

# ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

# RIO TINTO ALUMINIUM (RTA) PACIFIC OPERATIONS

CERTIFICATE  
NUMBER

2

ASI  
STANDARD

PERFORMANCE  
STANDARD  
(V2 2017)

CERTIFICATION  
LEVEL

FULL  
CERTIFICATION

ASI  
ACCREDITED  
AUDITOR

ERM CVS

DATE OF ISSUE

9 APRIL 2021

DATE OF EXPIRY

8 APRIL 2024

CERTIFIED SINCE

9 APRIL 2018

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. H.', written over a horizontal line.

Aluminium Stewardship Initiative Ltd  
ACN 606 661 125, Australia  
info@aluminium-stewardship.org

*Validity of this Certificate is subject to continued  
conformance with the applicable ASI Standard  
and can be verified at*

[www.aluminium-stewardship.org](http://www.aluminium-stewardship.org)

CERTIFICATION SCOPE

Rio Tinto Aluminium (RTA) Pacific Operations  
including:

- Bell Bay Aluminium Smelter (George Town, Tasmania, Australia)
- Gove Bauxite Mine including its port facilities and power station (Gove Northern Territory, Australia)
- New Zealand Aluminium Smelter (Invercargill, New Zealand).
- RTA Headquarters – Brisbane (Queensland, Australia)
- Weipa Bauxite Mines, related port facilities and power stations (Weipa, Queensland, Australia)
- Yarwun Alumina Refinery (Yarwun, QLD, Australia)

---

# SUMMARY AUDIT REPORT PERFORMANCE STANDARD

---

## OVERVIEW

MEMBER NAME	Rio Tinto
ENTITY NAME	Rio Tinto Aluminium (RTA) Pacific Operations
CERTIFICATION SCOPE	<p>Rio Tinto Aluminium (RTA) Pacific Operations including:</p> <ul style="list-style-type: none"><li>• Bell Bay Aluminium Smelter (George Town, Tasmania, Australia)</li><li>• Gove Bauxite Mine including its port facilities and power station (Gove Northern Territory, Australia)</li><li>• New Zealand Aluminium Smelter (Invercargill, New Zealand).</li><li>• RTA Headquarters – Brisbane (Queensland, Australia)</li><li>• Weipa Bauxite Mines, related port facilities and power stations (Weipa, Queensland, Australia)</li><li>• Yarwun Alumina Refinery (Yarwun, QLD, Australia)</li></ul>
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>• Bauxite Mining</li><li>• Alumina Refining</li><li>• Aluminium Smelting</li><li>• Aluminium Re-melting/Refining</li><li>• Casthouses</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>• Initial Certification Audit (29 May – 8 August 2019)</li><li>• Surveillance and Scope Change Audit (5 August – 16 October 2019)</li><li>• Re-Certification Audit (30 November 2020 – 15 January 2021)</li></ul>
AUDIT FIRM	BNQ (Initial Certification Audit) ERM CVS (Surveillance and Scope Change Audit) ERM CVS (Re-Certification Audit)
AUDIT DATE	29 May – 8 August 2019 (Initial Certification Audit) 5 August – 16 October 2019 (Surveillance and Scope Change Audit) 30 November 2020 – 15 January 2021 (Re-Certification Audit)
AUDIT REPORT SUBMISSION	21 September 2019 (Initial Certification Audit) 11 November 2019 (Surveillance and Scope Change Audit) 30 March 2021 (Re-Certification Audit)

---

---

AUDIT SCOPE

Initial Certification Audit (29 May – 8 August 2019):

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

Supply chain activities included in the audit scope:

- Bauxite Mining

All applicable criteria in the ASI Performance Standard were included in the audit scope.

Surveillance and Scope Change Audit (5 August – 16 October 2019):

RTA Pacific Operations sites (Bauxite Mines, Refinery and Smelters) including Bell Bay smelter, Gove bauxite mines, Headquarters - Brisbane, New Zealand Aluminium Smelter, Weipa bauxite mines and Yarwun alumina refinery.

Supply chain activities included in the audit scope:

- Bauxite Mining
- Alumina Refining
- Aluminium Smelting
- Aluminium Re-melting/Refining
- Casthouses

All applicable criteria in the ASI Performance Standard were included in the audit scope.

