

# ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

## “Baphimali Bauxite Mines” of Utkal Alumina International Limited

CERTIFICATE NUMBER  
**557**

ASI STANDARD  
**PERFORMANCE  
STANDARD  
(V3.1 2023)**

CERTIFICATION LEVEL  
**FULL  
CERTIFICATION**

ASI ACCREDITED  
AUDITING FIRM  
**CETIZION VERIFICA**

DATE OF ISSUE  
**19 MAY 2026**

DATE OF EXPIRY  
**18 MAY 2029**

CERTIFIED SINCE  
**19 MAY 2026**

### AUTHORISED BY

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

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

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

### CERTIFICATION SCOPE

The planning, mining, processing  
and conveyor transportation of  
Bauxite in Rayagada district,  
Odisha State, India

# AUDIT REPORT PERFORMANCE STANDARD

## OVERVIEW

MEMBER NAME	Utkal Alumina International Limited
ENTITY NAME	"Baphlimali Bauxite Mines" of Utkal Alumina International Limited
CERTIFICATION SCOPE	The planning, mining, processing and conveyor transportation of Bauxite in Rayagada district, Odisha State, India.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>Bauxite Mining</li></ul>
ASI STANDARD	Performance Standard V3.1
AUDIT TYPE	<ul style="list-style-type: none"><li>Initial Certification Audit</li></ul>
AUDIT FIRM	CETIZION Verifica
AUDIT DATE	<ul style="list-style-type: none"><li>19 – 22 January 2026</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>31 March 2026</li></ul>
AUDIT SCOPE	<p>The Audit Scope included the planning, mining, processing and conveyor transportation of Bauxite in Rayagada district, Odisha State, India.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>Bauxite Mining</li></ul> <p>All relevant Criteria in the ASI Performance Standard were included in the Audit Scope.</p>
AUDIT OUTCOME	<ul style="list-style-type: none"><li>Certification</li></ul>
AUDIT METHODOLOGY DECLARATION	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"><li><input checked="" type="checkbox"/> The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this report.</li><li><input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.</li><li><input checked="" type="checkbox"/> 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.</li><li><input checked="" type="checkbox"/> The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.</li></ul>
CERTIFICATION PERIOD	19 May 2026 – 18 May 2029

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NEXT AUDIT TYPE                      Surveillance Audit

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NEXT AUDIT DATE                      19 September 2027

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CERTIFICATE NUMBER                      557

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

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

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

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## ENTITY OVERVIEW

Utkal Alumina International Limited (UAIL) is a subsidiary of Hindalco Industries Limited, part of the Aditya Birla Group. The UAIL operates the Baphlimali Bauxite Mines (the 'Entity') and an Alumina Refinery (not in the Certification Scope). The Entity is one of India's largest Bauxite mines, with a capacity of 8.5 million tonnes per annum, with a stripping ratio below 1.0. The mine is located in the village of Paikakupakhal, Rayagada district, Odisha State, India.

The mine lease was granted in 1997, with commercial mining commencing in 2012. The mine lease expires in 2048. The Baphlimali mining lease covers an area of approximately 1,389 hectares (ha), with 968 ha across a plateau within the Rayagada district (approx. 65%) and the remaining area in the adjacent Kalahandi district (approx. 35%). The mine is progressing in a north-south direction. The Entity undertakes concurrent mine closure and rehabilitation, and a progressive mine closure plan is submitted to regulatory authorities following stakeholder consultations. To date, 105 ha have been rehabilitated.

The mined Bauxite is crushed onsite and transported to the Utkal Alumina Refinery along an 18 kilometre covered, overhead conveyor. Water is sourced from the nearby San River, and the mine operates as a 'zero liquid discharge' (ZLD) facility, with zero water discharged to the external environment. The nearest railway station is Tikiri near Rayagada (15km), and the nearest airports are Jagdalpur (Chattisgarh) or Vishakhapatnam (Andhra Pradesh). The Entity employs approximately 1,017 people, including 82 women.

The Entity implements corporate social responsibility projects, including the 'Coffee Garden' project, which returns rehabilitated land to the landowner (the government) for the benefit of the surrounding community. The Entity operates a multi-speciality hospital at Osapada, near the township, which is open to the community and offers affordable medical access and facilities.

## 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
<b>SYSTEMS</b>	Medium	Medium	Medium	MEDIUM
<b>RISKS</b>	Medium	Medium	Medium	MEDIUM
<b>PERFORMANCE</b>	Medium	Medium	Medium	MEDIUM
<b>OVERALL</b>	MEDIUM			

## AUDIT PLANNING AND OVERSIGHT

As part of the planning and preparation for this Initial Certification Audit, a **pre-Audit risk assessment** was undertaken by the ASI Secretariat. This review of the proposed Audit Plan is to ensure that the Audit is undertaken by ASI Accredited Auditor personnel that have the necessary auditing experience applicable to the Entity and its risk profile, that an appropriate level of effort and engagement (internal and external) undertaken during the Audit is appropriate to the overall level of risk, issues and complexity of the Entity's Area of Influence and that the Audit requirements are consistent with the requirements as described in the ASI Assurance Manual. This process also provided direct feedback to the Lead Auditor and the Entity with respect to any specific areas of concern and/or greater risk that would require additional level of effort during the Audit.

The Audit team included an ASI Accredited Lead Auditor and an ASI Indigenous Peoples Advisory Forum (IPAF) member. The community engagement component of the Audit included stakeholder interviews with villagers in the Rayagada and Kalahandi districts and the affected peoples and beneficiaries of the Entity's corporate social responsibility (CSR) projects.

