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# ASI CERTIFICATION PERFORMANCE STANDARD

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PRESENTED TO

# RIO TINTO

CERTIFICATE  
NUMBER

2

ASI  
STANDARD

PERFORMANCE  
STANDARD  
(V2 2017)

CERTIFICATION  
LEVEL

FULL  
CERTIFICATION

ASI  
ACCREDITED  
AUDITOR

BNQ

DATE OF ISSUE

9 APRIL 2018

DATE OF EXPIRY

8 APRIL 2021

CERTIFIED SINCE

9 APRIL 2018

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'John' or similar, written over 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](http://www.aluminium-stewardship.org)**

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CERTIFICATION SCOPE

Gove Bauxite Mine and related port facilities and  
power station (Gove, Northern Territory, Australia).

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# SUMMARY AUDIT REPORT PERFORMANCE STANDARD

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## OVERVIEW

MEMBER NAME	Rio Tinto
ENTITY NAME	Rio Tinto Aluminium (RTA) Gove Bauxite Mine, Australia
CERTIFICATION SCOPE	<ul style="list-style-type: none"><li>Gove Bauxite Mine including its port facilities and power station (Gove Northern Territory, Australia)</li></ul>
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>Bauxite mining</li></ul>
ASI STANDARD	<ul style="list-style-type: none"><li>Performance Standard V2</li></ul>
AUDIT TYPE	<ul style="list-style-type: none"><li>Certification Audit</li></ul>
AUDIT FIRM	BNQ
AUDIT DATE	6-16 February 2018
AUDIT REPORT SUBMISSION	3 April 2018
AUDIT SCOPE	<p>Facilities included in the audit scope:</p> <ul style="list-style-type: none"><li>Gove Bauxite Mine</li><li>Gove Mine Port facilities</li><li>Gove Mine Power Station</li></ul> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"><li>Bauxite mining</li></ul> <p>All applicable 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>

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AUDIT  
METHODOLOGY  
DECLARATION

The Auditors confirm that:

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

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CERTIFICATION  
PERIOD

6 April 2018 – 5 April 2021

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NEXT AUDIT  
TYPE

Surveillance Audit

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NEXT AUDIT  
DATE

5 October 2019

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CERTIFICATION  
NUMBER

2

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## SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
PRINCIPLE 1 BUSINESS INTEGRITY		
1.1 Legal Compliance	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the legal compliance requirements. The Entity has implemented processes that allow adequate awareness of legal requirements and to ensure compliance with applicable laws and regulations.
1.2 Anti-Corruption	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the anti-corruption requirements. The Entity has established adequate anti-corruption measures which are approved by the highest management level and implemented at all relevant corporate levels.
1.3 Code of Conduct	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the code of conduct requirements. The Entity has implemented a written organisational code of conduct that includes relevant principles for environmental, social and governance performance.
PRINCIPLE 2 POLICY & MANAGEMENT		
2.1a Environmental, Social, and Governance Policy (implement and maintain)	Conformance	<p>The Entity has developed and implemented systems, procedures and processes that conform to the environmental, social, and governance policies requirements.</p> <p>The Entity has policies that include statements of principles and intention which support achievement of the requirements in the ASI standard.</p>
2.1b Environmental, Social, and Governance Policy (senior management)	Conformance	<p>The Entity has endorsement and support from senior management in order to provide sufficient resources for regular review of policies.</p> <p>Senior management endorses, support through provision of resources and regularly review the Policies.</p>
2.1c Environmental, Social, and Governance Policy (communication)	Conformance	<p>The Entity communicates policies internally and externally which conform to the requirement of this criterion.</p> <p>The Entity's policies are available to external and internal stakeholders to raise awareness</p>

CRITERION	RATING	COMMENT
		of the company's commitments.
2.2 Leadership	Conformance	<p>Nominated a person at senior management level and ensured sufficient human and material resources to support the implementation of the Standard.</p> <p>A Senior Manager is appointed as ASI Manager for Gove's facilities.</p>
2.3a Environmental and Social Management Systems (environmental)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the management systems requirements.</p> <p>The Entity is ISO 14001 certified.</p>
2.3b Environmental and Social Management Systems (social)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the social management systems requirements.</p> <p>The Workplace Internet Portal provides information related to this criterion. The Health, Safety, Environment and Communities (HSEC) Standards are implemented and meets these requirements.</p>
2.4 Responsible Sourcing	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the responsible sourcing requirements.</p> <p>The Entity has implemented a Supplier Code of Conduct that meet the criteria.</p>
2.5 Impact Assessments	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the impact assessments requirements.</p> <p>The implemented impact assessment processes are supported by multiple tools and resources and meets Australian laws.</p>
2.6 Emergency Response Plan	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the emergency response plan requirements.</p> <p>The Entity is currently certified to ISO 14001. An emergency response plan (ERP) is in place as part of the Business Resilience Management Plan (BRMP), included in the global Business Recovery and Resilience</p>

