

ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

UACJ Corporation

CERTIFICATE NUMBER
178

ASI STANDARD
PERFORMANCE
STANDARD
(V3.1 2023)

CERTIFICATION
LEVEL
FULL
CERTIFICATION

ASI ACCREDITED
AUDITING FIRM
ERM CERTIFICATION
AND VERIFICATION
SERVICES

DATE OF ISSUE
16 JANUARY 2026

DATE OF EXPIRY
15 JANUARY 2029

CERTIFIED SINCE
14 FEBRUARY 2022

AUTHORISED BY

A stylized, handwritten signature in black ink, consisting of a large, flowing 'A' followed by a 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

Manufacture of Aluminium plate
products at Fukui Works and
Nagoya Works, Japan and UACJ
(Thailand) Co., Ltd., Thailand.

AUDIT REPORT PERFORMANCE STANDARD

OVERVIEW

MEMBER NAME	UACJ Corporation
ENTITY NAME	UACJ Corporation
CERTIFICATION SCOPE	Manufacture of Aluminium plate products at Fukui Works and Nagoya Works, Japan and UACJ (Thailand) Co., Ltd., Thailand.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">Aluminium Re-melting/RefiningCasthousesMaterial Conversion
ASI STANDARD	<ul style="list-style-type: none">Performance Standard V3.1
AUDIT TYPE	<ul style="list-style-type: none">Initial Certification Audit (25 October – 5 November 2021)Re-Certification Audit (3 – 16 August 2022)Re-Certification Audit and Scope Change (22 September – 20 November 2025)
AUDIT FIRM	ERM Certification and Verification Services
AUDIT DATE	<ul style="list-style-type: none">25 October – 5 November 2021 (Initial Certification Audit)3 – 16 August 2022 (Re-Certification Audit)22 September – 20 November 2025 (Re-Certification Audit and Scope Change)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">19 January 2022 (Initial Certification Audit)20 December 2022 (Re-Certification Audit)3 December 2025 (Re-Certification Audit and Scope Change)
AUDIT SCOPE	<p><u>Initial Certification Audit (25 October – 5 November 2021)</u></p> <p>The Audit Scope covers the manufacture of Aluminium plate products at Fukui Works, Japan and UACJ (Thailand) Co., Ltd., Thailand.</p> <p>The supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none">Aluminium Re-melting/RefiningCasthousesMaterial Conversion (Production and Transformation) <p>All relevant Criteria in the ASI Performance Standard were included in the Audit Scope.</p> <p>At the time of the Audit (October – November 2021), access to the site was not possible, due to COVID-19 related travel restrictions. The Audit has been undertaken as a ‘desktop’ exercise, in accordance with ASI Interim Policy regarding Audits, Audit-Related Travel and Coronavirus (v4), and included a remote review of relevant documentation.</p> <p><u>Re-Certification Audit (3 – 16 August 2022)</u></p> <p>The Audit Scope covers the manufacture of Aluminium plate products at Fukui Works, Japan and UACJ (Thailand) Co., Ltd., Thailand.</p>

The supply chain activities included in the Audit Scope:

- Aluminium Re-melting/Refining
- Casthouses
- Material Conversion (Production and Transformation)

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

Re-Certification Audit and Scope Change (22 September – 20 November 2025)

The Audit Scope covers the manufacture of Aluminium plate products at Fukui Works and Nagoya Works, Japan and UACJ (Thailand) Co., Ltd., Thailand.

Supply chain activities included in the Audit Scope:

- Aluminium Re-melting/Refining
- Casthouses
- Material Conversion

All applicable 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

19 January 2026 – 18 January 2029

NEXT AUDIT TYPE

Surveillance Audit

NEXT AUDIT DATE

18 July 2027

CERTIFICATE NUMBER

178



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

The Entity has three Facilities for Aluminium plate products, one at Fukui Works, Japan, one at Nagoya Works, Japan and another at UACJ (Thailand) Co., Ltd., in Thailand.

