The Entity has implemented procedures for the identification of sacred and/or cultural heritage sites and values within the Entity's Area of Influence. According to its operating licence, the Entity implements the technical requirement for the communication and mandatory preservation of identified archaeological sites in its Area of Influence.</p>
9.6a Resettlements (avoid or minimise)	Conformance	<p>The Entity maintains consistent operational and risk management procedures, policies and processes with the aim of ensuring respect for the rights and interests of Local Communities by taking into account viable alternatives to avoid or minimise physical and/or economic displacement, balancing environmental, social and financial costs and benefits, paying special attention to the impacts on the poor and vulnerable, including women.</p> <p>As part of the ongoing operations, the Entity has conducted a technical study and issued a report on environmental impacts. Resettlement was required for thirty-two families directly affected by the project. The Entity provided financial compensation to the families and monitored their adaptation to their new conditions and implemented social programs such as facilitating formal education.</p>
9.6b Resettlements (where unavoidable)	Conformance	<p>The Entity maintains consistent operational and risk management procedures, policies and processes with the aim of ensuring respect for the rights and interests of Local Communities, taking into account viable alternatives to avoid or minimise physical and/or economic displacement, balancing environmental, social and financial costs and benefits.</p> <p>When physical displacement becomes unavoidable, the Entity, in consultation and cooperation with the affected parties, develops a Resettlement Action Plan that complies with Applicable Law, regardless of the number of people affected.</p> <p>As part of the ongoing operations, the Entity conducted a technical study and issued a report on environmental impacts. Resettlement was required for thirty-two families</p>

CRITERION	RATING	COMMENT
		<p>directly affected by the project. The Entity provided financial compensation to the families and monitored their adaptation to their new conditions and implemented social programs such as facilitating formal education.</p>
<p>9.7a Local Communities (rights and interests)</p>	<p>Conformance</p>	<p>The Entity respects the legal and customary rights and interests of local communities in their land and livelihoods and in their use of natural resources. The Entity has defined documented policies and procedures to identify and assess the legal and customary rights of Local Communities. The Human Rights Due Diligence process identified impacts to the lands and livelihoods of Stakeholders.</p> <p>The Entity maintains consistent operational and risk management procedures, policies and processes with the aim of ensuring respect for the rights and interests of Local Communities, taking into account viable alternatives to avoid or minimise physical and/or economic displacement, balancing environmental, social and financial costs and benefits.</p>
<p>9.7b Local Communities (impacts)</p>	<p>Conformance</p>	<p>The Entity maintains adequate measures to prevent and resolve any adverse impacts on the livelihoods of the Local Community resulting from its activities. The Entity maintains consistent operational and risk management procedures, policies and processes with the aim of ensuring respect for the rights and interests of Local Communities, taking into account viable alternatives to avoid or minimise physical and/or economic displacement, balancing environmental, social and financial costs and benefits.</p> <p>The Entity has conducted a risk assessment to include the impacts of Resettlement and/or displacement on Local Communities. Action plans and controls have been developed and implemented to prevent and mitigate adverse impacts on the livelihoods of Local Communities. The Sustainability Report describes the Entity's actions undertaken:</p> <p>https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p>
<p>9.7c Local Communities (livelihoods)</p>	<p>Conformance</p>	<p>The Entity has engaged with Local Communities regarding the development of actions and plans to prevent and/or mitigate adverse impacts on their livelihoods. Alcoa has a Group-wide Stakeholder Engagement Process that all sites are required to follow to ensure positive Stakeholder relationships and effective means for resolving Community concerns. This process includes guidelines for engagement with Local Communities via employee volunteer activities as well as working with local Non-Government Organisations (NGOs) to support</p>