CRITERION	RATING	COMMENT
		Plan (BRRP). Multiple scenarios are covered by BRMP, such as Weather Disaster. Contacts for all Community stakeholders representative are included in the BRMP.
2.7 Mergers and Acquisitions	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the mergers and acquisitions requirements.</p> <p>The Emergency Response Plans (ERPs) were developed with a consultative approach including relevant stakeholders.</p>
2.8 Closure, Decommissioning and Divestment	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the closure, decommissioning and divestment requirements.</p> <p>The Entity's processes were implemented for the closure, demolition, environmental rehabilitation and compensation project. Critical stakeholders, such as Traditional Owners, are highly involved in the determination of acceptable site closure.</p>
PRINCIPLE 3 TRANSPARENCY		
3.1 Sustainability Reporting	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the sustainability reporting requirements.</p> <p>The Entity publicly discloses its governance approach and its ES+economic impacts. The annual RT Global Sustainability Report includes statistics for the site of Gove, through the "Safety and environment work book form system".</p>
3.2 Non-compliance and liabilities	Conformance	<p>The Entity provides information on non-compliances and liabilities. The Entity publicly discloses its governance approach and its ES+economic impacts. The annual RT Global Sustainability Report includes statistics for the site of Gove, through the "Safety and environment work book form system".</p>
3.3a Payments to governments (legal and contractual)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these anti-corruption requirements.</p> <p>This requirement is covered, through Transparency and Anti-corruption policies' deployment.</p>

CRITERION	RATING	COMMENT
3.3b Payments to governments (disclosure – bauxite mining)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these anti-corruption requirements.</p> <p>All tax payments are consolidated and reported at a Group level, not at individual entity level. Gove Operations, disclose their payments to Governments, through consolidated data under the Northern Territory Government. The Annual Taxes Paid report is available on a public website.</p>
3.4 Stakeholder complaints, grievances and requests for information	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the stakeholder complaints, grievances and requests for information requirements.</p> <p>The Entity's Management System tracks requests and complaints from stakeholders and has an appropriate resolution mechanism.</p>
PRINCIPLE 4 MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment (life cycle impacts)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these life cycle assessment (LCA) requirements.</p> <p>The Entity evaluates life cycle impacts of its major product line.</p>
4.1b Environmental Life Cycle Assessment (cradle to gate)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these LCA information requirements.</p> <p>The Entity's LCA data are available upon request.</p>
4.1c Environmental Life Cycle Assessment (public communication)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these LCA communication requirements.</p> <p>The Entity's LCA data are available upon request.</p>
4.2 Product design	Not Applicable	This criterion is not applicable to the Entity's certification scope.
4.3a Aluminium Process Scrap (targets)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
4.3b Aluminium Process Scrap (alloy separation)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
4.4a Collection and recycling of	Not Applicable	This criterion is not applicable to the Entity's

CRITERION	RATING	COMMENT
products at end-of-life (strategy)		certification scope.
4.4b Collection and recycling of products at end-of-life (engagement)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
PRINCIPLE 5 GREENHOUSE GAS EMISSIONS		
5.1 Disclosure of GHG emissions and energy use	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these requirements for Disclosure of GHG emissions and energy use.</p> <p>GHG emissions and energy uses are disclosed in the annual sustainability report and on public websites.</p>
5.2 GHG emissions reductions	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these requirements for GHG emissions reductions.</p> <p>GHG emissions targets are disclosed true different reduction projects.</p>
5.3a Aluminium Smelting (management system)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
5.3b Aluminium Smelting (up to and including 2020)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
5.3c Aluminium Smelting (after 2020)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
PRINCIPLE 6 EMISSIONS, EFFLUENTS AND WASTE		
6.1 Emissions to Air	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the emissions to air requirements.</p> <p>Air Emissions are disclosed true National Air Emission Inventory (amongst others).</p>
6.2 Discharges to Water	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the discharges to water requirements.</p> <p>The Entity is ISO 14001 certified. Discharges to water are taken in charge by the Mine Management Plan. Plans/projects are in place to minimise adverse impacts of the activities on the water.</p>
6.3a Assessment and Management of Spills and Leakage (assessment)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to these requirements.