The main production activities at Fukui Works include melting of raw materials such as bullions, master Scrap, market Scrap, and customer Scrap together with additives in the Casthouse at approximately 700–800 degrees Celsius. Materials are transferred from the Casthouse process into the hot/cold rolling process, the finishing process (cutting, winding, and coating) of products, inspection, testing and analysis. Annual production output from the Japanese sites is approximately 300,000 tonnes. The Entity provides everyday items such as Aluminium cans and automobile part materials, electronic and medical products, and materials for the aerospace industry.

The Facility employs approximately 700 Workers, 50 of whom are women, with another 20 partner companies working closely with the site teams and providing logistics and production operations support. There are no confirmed plans for any significant change to the factory (production output, operations or layout wise) over the next three years.

Fukui Works is the Casthouse/Post-Casthouse factory located within an industrial estate, Technoport Fukui, in Sakai City, Fukui Prefecture, in the Hokuriku Area in Japan. The closest residential area from the Entity is approximately 200 metres away, and a 'green belt' (buffer zone) separates it from the industrial estate. Technoport Fukui is the largest industrial park in the Kinki and Chubu areas, covering Fukui City and Sakai City.

The Nagoya Works Facility commenced operations in 1941, within Nagoya city and in a former reclaimed area. The site area covers a total footprint of 503,000 m2, with a built-up area of 280,000 m2 and main activities include melting, Casting, hot rolling and finishing. Approximately 1,200 employees work within this division on a three-shift per day rotation.

UACJ (Thailand) Co., Ltd. also known as UATH, is located in Rayong, Thailand. The site's annual production output is approximately 300,000 tonnes. The Facility employs 1,300 Workers, 200 of whom are women.

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	High	High	HIGH
RISKS	High	Medium	High	HIGH
PERFORMANCE	High	Medium	High	HIGH
OVERALL	HIGH			

FINDINGS

CRITERION	RATING	COMMENT
1. BUSINESS INTEGRITY		
1.1 Legal Compliance	Conformance	The Entity's Compliance Group of the Governance Department has been established to ensure legal compliance across the different entities. Changes to law or impacts from new legislation are reviewed regularly by the Entity's Legal Department. The Compliance Committee also checks the compliance status of all of the Entities Facilities on a periodic basis based on compliance evaluation reports submitted by the Facilities.
1.2 Anti-Corruption	Conformance	The Entity has established a Group Code of Conduct, a Group Anti-Bribery Regulation and Global Guidelines on Bribery. Training on the Code of Conduct and Anti-Bribery is provided to new employees and annual refresher training is provided to all employees. Relevant records are maintained.
1.3a-e Code of Conduct	Conformance	<p>The Entity has established a Group Code of Conduct, which includes requirements around Environmental & Social aspects and is reviewed annually. The Group Code of Conduct is available at: https://www.uacj.co.jp/english/sustainability/management/compliance.htm</p> <p>Training on the Code of Conduct and Anti-Bribery is provided to new employees and annual refresher training to all employees. Relevant records are maintained.</p>
2. POLICY AND MANAGEMENT		
2.1a-f Environmental, Social, and Governance Policy	Conformance	<p>The Entity's Headquarters has a dedicated department for the implementation of sustainability-related initiatives. Related Policies are available at: https://www.uacj.co.jp/english/sustainability/index.htm which also includes policies related to the Environment: https://www.uacj.co.jp/english/sustainability/environment/management.htm#ac02 and Social: https://www.uacj.co.jp/english/sustainability/social/index.htm</p>
2.2a-c Leadership	Conformance	The Head of Manufacturing at each Entity Facility has been appointed as the Management Representative and reports to the Executive Officer of Sustainability Division. Different departments at each Facility support the Heads of Manufacturing.
2.3a Environmental and Social Management Systems – Environmental	Conformance	All three Facilities within the Entity have implemented an Environmental Management System certified to ISO 14001:2015.
2.3b Environmental and Social Management Systems – Social	Conformance	<p>Health and safety issues are managed under informal Safety Management Systems at all sites (the UATH Facility is externally certified to ISO 45001:2018) and other social aspects are based on the Group Code of Conduct and its requirements. Further information is available at: https://www.uacj.co.jp/english/sustainability/social/index.htm</p>

