



Supplier Standards



Alcoa Corporation (“Alcoa”) is recognized as one of the world’s most ethical and sustainable companies. As a part of Alcoa’s continuing commitment to sustainable and ethical business practices, we are dedicated to working in collaboration with our suppliers, contractors and others with whom we do business (collectively “Suppliers”) to ensure consistency with these principles.

Although we recognize that there are different legal and cultural environments in which our Suppliers operate, we believe that these principles are common throughout the world. We have developed these Supplier Standards embodying those principles to provide clarity to our Suppliers regarding our expectations in this area.

Alcoa has developed its Supplier Standards based on three key Values:



OUR VALUES

Act with Integrity

Operate with Excellence

Care for People

We expect and trust that our Suppliers (and any of their sub-contractors) will honor these values and the corresponding practices that form Alcoa’s Supplier Standards.

These Values are the foundation for Alcoa’s Code of Conduct that can be accessed at: <https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct>

Cover photo: Wagerup Refinery, Australia

ACT WITH INTEGRITY

Our Suppliers conduct their business with ethics and integrity.

This includes:

- Respecting local, national and international laws, including applicable norms, laws, rules and regulations such as those related to the environment, work relationships, human rights, health and safety, and antitrust.
- Conducting business in compliance with the United States Foreign Corrupt Practices Act and all other applicable anti-corruption conventions, laws and regulations.
- Ensuring that quality materials and services are supplied on time and to Alcoa's specifications.
- Ensuring that cybersecurity, data security, and personal data is managed in line with industry best practice.
- Gathering competitive information by legal means and not sharing confidential information belonging to others without written permission.
- Acting ethically and responsibly in the conducting of business including, but not limited to, compliance with anti-corruption and anti-bribery laws, rules and regulations.
- Conducting business with a commitment to maximum transparency consistent with good governance and commercial confidentiality.
- Understanding and respecting the obligations of Alcoa and its employees to comply with Alcoa's Anti-Corruption Policy including the Hospitality and Gifts provision as published at <https://www.alcoa.com/global/en/who-we-are/ethics-compliance/anti-corruption>
- Providing transparency into the supply chain, from original source to Alcoa, in accordance with applicable laws and regulations, including the U.S. Securities and Exchange Commission's conflict minerals rule implementing the Dodd-Frank Act.
- Representing products, services, and prices truthfully and accurately.
- Upholding fair business standards in advertising, sales, and competition.



Alumar, Brazil

OPERATE WITH EXCELLENCE

Our Suppliers are committed to continual improvement and excellence and do not compromise ethics, safety, or legal obligations for the sake of profitability.

This includes:

- Maintaining a strong financial control environment and publicly disclosing, where appropriate, financial results.
- Promptly communicating to Alcoa any internal or value chain nonconformity or other developments that may impact the Supplier's ability to provide conforming, on-time performance.
- Abiding by the standards of the United States Sarbanes-Oxley Act (SOX) or applicable equivalent for financial reporting.
- Respecting executed agreements and contracts.
- Preparing financial statements in accordance with generally accepted accounting principles.
- Promptly communicating issues to Alcoa that may impact its performance, investigating to root-cause and implementing all necessary corrective actions.
- Keeping proper and accurate records of all business operations and transactions in accordance with applicable retention policies and statute of limitations.
- Making relevant information available upon request to those who seek to verify compliance.



Aluminum Rod, Fjaroaal, Iceland

OPERATE WITH EXCELLENCE

Our Suppliers operate in an environmentally responsible and efficient manner to minimize adverse impacts on the environment.

This includes:

- Complying with all applicable governmental laws, regulations and rules related to the environment, including the handling of waste from operations.
- Choosing energy-efficient processes and products where available.
- Implementing available systems to reduce or eliminate waste of all types, including conservation measures and recycling, re-using, or substituting materials.
- Encouraging community engagement to help foster social and economic development and to contribute to the sustainability of the communities in which they operate.
- Committing to operating a safe and healthy work environment for all employees, including a drug free and weapon free workplace.
- Actively participating in the management of environmental risks, identifying hazards, evaluating risks posed by them, and implementing solutions.