CRITERION	RATING	COMMENT
		The Entity has an exhaustive spill and leakage action plan in place.
6.3b Assessment and Management of Spills and Leakage (management)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these requirements.</p> <p>The Entity has an exhaustive spill and leakage action plan in place.</p>
6.4a Reporting of Spills (immediate disclosure)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these spills reporting requirements.</p> <p>The Entity reports spills.</p>
6.4b Reporting of Spills (regular reporting)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these spills reporting requirements.</p> <p>The Entity publicly discloses Impact Assessments of the Spills and remediation actions taken, and reports publicly on an annual basis.</p>
6.5a Waste management and reporting (strategy)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these waste management and reporting requirements.</p> <p>The Entity has a waste management action plan. The Entity is ISO 14001 Certified.</p>
6.5b Waste management and reporting (disclosure)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these waste management and reporting requirements.</p> <p>There is a "partial and dedicated" disclosure of the quantity of Hazardous and Non-Hazardous Waste generated through the mandatory report to the National Authorities and to the Local council in the frame of the "Traditional Owners Agreement". There is also a disclosure of "pooled" results in the RT Sustainability Report.</p>
6.6a Bauxite Residue (storage construction)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.6b Bauxite Residue (integrity checks and controls)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.6c Bauxite Residue (water discharge)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.6d Bauxite Residue (marine and aquatic environments)	Not Applicable	This criterion is not applicable to the Entity's certification scope.

CRITERION	RATING	COMMENT
6.6e Bauxite Residue (start of the art technologies)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.6f Bauxite Residue (remediation)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.7a Spent Pot Lining (SPL) (storage and management)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.7b Spent Pot Lining (SPL) (recovery and recycling)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.7c Spent Pot Lining (SPL) (Untreated SPL)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.7d Spent Pot Lining (SPL) (review of alternatives)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.7e Spent Pot Lining (SPL) (marine and aquatic environments)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.8a Dross (recovery)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.8b Dross (recycling)	Not Applicable	This criterion is not applicable to the Entity's certification scope.
6.8c Dross (review of alternatives)	Not Applicable	This criterion is not applicable to the Entity's certification scope.

#### PRINCIPLE 7 WATER STEWARDSHIP

7.1a Water assessment (mapping)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these water assessment requirements.</p> <p>The Entity tracks water consumption annually.</p>
7.1b Water assessment (risk assessment)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these water assessment requirements.</p> <p>Water related risks are assessed and embedded in the global Risk register of the HSEC Management system. Gove Mine Management Plan includes water risks management.</p>
7.2a Water management (management plans)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these water management requirements.</p> <p>A Water Management Plan is in place that address water-related risks.</p>

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7.2b Water management (monitoring)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the monitoring of effectiveness of plans requirements.</p> <p>The Entity monitors periodically the effectiveness of water management plans.</p>
7.3 Disclosure of water usage and risks	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these disclosure of water usage and risks requirements.</p> <p>All water procurement and management for the area, including town, indigenous communities and mine is under the responsibility of RT Gove. By this "Authorisation to extract" delivered by Government Authorities, RT Gove has to disclose and annually reports water usage and risks.</p>
PRINCIPLE 8 BIODIVERSITY		
8.1 Biodiversity assessment	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the biodiversity assessment requirements.</p> <p>The Entity completed a broad and detailed Risk Assessment regarding the environmental impacts of its activities. The Risk Assessment covers all aspects of biodiversity of activities within the area of influence of the Organisation.</p>
8.2a Biodiversity management (biodiversity action plans)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these Biodiversity management requirements.</p> <p>The Entity has implemented an exhaustive Action plan to address biodiversity risks. Several studies and analyses are performed year after year by specialized external firms to follow the results of actions taken on a long time line of many decades.</p>
8.2b Biodiversity management (consultation and mitigation hierarchy)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these Biodiversity management requirements.</p> <p>Stakeholders were involved in the Biodiversity action plan.</p>
8.2c Biodiversity management (reporting)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these Biodiversity management requirements.</p>