The Audit was subject to an ASI **Witness Assessment**. Witness Assessments are undertaken by members of the ASI Secretariat and form part of the ASI Oversight Mechanism to enable the direct in-person observation of the Audit team undertaking Audits against the ASI Performance Standard. This assessment evaluates consistency with the requirements of the ASI Assurance Manual, the competency and impartiality of the Audit team and identifies improvement opportunities for the ASI assurance system. Witness Assessments are not a 'shadow audit' and as such do not assess the performance of the Entity or make recommendations on levels of conformance to the ASI Performance Standard. The Witness Assessment concluded that the Audit was undertaken in a manner appropriate to the requirements of the ASI Assurance Manual and employed effective auditing techniques.

All Audits are subject to the **ASI oversight process**. This is a review of the submitted Audit Report to ensure that the Audit has adequately assessed all relevant criteria for the Certification Scope and provided all required information, and to ensure that all auditor findings address the requirements of the ASI Standard. The oversight assessment also checks that the Audit Team has specified the objective evidence they had reviewed during the Audit and that this evidence adequately supports the conformance findings for each relevant Criterion. This process aligns with the principles in the ISEAL Code of Good Practice for Assuring Compliance with Social and Environmental Standards (Assurance Code), which ASI implements through its Certification program. Further information on ASI's oversight and audit review processes is available at: <https://Aluminium-stewardship.org/get-certified/asi-oversight-mechanism>.

## FINDINGS

CRITERION	RATING	COMMENT
<b>1. BUSINESS INTEGRITY</b>		
1.1 Legal Compliance	Conformance	<p>The Entity identifies, maps, and monitors its Compliance with various Applicable Laws. Compliance with key legal requirements is reported to the concerned authorities and is publicly available, including the six-monthly compliance reports related to the Entity's Environmental Clearance and annual reporting to the Indian Bureau of Mines, available at:</p> <p>Environmental Clearance Compliance Report:  <a href="https://www.hindalco.com/Upload/PDF/baphlimali-half-yearly-ec-compliance-report-april-2205-sept-2025.pdf">https://www.hindalco.com/Upload/PDF/baphlimali-half-yearly-ec-compliance-report-april-2205-sept-2025.pdf</a></p> <p>Form G-1 Annual Return:  <a href="https://www.hindalco.com/Upload/PDF/baphlimali-form-g1-annual-return-2024-25.pdf">https://www.hindalco.com/Upload/PDF/baphlimali-form-g1-annual-return-2024-25.pdf</a></p>
1.2 Anti-Corruption	Conformance	<p>As part of the Hindalco Group, the Entity has implemented an Anti-Money Laundering, Anti-Bribery and Anti-Corruption Policy, which details its commitment to combating Corruption, outlines its implementation measures, and includes a reporting mechanism. Annual refresher training on the Policy is provided to the employees. The Policy is available at: <a href="https://www.hindalco.com/Upload/PDF/aml-abac-Policy-2023.pdf">https://www.hindalco.com/Upload/PDF/aml-abac-Policy-2023.pdf</a></p> <p>The Entity has established a Business Value Committee, which has overall responsibility and accountability for anti-Corruption. The Committee works to combat Corruption in all its forms, including Extortion and Bribery, in accordance with Applicable Law and prevailing international standards. Employees receive anti-Corruption training during induction and periodic refresher training.</p>
1.3a-e Code of Conduct	Conformance	<p>The Entity has implemented a Code of Conduct which includes principles relevant to environmental, social and governance matters. It communicates the Code and provides relevant training to employees about the requirements and expectations. The Code of Conduct is publicly disclosed at:  <a href="https://www.hindalco.com/Upload/PDF/hindalco-code-conduct.pdf">https://www.hindalco.com/Upload/PDF/hindalco-code-conduct.pdf</a></p>
<b>2. POLICY AND MANAGEMENT</b>		
2.1a-f Environmental, Social, and Governance Policy	Conformance	<p>As part of the Hindalco Group, the Entity has established various Policies covering environmental, social, and governance matters. The Policies are appropriately communicated to both internal and external Stakeholders, e.g., displayed within the mining area, included in employee training, and disclosed on the Hindalco website. In addition, the Group-level Risk Management and Environment, Social &amp; Governance (ESG) Committee reports to the Board of Directors on ESG-related matters. The Policies are available at:  <a href="https://www.hindalco.com/investors/corporate-governance#Policies">https://www.hindalco.com/investors/corporate-governance#Policies</a></p>
2.2a-c Leadership	Conformance	<p>The Entity's leadership, represented by the Mines Head, provides the necessary infrastructure, resources, Policy endorsement, statement of commitment, training, and management reviews to implement its ESG Policies. There is an internal governance and responsibility structure to meet the ASI Performance Standard requirements across various functions.</p>