Re-Certification Audit (30 November 2020 – 15 January 2021):

RTA Pacific Operations sites (Bauxite Mines, Refinery and Smelters) including Bell Bay smelter, Gove bauxite mines, Headquarters - Brisbane, New Zealand Aluminium Smelter, Weipa bauxite mines and Yarwun alumina refinery.

Supply chain activities included in the audit scope:

- Bauxite Mining
- Alumina Refining
- Aluminium Smelting
- Aluminium Re-melting/Refining
- Casthouses

All applicable criteria in the ASI Performance Standard were included in the audit scope.

---

AUDIT OUTCOME

- Certification

---

AUDIT METHODOLOGY DECLARATION

The Auditors confirm that:

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

---

The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.

---

CERTIFICATION PERIOD      9 April 2021 – 8 April 2024

---

NEXT AUDIT TYPE              Re-Certification Audit

---

NEXT AUDIT DUE DATE        8 April 2024

---

CERTIFICATE NUMBER         2

---

## SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
PRINCIPLE 1 BUSINESS INTEGRITY		
1.1 Legal Compliance	Conformance	<p>Rio Tinto Aluminium (RTA) Pacific Operations corporate legal team supports the Entity to provide information and advice on legal and compliance requirements. The Entity utilises a subscription service, EnviroEssentials, as a legal compliance database and update forum. Compliance audits are conducted across the Entity including, but not limited to, Environmental Authority third party compliance audits. The following certifications from an accredited certification body are currently held across the Entity:</p> <ul style="list-style-type: none"> <li>- ISO14001 (Gove, Weipa, Yarwun and Bell Bay)</li> <li>- AS/NZS4801 (Bell Bay)</li> <li>- ISO9001 (Weipa, Bell Bay)</li> </ul>
1.2 Anti-Corruption	Conformance	<p>The Entity has established adequate anti-corruption measures that are approved by the highest management level and are implemented at all relevant corporate levels. In conclusion, a documented and mature program is established to mitigate the risks of anti-corruption, including extortion and bribery and in accordance with applicable laws and international standards. Conformance with these standards is measured through providing training, formal approval procedures and procedures for increased monitoring of reported situations.</p> <p>The Business Integrity Standard and Competition Standard can be found by searching for "business integrity standard" or "competition standard" at <a href="https://www.riotinto.com/sustainability/policies">https://www.riotinto.com/sustainability/policies</a></p>
1.3 Code of Conduct	Conformance	<p>The Entity has implemented a written organisational Code of Conduct, "The Way We Work" that includes relevant principles for environmental, social and governance performance. The Ethics and Integrity Group is the primary contact for providing advice and receiving complaints or concerns regarding the Code of Conduct. A reporting and 'whistle blower' mechanism is available to provide an avenue for individuals who chose to share their concerns relative to alleged wrongdoing anonymously and confidentially. The Code of Conduct can be found by searching for 'The Way We Work' at <a href="https://www.riotinto.com/sustainability/policies">https://www.riotinto.com/sustainability/policies</a> Multiple languages are available.</p>

CRITERION	RATING	COMMENT
PRINCIPLE 2 POLICY & MANAGEMENT		
2.1a Environmental, Social, and Governance Policy (implement and maintain)	Conformance	The Entity has an integrated Health, Safety, Environment and Communities Policy that is supported by developed and implemented systems, procedures and processes that conform to the environmental, social, and governance policy requirements. This policy can be found by searching for “HSEC Policy” at <a href="https://www.riotinto.com/sustainability/policies">https://www.riotinto.com/sustainability/policies</a>
2.1b Environmental, Social, and Governance Policy (senior management)	Conformance	The Entity has endorsement and support from senior management in order to provide sufficient resources for regular review of policies. Senior management endorses, supports through provision of resources and regularly reviews the Policy. The Health, Safety, Environment & Communities Policy can be found by searching for “HSEC Policy” at <a href="https://www.riotinto.com/sustainability/policies">https://www.riotinto.com/sustainability/policies</a>
2.1c Environmental, Social, and Governance Policy (communication)	Conformance	The Entity communicates policies internally and externally. The Entity’s Policy is available to external and internal stakeholders to raise awareness of the company’s commitments. The Policy is publicly available via the Rio Tinto website and can be found by searching for “HSEC Policy” at <a href="https://www.riotinto.com/sustainability/policies">https://www.riotinto.com/sustainability/policies</a>
2.2 Leadership	Conformance	The Entity’s Pacific Operations Managing Director has overall responsibility and authority for conformance with the Standard. The Entity has nominated a senior management representative at each site with overall responsibility and authority for conformance with the ASI Standard and has documented these nominations.
2.3a Environmental and Social Management Systems (environmental)	Conformance	The Entity has developed and implemented Environmental policies, systems, procedures and processes that conform to the Rio Tinto corporate management systems requirements. Evidence of effective implementation was provided including evidence of internal Business Conformance Audits of the sites against the requirements of the Management System Standard. Gove, Weipa, Yarwun and Bell Bay’s environment management systems have been certified to the international standard ISO 14001:2015 by an accredited certification body.
2.3b Environmental and Social Management Systems (social)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the social management systems that