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		Entity's Biodiversity management outcomes are shared. Follow-up of action plans and results obtained are communicated through the Local Council and public presentations. Results of the biodiversity achievement outcome are also communicated through the RT Sustainability Report.
8.3 Alien Species	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the alien species requirements. There is no alien species used for rehabilitation. All seeds and small plants from local nursery are local indigenous species. The only one alien species managed is the Crazy Yellow ant. This insect has been in the region since World War II. A specific management plan for this species of ant is in place and many surveys are done to control the proliferation.
8.4a Commitment to "No Go" in World Heritage properties (exploration and new mines)	Conformance	There is no heritage area near RT Gove Operations site. Closest one in Australia is approximately at 700 km from Gove.
8.4b Commitment to "No Go" in World Heritage properties (existing operations)	Conformance	There is no heritage area near RT Gove Operations site. Closest one in Australia is approximately at 700 km from Gove.
8.5a Mine rehabilitation (best available techniques)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the mine rehabilitation requirements. There is an efficient and ongoing rehabilitation program for Gove bauxite extracting sites. Each phase of global rehabilitation program is well documented. Only local seeds and trees are used to rehabilitate sites.
8.5b Mine rehabilitation (financial provisions)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the mine rehabilitation requirements.  Financial Provisions are in place.
PRINCIPLE 9 HUMAN RIGHTS		
9.1a Human Rights Due Diligence (policy)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to these Human Rights Due Diligence requirements.  Policies that include commitments to respect human rights are available, integrated into activities and implemented. The due diligence process is implemented.
9.1b Human Rights Due Diligence	Conformance	The Entity has developed and implemented policies, systems, procedures and processes

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(process)		<p>that conform to these Human Rights Due Diligence requirements.</p> <p>A human rights due diligence process is set out in the Policies and is based on risk management. The due diligence process is implemented.</p>
9.1c Human Rights Due Diligence (remediation)	Conformance	<p>Several action plans are in place to address human rights and cooperate with locals to improve quality of life and access to public services. Many examples of communication and opportunities are available to demonstrate that the risks for human rights are minimized, if not erased. The presence of Gove mine allows the local communities to have access to multiple services (hospital, sports, social, cultural, etc.).</p>
9.2 Women's Rights	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the women's rights requirements.</p> <p>RT Corporate put in place many policies, tools and resources to ensure women's rights are respected everywhere and everytime. RT Gove is actively involved in programs and resources for local women.</p>
9.3 Indigenous Peoples	Conformance	<p>RT Gove is committed to respect the spirit of UN Convention for the right of aboriginal peoples. Through many documents, deals, forum and implications, RT Gove demonstrates the respect for Indigenous Peoples that are present in the area of the operations. RT Gove signed in 2012 the "Traditional Owners Agreement" with the 3 indigenous communities present in the lease area where RT Gove has the authorisation to operate. Gove Traditional Owners Forum is the formal platform for engaging with Traditional Owners.</p>
9.4 Free, Prior, and Informed Consent (FPIC)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the Free Prior and Informed Consent requirements.</p> <p>FPIC has been implemented through documented Communities and Social Performance standards (CSP). Examples of application of FPIC is available (i.e. Refinery closed in 2009).</p>
9.5 Cultural and sacred heritage	Conformance	<p>RT Gove has signed with local indigenous communities the "Traditional Owners Agreement" that details rights and obligations for RT Gove on the Indigenous territory on which the mine is located since '70s. RT</p>

CRITERION	RATING	COMMENT
		<p>Gove is committed to protect Cultural and sacred heritage in the area of the mine, the refinery and the port. All identified cultural or sacred sites in the area of Gove operations are identified on a GIS map. The formal identification of particular sites is made in collaboration with Indigenous communities.</p>
9.6a Resettlements (avoid or minimise)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these Resettlements requirements.</p> <p>A procedure is in place to correctly plan and realize resettlement. The procedure has never been used at Gove because there was no resettlement for many years. There is no planned project that would require the implementation of the Resettlement procedure.</p>
9.6b Resettlements (where unavoidable)	Not applicable	<p>There is no actual, ongoing, planned project that would require the implementation of the Resettlement procedure, this element does not apply.</p>
9.7a Local Communities (rights and interests)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these Local Communities requirements.</p> <p>Through many documents, deals, forum and implication, RT Gove demonstrates the respect for Indigenous Peoples that are present in the area of the operations.</p>
9.7b Local Communities (impacts)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these Local Communities requirements.</p> <p>Through many documents, deals, forum and implication, RT Gove demonstrates the respect for Indigenous Peoples that are present in the area of the operations.</p>
9.7c Local Communities (livelihoods)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these Local Communities requirements.</p> <p>Gove Traditional Owners Forum is the formal platform for engaging with Traditional Owners, including discussing local communities opportunities to support livelihood.</p>
9.8 Conflict-Affected and High-Risk Areas	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the conflict-affected and high-</p>

