

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

RIO TINTO

CERTIFICATE
NUMBER

4

ASI
STANDARD

CHAIN OF CUSTODY
(V1 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI
ACCREDITED
AUDITOR

BNQ

DATE OF ISSUE

12 JULY 2018

DATE OF EXPIRY

11 JULY 2021

CERTIFIED SINCE

12 JULY 2018

AUTHORISED BY

A stylized, handwritten signature in white ink on a dark grey background.

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*Validity of this Certificate is subject to continued
conformance with the applicable ASI Standard
and can be verified at*
www.aluminium-stewardship.org

CERTIFICATION SCOPE

Gove Bauxite Mine including its port facilities and power station (Gove, Northern Territory, Australia), Weipa Bauxite Mines, related port facilities and power stations (Weipa, Queensland, Australia), Vaudreuil Alumina Refinery (Saguenay QC, Canada), Yarwun Alumina Refinery (Yarwun, QLD, Australia), Alma Smelter (Alma QC, Canada), AP-60 Smelter (Saguenay QC, Canada), Arvida Smelter (Saguenay QC, Canada), Bell Bay Aluminium Smelter (George Town, Tasmania, Australia), Grande-Baie Smelter (Saguenay QC, Canada), Laterriere Smelter (Saguenay QC, Canada), Kitimat Smelter (Kitimat BC), PLS (Specialised Casthouse) (Saguenay QC, Canada), IPSF (Port and Rails) (Saguenay QC, Canada), New Zealand Aluminium Smelter (Invercargill, New Zealand), Headquarters (Brisbane, QLD, Australia), and Headquarters (Saguenay and Montreal QC, Canada).

SUMMARY AUDIT REPORT

CHAIN OF CUSTODY

STANDARD

OVERVIEW

MEMBER NAME	Rio Tinto
ENTITY NAME	Rio Tinto
CERTIFICATION SCOPE	<ul style="list-style-type: none">• Gove Bauxite Mine including its port facilities and power station (Gove Northern Territory, Australia)• Weipa Bauxite Mines, related port facilities and power stations (Weipa, Queensland, Australia)• Vaudreuil Alumina Refinery (Saguenay QC, Canada)• Yarwun Alumina Refinery (Yarwun, QLD, Australia)• Alma Smelter (Alma QC, Canada)• AP-60 Smelter (Saguenay QC, Canada)• Arvida Smelter (Saguenay QC, Canada)• Bell Bay Aluminium Smelter (George Town, Tasmania, Australia)• Grande-Baie Smelter (Saguenay QC, Canada)• Laterriere Smelter (Saguenay QC, Canada)• Kitimat Smelter (Kitimat BC, Canada)• PLS Specialised Casthouse (Saguenay QC, Canada)• IPSF (Port and Rails) (Saguenay QC, Canada)• New Zealand Aluminium Smelter (Invercargill, New Zealand)• Headquarters (Montreal QC, Canada and Brisbane, QLD, Australia)
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">• Bauxite Mining• Alumina Refining• Aluminium Smelting• Casthouses• Aluminium Re-melting/Refining
ASI STANDARD	<ul style="list-style-type: none">• Chain of Custody Standard V1
AUDIT TYPE	<ul style="list-style-type: none">• Certification Audit (13 February 2018 . 29 April 2018)• First Scope Change Audit (4 . 12 July 2019)• Second Scope Change Audit (18 September 2019 . 28 October 2019)• Surveillance Audit (18 September 2019 . 26 February 2020)
AUDIT FIRM	BNQ

AUDIT DATE	<ul style="list-style-type: none"> • 13 February 2018 . 29 April 2018 (Certification Audit) • 4 . 12 July 2019 (First Scope Change Audit) • 18 September 2019 . 28 October 2019 (Second Scope Change Audit) • 18 September 2019 . 26 February 2020 (Surveillance Audit)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"> • 15 June 2018 (Certification Audit) • 10 September 2019 (First Scope Change Audit) • 22 November 2019 (Second Scope Change Audit) • 13 August 2020 (Surveillance Audit)
AUDIT SCOPE	<p><u>Initial Certification Audit</u></p> <ul style="list-style-type: none"> • Gove Bauxite Mine including its port facilities and power station (Gove Northern Territory, Australia) • Vaudreuil Alumina Refinery (Saguenay QC, Canada) • AP-60 Smelter (Saguenay QC, Canada) • Grande-Baie Smelter (Saguenay QC, Canada) • Laterriere Smelter (Saguenay QC, Canada) • PLS Specialised Casthouse (Saguenay QC, Canada) • IPSF (Port and Rails) (Saguenay QC, Canada) • Headquarters (Saguenay and Montreal QC, Canada) <p>All relevant supply chain activities, and criteria in the Chain of Custody Standard were included in the audit scope.</p> <p><u>First Scope Change Audit</u></p> <ul style="list-style-type: none"> • Kitimat Smelter (Kitimat BC, Canada) <p>All relevant supply chain activities, and criteria in the ASI Chain of Custody Standard were included in the audit scope.</p> <p><u>Second Scope Change Audit</u></p> <ul style="list-style-type: none"> • Weipa Bauxite Mines, related port facilities and power stations (Weipa, Queensland, Australia) • Yarwun Alumina Refinery (Yarwun, QLD, Australia) • Bell Bay Aluminium Smelter (George Town, Tasmania, Australia) • New Zealand Aluminium Smelter (Invercargill, New Zealand) • Headquarters (Brisbane, QLD, Australia) <p>All relevant supply chain activities, and criteria in the ASI Chain of Custody Standard were included in the audit scope.</p> <p><u>Surveillance Audit</u></p> <ul style="list-style-type: none"> • Gove Bauxite Mine including its port facilities and power station (Gove Northern Territory, Australia) • Vaudreuil Alumina Refinery (Saguenay QC, Canada) • AP-60 Smelter (Saguenay QC, Canada) • Arvida Smelter (Saguenay QC, Canada) • IPSF (Port and Rails) (Saguenay QC, Canada)