CRITERION	RATING	COMMENT
		<p>meets the Rio Tinto corporate Communities and Social Performance and the ASI requirements. A social risk assessment has been prepared by all sites which identifies the key social impacts; mitigation strategies to manage these issues; assigns responsibility for ongoing management of the issues and assigns a level of risk. The Rio Tinto Community and Social Performance standard has been implemented across the Entity and has been audited as part of the internal Rio Tinto Business Conformance Audit process. The position of General Manager CSP - Pacific has been newly introduced to support the site CSP teams.</p>
2.4 Responsible Sourcing	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes covering environment, social and governance issues. The Entity has implemented a Supplier Code of Conduct which also covers these issues. The Supplier Code of Conduct can be found at: <a href="https://www.riotinto.com/footer/suppliers">https://www.riotinto.com/footer/suppliers</a></p> <p>The Entity has published The Way We Work, which describes the principles which are applied across the business, and which are applicable to sourcing and contractor management. This document can be found by searching for 'The Way We Work' at <a href="http://www.riotinto.com/sustainability/policies">www.riotinto.com/sustainability/policies</a></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. The implemented impact assessment processes are supported by multiple tools and resources and meet Australian and New Zealand law. Impact assessments are conducted in line with the Rio Tinto Project Definitions Guideline that includes requirements at various stages of projects for assessment of impacts including environmental, social, cultural and human rights impacts. The assessment includes analysis of population make up, including gender and includes consultation with populations where there is potential for impact, such as Traditional Owners. The most recent impact assessment for a major project is the Amrun bauxite mine development, which became operational end of 2018. The Commonwealth and State impact statements, associated plans and reporting can be found at: <a href="https://www.riotinto.com/Operations/australia/weipa">https://www.riotinto.com/Operations/australia/weipa</a></p>

CRITERION	RATING	COMMENT
2.6 Emergency Response Plan	Conformance	The Entity's Business Resilience and Recovery Program (BRRP) is well implemented and maintained to prevent and deal with emergency response. Drills are performed and debriefing from real events help improve the effectiveness of the BRRP for the Entity and for Rio Tinto. Relevant external and internal stakeholders have been involved in the development and testing of response plans. Compliance to this clause has been verified through the Rio Tinto internal Business Conformance Audit program, the ISO14001 certification processes, Critical Risk Assessments (insurance driven) as well as through ASI auditing.
2.7 Mergers and Acquisitions	Conformance	Rio Tinto utilises a Project Evaluation Standard and associated due diligence processes to manage mergers and acquisitions. Environmental, social and governance issues are covered in this process as documented in the standard and due diligence procedure. The Investment Committee assesses all mergers and acquisitions.
2.8 Closure, Decommissioning and Divestment	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the closure, decommissioning and divestment requirements. These are documented in the Rio Tinto Projects Definitions Guidance note and the Rio Tinto Closure Definitions Guidance note. The Guidance notes document requirements at various stages of project and operational closure planning. Assessments conducted in line with the guidance notes ensure all impacts (including environmental, social, cultural and human rights) related to closure are addressed. This includes community and government involvement in closure planning processes. The Entity's processes are currently being implemented for the closure, demolition and rehabilitation at Gove refinery and Residue Disposal Area (RDA) and the future closure of NZAS. Critical stakeholders, such as Traditional Owners and Government Authorities, are highly involved in the determination of acceptable site closure.
PRINCIPLE 3 TRANSPARENCY		
3.1 Sustainability Reporting	Conformance	The Entity publicly discloses its governance approach and its environmental, social and economic impacts. The annual Rio Tinto Global Sustainability Report includes statistics for all sites.