CRITERION	RATING	COMMENT
2.4a-e Responsible Sourcing	Conformance	<p>Guidelines for procurement have been established across the Entity and shared with suppliers. The guidelines are available at: https://www.uacj.co.jp/english/sustainability/social/index.htm</p> <p>During the Audit, a sample of supplier Due Diligence reports were reviewed to confirm implementation of the guidelines. No issues were identified.</p>
2.5a-g Environmental and Social Impact Assessments	Not Applicable	This Criterion is not applicable to the Entity, as there are no New Projects or Major Changes to Facilities.
2.6a-h Human Rights Impact Assessment	Not Applicable	This Criterion is not applicable to the Entity, as there are no New Projects or Major Changes to Facilities.
2.7a-f Emergency Response Plan	Minor Non-Conformance	<p>Emergency Response Plans are available at each of the Entity's Facilities for fire/explosion, earthquake/tsunami, natural disasters and chemical substance Leakage scenarios. Periodical response training has been conducted. For chemical substance Leakage, the impacts were assessed based on significant environmental impacts, following ISO 14001 guidelines and operational controls have been implemented.</p> <p>Although the Nagoya Works Facility is surrounded by residents, collaboration with Local Communities for the development of its emergency response plan has not been completed, and these communities are also not currently involved in any drills.</p>
2.8a-d Suspended Operations	Conformance	A Group-level document has been developed and provides a framework for all Facilities to follow in case of activities related to Suspended Operations. Such occasions have not occurred since the ASI certification was obtained. In addition, each Facility has also developed a Business Continuity Plan (BCP) which specifies actions to also be taken locally in case of suspended operations.
2.9a-b Mergers and Acquisitions	Conformance	A Group-level document entitled 'Processes Related to Mergers, Acquisitions, Sales, Closures and Abolitions' has been developed and applies to all Facilities, however, such activities have not occurred since ASI certification.
2.10a-b Closure, Decommissioning and Divestment	Conformance	A Group-level document entitled 'Processes Related to Mergers, Acquisitions, Sales, Closures and Abolitions' has been developed and applies to all Facilities; however, such activities have not occurred since ASI certification.
3. TRANSPARENCY		
3.1a-b Sustainability Reporting	Conformance	<p>The Entity's governance approach to environmental, social and economic impacts, as well as its Material environmental, social and economic impacts related to the ASI Performance Standard, is publicly disclosed via its Integrated Report, available at: https://www.uacj.co.jp/ir/library/factbook.htm and https://www.uacj.co.jp/csr/index.htm</p>
3.2 Non-compliance and Liabilities	Conformance	To date, there has been no Material fines, judgments, penalties and non-monetary sanctions for failure to comply with Applicable Law at any of the Entity's Facilities. The Sustainability section on their website contains information on how compliance is managed across the