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		<p>risk areas requirements.</p> <p>Gove Operations are classified as low-risk operation. The risks are properly addressed.</p>
9.9 Security practice	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the security practice requirements.</p> <p>Proper Emergency Response Plans and drills are implemented. All personnel involved in security have completed the Rio Tinto Voluntary Principles on Security and Human Rights (VPSHR) Training.</p>
PRINCIPLE 10 LABOUR RIGHTS		
10.1a Freedom of Association and Right to Collective Bargaining (freedom of association)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these Freedom of Association and Right to Collective Bargaining requirements.</p> <p>Workers have the freedom of association without interference from the Entity.</p>
10.1b Freedom of Association and Right to Collective Bargaining (collective bargaining)	Conformance	<p>The Enterprise Bargaining Agreement defines the mechanisms for consultation, communication and dispute resolution. The conditions of employment, such as wages, hours of work, conditions, grievance procedures, and the rights and responsibilities of each party are detailed in the Agreement. Regular meeting between all parties are scheduled and held to ensure good collaboration and faith.</p>
10.1c Freedom of Association and Right to Collective Bargaining (alternative means)	Conformance	<p>Rights of association and workers are supported by the legislation.</p>
10.2a Child Labour (minimum age)	Conformance	<p>Rio Tinto Human Rights Policy rejects any form of slavery, forced or child labour. Staff and contractors are trained in accordance the Voluntary Principles on Security and Human Rights. The evidence shows that no children (&lt;17 years old) were hired by Gove Operations.</p>
10.2b Child Labour (hazardous)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these Child Labour requirements. Under the Employment policy, Rio Tinto is committed to not employ forced, bonded or child labour. Rio Tinto's approach to human rights is based upon the Universal Declaration of Human Rights and the UN Guiding Principles on Business and Human Rights. Hazardous Child Labour or any form</p>



CRITERION	RATING	COMMENT
		of Child Labour is banned.
10.2c Child Labour (worst forms)	Conformance	Hazardous Child Labour or any form of Child Labour is banned within Rio Tinto. Policies, procedures, training, awareness and rigorous practices are deployed to ensure that Gove Operations will not be subject to any form of Child Labour.
10.3a Forced Labour (human trafficking)	Conformance	The evidence show that Gove Operations did not support any form of human trafficking, related or not related to forced labor. Policies and procedures are implemented and followed to prevent these situations. This prohibition is also supported through several enforced regulations.
10.3b Forced Labour (deposits, fees, advances)	Conformance	The evidence shows that Gove Operations did not support any form of deposit, recruitment fees through employment or recruitment, related or not related to forced labor. Policies and procedures are implemented and followed to prevent these situations. These prohibitions are also supported through several enforced regulations.
10.3c Forced Labour (migrant workers)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes to avoid any forced Labour that are in line with the requirements.</p> <p>The evidence shows that Gove Operations did not support any form of deposit or guarantee payments from migrant workers, related or not related to forced labor. Policies and procedures are implemented and followed to prevent these situations. These prohibitions are also supported through several enforced regulations.</p>
10.3d Forced Labour (debt bondage)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes to avoid any forced Labour that are in line with the requirements.</p> <p>The evidence shows that workers are not held in debt bondage to pay off a debt, related or not related to forced labor. Policies and procedures are implemented and followed to prevent these situations. These prohibitions are also supported through several enforced regulations.</p>
10.3e Forced Labour (freedom of movement)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes to avoid any forced Labour that are in line with the requirements.</p> <p>The evidence show that workers have</p>