CRITERION	RATING	COMMENT
2.3a Environmental and Social Management Systems – Environmental	Conformance	The Entity has implemented an Environmental Management System, which is ISO 14001:2015 certified.
2.3b Environmental and Social Management Systems – Social	Conformance	The Entity has developed its Social Management System in accordance with national and international laws, as reflected in various Policies, documents and organisational effectiveness. The relevant training is provided to the employees through the "MyLearning" tool as well as classroom training.
2.4a-e Responsible Sourcing	Conformance	<p>The Entity has developed and implemented responsible sourcing-related Policies and provides training to relevant personnel. The Supplier Code of Conduct is communicated to suppliers, provided automatically with purchase order documentation.</p> <p>The Supplier Code of Conduct is available at:  <a href="https://www.hindalco.com/upload/pdf/annexure-IVa-hindalco-supplier-code-conduct.pdf">https://www.hindalco.com/upload/pdf/annexure-IVa-hindalco-supplier-code-conduct.pdf</a></p> <p>The Responsible Sourcing Policy is available at:  <a href="https://www.hindalco.com/Upload/PDF/responsible-supply-chain-Policy.pdf">https://www.hindalco.com/Upload/PDF/responsible-supply-chain-Policy.pdf</a></p> <p>The Sanctions Policy is available at:  <a href="https://www.hindalco.com/Upload/PDF/sanctions-Policy-2023.pdf">https://www.hindalco.com/Upload/PDF/sanctions-Policy-2023.pdf</a></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.
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.
2.7a-f Emergency Response Plan	Conformance	<p>The Entity has developed individual Emergency Response Plans for the mines, in accordance with statutory obligations and endorsed ISO 45001 requirements. The various emergency scenarios were identified, and an appropriate response plan was developed. The Emergency Response Plan is communicated to the Directorate General of Mines Safety (DGMS) as per regulatory requirements and is available to external Stakeholders upon request. The related disclosure is included in the Annual Report, pages 94-95:  <a href="https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf">https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf</a></p>
2.8a-d Suspended Operations	Conformance	The Entity has developed a site-specific Enterprise Risk Management (ERM) framework that defines the processes, disruption risk, and recovery strategy in accordance with the Group Enterprise Risk Management Policy. The ERM and business continuity plans are reviewed monthly and reported on every quarter.
2.9a-b Mergers and Acquisitions	Conformance	The Entity has Group-level provisions to consider environmental, social, and governance matters during potential mergers or acquisitions. There have been no mergers or acquisitions since the Entity joined ASI.

CRITERION	RATING	COMMENT
2.10a-b Closure, Decommissioning and Divestment	Conformance	The Entity has Group-level provisions to consider environmental, social, and governance matters during potential closure, decommissioning, and divestment activities. The Entity has no plans to undergo closures, decommissioning, or divestment.
<b>3. TRANSPARENCY</b>		
3.1a-b Sustainability Reporting	Conformance	<p>As part of the Hindalco Group, the Entity has developed an Integrated Annual Report which includes consolidated reporting on the Entity's ESG performance. Details on the Materiality assessment, which identified 23 Material ESG topics, and the Entity's governance approach are included in the Integrated Annual Report, pages 54-61: <a href="https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf">https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf</a></p> <p>Additionally, the Entity uses a digital tool to collect sustainability performance data monthly for annual reporting to the government authority.</p>
3.2 Non-compliance and Liabilities	Conformance	<p>There are no Material fines, judgments, penalties, or non-monetary sanctions for failure to comply with Applicable Law during the reporting period. Further information is available in the Integrated Annual Report, page 220: <a href="https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf">https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf</a></p>
3.3a-c Payments to Governments	Conformance	<p>The Entity makes payments to the Government for statutory obligations, such as goods and services tax, mining royalty, District Mineral Fund (DMF), National Mineral Exploration Tax (NMET), employees' social security, and corporate tax. Further details are publicly available on the Hindalco website and in the Integrated Annual Report, pages 456-457: <a href="https://www.hindalco.com/investors">https://www.hindalco.com/investors</a></p> <p><a href="https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf">https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf</a></p>
3.4a-f Stakeholder Complaints, Grievances and Requests for Information	Minor Non-Conformance	<p>The Entity has a Grievance Mechanism that includes various reporting channels to address employees' grievances. The Entity has implemented the Hindalco Whistleblower Policy, available at: <a href="https://www.hindalco.com/Upload/PDF/hindalco-whistle-blower-policy-19.pdf">https://www.hindalco.com/Upload/PDF/hindalco-whistle-blower-policy-19.pdf</a></p> <p>A toll-free number (1800-102-6969) is detailed in the Supplier Code of Conduct for suppliers to raise complaints and grievances (available in languages including Oriya).</p> <p>The documented Grievance Redressal Procedure details information regarding the lead time and complainant engagement. The Entity's Corporate Social Responsibility (CSR) department holds open house sessions twice monthly, where community members can walk in to request aid or raise grievances or other concerns. The majority of the requests are related to employment, job contracts or community services, and are not directly related to the Entity's business activities' impacts. The Entity maintains records of consultation with relevant external Stakeholders, both women and men, including local and Indigenous Stakeholders, regarding the complaints and grievance procedures.</p> <p>The Complaints Resolution Mechanism, however, does not include a written, accessible, and disclosed process for investigating and</p>