CRITERION	RATING	COMMENT
		Entity. Refer to: https://www.uacj.co.jp/english/sustainability/management/compliance.htm
3.3a-c Payments to Governments	Conformance	Aside from mandatory taxes, no other payments have been made by the Entity, as this contravenes the requirements of the Group Rules on Prevention of Bribery and the UACJ Group Policy on Prevention of Bribery. Both documents are available at: https://www.uacj.co.jp/english/sustainability/management/compliance.htm#ac05
3.4a-f Stakeholder Complaints, Grievances and Requests for Information	Conformance	The Entity has established a contact point for receiving complaints from interested parties via: https://www.uacj.co.jp/english/inquiry/index.htm There have been no recent complaints received over the previous certification period regarding environmental, health and safety and social aspects.
4. MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment	Conformance	The UACJ Corporation has had a long-standing participation with the Japan Aluminium Association (JAA) and its data was used in the development of a Life Cycle Inventory (LCI) for the Aluminium flat rolling industry. This LCI (Import of Aluminum Ingots LCI data, March 2025) is published publicly on the JAA website. Refer to: https://www.aluminum.or.jp/english/ The UACJ Thailand Facility designs several products and has completed a Life Cycle Assessment (LCA) on use of its Aluminium alloy coil for beverage cans and air conditioning fins. The LCA was completed by the University of Thonburi and utilises a 'cradle-to-gate' approach. The Facility also achieved ISO 14067: 2018 certification in June 2025 for its major product (Aluminium Flat Roll 3104 & 5182). Certification was also obtained locally from the Thailand Greenhouse Gas Management Organization (under the Ministry of Natural Resources and Environment) for pre-coated Aluminium coil of fin stocks.
4.1b-c Environmental Life Cycle Assessment - Disclosure	Conformance	The inventory analysis report for Scrap melting for wrought materials by the Industrial Information Research Center Co., Ltd and prepared for the Japan Aluminium Association (JAA) is publicly available on their website. For the UATH Facility, only beverage customers have requested for LCA/ CFP studies, and the ISO 14067:2018 certificates are disclosed in this case. Portions of the CFP and the LCA reports prepared by the Thailand Greenhouse Gas Management Organization and the University of Thonburi, which are not confidential are disclosed publicly. Aluminum Flat Roll 3104 at: https://thaicarbonlabel.tgo.or.th/index.php?lang=TH&mod=Y2lWa2RXtjBhVzlhWDJGd2NISnZkbUZz&action=WkdWMFxbHm1m=TVRjM0lqUT0 ; Aluminum Flat Roll 3104 at: https://thaicarbonlabel.tgo.or.th/index.php?lang=TH&mod=Y0hKdlpIVmpkSE5qWIY5aGNIQnliMlpoYKE9PQ&action=WkdWMFxbHm1m=TVRRMk9EST0 ; and