	<ul style="list-style-type: none"> • Headquarters (Brisbane, QLD, Australia) • Headquarters (Saguenay and Montreal QC, Canada) <p>All relevant supply chain activities, and criteria in the ASI Chain of Custody Standard were included in the audit scope.</p>
AUDIT OUTCOME	<ul style="list-style-type: none"> • Certification
AUDIT METHODOLOGY DECLARATION	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"> <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. <input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous. <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. <input checked="" type="checkbox"/> The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.
CERTIFICATION PERIOD	12 July 2018 . 11 July 2021
NEXT AUDIT TYPE	Re-Certification Audit
NEXT AUDIT DATE	11 July 2021
CERTIFICATION NUMBER	4

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	<p>The Entity is an ASI Member and is committed to comply with ASI's membership obligations and the ASI Complaints Mechanism.</p> <p>The evidence provided by the Entity shows that it is an ASI Production and Transformation Member and that it has committed to ASI's membership obligations.</p> <p>Rio Tinto appears in the Production and Transformation Member Class on the ASI website.</p>
1.2 Management system	Conformance	<p>The Entity has a Management System that addresses all applicable requirements of the CoC Standard, in all Facilities under its control related to the Management of the CoC Material.</p> <p>The evidence provided shows that there is an effective Management System in place. The evidence also shows that Rio Tinto Aluminium (RTA) provides adequate resources to maintain the effectiveness of its Management System. It has procedures in place to support the CoC Management System.</p> <p>As well, the Management System includes a robust material accounting system.</p>
1.3 Management system reviews	Conformance	<p>The Entity ensures that the Management System is periodically reviewed and updated.</p> <p>The evidence provided shows that the Management System in place is reviewed annually (RTA ASI CoC Procedure section 6.1.3).</p> <p>The ASI CoC Management System Procedure has been displayed, implemented and upgraded for improvement purposes.</p> <p>The Entity encourages its staff to provide suggestions for improvements.</p>
1.4 Management representative	Conformance	<p>The Entity has nominated a Management Representative having overall responsibility and authority for the Entity's conformance with all applicable requirements of the CoC Standard.</p> <p>Based on the evidence provided, the Entity has a designated responsible manager who oversees ASI conformance: The GM, Energy and Climate Change, Atlantic.</p>
1.5 Training	Conformance	<p>The Entity has established and implemented communications and training measures that</p>

CRITERION	RATING	COMMENT
		<p>make relevant personnel aware of and competent in their responsibilities under the CoC Standard.</p> <p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the communications and training measures requirement.</p> <p>The Entity has implemented processes that allow efficient communications. As well, relevant personnel are competent and adequately aware and trained.</p>
1.6 Record keeping	Conformance	<p>The Entity maintains up-to-date records (Management System) covering all applicable requirements of the CoC Standard.</p> <p>The Entity has adequate record management practices. Their procedures comply with ASI CoC requirements as well as the 5-year record retainer policy.</p>
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	The reports were produced and transmitted. The 2018 annual report has been sent by mail (and email) to the ASI Secretariat and the 2019 annual report has been documented in elementAI.
1.7b Reporting to ASI (Input Percentage)	Conformance	The annual reports present Input Percentage for the calendar years.
1.7c Reporting to ASI (Positive Balance)	Conformance	The carried over Maximum Positive Balances were documented in the annual reports.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	There is a management process for Internal Overdraw.
1.7e Reporting to ASI (Eligible Scrap)	Not Applicable	Eligible Scrap is not included in this Scope of Certification.
1.7f Reporting to ASI (ASI Credits from Casthouses)	Conformance	There is a management process for ASI Credit allocation.
1.7g Reporting to ASI (ASI Credits purchased)	Not Applicable	There are no Post-Casthouse activities or sites in this Scope of Certification.
2 OUTSOURCING CONTRACTORS		
2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	There are no outsourcing contractors involved in the RTA ASI CoC. This criterion is not applicable to the Entity's Certification Scope. The only outsourcing contractors are the ones who treat scrap, which are out of scope.