CRITERION	RATING	COMMENT
		responding to complaints and grievances for all Stakeholders, in particular contract Workers and Local Communities.
<b>4. MATERIAL STEWARDSHIP</b>		
4.1a Environmental Life Cycle Assessment	Conformance	The Entity has conducted a Life Cycle Assessment (LCA) for Bauxite and Alumina production, using consumption data for the 2020–21 financial year. It includes activity, consumption data for the extraction of one tonne of Bauxite, waste generation data, and addresses relevant impact categories. The LCA follows a ‘cradle-to- gate’ approach based on the relevant ISO standards.
4.1b–c Environmental Life Cycle Assessment - Disclosure	Conformance	The Entity has conducted a Life Cycle Assessment (LCA) for Bauxite and Alumina production, following a ‘cradle-to- gate’ approach based on the relevant ISO standards. The LCA results and reports are shared with Stakeholders upon request. A brief disclosure is provided in the Integrated Annual Report, page 137, <a href="https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf">https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf</a>
4.2 Product Design	Not Applicable	This Criterion is not applicable to the Entity’s Certification Scope.
4.3a–b Aluminium Process Scrap	Not Applicable	This Criterion is not applicable to the Entity’s Certification Scope.
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	Not Applicable	This Criterion is not applicable to the Entity’s Certification Scope.
<b>5. GREENHOUSE GAS EMISSIONS</b>		
5.1a–b Disclosure of GHG Emissions and Energy Use	Minor Non-Conformance	The Entity has calculated its energy consumption and Scope 1 and 2 Greenhouse Gas (GHG) Emissions. Energy and Scope 1 and 2 GHG Emissions data are verified, and the Independent Assurance Statement is available in the Integrated Annual Report, pages 756–762: <a href="https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf">https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf</a>  The Entity, however, has not calculated its Scope 3 GHG Emissions.
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 developed an Entity-level GHG Emissions Reduction Plan, which includes investments in renewable energy and energy efficiency measures, including a 5 MW solar power plant under relocation from the colony (expected in March 2026), relocation of a 3.5 MW plant from another mine site (expected by July 2026), an electric dumper pilot programme, and a 20 MW wind farm feasibility study (expected to commence in 2026 with turbine installation on or before 2030).</p> <p>The Hindalco Group has disclosed a Group-level decarbonisation strategy and roadmap.</p> <p>As the Entity is engaged in Bauxite Mining, it is not required to generate an Entity-level GHG Pathway using the ASI method.</p>
5.3b-e GHG Emissions Reduction Plans – Targets, review and disclosure	Minor Non-Conformance	<p>The Entity has developed an Entity-level GHG Emissions Reduction Plan. The Plan, however, does not address measures to reduce Indirect GHG Emissions (Scope 3) nor include emission reduction targets, and annual progress is not disclosed.</p> <p>The Hindalco Group has disclosed a Group-level decarbonisation strategy and roadmap, with a 2011-12 baseline, in the Integrated Annual Report, page 155:  <a href="https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf">https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf</a></p> <p>Additionally, the Group-level GHG Emissions Reduction Plan is not aligned with an ASI method derived Pathway, does not define reduction targets nor discloses annual progress against the GHG Emissions Reduction Plan.</p>
5.4 GHG Emissions Management	Conformance	<p>The Entity has implemented an Energy Management System based on ISO 50001 and GHG Emission procedures, which define a standardised approach to calculating Scope 1, 2, and 3 GHG Emissions and the associated calculation methodologies, responsibilities, and verification mechanisms, and align with recognised protocols. The Entity's GHG emissions management is disclosed in the Integrated Annual Report, pages 156-161:  <a href="https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf">https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf</a></p>
<b>6. EMISSIONS, EFFLUENTS AND WASTE</b>		
6.1a-f Emissions to Air	Minor Non-Conformance	<p>The Entity conducts monitoring of emission point sources and ambient air quality in accordance with its environmental permits. The environmental monitoring and management plan addresses all statutory monitoring, including continuous air quality monitoring in the core and buffer areas using an external accredited laboratory, and the monitoring results were found within permissible limits. The Entity's Emissions to Air are publicly disclosed in the Entity's Environmental Clearance Compliance Report:  <a href="https://www.hindalco.com/Upload/PDF/baphlimali-half-yearly-ec-compliance-report-april-2205-sept-2025.pdf">https://www.hindalco.com/Upload/PDF/baphlimali-half-yearly-ec-compliance-report-april-2205-sept-2025.pdf</a></p> <p>Material Group-level emissions are disclosed in the Integrated Annual Report, pages 162-164:  <a href="https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf">https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf</a></p>

CRITERION	RATING	COMMENT
		The Entity however does not monitor emissions from mine vehicles, including dumpers, which are a significant source of Emissions to Air within the mine area.
6.2a-g Discharges to Water	Conformance	The Entity operates a Sewage Treatment Plant and an Effluent Treatment Plant and is a 'Zero Liquid Discharge' (ZLD) mine site. Treated water is reused (ETP treated water in vehicle washing and STP treated water reused in dust suppression). The stormwater is discharged to three settling ponds within the mine area. The Entity periodically monitors water quality in upstream water bodies (river), downstream, surface water and groundwater, using an external accredited testing laboratory. Monitoring results are publicly disclosed every six months in the Environmental Clearance Compliance Report, pages 68-77: <a href="https://www.hindalco.com/Upload/PDF/baphlimali-half-yearly-ec-compliance-report-april-2205-sept-2025.pdf">https://www.hindalco.com/Upload/PDF/baphlimali-half-yearly-ec-compliance-report-april-2205-sept-2025.pdf</a>
6.3a-g Assessment and Management of Spills and Leakages	Conformance	Spills and Leakages are addressed in the Entity's ISO 14001:2015 certified Environmental Management System. The major risk area is the vehicle maintenance mechanical workshop, and control measures are in place, mock drills are conducted, and employees are provided with training to address Spill and Leakage incidents. Spills and Leakages are addressed in the site's Emergency Plan.
6.4a-b Public Disclosure of Spills and Leakages	Conformance	Information on Spills and Leakages at the Group-level is disclosed in the Integrated Annual Report, page 182: <a href="https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf">https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf</a>  The Entity submits a six-monthly Environmental Clearance Compliance Report, publicly available at: <a href="https://www.hindalco.com/Upload/PDF/baphlimali-half-yearly-ec-compliance-report-april-2205-sept-2025.pdf">https://www.hindalco.com/Upload/PDF/baphlimali-half-yearly-ec-compliance-report-april-2205-sept-2025.pdf</a> .  The mine is a ZLD facility, significantly reducing the risk of Spills and leaks into the environment. There have been no significant Spills and Leakages at the Entity.
6.5a-c Waste Management and Reporting	Conformance	The Entity has developed and implemented procedures and strategies for handling Hazardous Waste and Non-Hazardous Waste. Topsoil and overburden are concurrently backfilled over the voids in the mined-out area, followed by tree plantation. Waste reduction measures are in place, including use of an organic waste converter that converts kitchen and horticultural waste into manure using bio-inoculum. The waste-related disclosures are made in the Annual Environment Statement Form V (parts D, E, and F), pages 4-6: <a href="https://www.hindalco.com/Upload/PDF/baphlimali-environment-statement-fy2025.pdf">https://www.hindalco.com/Upload/PDF/baphlimali-environment-statement-fy2025.pdf</a>  The Entity's waste data and mitigation strategy are disclosed as consolidated, Group-level data in the Integrated Annual Report, pages 174-180: <a href="https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf">https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf</a>
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.