CRITERION	RATING	COMMENT
		<p>The link for the Rio Tinto Sustainable Development Report is below:  <a href="https://www.riotinto.com/sustainability/sustainability-reporting">https://www.riotinto.com/sustainability/sustainability-reporting</a></p> <p>Each site also publicly reports its environmental, social and economic impacts through local Sustainable Development reports or scorecards. The reports can be found at:  <a href="https://www.riotinto.com/Operations/australia/gove">https://www.riotinto.com/Operations/australia/gove</a>  <a href="https://www.riotinto.com/Operations/australia/weipa">https://www.riotinto.com/Operations/australia/weipa</a>  <a href="https://www.riotinto.com/Operations/australia/yarwun">https://www.riotinto.com/Operations/australia/yarwun</a>  <a href="https://bellbayaluminium.com.au/sustainable-development">https://bellbayaluminium.com.au/sustainable-development</a>  <a href="https://www.riotinto.com/operations/australia/bell-bay">https://www.riotinto.com/operations/australia/bell-bay</a>  <a href="https://www.riotinto.com/operations/new-zealand/nzas">https://www.riotinto.com/operations/new-zealand/nzas</a></p>
3.2 Non-compliance and liabilities	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the non-compliance and liabilities requirements. The Entity provides information on non-compliances and liabilities as part of its annual Sustainability Report which is incorporated in the Annual Report. For example, in the 2020 Rio Tinto Annual Report, which can be found at:  <a href="https://www.riotinto.com/invest/reports/annual-report">https://www.riotinto.com/invest/reports/annual-report</a></p> <p>Details can be found on pages 62 to 91.</p>
3.3a Payments to governments (legal and contractual)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes to ensure that payments are made only on a legal or contractual basis. Evidence of payments made to government for taxes and royalties were viewed and aligned to the public reporting. This is also published in the Entity's Taxes Paid Report, which can be found:  <a href="https://www.riotinto.com/invest/reports/taxes-paid-report">https://www.riotinto.com/invest/reports/taxes-paid-report</a></p>
3.3b Payments to governments (disclosure – bauxite mining)	Conformance	<p>The Entity discloses all payments made to governments as part of the Annual Taxes Paid report. This report includes all taxes, royalties and other payments to national, regional and local governments. The Annual Taxes Paid report is prepared in accordance with the Extractive Industries Transparency Initiative (EITI) and is</p>

CRITERION	RATING	COMMENT
		independently audited. The report is available on the public website at: <a href="https://www.riotinto.com/invest/reports/taxes-paid-report">https://www.riotinto.com/invest/reports/taxes-paid-report</a>
3.4 Stakeholder complaints, grievances and requests for information	Conformance	Various communication channels are available for community feedback and complaints, including hotlines, email and direct face-to-face interactions. All sites have developed Community enquiry, complaint and incident management procedures to monitor, manage, track and resolve community feedback. Site compliance with the Entity's documented process is audited at minimum on a two yearly basis, as part of the Business Conformance Audit.
PRINCIPLE 4 MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment (life cycle impacts)	Conformance	The Entity evaluates life cycle impacts which covers all major product lines including bauxite from the mines, alumina from the refinery, aluminium and cast products from the smelters. An environmental life cycle assessment (LCA) of aluminium ingots produced by Rio Tinto Alcan was conducted by Quantis in 2014 (Quantis is an internationally renowned firm in LCA). This was updated in 2018 by Groupe AGECO and was in the process of being updated at the time of the audit.
4.1b Environmental Life Cycle Assessment (cradle to gate)	Conformance	The Entity's cradle-to-gate LCA data is available upon request by customers.
4.1c Environmental Life Cycle Assessment (public communication)	Conformance	The Entity evaluates life cycle impacts of its major product line which covers all major product lines including bauxite from the mines, alumina from the refinery, aluminium and cast products from the smelters. The Entity's LCA data are available upon request, including underlying assumptions that underpin the data.
4.2 Product design	Not Applicable	This criterion is not applicable to the Entity's Certification Scope.
4.3a Aluminium Process Scrap (targets)	Conformance	The Entity aims to minimise generation of Aluminium Process Scrap within its own operations and, where generated, target 100% of scrap for collection, recycling and/or re-use. This includes offcuts, surface / crack related scrap, out of spec scrap - all is labelled and placed for remelting in the casthouse. Scrap rates are monitored in the casthouse reports.