CRITERION	RATING	COMMENT
2.2a Control of CoC Material	Not Applicable	There are no outsourcing contractors involved in the RTA ASI CoC. This criterion is not applicable to the Entity's Certification Scope. The only outsourcing contractors are the ones that treat scrap, which are out of scope.
2.2b No further outsourcing	Not Applicable	There are no outsourcing contractors involved in the RTA ASI CoC. This criterion is not applicable to the Entity's Certification Scope. The only outsourcing contractors are the ones who treat scrap, which are out of scope.
2.2c Risk assessment	Not Applicable	There are no outsourcing contractors involved in the RTA ASI CoC. This criterion is not applicable to the Entity's Certification Scope. The only outsourcing contractors are the ones who treat scrap, which are out of scope.
2.3 Output Quantity	Not Applicable	There are no outsourcing contractors involved in the RTA ASI CoC. This criterion is not applicable to the Entity's Certification Scope. The only outsourcing contractors are the ones who treat scrap, which are out of scope.
2.4 Verification and record-keeping	Not Applicable	There are no outsourcing contractors involved in the RTA ASI CoC. This criterion is not applicable to the Entity's Certification Scope. The only outsourcing contractors are the ones who treat scrap, which are out of scope.
2.5 Error management	Not Applicable	This criterion is not applicable for an initial certification or a scope extension audit, which is equivalent to an initial certification audit for a new site. It will be systematically audited by the BNQ in the first upcoming surveillance audit.

3 PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI LIQUID METAL

3.1a CoC Certification Scope . Bauxite Mining	Conformance	Bauxite Mining activities are ASI Performance Standard (PS) certified, and are within the Entity's CoC Certification Scope. The PS certification shows that the Entity respects ASI requirements applicable for Bauxite Mining activities. The Weipa bauxite mine and the Gove bauxite mine are owned and controlled by the ASI Member Rio Tinto Aluminium (RTA).
3.1b ASI Performance Standard . Bauxite Mining	Conformance	The Entity has systems in place to ensure that ASI Bauxite is produced only from bauxite mines

CRITERION	RATING	COMMENT
		<p>that are certified against the ASI Performance Standard.</p> <p>The Weipa and Gove Bauxite Mining activities are ASI PS certified.</p> <p>The PS certification of the Entity's bauxite mines shows that the Entity respects ASI applicable requirements for Bauxite Mining activities. See the ASI website for valid RTA ASI-PS certificates for Canadian (No.1), Australian and New Zealand (Pacific) Facilities (No.2).</p>
3.2a CoC Certification Scope . Alumina Refining	Conformance	<p>The Entity has systems in place to ensure that ASI Alumina is produced only from certified alumina refiners or that are within the Entity's CoC Certification Scope, or in another Certified Entity.</p> <p>The Yarwun Alumina Refinery (Australia) and the Vaudreuil Alumina Refinery (Canada) are legally owned and controlled by the ASI Entity (RTA).</p> <p>Alumina Refining is part of the Entity's CoC Certification Scope.</p> <p>The PS certification including the Yarwun and Vaudreuil Alumina Refineries shows that the Entity respects ASI applicable requirements for Alumina Refining activities.</p> <p>The Yarwun and Vaudreuil Alumina Refinery are PS Certified and are within the CoC Certification Scope.</p> <p>See the ASI website for valid RTA ASI-PS certificates for Canadian (No.1), Australian and New Zealand (Pacific) Facilities (No.2).</p>
3.2b ASI Performance Standard . Alumina Refining	Conformance	<p>The Entity has systems in place to ensure that ASI Alumina is produced only from alumina refiners that are certified against the ASI Performance Standard.</p> <p>Alumina is produced from the RTA Yarwun (Australia) and Vaudreuil (Canada), which are certified against the ASI Performance Standard supporting responsible production.</p> <p>See the ASI website for valid RTA ASI-PS certificates for Canadian (No.1), Australian and New Zealand (Pacific) facilities (No.2).</p>
3.3a CoC Certification Scope . Aluminium Smelting	Conformance	<p>All Aluminium Smelters in Australia, New Zealand and Canada included in the Certification Scope, are legally owned and controlled by the ASI Entity RTA.</p> <p>Aluminium Smelting activities are ASI PS certified and are within the Entity's CoC</p>

CRITERION	RATING	COMMENT
		<p>Certification Scope.</p> <p>The PS certification shows that the Entity respects ASI applicable requirements for Aluminium Smelting activities.</p> <p>See the ASI website for valid RTA ASI-PS certificates for Canadian (No.1), Australian and New Zealand (Pacific) facilities (No.2).</p>
3.3b ASI Performance Standard . Aluminium Smelting	Conformance	<p>The Entity has systems in place to ensure that ASI Liquid Metal is produced only from aluminium smelters that are certified against the ASI Performance Standard.</p> <p>Aluminium Smelting activities are ASI PS certified and are within the Entity's CoC Certification Scope.</p> <p>The PS certification shows that the Entity respects ASI applicable requirements for Aluminium Smelting activities.</p> <p>See the ASI website for valid RTA ASI-PS certificates for Canadian (No.1), Australian and New Zealand (Pacific) facilities (No.2).</p>
4 RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP AND ASI LIQUID METAL		
4.1a CoC Certification Scope . Aluminium Re-Melting/Refining	Not Applicable	<p>This criterion is not applicable to the Entity's Certification Scope, since the scope refers to a primary aluminium chain of custody. Hence, the starting point of the chain is a bauxite mine, not a re-melter/refiner as would be expected for a recycled aluminium chain. Moreover, Pre-Consumer Scrap are not considered in casthouse inputs nor in smelter/casthouse outputs for mass balance purposes.</p>
4.1b ASI Performance Standard . Aluminium Re-Melting/Refining	Not Applicable	<p>This criterion is not applicable to the Entity's Certification Scope, since the scope refers to a primary aluminium chain of custody. Hence, the starting point of the chain is a bauxite mine, not a re-melter/refiner as would be expected for a recycled aluminium chain. Moreover, Pre-Consumer Scrap are not considered in casthouse inputs nor in smelter/casthouse outputs for mass balance purposes.</p>
4.2a Pre-Consumer Scrap and Dross	Not Applicable	<p>This criterion is not applicable to the Entity's Certification Scope, since the scope refers to a primary aluminium chain of custody. Hence, the starting point of the chain is a bauxite mine, not a re-melter/refiner as would be expected for a recycled aluminium chain. Moreover, Pre-Consumer Scrap are not considered in</p>