CRITERION	RATING	COMMENT
6.8a-d Dross	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
<b>7. WATER STEWARDSHIP</b>		
7.1a-b Water Assessment and Disclosure	Conformance	The Entity extracts surface water from the San River through a 10 kilometre water pipeline and pump house. The primary water uses are for dust suppression, plantation irrigation, and domestic use. A water balance chart is available to map raw water, rainwater, and water recycled from the sewage and effluent treatment plants. The Entity's water consumption, plans and risks are available in the Integrated Annual Report, pages 166-173: <a href="https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf">https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf</a>
7.2a-e Water Management	Conformance	<p>The Water-related Key Performance Indicators (KPIs) are analysed and discussed monthly by the Entity's Water Taskforce, a cross-functional team with a mandate to work in the area of water management and water efficiency improvements. The Water Management Plan and practices are available in the Integrated Annual Report, pages 166-167: <a href="https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf">https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf</a></p> <p>The Entity is implementing a Water Efficiency Management System in accordance with ISO 46001:2019, which addresses applicable legal requirements, water use, and reporting (Format F-3 report). The Entity's water consumption per tonne of Bauxite has reduced approximately 17% over the past three years.</p>
<b>8. BIODIVERSITY AND ECOSYSTEM SERVICES</b>		
8.1a Biodiversity and Ecosystem Services Risk and Impact Assessment	Conformance	The Entity has undertaken a Biodiversity Assessment as per "Taskforce on Nature-related Financial disclosure (TNFD)" covering biodiversity and ecosystem services risk and impacts, resulting in no presence of protected area and critical habitat, and considers "Baphlimali mines" as a "Low Priority" location, considering the nature and scale of mining activities. More information on the TNFD Assessment (page 25) is available at: <a href="https://www.hindalco.com/Upload/PDF/hindalco-TNFD-2024-report.pdf">https://www.hindalco.com/Upload/PDF/hindalco-TNFD-2024-report.pdf</a>
8.1b Biodiversity and Ecosystem Services Risk and Impact Assessment - Priority	Conformance	The Entity has undertaken a TNFD assessment through a systematic review and consultation with affected stakeholders, and designated "Baphlimali mines" as a "Priority" location, considering the nature, scale of mining activities, and the overall TNFD assessment results. More details are available in the TNFD report, page 25: <a href="https://www.hindalco.com/Upload/PDF/hindalco-TNFD-2024-report.pdf">https://www.hindalco.com/Upload/PDF/hindalco-TNFD-2024-report.pdf</a>
8.2a-g Biodiversity Management	Conformance	The Entity is working towards the corporate goal of "Biodiversity and No Loss" by the year 2050. The Entity has developed a Biodiversity Management Plan through stakeholder consultation, with a clearly defined action plan, e.g., water bodies, bird conservation, and livelihoods. The Biodiversity Management Plan (BMP) is available in the Group's Annual report, page 192: <a href="https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf">https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf</a> More information available in the TNFD Report, pages 22, 38, 45 & 70:

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		<a href="https://www.hindalco.com/Upload/PDF/hindalco-TNFD-2024-report.pdf">https://www.hindalco.com/Upload/PDF/hindalco-TNFD-2024-report.pdf</a>
8.3a-c Management of Priority Ecosystem Services	Conformance	<p>The Entity have followed the Locate-Evaluate-Assess-Prepare (LEAP) approach to assess site-level dependencies, impacts, risks and opportunities as part of the Biodiversity mitigation hierarchy. The priority ecosystem services comprise "provisioning" and "regulating" ecosystem services. The Entity has identified risks, including the depletion of water resources, pollution of water bodies, and emissions from mine sites. To mitigate risks, the Entity has identified opportunities, such as collaborating with farmers and implementing integrated resource management.</p> <p>The Mitigation measures have been implemented, such as effective dust management through regular reviews of greenbelts to ensure a diverse mix of shrubs, fast-growing trees, and dense, long-lived species. Wider buffers, ideally 50 metres or more, enhance biodiversity and improve air quality. Stormwater management is regularly reviewed to mitigate the risks posed by precipitation, and safeguards are implemented. Routine inspections of erosion-prone areas, including access roads, help identify and mitigate instabilities, while rehabilitation and maintenance of degraded riparian zones.</p> <p>More information available in the TNFD Report, pages 22, 38, 45 &amp; 70: <a href="https://www.hindalco.com/Upload/PDF/hindalco-TNFD-2024-report.pdf">https://www.hindalco.com/Upload/PDF/hindalco-TNFD-2024-report.pdf</a></p>
8.4 Alien Species	Conformance	The Entity has systematically identified Alien Species through a structured risk assessment of potential impacts based on criteria related to invasiveness, impact, and range extension. No invasive species are used in rehabilitation, and existing invasive species are identified and removed.
8.5a-b Commitment to "No Go" in World Heritage Properties	Conformance	The Entity has committed to "No Go" in World Heritage Properties and to not explore or undertake mining activities in Protected Areas. There are no World Heritage Properties within the Entity's Area of Influence.
8.6a-d Protected Areas	Conformance	The Entity has committed to operating outside critical zones, including World Heritage Sites, IUCN Category I-IV Protected Areas, and Ramsar wetlands. There are no Protected Areas identified within the Area of Influence as per the Biodiversity and Ecosystem Services Risk and Impact Assessment.
8.6e Protected Areas - Bauxite Mining	Conformance	The Entity has committed to not explore or mine in Protected Areas. There are no Protected Areas identified within the Area of Influence as per the Biodiversity and Ecosystem Services Risk and Impact Assessment.
8.7a-i Mine Rehabilitation	Conformance	The Entity has established a Mine Rehabilitation plan developed with a qualified mining specialist and discussed with the community through the CSR programs. The Entity implements progressive rehabilitation and in practice, topsoil and overburden are systematically and scientifically backfilled over the voids of the mined-out area, followed by plantation establishment. As part of the Entity's Mine Rehabilitation efforts, extensive plantation activities are carried out, with around 2,76,860 different species planted in the backfilled area, with a survival rate of over 85%. Coffee, mango, and other fruit-bearing species are established during rehabilitation efforts. There are no regulatory

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		<p>requirements in terms of the choice of plants. However, Entity has undertaken the planting of a mix of harvestable crops and native plants, in consultation with the local community and using their traditional knowledge.</p> <p>The Entity has implemented a Sustainability Mining Charter since 2021 to provide a structured, actionable framework that aligns with guiding principles and key thematic areas. Further details are available in the Integrated Annual Report, pages 184-187:  <a href="https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf">https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf</a></p> <p>An independent audit of the Entity's Mine Rehabilitation is conducted by Government officials, and annual performance is disclosed and submitted to the Indian Bureau of Mines, Odisha region. Further information is available in the six-monthly Environmental Clearance Compliance Report:  <a href="https://www.hindalco.com/Upload/PDF/baphlimali-half-yearly-ec-compliance-report-april-2205-sept-2025.pdf">https://www.hindalco.com/Upload/PDF/baphlimali-half-yearly-ec-compliance-report-april-2205-sept-2025.pdf</a></p> <p>'Mine Closure and Rehabilitation' is identified as a Material risk at Group-level, and the impact, risk and mitigation approach is included in the Integrated Annual Report, page 59:  <a href="https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf">https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf</a></p>
<b>9. HUMAN RIGHTS</b>		
9.1a-d Human Rights Due Diligence	Conformance	<p>The Entity has conducted a Human Rights Due Diligence process that addressed various Human Rights and potential abuses covering a wide range of Stakeholders including contractors, suppliers, and communities. Furthermore, the Entity has implemented the corporate level Human Rights Policy, which is based on the UN Guiding Principles, and provides related training to all its employees: The Human Rights Policy is available at:  <a href="https://www.hindalco.com/Upload/PDF/human-right-policy.pdf">https://www.hindalco.com/Upload/PDF/human-right-policy.pdf</a></p>
9.2a-e Gender Equity and Women's Empowerment	Conformance	<p>The Entity has implemented various Policies to ensure gender equity and the support of women in the workplace, including enhanced maternity benefits, safe travel provisions, a spouse policy, and protection of performance ratings during maternity leave. Accommodation is provided by the Entity for both male and female Workers at the mine location.</p> <p>The effectiveness of the Entity's gender equity actions is detailed in the Integrated Annual Report, pages 108-109, 122-123:  <a href="https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf">https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf</a></p>
9.3a-i Indigenous Peoples	Minor Non-Conformance	<p>The Entity works with Local Communities through the Corporate Social Responsibility (CSR) programs across 61 villages near the mine's periphery and buffer area, some of which are inhabited by Scheduled Tribes. The Entity has implemented a Human Rights Policy, which is committed to affected Local Communities and Indigenous Peoples. It has also established the Rehabilitation, Resettlement and Protection of Indigenous Peoples Policy, addressing Indigenous Peoples' rights and the FPIC process: <a href="https://www.hindalco.com/upload/pdf/IPRR-Policy.pdf">https://www.hindalco.com/upload/pdf/IPRR-Policy.pdf</a></p>