CRITERION	RATING	COMMENT
		<p>freedom of movement in the workplace or on the site, except for safety purposes. Policies and procedures are implemented and followed to respect freedom of movement.</p>
<p>10.3f Forced Labour (retention of identity papers, permits, certificates)</p>	<p>Conformance</p>	<p>The Entity has developed and implemented policies, systems, procedures and processes to avoid any forced Labour that are in line with the requirements.</p> <p>The evidence shows that Gove Operations do not keep original copies of workers' IDs, work permits, travel documents or training certificates. A third party company hired by Gove, keeps only photocopies of relevant documents for administration purpose.</p>
<p>10.3g Forced Labour (freedom to terminate employment)</p>	<p>Conformance</p>	<p>The Entity has developed and implemented policies, systems, procedures and processes to avoid any forced Labour that are in line with the requirements.</p> <p>Workers can terminate their employment at any time without penalty, given a notice of usually one month. The mechanism of termination is defined in the Enterprise Bargaining Agreement.</p>
<p>10.4 Non-Discrimination</p>	<p>Conformance</p>	<p>Rio Tinto does not tolerate any form of discrimination, sexual harassment, bullying, vilification or victimisation. Any employee breaching this policy may be subject to disciplinary action up to the termination of employment.</p> <p>Staff is trained to monitor the workplace for ensuring appropriate conduct and standards are upheld at all times in accordance with the policy. Gove Operations support the values of workforce diversity and do not discriminate unfairly on grounds of age, race, ethnic or national origin, language, gender, sexual orientation, political beliefs, religion or disability. Gove Operations have adopted the Flexible Working Arrangements Policy to make flexible working arrangements available for employees.</p>
<p>10.5 Communication and engagement</p>	<p>Conformance</p>	<p>Gove Operations' Enterprise Bargaining Agreement contains consultation obligations which the business must meet in or to effect change.</p> <p>Gove Operations also employs Rio Tinto's formal mechanisms to avoid recriminations against whistleblowers, and Fair Treatment policies allowing employees grievances to be heard without reprisal. Several means to communicate, included with the Union Agreement and syndicate meeting are in place. Globally, RT Gove demonstrates an open relationship and communication with</p>

CRITERION	RATING	COMMENT
		the workers.
10.6 Disciplinary practices	Conformance	Gove Operations abides by Rio Tinto's policies in regards to harassment of employees. This includes the legal requirements relating to the investigation of incidents in the workplace and associated consequence management. A confidential line to a dedicated respondent at RT Corporate level is in place for whom may feel discriminated or want to report an event related to disciplinary practice of harassment.
10.7a Remuneration (living wage)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the Remuneration requirements.  Several policies, Processes and Procedures support the wages and benefits of workers.
10.7b Remuneration (method of payment)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to these Remuneration requirements.  Policies and laws are in place to avoid that payments are delayed, deferred or withheld.
10.8 Working Time	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the working time requirements.  Applicable laws and collective agreements provide the framework to ensure that workers are not forced to work beyond the number of hours allowed.
PRINCIPLE 11 OCCUPATIONAL HEALTH AND SAFETY		
11.1a Occupational Health and Safety (OH&S) Policy (policy)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to these Occupational Health and Safety (OH&S) Policy requirements.  The Entity has a written and implemented health and safety policy.
11.1b Occupational Health and Safety (OH&S) Policy (workers and visitors)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to these Occupational Health and Safety (OH&S) Policy requirements.  The Entity's policy is easily available to workers.
11.1c Occupational Health and Safety (OH&S) Policy (applicable law and	Conformance	The Entity has developed and implemented policies, systems, procedures and processes

CRITERION	RATING	COMMENT
standards)		<p>that conform to these Occupational Health and Safety (OH&amp;S) Policy requirements.</p> <p>The Entity has a commitment to the prevention of accidents, compliance with legal requirements and beyond, achieving world class performance, creating a strong safety culture.</p>
11.1d Occupational Health and Safety (OH&S) Policy (right to stop unsafe work)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these Occupational Health and Safety (OH&amp;S) Policy requirements.</p> <p>The Entity's Health, Safety, Environment and Community (HSEC) Policy refers to the right of workers to understand the hazards and the safe practices for their work, and also includes the duty to refuse or stop any unsafe work.</p>
11.2 OH&S Management System	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the OH&amp;S management system requirements.</p> <p>The Entity's OH&amp;S management system is well implemented.</p>
11.3 Employee engagement on health and safety	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the employee engagement on health and safety requirements.</p> <p>Joint Health &amp; Safety committees are in place at each site to improve the OH&amp;S performance and address issues, including worker's concerns and suggestions.</p>
11.4 OH&S performance	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the OH&amp;S performance requirements.</p> <p>The Entity's OH&amp;S performance indicators are continuously tracked continuously and reported on a monthly basis for benchmarking purposes.</p>