CRITERION	RATING	COMMENT
		casthouse inputs nor in smelter/casthouse outputs for mass balance purposes.
4.2b Post-Consumer Scrap	Not Applicable	This criterion is not applicable to the Entity's Certification Scope, since the scope refers to a primary aluminium chain of custody. Hence, the starting point of the chain is a bauxite mine, not a re-melter/refiner as would be expected for a recycled aluminium chain. Moreover, Pre-Consumer Scrap are not considered in casthouse inputs nor in smelter/casthouse outputs for mass balance purposes.
4.3a Supplier records	Not Applicable	This criterion is not applicable to the Entity's Certification Scope, since the scope refers to a primary aluminium chain of custody. Hence, the starting point of the chain is a bauxite mine, not a re-melter/refiner as would be expected for a recycled aluminium chain. Moreover, Pre-Consumer Scrap are not considered in casthouse inputs nor in smelter/casthouse outputs for mass balance purposes.
4.3b Cash payments	Not Applicable	This criterion is not applicable to the Entity's Certification Scope, since the scope refers to a primary aluminium chain of custody. Hence, the starting point of the chain is a bauxite mine, not a re-melter/refiner as would be expected for a recycled aluminium chain. Moreover, Pre-Consumer Scrap are not considered in casthouse inputs nor in smelter/casthouse outputs for mass balance purposes.

5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM

5.1a CoC Certification Scope . Casthouses	Conformance	<p>All casthouses within the Certification Scope are legally owned and controlled by the ASI Entity RTA.</p> <p>Casthouse products are part of the Entity's CoC Certification Scope. The Entity's procedures allow for adequate traceability of material.</p> <p>The targeted Entity's casthouses are ASI-PS certified.</p> <p>See the ASI website for valid RTA ASI-PS certificates for Canadian (No.1), Australian and New Zealand (Pacific) facilities (No.2).</p>
5.1b ASI Performance Standard . Casthouses	Conformance	<p>Casthouse products are part of the Entity's CoC Certification Scope. The Entity's procedures allow for adequate traceability of material.</p> <p>The targeted RTA casthouses are ASI-PS certified.</p>

CRITERION	RATING	COMMENT
		See the ASI website for valid RTA ASI-PS certificates for Canadian (No.1), Australian and New Zealand (Pacific) facilities (No.2).
5.2 Casthouse Products	Conformance	The Entity's material accounting system provides for traceability of material of its CoC. The Entity uses unique identification numbers. The system in place conforms with the ASI CoC requirement.
6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a CoC Certification Scope . Post-Casthouse	Not Applicable	This criterion is not applicable to the Entity's Certification Scope.
6.1b ASI Performance Standard . Post-Casthouse	Not Applicable	This criterion is not applicable to the Entity's Certification Scope.
6.1c Sourcing ASI Aluminium	Not Applicable	This criterion is not applicable to the Entity's Certification Scope.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	The Entity maintains sustainable sourcing partnerships and primarily with other corporations that also have high standards of sustainable management of international calibre. Rio Tinto also has a Due Diligence review process when it has to qualify a new supplier or renew an existing supply contract (KYS: Know Your Supplier procedure). According to the supplied evidence, the Responsible Sourcing Policy of the Entity has been communicated to external alumina and bauxite suppliers in 2018-2019. That policy takes account of the required PS criteria. Efficiency of the Corrective Action Plan (CAP): This criterion was the object of a former Minor Non-Conformance (NC) raised to the Atlantic Operation of the Entity. It was raised at the first initial certification audit of this CoC in 2018. The BNQ can now conclude that the implemented CAP was adequate and efficient. This former NC is now closed.
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity maintains sustainable sourcing partnerships and primarily with other corporations that also have high standards of sustainable management of international calibre. Rio Tinto also has a Due Diligence review process when it has to qualify a new supplier or renew an existing supply contract (KYS: Know