CRITERION	RATING	COMMENT
		Aluminum Flat Roll 3104 at: https://thaicarbonlabel.tgo.or.th/index.php?lang=TH&mod=Y2lWa2RXtjBhVzllWDJGd2NISnZkbUZz&action=WkdWMFxbHm1m=TVRjM0lqUT0
4.2 Product Design	Conformance	The Entity has established objectives in the design and development process for products to enhance sustainability, including the environmental life cycle impacts of the end product. All three Facilities have similar objectives relating to the use of municipal waste and use of automobile punching debris.
4.3a-b Aluminium Process Scrap	Conformance	The Entity's Group Basic Environmental Policies prescribed that recycling is promoted in all aspects of the Business. Site tours confirmed that Aluminium alloys are segregated for recycling. Refer to: https://www.uacj.co.jp/english/sustainability/environment/management.htm#ac01
4.4a-c Collection and Recycling of Products at End of Life – Material Conversion and other Manufacturing	Conformance	<p>The Entity has implemented a recycling strategy, which is publicly available at: https://www.uacj.co.jp/english/sustainability/environment/emission.htm</p> <p>Further information is also available at: https://www.uacj.co.jp/english/sustainability/environment/circular_economy.htm</p> <p>Detailed recycling strategies, which include specific timelines, activities and targets have been developed locally at each Facility and were made available for review. These are not disclosed publicly however, due to confidentiality requirements.</p>
4.4d Collection and Recycling of Products at End of Life	Conformance	The UACJ Corporation has joined the Aluminum Can Recycling Association of Japan (http://www.alumi-can.or.jp) to promote the recycling of Aluminium cans.
5. GREENHOUSE GAS EMISSIONS		
5.1a-b Disclosure of GHG Emissions and Energy Use	Minor Non-Conformance	<p>The Entity publishes its Greenhouse Gas (GHG) data (Scopes 1, 2 and 3) under the 'Sustainability' section part on the Entity's webpage at: https://www.uacj.co.jp/english/sustainability/environment/warming.htm and in the annual Integrated Report (Investor Relations section) at: https://www.uacj.co.jp/english/ir/library/factbook.htm#ac2024</p> <p>These data have been verified independently by Sustainability Accounting Co. Ltd., and the issued independent assurance statement was available for review during the Audit. It was noted, however, that the public disclosure of GHG Emissions and Energy Use is in a consolidated manner for all the Facilities and not individually by source as required.</p>
5.2a Aluminium Smelter GHG Emissions Intensity – Started production after 2020	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.2b Aluminium Smelter GHG Emissions Intensity – In production up to and including 2020	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
5.3a GHG Emissions Reduction Plans	Conformance	<p>The Entity has used the ASI Pathways Calculation Tool to calculate the GHG Emissions (Scopes 1, 2 & 3 Category 1) Reduction Pathway, using a baseline of 2022 and projected until 2050 on annual basis. The actions planned to reduce GHG emissions and energy use are publicly disclosed at:</p> <p>https://www.uacj.co.jp/english/sustainability/environment/warming.htm#ac03</p>
5.3b-e GHG Emissions Reduction Plans – Targets, review and disclosure	Conformance	<p>The Entity has used the ASI Pathways Calculation Tool to calculate the GHG Emissions (Scopes 1, 2 & 3 Category 1) Reduction Pathway, using a baseline of 2022 and projected until 2050 on annual basis. The actions planned to reduce GHG emissions and energy use are publicly disclosed at:</p> <p>https://www.uacj.co.jp/english/sustainability/environment/warming.htm#ac03</p> <p>The Pathway is reviewed on annual basis and progress against the GHG Emissions Reduction Plan is made available publicly on an annual basis on the their website and Integrated Report at:</p> <p>https://www.uacj.co.jp/english/ir/library/factbook.htm#ac2024</p>
5.4 GHG Emissions Management	Conformance	<p>An Environmental Committee has been established at the Entity's Headquarters and meets several times annually to discuss environmental initiatives undertaken by each Facility, which includes actions to be taken to achieve GHG and energy-specific targets set against the Entity's GHG Reduction Pathway.</p>
6. EMISSIONS, EFFLUENTS AND WASTE		
6.1a-f Emissions to Air	Conformance	<p>Material Emissions to Air are disclosed publicly and updated annually, which includes a general description of the air emissions control processes undertaken by the sites to minimise pollution, specifically for the release of dioxins, NOx, SOx and VOCs:</p> <p>https://www.uacj.co.jp/english/sustainability/environment/chemical.htm#ac04</p>
6.2a-g Discharges to Water	Conformance	<p>The Entity quantifies and publicly discloses Material Discharges to Water including a general description of the wastewater treatment processes undertaken by the facilities to minimise pollution:</p> <p>https://www.uacj.co.jp/english/sustainability/environment/emission.htm</p>
6.3a-g Assessment and Management of Spills and Leakages	Conformance	<p>All the Entity's Facilities have conducted assessments of major risk areas of operations where Spills and Leakages could contaminate air, water and/or soil. Incidents that have occurred to date did not require reporting to the regulatory authorities as these occurred on paved areas or within buildings and were contained within the Facility boundaries.</p> <p>Some measures to reduce pollution is provided under the their website, available at:</p> <p>https://www.uacj.co.jp/english/sustainability/environment/chemical.htm#ac09</p>
6.4a-b Public Disclosure of Spills and Leakages	Conformance	<p>The Entity's list of incidents maintained by each site, shows Spills and Leakages that occurred in the past are not Material, primarily as these were managed internally and were not released outside Facility boundaries. If such incidents happen in future, they will be made</p>