CRITERION	RATING	COMMENT
4.3b Aluminium Process Scrap (alloy separation)	Conformance	New Zealand Aluminium Smelter (NZAS) and Bell Bay segregate scrap in their casthouses by type (e.g. ingot v billet) and alloy code groupings.
4.4a Collection and recycling of products at end-of-life (strategy)	Conformance	The Entity has implemented a recycling strategy for aluminium scrap including the collection and recycling of scrap from a local extrusion plant (NZAS).
4.4b Collection and recycling of products at end-of-life (engagement)	Conformance	The Entity has demonstrated that it engages with local and regional recycling schemes where available including taking extrusion scrap and dross, to supporting recycling of products containing aluminium and continues to seek further opportunities for recycling products at end of life.
PRINCIPLE 5 GREENHOUSE GAS EMISSIONS		
5.1 Disclosure of GHG emissions and energy use	Conformance	<p>GHG emissions and energy sources and quantities are disclosed in the annual sustainability report and on public websites. The links to these are in section 3.2. Australian sites report to the Government annually under the National Greenhouse and Energy Reporting (NGER) scheme. The link is: <a href="http://www.cleanenergyregulator.gov.au/NGER/National%20greenhouse%20and%20energy%20reporting%20data/Corporate%20emissions%20and%20energy%20data">http://www.cleanenergyregulator.gov.au/NGER/National%20greenhouse%20and%20energy%20reporting%20data/Corporate%20emissions%20and%20energy%20data</a></p> <p>NZAS provides an Annual Emissions Trading Scheme (ETS) return to the New Zealand Government. The link is: <a href="https://www.epa.govt.nz/resources-and-publications/monitoring-and-reporting/">https://www.epa.govt.nz/resources-and-publications/monitoring-and-reporting/</a></p>
5.2 GHG emissions reductions	Conformance	<p>All sites, within the Entity, have GHG emissions plans and targets with business climate change metrics that cover direct and indirect emission sources. Sites use a strong business improvement framework with tools that include regular idea generation, project hoppers, project tracking and management to identify, initiate and deliver on greenhouse gas and energy improvements. Business level GHG reduction targets are published in the Rio Tinto Approach to climate change report <a href="https://www.riotinto.com/sustainability/climate-change">https://www.riotinto.com/sustainability/climate-change</a></p>
5.3a Aluminium Smelting (management system)	Conformance	All sites have Management Systems, evaluation procedures, and operating controls to limit direct GHG emissions such as control and response plans for process emissions, visual systems,

CRITERION	RATING	COMMENT
		meetings and reports to track and respond to changes in planned process metrics that relate to energy and emissions efficiency.
5.3b Aluminium Smelting (up to and including 2020)	Conformance	The Entity can demonstrate that the Scope 1 and Scope 2 GHG emissions from the production of Aluminium is already below 8 tonnes CO <sub>2</sub> -eq per metric tonne Aluminium. The reporting methodology is consistent with NGER and ETS reporting requirements. These are based on and reference international reporting protocols.
5.3c Aluminium Smelting (after 2020)	Not Applicable	All smelters are currently operating below 8 tonnes CO <sub>2</sub> -eq per metric tonne Aluminium.
PRINCIPLE 6 EMISSIONS, EFFLUENTS AND WASTE		
6.1 Emissions to Air	Conformance	Sources of air emission are known and documented through the sites' Air Emissions Management Plans. Plans/projects are in place to minimise adverse impacts of the activities on the air. Each site has an emissions monitoring program implemented to monitor material air emissions. The results are reported to the relevant environmental authorities at a minimum annually.
6.2 Discharges to Water	Conformance	The Entity identifies, quantifies and reports Water Discharges to the authorities. Plans/projects are in place to minimise adverse impacts of the activities on water quality. Water discharge risks are included in the site risk registers and planning processes include projects for water management improvements. Specific projects are in place at Bell Bay and Yarwun to address improvements in water management risks.
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 the requirements for assessment and management of spills and leaks. Potential scenarios where a spill risk exists are included in each of the sites' risk registers and have been ranked utilising a 5x5 risk matrix.
6.3b Assessment and Management of Spills and Leakage (management)	Conformance	Multiple mechanisms are in place to mitigate/control the risks of spill or leakage including inspection schedules, preventative maintenance programs, and training. Should a spill occur, spill management procedures including equipment, emergency response and training are available and periodically tested through drills. Communication plans for large spills are managed