CRITERION	RATING	COMMENT
		<p>Your Supplier procedure).</p> <p>According to the supplied evidence, the Responsible Sourcing Policy of the Entity has been communicated to external alumina and bauxite suppliers in 2018-2019. That policy takes account of the required PS criteria.</p> <p>Efficiency of the Corrective Action Plan (CAP): This criterion was the object of a former Minor Non-Conformance (NC) raised to the Atlantic Operation of the Entity. It was raised at the first initial certification audit of this CoC in 2018. The BNQ can now conclude that the implemented CAP was adequate and efficient. This former NC is now closed.</p>
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	<p>The Entity maintains sustainable sourcing partnerships and primarily with other corporations that also have high standards of sustainable management of international calibre. Rio Tinto also has a Due Diligence review process when it has to qualify a new supplier or renew an existing supply contract (KYS: Know Your Supplier procedure).</p> <p>According to the supplied evidence, the Responsible Sourcing Policy of the Entity has been communicated to external alumina and bauxite suppliers in 2018-2019. That policy takes account of the required PS criteria.</p> <p>Efficiency of the Corrective Action Plan (CAP): This criterion was the object of a former Minor Non-Conformance (NC) raised to the Atlantic Operation of the Entity. It was raised at the first initial certification audit of this CoC in 2018. The BNQ can now conclude that the implemented CAP was adequate and efficient. This former NC is now closed.</p>
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	<p>The Entity maintains sustainable sourcing partnerships and primarily with other corporations that also have high standards of sustainable management of international calibre. Rio Tinto also has a Due Diligence review process when it has to qualify a new supplier or renew an existing supply contract (KYS: Know Your Supplier procedure).</p> <p>According to the supplied evidence, the Responsible Sourcing Policy of the Entity has been communicated to external alumina and bauxite suppliers in 2018-2019. That policy takes account of the required PS criteria.</p> <p>Efficiency of the Corrective Action Plan (CAP):</p>

CRITERION	RATING	COMMENT
		<p>This criterion was the object of a former Minor Non-Conformance (NC) raised to the Atlantic Operation of the Entity. It was raised at the first initial certification audit of this CoC in 2018. The BNQ can now conclude that the implemented CAP was adequate and efficient. This former NC is now closed.</p>
7.2 Risk assessment	Conformance	<p>The Entity maintains sustainable sourcing partnerships and primarily with other corporations that also have high standards of sustainable management of international calibre. The Entity also has a Due Diligence review process when it has to qualify a new supplier or sign a new supply agreement with a former supplier.</p> <p>The Entity is in conformance with this criterion. According to the supplied evidence and all relevant testimonials, the BNQ can conclude the following about the Entity: External suppliers of bauxite and alumina have been assessed through the Know Your Supplier (KYS) process. The KYS process involves determination of risk and mitigation measures relevant to the level of risk. The KYS process meets the ASI requirements. The responsible sourcing policy has also been communicated to external bauxite and alumina suppliers in 2018-2019.</p> <p>Efficiency of the Corrective Action Plan (CAP): This criterion was the object of a former Minor Non-Conformance (NC) raised to the Atlantic Operation of the Entity. It was raised at the first initial certification audit of this CoC in 2018. The BNQ can now conclude that the implemented CAP was adequate and efficient. This former NC is now closed.</p>
7.3 Complaints mechanism	Conformance	<p>The Entity has a Complaints Mechanism that is appropriate to the nature, scale and impact of the business and that allows interested parties to voice concerns about non-compliance with its Responsible Sourcing Policy in its aluminium supply chain.</p> <p>The Entity has a documented Complaints Mechanism in place. Such a process is available to personnel, interested parties, as well as stakeholders.</p> <p>Also, the ASI PS Management System provides information on non-compliances and liabilities in RTA's annual sustainability report.</p> <p>The Entity has thus developed and implemented</p>

CRITERION	RATING	COMMENT
		<p>policies, systems, procedures and processes that conform to the standard.</p> <p>The Entity is ASI PS certified. See the ASI website for valid RTA ASI-PS certificates for Canadian (No.1), Australian and New Zealand (Pacific) facilities (No.2).</p>
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	<p>RTA's CoC mass balance process provides input quantity as well as output quantity of CoC material and non-CoC material, by mass for each of the aluminium value chain elements included in the Entity's CoC Certification Scope. The Mass Balance System has been tested with simulated material off-site, and real material on-site, and these tests were conclusive and helped demonstrate the adequate functionalities of this matrix.</p>
8.2a Post-Consumer Scrap	Not Applicable	This criterion is not applicable to the Entity's Certification Scope.
8.2b Pre-Consumer Scrap (total)	Not Applicable	This criterion is not applicable to the Entity's Certification Scope.
8.2c Pre-Consumer Scrap (Eligible Scrap)	Not Applicable	This criterion is not applicable to the Entity's Certification Scope.
8.3 Material Accounting Period	Conformance	<p>RTA's CoC mass balance process respects the maximum 12 months accounting period, since the chosen accounting period is one (1) year.</p>
8.4 Input Percentage	Conformance	<p>The Entity calculates and records the Input Percentage for a given Material Accounting Period.</p> <p>The Entity's Input Percentage calculations respect ASI CoC requirements. The Entity uses consistent units and adequate material conversion rates in its calculations.</p> <p>RTA's CoC mass balance process provides input quantity as well as output quantity of CoC material and non-CoC material, by mass, for each of the primary aluminium value chain elements included in the Entity's CoC Certification Scope.</p> <p>The Mass Balance System has been tested with simulated material off-site, and real material on-site, and these tests were conclusive and helped demonstrate the adequate functionalities of this matrix.</p>