CRITERION	RATING	COMMENT
		publicly available under the section 'Status of Compliance with Environmental Laws and Regulations' at: https://www.uacj.co.jp/english/sustainability/environment/management.htm#ac06
6.5a-c Waste Management and Reporting	Conformance	The Entity has quantified and publicly disclosed the quantity of Hazardous and Non-Hazardous Waste and the various objectives relate to reduction of wastes are also disclosed at: https://www.uacj.co.jp/english/sustainability/environment/emission.htm
6.6a-g Bauxite Residue	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7a-f Spent Pot Lining (SPL)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.8a-d Dross	Conformance	The Entity stores Dross in paved locations. Dross recovery facilities have been implemented at all Facilities, where a portion of recovered Dross is reused back in the process and a portion sold to a third-party Contractor for recycling and eventual landfilling of the remainder. The Entity is in regular discussions with the Japan Aluminium Association (JAA) on alternative options to landfilling.
7. WATER STEWARDSHIP		
7.1a-b Water Assessment and Disclosure	Minor Non-Conformance	The WRI Aqueduct R02 Water Risk assessment was conducted in 2021 (and re-evaluated in 2025), and confirms low risk for both sites in Japan, with no further actions necessary. A Water Risk Assessment report however was not available for review at the UATH Facility. Water withdrawal and use by source and type is reported on an annual basis for all Facilities at: https://www.uacj.co.jp/english/sustainability/environment/emission.htm
7.2a-e Water Management	Minor Non-Conformance	There is no Material risk or impact from the water risk assessments conducted at the Japan sites, however, there has been no recent Water Risk Assessment report available for the UATH Facility to verify if Material risks exist at this site.
8. BIODIVERSITY AND ECOSYSTEM SERVICES		
8.1a Biodiversity and Ecosystem Services Risk and Impact Assessment	Conformance	The Entity has assessed the risk and Materiality of the impacts on Biodiversity from the land use and activities in the Entity's Areas of Influence. External advisory companies have supported the Biodiversity assessments with specialist knowledge. As each of the Entity's Facilities are not located in key Biodiversity areas, the assessments did not identify any negative impacts to the Biodiversity. There are also no negative impacts on Biodiversity due to the Entity's activities.
8.1b Biodiversity and Ecosystem Services Risk and Impact Assessment - Priority	Not Applicable	This Criterion is not applicable to the Entity, as it has determined that the risk to and impacts on Biodiversity and Ecosystem Services are low.

CRITERION	RATING	COMMENT
8.2a-g Biodiversity Management	Not Applicable	This Criterion is not applicable to the Entity, as it has determined that the risk to and impacts on Biodiversity and Ecosystem Services are low.
8.3a-c Management of Priority Ecosystem Services	Not Applicable	This Criterion is not applicable to the Entity, as no Priority Ecosystem Services have been identified in its Area of Influence.
8.4 Alien Species	Conformance	The Entity has developed an Alien Species Damage Prevention Procedure at Fukui Works and similar procedures at the other Facilities to establish prevention measures for the accidental or deliberate introduction of Alien Species within their locations and surroundings.
8.5a-b Commitment to “No Go” in World Heritage Properties	Conformance	According to the Biodiversity assessments conducted, there are no World Heritage Sites in close vicinity of the Facilities. In addition, the Group Code of Conduct (https://www.uacj.co.jp/english/sustainability/management/compliance.htm) includes sections on respecting cultures and traditions, to avoid future development in potential heritage areas.
8.6a-d Protected Areas	Conformance	According to the Biodiversity reports, there are no Protected Areas within the Areas of Influence. The Group Code of Conduct – Global Version, (https://www.uacj.co.jp/english/sustainability/management/compliance.htm) also specifies respecting culture and traditions.
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 respects Human Rights and has implemented a Human Rights Policy and has provided training. The Entity’s Human Rights position and commitments are made and referred to in the Group Code of Conduct and Human Rights Policy, available at: https://www.uacj.co.jp/english/sustainability/management/compliance.htm https://www.uacj.co.jp/english/sustainability/social/human-rights.htm#ac02 The Entity has implemented a Human Rights Due Diligence process that is supported by an internal Due Diligence procedure which ensures consistency across sites. To date, the Entity has not identified adverse Human Rights impacts that it may have caused or contributed to.
9.2a-e Gender Equity and Women’s Empowerment	Conformance	The Entity recognises and respects the rights and interests of women, consistent with International Standards, and has implemented a publicly available Human Rights Policy regarding gender. Refer to: https://www.uacj.co.jp/english/sustainability/social/human-rights.htm#ac02 Performance of gender equity and women-focused programmes is disclosed at various locations throughout the Integrated Report, available at: https://www.uacj.co.jp/ir/library/factbook.htm