Our Suppliers collaborate with us to create more efficient processes, technologies, ideas, and products.

This includes:

- Fostering innovations that improve safety, productivity and/or advance sustainability.
- Working together to achieve our environmental, diversity and sustainability goals while achieving greater efficiencies.



Aluminum Ingots, Portland Australia

CARE FOR PEOPLE

Our Suppliers uphold the human rights of all individuals associated with their operations, including local communities and workers.

This includes:

- Under no circumstances, participating in human trafficking, the use of child labor or using forced labor such as prison labor, forcibly indentured labor, bonded labor, slavery, or servitude.
- Respecting human dignity and the rights of workers, individuals and the communities associated with their operations.
- Having an Equal Opportunity Employment statement or Code of Conduct that does not allow discrimination on the basis of race, color, religion, national origin, disability, sexual orientation, gender identity/expression, genetic, veteran status, sex or age (within statutory limits).
- Providing a safe work environment in accordance with applicable laws and Alcoa's Environment, Health and Safety Policy.
- Recognize and respect the diversity, cultures, customs and values of the Indigenous and traditional people connected to the land in which you operate.
- Recognizing and respecting the freedom of employees to join, or refrain from joining, legally authorized associations or organizations.
- Ensuring that employee compensation meets or exceeds the legal minimum standard and fully complies with all applicable laws.
- Prohibiting any kind of corporal punishment, harassment, discrimination or abuse of applicants or workers.
- Work with Alcoa to create workplaces that reflect the diversity of the communities in which you operate.



Graduates, Willowdale Australia

Supplier Sustainability Program

The Supplier Sustainability Program was developed to support the implementation of the Alcoa values into our Supply Chain; provide due diligence and to work with our Suppliers to advance sustainability.

The Program provides the framework to work with our Suppliers to improve and progress towards Alcoa's Strategic Long-term Goals addressing:

1. Climate Protection;
2. Water-use efficiency;
3. Reducing Waste;
4. Biodiversity and Mine Rehabilitation;
5. Safety and Health;
6. Inclusion and Diversity; and
7. Shared Value Creation.

More about Alcoa's Strategic Long-term Goals can be found in our Sustainability [webpage](#).

Supplier Sustainability Program framework:



Assessment of our supply chain and supply chain source materials against the ESG risks of Governance, Human Rights, Modern Slavery, Social and Environmental Impact. Suppliers are scored and monitored based on publicly available data, country risk, commodity risk and Supplier specific questionnaires.

Audit to verify implementation, provide due diligence, and increase transparency; Alcoa seeks to ensure our supply chain is delivering on its commitments by conducting thorough inquiries and in-field verifications.

Working with our supply chain and Suppliers through improvement plans, setting key performance objectives and developing strategic partnerships to manage risk and create long-term value.

To assist in monitoring and to support the Supplier Sustainability Program, Alcoa may ask key Suppliers to complete and maintain an internationally recognized third-party assessment of its corporate structure, business and operations that includes, at a minimum, general due diligence, compliance and sustainability data. Suppliers subject to this requirement will be informed of the requirement.

Alcoa encourages all Suppliers to participate in the Supplier Sustainability Program in an open and transparent manner, embracing the opportunity to improve performance and join Alcoa to *Advance Sustainably*.

Contact Us - Reporting Concerns

The Alcoa Value of Integrity guides our business above all. Our company-wide Ethics and Compliance Program is the tool we use to make sure we keep that promise every day, in every decision we make. As our Suppliers we trust and expect that you will do the same.

To report an activity or concern (including any suspected violation of law or these standards), the Alcoa Integrity Line is a confidential service, available for all employees, Suppliers and the general public, 24 hours a day, 7 days a week in several languages.

You can access the Integrity Line from the Alcoa.com [Ethics and Compliance](#) page.

For other concerns or for general questions regarding Alcoa's Supplier Standards, please contact SupplierSustainability@alcoa.com

Contact Us – General Inquires

To contact us or to find out more information about Alcoa visit the [Contact Us](#) page on Alcoa.com.

For general questions regarding Alcoa's Supplier Standards, please email SupplierSustainability@alcoa.com.



Bright Alumina, Kwinana Australia