CRITERION	RATING	COMMENT
8.5 Input Percentage (Aluminium Re-Melting and Refining)	Not Applicable	This criterion is not applicable to the Entity's Certification Scope.
8.6 Output Quantity determination	Conformance	<p>RTA's CoC mass balance process provides input quantity as well as output quantity of CoC material and non-CoC material, by mass, for each of the primary aluminium value chain elements included in the Entity's CoC Certification Scope, and that, for a given accounting period.</p> <p>The Mass Balance System has been tested with simulated material off-site, and real material on-site, and these tests were conclusive and helped demonstrate the adequate functionalities of this matrix.</p>
8.7 Output Quantity designation	Conformance	<p>The Entity's output quantity is designated as 100% CoC material. The Mass Balance System is designed to do so. RTA processes in place allow for adequate traceability of CoC material. The Mass Balance System has been tested with simulated material off-site, and real material on-site, and these tests were conclusive and helped demonstrate the adequate functionalities of this matrix.</p>
8.8 Output Quantity . Pre-Consumer Scrap	Not Applicable	This indicator is not applicable to the Entity's Certification Scope. Eligible Scrap is not included in the Certification Scope.
8.9 Outputs not exceed inputs	Conformance	<p>The Entity's Material Accounting System ensures that the total output of CoC Material does not proportionally exceed the Input Percentage as applied to total input of CoC Material over the Material Accounting Period. The Entity's efficient mass balance process allows for adequate traceability of process material.</p> <p>The Entity's process allows for appropriate CoC output control. As well, verification (tests, simulations, and real data) have shown that the output does not proportionally exceed inputs of CoC Material.</p>
8.10a Internal Overdraws (not exceed 20%)	Conformance	<p>RTA's ASI CoC mass balance process allows for an Internal Overdraw not exceeding 20% of total input.</p> <p>The mass balance matrix has been tested.</p>
8.10b Internal Overdraws (not exceed affected amount)	Conformance	Processes also ensure that the Internal Overdraw does not exceed the amount of CoC

CRITERION	RATING	COMMENT
		material that is needed by the force majeure. The mass balance matrix has been tested.
8.10c Internal Overdraws (period to make up)	Conformance	The Entity's process includes the verification that the Internal Overdraw is made up within the subsequent accounting period. The mass balance matrix has been tested.
8.11a Positive Balance (carry over)	Conformance	The Entity's CoC mass balance process can clearly identify any carry over of a Positive Balance. The mass balance matrix has been tested.
8.11b Positive Balance (expiry)	Conformance	Positive Balances from the Entity's CoC mass balance process expire at the end of the subsequent Material Accounting Period if not drawn down. The mass balance process includes the documentation of drawn down and/or expiry of a carried over Positive Balance.
9 ISSUING CoC DOCUMENTS		
9.1 Shipments and transfers	Conformance	<p>The Entity's CoC process covers the appropriate documentation of shipment or transfer of material. Documents are prepared from standard templates. The following elements were already audited, in both Pacific and Atlantic Operations:</p> <ul style="list-style-type: none"> • Real Non-CoC ShipmentsqExpedition Documents without CoC claims (to see how they worked). • Blank Specimen of ASI CoC Expedition Documents (to see how ASI CoC Material will be shipped once certified). • A real certified shipment from the Entity's Atlantic Operation has also been successfully audited. The customer was ASI-PS and ASI-CoC Certified.
9.2a Date of issue	Conformance	<p>The Entity ensures that CoC documents include the date of issue of the CoC document. The Entity's CoC process covers the appropriate documentation of shipment or transfer of material including the date of issue. The following elements were already audited, in both Pacific and Atlantic Operations:</p> <ul style="list-style-type: none"> • Real Non-CoC ShipmentsqExpedition Documents without CoC claims (to see how they worked).

CRITERION	RATING	COMMENT
		<ul style="list-style-type: none"> Blank Specimen of ASI CoC Expedition Documents (to see how ASI CoC Material will be shipped once certified). A real certified shipment from the Entity's Atlantic Operation has also been successfully audited. The customer was ASI-PS and ASI-CoC Certified.
9.2b Reference number	Conformance	<p>The Entity ensures that CoC documents include a reference number for the CoC document, which is linked to the Entity's Material Accounting System for verification purposes. The Entity's CoC documentation includes the required information.</p> <p>The following elements were already audited, in both Pacific and Atlantic Operations:</p> <ul style="list-style-type: none"> Real Non-CoC Shipments' Expedition Documents without CoC claims (to see how they worked). Blank Specimen of ASI CoC Expedition Documents (to see how ASI CoC Material will be shipped once certified). A real certified shipment from the Entity's Atlantic Operation has also been successfully audited. The customer was ASI-PS and ASI-CoC Certified.
9.2c Issuing Entity	Conformance	<p>The Entity ensures that CoC documents include the Entity's identity, address and CoC Certification number.</p> <p>The identity, address and CoC Certification number of the Entity issuing the CoC document, are included in RTA's CoC documents.</p> <p>The following elements were already audited, in both Pacific and Atlantic Operations:</p> <ul style="list-style-type: none"> Real Non-CoC Shipments' Expedition Documents without CoC claims (to see how they worked). Blank Specimen of ASI CoC Expedition Documents (to see how ASI CoC Material will be shipped once certified). A real certified shipment from the Entity's Atlantic Operation has also been successfully audited. The customer was ASI-PS and ASI-CoC Certified.
9.2d Receiving customer	Conformance	<p>The Entity ensures that CoC documents include the identity and address of the customer receiving the CoC Material, and if it is another CoC Certified Entity, their CoC Certification</p>