CRITERION	RATING	COMMENT
9.3a-i Indigenous Peoples	Not Applicable	This Criterion is not applicable to the Entity, as there are no Indigenous Peoples within the Entity's Area of Influence.
9.4a Free, Prior, and Informed Consent (FPIC) - New Projects or Major Changes	Not Applicable	This Criterion is not applicable to the Entity, as there are no Indigenous Peoples within the Entity's Area of Influence.
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	This Criterion is not applicable to the Entity, as there are no Indigenous Peoples within the Entity's Area of Influence.
9.5a Cultural and Sacred Heritage - Identification	Conformance	The Entity has assessed and confirmed that there are no Cultural and Sacred Heritage sites close to the Facilities. The Group Code of Conduct includes a commitment to respecting culture and traditions. In addition, the Entity has developed a procedure to manage New Projects, to ensure that appropriate risk assessments are conducted prior to setting up any new activities in a new location.
9.5b Cultural and Sacred Heritage - Impacts	Not Applicable	This Criterion is not applicable to the Entity, as there are no Cultural and Sacred Heritage within the Entity's Area of Influence.
9.6a-i Displacement	Not Applicable	This Criterion is not applicable to the Entity, as no New Projects or Major Changes have occurred since joining ASI.
9.7a-h Affected Populations and Organisations	Minor Non-Conformance	The Entity respects the rights and concerns of the Local Communities and has identified these as part of its Human Rights Due Diligence process and in its use of the evaluation tool. No significant issues or risks have been currently identified. However, there was no evidence that an adequate Human Rights risk assessment has been conducted for the Nagoya Works Facility, despite it being located close to surrounding communities (~50-250m from the Facility in all directions).
9.8a Conflict-Affected and High-Risk Areas - Strong management systems	Conformance	The Entity has developed the UACJ Sustainable Guidelines which are available at: https://www.uacj.co.jp/english/sustainability/social/human-rights.htm The UACJ Group Due Diligence Policy and the UACJ Group Modern Slavery Statement, which contain Human Rights elements as required by the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas (OECD Guidance).
9.8b Conflict-Affected and High-Risk Areas - Identify and assess risks	Minor Non-Conformance	The Entity has not used the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas (OECD Guidance) on its Primary Aluminium supply chain from ASI certified suppliers in Australia, Brazil, and the Middle East (UAE). Although these suppliers are currently ASI Certified, any 'red flags' identified by their processes and actions have not yet been formally completed.

CRITERION	RATING	COMMENT
9.8c Conflict-Affected and High-Risk Areas – Strategy to respond to risks	Minor Non-Conformance	The Entity has not used the OECD Guidance on its Primary Aluminium supply chain from ASI certified suppliers in Australia, Brazil, and the Middle East (UAE). Although these suppliers are currently ASI Certified, any ‘red flags’ identified by their processes and actions have not yet been formally completed.
9.8d Conflict-Affected and High-Risk Areas – Audit of due diligence	Conformance	The Entity’s Due Diligence practices were included in this ASI Performance Standard Certification Audit, which addresses this requirement.
9.8e Conflict-Affected and High-Risk Areas – Report annually	Conformance	The UACJ Group Modern Slavery Statement 2024 includes a section providing annually updated details on the Entity’s raw materials supply chain process, available at: https://www.uacj.co.jp/sustainability/msa/pdf/2024_msa.pdf
9.9 Security practice	Conformance	The Entity is involved with public and private security providers, and they are aware of and carry out their responsibilities in accordance with labour-related laws and regulations. The Entity respects Human Rights according to recognised standards and good practices.
10. LABOUR RIGHTS		
10.1a-c Freedom of Association and Right to Collective Bargaining	Conformance	The Entity respects the rights of Workers to associate freely in Labour Unions, seek representation and join Workers’ councils without interference. At the Japanese Facilities, a Union exists for which there is both a voluntary and high level of membership. At the UACJ Thailand Facility, no Labour Union exists, however, a welfare committee is established as a legal requirement.
10.1d Freedom of Association and Right to Collective Bargaining – Alternative means in context of Applicable Law	Not Applicable	This Criterion is not applicable to the Entity, as there is no legal restriction on the Right of Freedom of Association and Collective Bargaining in the countries in which it operates.
10.2a Child Labour	Conformance	The Entity does not use or support the use of Child Labour as stipulated under the UACJ Group Human Rights Policy. The latest version of this Policy is available at: https://www.uacj.co.jp/english/sustainability/social/pdf/UACJ_CSR_HumanRightsPolicy_en.pdf
10.3a-c Forced Labour	Conformance	The Entity does not use or support the use of Forced Labour as stipulated under the UACJ Group Human Rights Policy. The latest version of this Policy is available publicly at https://www.uacj.co.jp/english/sustainability/social/pdf/UACJ_CSR_HumanRightsPolicy_en.pdf The UACJ Group Modern Slavery Statement 2024 is available at: https://www.uacj.co.jp/sustainability/msa/pdf/2024_msa.pdf
10.4a-c Non-Discrimination	Conformance	The Entity has implemented measures to ensure that equal opportunities are made available and does not engage in or support Discrimination in hiring, salary, promotion, training, advancement or termination of Workers on the basis of common Discrimination criteria.