CRITERION	RATING	COMMENT
		through the Business Resilience and Recovery Program.
6.4a Reporting of Spills (immediate disclosure)	Conformance	The Entity discloses volume, type and potential impact of spills to the Environment Authority via the periodic reporting program relevant for each site. All significant spills are also reported via the annual Sustainable Development reports. Other parties who may be impacted by a spill and require immediate notification are managed through the stakeholder communication processes built into the Business Resilience and Recovery Program.
6.4b Reporting of Spills (regular reporting)	Conformance	All significant spills are reported via the Rio Tinto Annual Report and Sustainable Development Fact Book. For example, the 2020 Annual Report includes a spill of cell wash water at NZAS and a caustic spill at Yarwun. Actions taken for remediation are included in this report and/or the sites' annual sustainable development/scorecards as appropriate.
6.5a Waste management and reporting (strategy)	Conformance	Each site within the Entity has a waste management plan that includes strategies aligned to the Waste Management Hierarchy for reduction, reuse, recycling and recovery of waste materials.
6.5b Waste management and reporting (disclosure)	Conformance	Waste volume and disposal methods are tracked and reported to the environmental regulator where required. In addition, volumes and disposal methods are reported through the Rio Tinto annual report and site specific annual reports and scorecards. Details can be found in page 84 of the 2020 Rio Tinto Annual Report. The Annual Report can be found at <a href="http://www.riotinto.com/invest/reports">www.riotinto.com/invest/reports</a> The site specific annual reports are scorecards can be found at: <a href="https://www.riotinto.com/Operations/australia/gove">https://www.riotinto.com/Operations/australia/gove</a> <a href="https://www.riotinto.com/Operations/australia/weipa">https://www.riotinto.com/Operations/australia/weipa</a> <a href="https://www.riotinto.com/Operations/australia/yarwun">https://www.riotinto.com/Operations/australia/yarwun</a> <a href="https://www.riotinto.com/operations/australia/bell-bay">https://www.riotinto.com/operations/australia/bell-bay</a> <a href="https://www.riotinto.com/operations/new-zealand/nzas">https://www.riotinto.com/operations/new-zealand/nzas</a>
6.6a Bauxite Residue (storage construction)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that manage day to day risks of releases from constructed bauxite residue storage areas. It was

CRITERION	RATING	COMMENT
		confirmed that the constructed storage areas were built in a manner that effectively prevents the release of Bauxite Residue and leachate to the environment. An Annual Inspection of dam integrity is completed by an independent third party on the Yarwun residue management dam and reports that the dam is structurally sound.
6.6b Bauxite Residue (integrity checks and controls)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the requirements of this criterion. As part of the management of the tailings facility, a variety of in-house and external inspections are completed including daily, monthly, quarterly and annual inspections.
6.6c Bauxite Residue (water discharge)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the requirements of this criterion. This includes interlocks at the bauxite residue water treatment system and capacity to recycle effluent where potential discharge water is out of specified limits.
6.6d Bauxite Residue (marine and aquatic environments)	Conformance	The Entity does not discharge bauxite residue to the marine or aquatic environment.
6.6e Bauxite Residue (start of the art technologies)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the requirements of this criterion. Studies into new technologies are currently in the improvement planning pipeline utilised to capture, report and manage all improvement projects in the business.
6.6f Bauxite Residue (remediation)	Not Applicable	The residue management area (RMA1) at Yarwun Alumina Refinery is not currently planned to close until 2070. Closure will be in accordance with the Rio Tinto closure plan standards when applicable. On this basis this criterion is not applicable.
6.7a Spent Pot Lining (SPL) (storage and management)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the requirements of this criterion. SPL arisings are effectively contained in storage sheds with controls to prevent release of SPL or leachate to the environment. Historic SPL disposal and containment areas at Bell Bay and NZAS are effectively managed to prevent release to the environment.