CRITERION	RATING	COMMENT
		<p>number.</p> <p>The identity and address of the customer receiving the CoC Material are included on the specimen CoC document.</p> <p>The following elements were already audited, in both Pacific and Atlantic Operations:</p> <ul style="list-style-type: none"> • Real Non-CoC ShipmentsqExpedition Documents without CoC claims (to see how they worked). • Blank Specimen of ASI CoC Expedition Documents (to see how ASI CoC Material will be shipped once certified). • A real certified shipment from the Entityq Atlantic Operation has also been successfully audited. The customer was ASI-PS and ASI-CoC Certified.
9.2e Responsible employee	Conformance	<p>The Entity ensures that CoC documents include the responsible employee who can verify information in the CoC document.</p> <p>The following elements were already audited, in both Pacific and Atlantic Operations:</p> <ul style="list-style-type: none"> • Real Non-CoC ShipmentsqExpedition Documents without CoC claims (to see how they worked). • Blank Specimen of ASI CoC Expedition Documents (to see how ASI CoC Material will be shipped once certified). • A real certified shipment from the Entityq Atlantic Operation has also been successfully audited. The customer was ASI-PS and ASI-CoC Certified.
9.2f Conformance statement	Conformance	<p>The statement confirming that %The information provided in the CoC document is in conformance with the ASI CoC Standard+ appears on RTAq CoC specimens.</p> <p>The following elements were already audited, in both Pacific and Atlantic Operations:</p> <ul style="list-style-type: none"> • Real Non-CoC ShipmentsqExpedition Documents without CoC claims (to see how they worked). • Blank Specimen of ASI CoC Expedition Documents (to see how ASI CoC Material will be shipped once certified). • A real certified shipment from the Entityq Atlantic Operation has also been successfully audited. The customer was ASI-PS and ASI-CoC Certified.

CRITERION	RATING	COMMENT
9.2g Type of CoC Material	Conformance	<p>The type of CoC Material in the shipment is detailed in RTA's CoC specimen documents. The following elements were already audited, in both Pacific and Atlantic Operations:</p> <ul style="list-style-type: none"> • Real Non-CoC ShipmentsqExpedition Documents without CoC claims (to see how they worked). • Blank Specimen of ASI CoC Expedition Documents (to see how ASI CoC Material will be shipped once certified). • A real certified shipment from the Entity's Atlantic Operation has also been successfully audited. The customer was ASI-PS and ASI-CoC Certified.
9.2h Mass of CoC Material	Conformance	<p>The mass of CoC Material in the shipment is detailed in RTA's CoC specimen documents. The following elements were already audited, in both Pacific and Atlantic Operations:</p> <ul style="list-style-type: none"> • Real Non-CoC ShipmentsqExpedition Documents without CoC claims (to see how they worked). • Blank Specimen of ASI CoC Expedition Documents (to see how ASI CoC Material will be shipped once certified). • A real certified shipment from the Entity's Atlantic Operation has also been successfully audited. The customer was ASI-PS and ASI-CoC Certified.
9.2i Mass of total material	Conformance	<p>The Entity ensures that CoC documents include the mass of total material in the shipment. The mass of total material in the shipment is detailed in RTA's CoC specimen documents. The following elements were already audited, in both Pacific and Atlantic Operations:</p> <ul style="list-style-type: none"> • Real Non-CoC ShipmentsqExpedition Documents without CoC claims (to see how they worked). • Blank Specimen of ASI CoC Expedition Documents (to see how ASI CoC Material will be shipped once certified). • A real certified shipment from the Entity's Atlantic Operation has also been successfully audited. The customer was ASI-PS and ASI-CoC Certified.
9.3a Sustainability Data (optional)	Not Applicable	RTA will not include sustainability data in their CoC documents. This optional criterion does not apply.

CRITERION	RATING	COMMENT
9.3b Sustainability Data (passing on)	Not Applicable	This criterion is not applicable to the Entity's Certification Scope (no post-casthouse activity in the scope).
9.3c Post-Casthouse ASI Certification status	Not Applicable	This criterion is not applicable to the Entity's Certification Scope (no post-casthouse activity in the scope).
9.4 Supplementary Information (optional)	Not Applicable	RTA will not include supplementary information in their CoC documents. This optional criterion does not apply.
9.5 Response to verification requests	Conformance	The Entity's CoC process includes a possibility to respond to clients' requests regarding the information present on the CoC documents.
9.6 Error management	Conformance	The Entity's CoC process has provision to manage, document and correct shipping error (if any) in agreement with the receiving party. To this day, this situation did not occur.
10 RECEIVING COC DOCUMENTS		
10.1 Verify required information included	Conformance	The Entity verifies that all required information in received CoC documents have been included. The Entity's ASI procedure includes the verification of incoming CoC documents. The Entity also has an ASI CoC document checklist for receiving CoC documents.
10.2 Verify consistency with shipments	Conformance	The Entity verifies the consistency of received CoC documents with the accompanying CoC Material before recording information in their Material Accounting System. The Entity's ASI procedure includes the verification of incoming CoC documents. The Entity also has an ASI CoC document checklist for receiving CoC documents.
10.3 Verify supplier CoC Certification status	Conformance	The Entity checks the ASI website on a regular basis to verify the validity and scope of the supplier's ASI CoC Certification for any changes that might affect the status of the supplied CoC Material. The Entity's ASI procedure includes the verification of ASI's website for ASI certification status of suppliers.
10.4 Error management	Conformance	If an error is discovered after CoC Material has been received, the Entity and the supplying party document the error and steps are taken to correct it, and implement actions to avoid a