CRITERION	RATING	COMMENT
10.5 Communication and engagement	Conformance	The Entity has implemented mechanisms for direct engagement with Workers and their representatives regarding workplace and labour conditions and resolution of such issues, including anonymous whistleblowing.
10.6a-g Violence and Harassment	Minor Non-Conformance	The use of corporal punishment, mental or physical coercion, Harassment and gender-based Violence is not supported in any way and is addressed in the UACJ Group Code of Conduct Guidebook. However, although the Entity's website publicly states under the 'Respect for Human Rights' section that there is "prohibition of Harassment", this is not however explicitly mentioned under any publicly available Policy.
10.7a-c Remuneration	Conformance	The Entity has implemented systems for calculating Remuneration that respects the rights of Workers to a living wage. Workers are paid for a normal working week that meets or exceeds the legal and industry minimum standard, and that meets basic needs plus some discretionary income. Wage payments are fully documented and paid directly via bank transfer on a monthly basis.
10.8a-c Working Time	Conformance	The Entity has implemented for each Worker an employee contract and employee letter of engagement that collectively includes the Labour Rights afforded to the individual and employment conditions addressing the working week, Overtime salary, annual leave, public holidays and notice period, according to the Applicable Law in each country.
10.9a-b Informing Workers of Rights	Conformance	Employees are informed their rights during annual Code of Conduct training at each site. There is no restriction on Freedom of Association and Collective Bargaining in Japan, where Unions have been formed at both Nagoya Works and Fukui Works.
11. OCCUPATIONAL HEALTH AND SAFETY		
11.1a Occupational Health and Safety (OH&S) Management System	Conformance	The Entity has developed and implemented a documented Occupational Health and Safety (OH&S) Management System that is aligned in structure and content with applicable national and international standards.
11.1b-e Occupational Health and Safety (OH&S) Management System - Reviews and disclosure	Conformance	The OH&S Management System is currently reviewed on an annual basis. Some leading and lagging indicators are publicly disclosed under the Occupational Safety and Health section of the their website: https://www.uacj.co.jp/english/sustainability/social/safety.htm and the ranking of UACJ against other peer companies in this area is disclosed publicly online under TOYO KEIZAI CSR ONLINE: https://toyokeizai.net/articles/-/895766?page=14 and includes UACJ's commitment to continue efforts in performance improvement.
11.2 Employee engagement on Health and Safety	Conformance	The Entity has provided Workers with a mechanism by which they can raise, discuss and participate in the resolution of OH&S issues with management. An OH&S Committee is present at each site which includes broad employee representation. OH&S Committee meetings are conducted monthly with an agenda that includes all OH&S incidents, trends and issues of concern.

CRITERION	RATING	COMMENT
		The Entity also has other processes for Workers to raise Health and Safety risk issues such as a safety group and a Safety Concern Form. All issues are subject to investigation by the OH&S Department.

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DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	14 February 2022	Initial Certification Audit – Provisional Certification
1	16 March 2022	Text amendment to correct facility name to UACJ (Thailand) Co., Ltd.
2	5 January 2023	Re-Certification Audit – Full Certification Criterion 9.7a, 9.7b and 10.8 in Revision 1 included an incorrect conformance rating of 'Conformance' instead of 'Unable to Rate'. The Surveillance Audit determined a Conformance rating for these criteria.
3	19 January 2026	Re-Certification Audit – Full Certification. Scope Change to apply PS V3.1 and inclusion of Nagoya Works, Japan.