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		<p>Further information on the Entity's approach to Indigenous Peoples is available in its Integrated Annual Report, pages 198-199:  <a href="https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf">https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf</a></p> <p>The Entity, however, has no formal commitment to respect the rights and interests of Indigenous Peoples in accordance with the UN Declaration on the Rights of Indigenous Peoples. Also, there is no documented process for identifying Indigenous Peoples based on their linguistic, social, governance and resource-linked characteristics. Additionally, it does not have a process to inform Indigenous Peoples of the relevant ASI Performance Standard requirements and the ASI Certification Audit process, nor includes their involvement in a manner that is accessible, timely, and understandable.</p>
9.4a Free, Prior, and Informed Consent (FPIC) - New Projects or Major Changes	Not Applicable	This Criterion is not applicable to the Entity, as no New Projects or Major Changes are planned.
9.4b Free, Prior, and Informed Consent (FPIC) - Bauxite Mining	Conformance	The Entity consults and cooperates in good faith with community members, including Indigenous Peoples, on an ongoing basis through their own representative institutions, such as the Sarpanch (head of the village) and religious leaders. The mine land was purchased from the Government, and there was no displacement. The Entity has not commenced a new phase of operation nor altered the existing Mine Rehabilitation and closure plan that affects community lands or territories and other resources, particularly in connection with the development, utilisation or exploitation of mineral, water or other resources. The Entity's CSR team, which is responsible for consultation with the community, including Indigenous Peoples, are trained by external experts on Free, Prior & Informed Consent (FPIC) with the objective of implementing FPIC when a new phase of operations or an alteration to the Mine Rehabilitation and closure plan is required.
9.4c Free, Prior, and Informed Consent (FPIC) - Demonstrate support	Not Applicable	This Criterion is not applicable to the Entity, as no New Project or Major Change is planned.
9.5a Cultural and Sacred Heritage – Identification	Conformance	The Entity has developed and implemented a Cultural Heritage Management Plan. Relevant information on the Plan is communicated to both employees and contractors annually. The Entity respects and supports cultural and sacred heritage by organising events to promote cultural heritage, such as the annual 'Ama Nrutya Ama Sanskruti' ('My Dance, My Culture').
9.5b Cultural and Sacred Heritage – Impacts	Conformance	The Entity's activities do not result in any significant impact on cultural, historical or spiritual heritage. However, the Entity has developed and implemented a Cultural Heritage Management Plan, which adopts a mitigation hierarchy.
9.6a-i Displacement	Not Applicable	This Criterion is not applicable to the Entity, as there has been no displacement as a result of its mining activities.

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9.7a-h Affected Populations and Organisations	Conformance	The Entity works with the Local Community through its CSR program. There are 11 core-periphery villages (5 Rayaghada and 6 Kalhandi) within its Area of Influence. The majority of the village communities are tribal (Kondha, Parajo), and the remaining are Scheduled Castes. More than 60 villages, including periphery villages, are included in the Entity's CSR activities, which cover areas including education, health, drinking water, solar-based borewalls, supporting livelihoods, infrastructure and promotion of the local culture.
9.8a Conflict-Affected and High-Risk Areas - Strong management systems	Conformance	<p>The Entity has developed a responsible sourcing Policy and implemented procedures within its Management System to address Conflict-Affected and High-Risk Areas (CAHRAs). Relevant employees have received training on CAHRAs. The mine site is not located in a CAHRA region. However, at the corporate level, the Hindalco Group is working to conduct supplier training and capacity-building on CAHRAs, and suppliers must comply with Hindalco's expectations for CAHRAs and requirements related to the 'know your counterparty' initial Due Diligence process. In case of any negative outcome, enhanced Due Diligence is undertaken.</p> <p>The Responsible Supply Chain Policy is available at: <a href="https://www.hindalco.com/Upload/PDF/responsible-supply-chain-policy.pdf">https://www.hindalco.com/Upload/PDF/responsible-supply-chain-policy.pdf</a></p> <p>The Entity has an external, independent grievance redressal system helpline (1800-102-6969) and online reporting: <a href="https://abgethicshelpline.integritymatters.in/cases/case_instructions.locale=en">https://abgethicshelpline.integritymatters.in/cases/case_instructions.locale=en</a></p>
9.8b Conflict-Affected and High-Risk Areas - Identify and assess risks	Conformance	The Entity's mine site is not located in a CAHRA region. At the corporate level, the Entity is working with an external agency developing an Excel-based tool to identify CAHRA-related risks in accordance with the OECD Guidance.
9.8c Conflict-Affected and High-Risk Areas - Strategy to respond to risks	Not Applicable	This Criterion is not applicable to the Entity, as it is not located in CAHRAs region.
9.8d Conflict-Affected and High-Risk Areas - Audit of due diligence	Conformance	The Entity's Due Diligence practices have been assessed as part of this ASI Performance Standard Audit, which meets the Criterion requirements.
9.8e Conflict-Affected and High-Risk Areas - Report annually	Conformance	The Hindalco Group reports annually on its supply chain Due Diligence (also covering its copper business), in accordance with the OECD Guidance. As an Aluminium business, the Bauxite and Alumina in the Entity's supply chain are sourced and transited from a region that is not a CAHRA. There is no import or sourcing of raw material from a CAHRA region.
9.9 Security practice	Conformance	<p>The Entity provides unarmed guards, both male and female, at designated security posts. Security guards were provided with the required job training on Human Rights, and records are maintained. The security guards work in three shifts and are provided with accommodation (separate for male and female) at the mine site, as with other Workers.</p> <p>Drones are also used to oversee mine operations and security arrangements. To meet regulatory requirements for drones, the Entity</p>