CRITERION	RATING	COMMENT
		<p>recurrence.</p> <p>The Entity's ASI procedure includes the steps required in case of an error in CoC documentation.</p> <p>The Entity's ASI procedure includes the verification of incoming CoC documents. The Entity also has an ASI CoC document checklist for receiving CoC documents.</p>
11 MARKET CREDITS SYSTEM: ASI CREDITS		
11.1a Material Accounting System . allocation	Conformance	The RTA ASI CoC Mass Balance System matrix is now conceived to generate ASI Credits only from certified material inputs that will be allocated and taken into account.
11.1b Link to Casthouse Products	Conformance	The products sales systems are conceived to generate unique identification numbers for the Casthouse Products from which ASI Aluminium has been allocated to ASI Credits.
11.1c No double counting	Conformance	<p>The RTA ASI CoC Mass Balance System matrix is conceived to generate ASI Credits only from certified material inputs that will be allocated and taken into account.</p> <p>This system is conceived to avoid ASI Aluminium Credit double counting.</p>
11.1d No Positive Balance for ASI Credits	Conformance	The RTA ASI CoC Mass Balance System matrix is conceived to generate ASI Credits that will be allocated and issued within the same corresponding Material Accounting Period.
11.2a Date of issue	Conformance	The RTA ASI CoC Credits Certificates Specimen have a specific input section for the issuance date.
11.2b Reference number	Conformance	The RTA ASI CoC Credits Certificates Specimen have a specific input section for the targeted reference number. This unique reference number will be generated by the products sales systems mentioned above.
11.2c Issuing Entity	Conformance	The RTA ASI CoC Credits Certificates Specimen identify the coordinates and the CoC Certification number of the issuing Entity (RTA).
11.2d Receiving Entity	Conformance	The RTA ASI CoC Credits Certificates Specimen have a specific input section to identify the coordinates and the CoC Certification number of the receiving Entity (RTA).

CRITERION	RATING	COMMENT
11.2e Conformance statement	Conformance	The RTA ASI CoC Credits Certificates Specimen bare this statement: The information provided in the ASI Credits Certificate is in conformance with the ASI CoC Standard.
11.2f ASI Credits statement	Conformance	The RTA ASI CoC Credits Certificates Specimen bare this statement: ASI Credits may not be re-traded. ASI Credits may not be allocated to physical products or otherwise claimed as ASI Aluminium.
11.2g Quantity	Conformance	The RTA ASI CoC Credits Certificates Specimen have a specific input section for the quantity of emitted ASI Credits.
11.3a CoC Certification Scope . purchasing ASI Credits	Not Applicable	There will be no purchasing of ASI Credits, because there are no post-casthouse Facilities within the CoC Certification Scope.
11.3b Material Accounting System . purchasing	Not Applicable	There will be no purchasing of ASI Credits, because there are no post-casthouse Facilities within the CoC Certification Scope.
11.3c Expiry	Not Applicable	There will be no purchasing of ASI Credits, because there are no post-casthouse Facilities within the CoC Certification Scope.
11.3d No re-trading	Not Applicable	There will be no purchasing of ASI Credits, because there are no post-casthouse Facilities within the CoC Certification Scope.
11.3e No allocation to physical products	Not Applicable	There will be no purchasing of ASI Credits, because there are no post-casthouse Facilities within the CoC Certification Scope.
11.3f Verify supplier CoC Certification status	Not Applicable	There will be no purchasing of ASI Credits, because there are no post-casthouse Facilities within the CoC Certification Scope.
11.3g Five years maximum for ASI Credits purchasing	Not Applicable	There will be no purchasing of ASI Credits, because there are no post-casthouse Facilities within the CoC Certification Scope.
12 CLAIMS AND COMMUNICATIONS		
12.1a ASI Claims Guide	Conformance	The Entity has a declaration guide respecting ASI guidelines related to claims and declaration communications. The Entity also has an ASI communication kit where claims meet the ASI Guide.

CRITERION	RATING	COMMENT
12.1b Verifiable evidence	Conformance	<p>The Entity has a declaration guide respecting ASI guidelines related to claims and declaration communications.</p> <p>The RTA ASI Management System and Mass Balance Accounting System enable this kind of verification.</p>
12.1c Employee training	Conformance	<p>The Entity provides appropriate training related to claims and representation communications.</p> <p>The Entity has a declaration guide respecting ASI guidelines related to claims and declaration communications.</p> <p>Evidence presented indicate appropriate training and attendances of employees.</p>

Document Control and Version History

Revision	Date	Notes
0	12 July 2018	Issued
1	20 September 2019	Updated to reflect Certification Scope change with addition of Kitimat Smelter (BC, Canada).
2	7 December 2019	Updated to reflect Certification Scope change with addition of Weipa Bauxite Mines and related port facilities and power stations (Weipa, Queensland, Australia), Yarwun Alumina Refinery (Yarwun, QLD, Australia), Bell Bay Aluminium Smelter (George Town, Tasmania, Australia), New Zealand Aluminium Smelter (Invercargill, New Zealand) and Headquarters (Brisbane, QLD, Australia)
3	31 August 2020	Surveillance audit including an update of a reference to Montreal Headquarters in the Certification and Audit Scope.