CRITERION	RATING	COMMENT
		<p>community initiatives via Alcoa Institute funding. The Entity promoted community actions that were widely publicised in the local media. Through the Alcoa Foundation, the Entity invests in community projects:</p> <p>https://g1.globo.com/pa/santarem-regiao/noticia/2021/06/30/mineradora-apoia-prefeitura-de-juvuti-no-transporte-de-vacinas-e-equipes-de-saude-para-zona-rural.ghtml</p> <p>https://g1.globo.com/pa/santarem-regiao/noticia/2021/01/05/acoes-diretas-de-prevencao-e-combate-a-covid-19-receberam-mais-de-r-18-milhao-da-alcoa.ghtml</p> <p>https://agenciapara.com.br/noticia/25316/</p> <p>https://br.usembassy.gov/pt/informativo-assistencia-do-setor-privado-dos-eua-para-mitigar-os-impactos-da-covid-19-no-brasil/</p> <p>The Sustainability Report describes the Entity's action taken: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p>
9.8 Conflict-Affected and High-Risk Areas	Conformance	<p>In accordance with its Human Rights Policy, the Entity does not contribute to armed conflicts or Human Rights abuses. The Entity is located in an area that may be characterised as being in a conflict affected setting, as defined by the International Alert report 'Human rights due diligence in conflict-affected settings 2018'.</p> <p>The Entity has standards for its supply chain clearly defining rules and expectations for suppliers, contractors, and others with whom they do business. The Entity implements a supplier evaluation and qualification process.</p>
9.9 Security practice	Conformance	<p>The Entity has a private security process that respects the national laws of Federal Policy and Human Rights in line with recognised standards.</p>
PRINCIPLE 10 LABOUR RIGHTS		
10.1a Freedom of Association and Right to Collective Bargaining (freedom of association)	Conformance	<p>The Entity has a Human Rights Policy which describes the commitment to respecting Workers' freedom to join Labour Unions and Associations:</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy</p> <p>The Entity's Sustainability Report describes the scope of the Union's action:</p> <p>https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p>
10.1b Freedom of Association and Right to Collective	Conformance	<p>The Entity maintains records of negotiations between the Entity and the Labour Union or Workers association, including collective bargaining agreements and</p>

CRITERION	RATING	COMMENT
Bargaining (collective bargaining)		<p>compliance with national laws.</p> <p>The Entity respects Workers' Rights to Collective Bargaining and their participation in any collective bargaining process and has a Human Rights Policy: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy.</p> <p>The Entity's Sustainability Report describes the scope of the Union's action: https://www.alcoa.com/sustainability/pdf/2022-Sustainability-Report.pdf</p>
10.1c Freedom of Association and Right to Collective Bargaining (alternative means)	Not Applicable	This Criterion is not applicable as local legislation does not restrict the right to Freedom of Association and Collective Bargaining, thus not requiring alternative means of Association for Workers.
10.2a Child Labour (minimum age)	Conformance	<p>The Entity does not use nor support the use of Child Labour and only employs Workers over the legal minimum age and in accordance with its Code of Conduct: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct</p> <p>The Entity only employs Workers over 18 years, as described in the Human Rights Policy: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy</p>
10.2b Child Labour (hazardous)	Conformance	<p>The Entity does not use nor support the use of Child Labour and only employs Workers over 18 years. The Entity respects the law and hires only employees of legal minimum age, as per the Entity's Code of Conduct: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct</p> <p>The Entity has a Human Rights Policy that describes the non-acceptance of youth and children in its operations; only people over 18 can be hired: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy</p>
10.2c Child Labour (worst forms)	Conformance	<p>The Entity does not use nor support the use of Child Labour and only employs Workers over 18 years. The Entity respects the law and hires only employees of legal minimum age. https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct</p> <p>The Entity has a Human Rights Policy that describes the non-acceptance of youth and children in its operations; only people over 18 can be hired. https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy</p>

CRITERION	RATING	COMMENT
10.3a Forced Labour (human trafficking)	Conformance	The Entity does not use nor support the use of Forced Labour, slave labour or Human Trafficking and complies with the Alcoa Human Rights Policy and Code of Conduct: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct
10.3b Forced Labour (deposits, fees, advances)	Conformance	The Entity does not require any form of deposit, Recruitment Fee or equipment advance from Workers either directly or through employment or recruitment agencies.
10.3c Forced Labour (migrant workers)	Conformance	The Entity does not require Migrant Workers to lodge deposits or security payments at any time. The Entity complies with the requirements for hiring Workers as defined in its Code of Conduct and Human Rights Policy: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy
10.3d Forced Labour (debt bondage)	Conformance	The Entity complies with its Human Rights Policy and Code of Conduct and does not support Forced Labour including holding Workers in Debt Bondage or forcing them to work to pay off debt. https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct Human Rights Policy: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy
10.3e Forced Labour (freedom of movement)	Conformance	The Entity complies with its Human Rights Policy and Code of Conduct and does not support Forced Labour and does not unreasonably restrict the freedom of movement of Workers in the workplace or in on-site housing.
10.3f Forced Labour (retention of identity papers, permits, certificates)	Conformance	The Entity does not keep the original documents of employees, according to interviews and verification records of Workers. The Entity does not use agencies to hire employees.
10.3g Forced Labour (freedom to terminate employment)	Conformance	The Entity does not engage in nor support the use of Forced Labour, including denying Workers the freedom to terminate their employment.
10.4 Non-Discrimination	Conformance	The Entity ensures gender equality and does not allow Discrimination. For further information refer to the following website:

CRITERION	RATING	COMMENT
		https://www.alcoa.com/global/en/who-we-are/ethics-compliance/default.asp
10.5 Communication and engagement	Conformance	The Entity ensures open communication and direct engagement with Workers and their representatives regarding working conditions and resolution of workplace and compensation issues, without the threat of reprisal, intimidation, or harassment. Reports can be made through the following channels: https://secure.ethicspoint.com/domain/media/en/gui/29154/index.html (Global) E-mail: EthicsandCompliance@alcoa.com (Global) Phone: 0800-891-2552 (Brazil only)
10.6 Disciplinary practices	Conformance	The Entity does not engage in and will not tolerate the use of corporal punishment, mental or physical coercion, harassment and gender-based violence, including sexual harassment, or verbal abuse of Workers. The Entity ensures open communication with Workers and on the working conditions and there is no threat of retaliation, intimidation, harassment, and no deduction of wages used as disciplinary practices.
10.7a Remuneration (living wage)	Conformance	The Entity has a Remuneration Policy that ensures Workers receive adequate remuneration paid as a monthly salary.
10.7b Remuneration (method of payment)	Conformance	The Entity pays salaries monthly as defined by local legislation. Overtime, when performed is paid appropriately.
10.8 Working Time	Conformance	The Entity complies with local legislation regarding Working Time, including Overtime, holidays and paid annual leave.
PRINCIPLE 11 OCCUPATIONAL HEALTH AND SAFETY		
11.1a Occupational Health and Safety (OH&S) Policy (policy)	Conformance	The Entity has defined and communicated the Occupational Health and Safety Policy: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/ehs-policy/EHS-Vision-Values-Mission-and-Policy-EN.pdf
11.1b Occupational Health and Safety (OH&S) Policy (workers and visitors)	Conformance	The Entity has defined and communicated the Occupational Health and Safety Policy https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/ehs-policy/EHS-Vision-Values-Mission-and-Policy-EN.pdf The Policy is available to visitors and internal service providers.

CRITERION	RATING	COMMENT
11.1c Occupational Health and Safety (OH&S) Policy (applicable law and standards)	Conformance	<p>The Entity has defined and communicated the Occupational Health and Safety Policy which includes a commitment to comply with Applicable Law.</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/ehs-policy/EHS-Vision-Values-Mission-and-Policy-EN.pdf</p> <p>The Policy is distributed throughout the site and to external Stakeholders.</p>
11.1d Occupational Health and Safety (OH&S) Policy (right to stop unsafe work)	Conformance	<p>The Entity has defined and communicated its Occupational Health and Safety (OH&S) Policy. The OH&S Policies and procedures include the right of Workers to understand hazards and safe practices and the authority to refuse or stop unsafe work.</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/ehs-policy/EHS-Vision-Values-Mission-and-Policy-EN.pdf</p> <p>The Entity has Occupational Health and Safety policies and procedures that include the rights of workers to understand hazards and safe practices, and the authority to refuse or stop unsafe work.</p>
11.2 OH&S Management System	Conformance	<p>The Entity has appropriate procedures to sustain its health and safety management system. The Entity has defined and communicated the Occupational Health and Safety (OH&S) Policy and has appropriate procedures to sustain its OH&S Management System.</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/ehs-policy/EHS-Vision-Values-Mission-and-Policy-EN.pdf</p>
11.3 Employee engagement on health and safety	Conformance	<p>The Entity has various engagement initiatives for its safety programs, such as the 'Autonomous Groups,' an internal commission for the prevention of mining accidents.</p>
11.4 OH&S performance	Conformance	<p>The Entity has tools for the evaluation and continuous improvement of its Occupational Health and Safety performance.</p>

Document Control and Version History

Revision	Date	Notes
0	18 July 2019	Initial Certification Audit – Full Certification
1	11 July 2022	Re-Certification Audit – Full Certification Correction to Certified Since date from 17 July 2019 to 18 July 2019
2	24 January 2024	Surveillance Audit