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		has identified qualified operators who have completed training at an approved training agency.
<b>10. LABOUR RIGHTS</b>		
10.1a-c Freedom of Association and Right to Collective Bargaining	Conformance	The Entity respects employees' right to Freedom of Association and Collective Bargaining, as stated in the Human Rights Policy. A statutory Works Committee has been established and enables employees and management to discuss workplace-related matters.
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 Indian Labour Law does not restrict the rights to Freedom of Association and Collective Bargaining.
10.2a-c Child Labour	Conformance	The Entity is committed to preventing Child Labour and does not employ Workers under 18 years of age. The Entity's employment management system restricts the engagement of Workers under 18 years of age.
10.3a-c Forced Labour	Minor Non-Conformance	<p>The Entity is committed to preventing Forced Labour and modern slavery, as stated in its various policies, including the Human Rights Policy, Corporate Values, Code of Conduct, and Supplier Code of Conduct. Worker interviews and review of employment records during the Audit confirmed that there is no Forced Labour at the Entity. There is a brief disclosure regarding the Hindalco Group's commitment against Modern Slavery in the Integrated Annual Report, page 111: <a href="https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf">https://www.hindalco.com/Upload/PDF/hindalco-annualreport-2024-25.pdf</a></p> <p>However, it does not sufficiently cover the requirements for a Modern Slavery Statement as required under the Criterion.</p>
10.4a-c Non-Discrimination	Conformance	<p>The Entity is committed to preventing Discrimination on the basis of gender, age, and in hiring, promotion, and training. It has developed procedures and guidelines for high-risk activities, such as employee performance appraisals and interviews, and has trained its employees on its Non-Discrimination policies. The Entity, at Group level, has undertaken a gender pay gap assessment, which determined a 3.7% Adjusted Pay Gap, and is working towards closing the gap. Further information is available at: <a href="https://www.hindalco.com/Upload/PDF/gender-pay-gap-assessment-summary-report-2025.pdf">https://www.hindalco.com/Upload/PDF/gender-pay-gap-assessment-summary-report-2025.pdf</a></p>
10.5 Communication and engagement	Conformance	The Entity has an established practice of engaging and communicating with its employees on an ongoing basis through various channels, including quarterly town hall meetings. Employee engagement and communications activities are planned annually as part of the 'Organisational Effectiveness' calendar. The organisation effectiveness dashboard tracks and monitors various employees' engagement and welfare programs.
10.6a-g Violence and Harassment	Conformance	The Entity is committed to preventing Violence and Harassment, as set out in its Human Rights Policy and Code of Conduct.

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		<p>The Human Rights Policy is available at:  <a href="https://www.hindalco.com/Upload/PDF/human-right-Policy.pdf">https://www.hindalco.com/Upload/PDF/human-right-Policy.pdf</a></p> <p>The Code of Conduct is available at:  <a href="https://www.hindalco.com/Upload/PDF/hindalco-code-conduct.pdf">https://www.hindalco.com/Upload/PDF/hindalco-code-conduct.pdf</a></p> <p>The Entity considers Violence and Harassment aspects during the workplace health and safety risk assessment, and Workers are trained to report any concerns related to Violence and Harassment if they occur. Statutory provisions are in place for 'Prevention of Sexual Harassment' (POSH) in accordance with <i>The Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013</i>. Periodic training displays and annual reporting to district authorities have been conducted by the Entity.</p>
10.7a-c Remuneration	Minor Non-Conformance	The Entity's remuneration payments are made in accordance with the national labour laws. The Entity pays wages that are equal to or greater than the legal minimum wage on a monthly basis through the banking system. However, a living wage assessment has not been conducted to ensure that wages paid for a normal working week meet at least the legal or industry minimum standard and/or are sufficient to meet Workers' basic needs.
10.8a-c Working Time	Minor Non-Conformance	The Entity operates 24 hours a day, seven days a week across three shifts, with a standard 48-hour working week for Workers/associates. Working hours are recorded electronically (biometric) for all employees, including contractors. A weekly rest day is provided after six consecutive working days. The Entity records and pays for minute-level Overtime. However, there are no formal documented working hours guidelines to align with the existing minute-level Overtime calculation and payment norms.
10.9a-b Informing Workers of Rights	Conformance	The Entity informs Workers of their rights through induction training, periodic refresher training, displays, and employee engagement activities.
<b>11. OCCUPATIONAL HEALTH AND SAFETY</b>		
11.1a Occupational Health and Safety (OH&S) Management System	Conformance	The Entity has implemented an ISO 45001:2018 certified Occupational Health and Safety (OH&S) Management System. The OH&S Management System is well implemented, safety signage is in place, and personal protective equipment is used. There is one statutory Safety Officer deployed at the mines, and over 200 first aid trained personnel. There is a functional medical centre at the mine site with required facilities including pharmacy, ambulance, and first aid, and manned by qualified doctors and nurses. Hazard identification is conducted and periodically reviewed for major activities in consultation with Workers. Work instructions are developed and displayed in Workers' languages for activities such as dumper operation, blasting, excavation, drill machine, mine traffic rules, and loader operation.
11.1b-e Occupational Health and Safety (OH&S) Management System - Reviews and disclosure	Minor Non-Conformance	The Entity has established safety Key Performance Indicators (KPIs) that include leading and lagging indicators, which are monitored and reviewed monthly with senior management. The KPIs include zero Fatality rate, Lost Time Injury Frequency Rate (LTIFR) less than 0.25, Lost Time Injury Severity Rate (LTISR) less than 75, Total Recordable Injury Frequency Rate (TRIFR) less than 0.70, and other behaviour-based

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		safety observations. The Entity, however, has neither conducted nor disclosed Health and Safety performance benchmarking data.
11.2 Employee engagement on Health and Safety	Conformance	The Entity has established a Safety Committee which works closely with the Human Resources department to engage employees on Health and Safety related topics. Employees are engaged through monthly safety awareness themes. The OH&S awareness activities are planned to be engaging and interactive. The Safety Committee comprises management and Workers, including contractors. The agenda addresses site-specific safety performance, as well as Director General Mines Safety (DGMS) safety alerts that occurred at other mine sites used as a learning tool to prevent similar accidents from occurring at the Entity and improve overall safety culture.

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#### DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	19 May 2026	Initial Certification Audit – Full Certification