CRITERION	RATING	COMMENT
6.7b Spent Pot Lining (SPL) (recovery and recycling)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the requirements of this criterion. NZAS and Bell Bay segregate the carbon and refractory parts of SPL and have business targets and plans for recycling and/or reuse options of SPL materials. Historic SPL disposal and containment areas at Bell Bay and NZAS are effectively managed and are included in the closure plans for both sites.
6.7c Spent Pot Lining (SPL) (Untreated SPL)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the requirements of this criterion. NZAS and Bell Bay smelters currently have reuse and/or recycling options for SPL that allow a gradual reduction in storage. SPL generated from current operations does not go to landfill. Historic SPL disposal and containment areas at Bell Bay and NZAS are effectively managed and are included in the closure plans for the sites.
6.7d Spent Pot Lining (SPL) (review of alternatives)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the requirements of this criterion. NZAS and Bell Bay smelters currently have reuse and/or recycling options for SPL that allow a gradual reduction in storage. There are no SPL arisings going to landfill.
6.7e Spent Pot Lining (SPL) (marine and aquatic environments)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the requirements of this criterion. Zero SPL is sent to marine or aquatic environments. NZAS and Bell Bay have various groundwater sampling and monitoring positions across the sites and buffer zones to monitor groundwater and comply with their environmental licence conditions.
6.8a Dross (recovery)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the requirements of this criterion. NZAS and Bell Bay have onsite dross treatment processes to recover metal and separate dross residue. All materials from the process are recycled or re-used.
6.8b Dross (recycling)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the requirements of this criterion. NZAS and Bell Bay have onsite dross treatment processes to recover metal and separate dross

CRITERION	RATING	COMMENT
		residue. 100% of dross is treated along with other waste streams and materials on site where aluminium can be reclaimed from.
6.8c Dross (review of alternatives)	Not Applicable	NZAS and Bell Bay have sustainable pathways for dross processing and are no longer using landfill.
PRINCIPLE 7 WATER STEWARDSHIP		
7.1a Water assessment (mapping)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to these water assessment requirements. Each site maintains a water balance that identifies and tracks inputs, storage, use and outputs of potable and raw water.
7.1b Water assessment (risk assessment)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to these water assessment requirements. Water related risks are assessed and embedded in the site risk registers and associated management plans. Water related risks have included assessment in the Entity's area of influence in relation to all water withdrawal sources as well as all receiving water ways and bodies. This includes local waterways (creeks / rivers etc.), groundwater, wetlands / marshlands, marine environments (harbours, estuaries, oceans/seas). For example, the assessment included the lower Great Barrier Reef for Yarwun and the nearby RAMSAR wetlands for NZAS.
7.2a Water management (management plans)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to these water management requirements. Site specific Water Management Plans are in place that address water related risks. Effectiveness of the plans are assessed regularly at the site level and by the Rio Tinto corporate Business Conformance Audit program. Time bound Improvement targets relevant to each site's risks are developed and tracked as part of the annual Rio Tinto environmental reporting requirements. Projects have been initiated at site levels to ensure water improvements are met.
7.2b Water management (monitoring)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the monitoring of effectiveness of plans requirements. Site specific Water Management Plans are in place that address water related risks. Effectiveness of the plans are assessed regularly at



CRITERION	RATING	COMMENT
		site level and by the Rio Tinto corporate Business Conformance Audit program.
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. Water withdrawal and return are tracked and reported to the environmental regulator where required. In addition, volumes are reported through the Rio Tinto annual report and site specific annual reports and scorecards. The site specific annual reports and scorecards can be found at:</p> <p><a href="https://www.riotinto.com/Operations/australia/gove">https://www.riotinto.com/Operations/australia/gove</a>  <a href="https://www.riotinto.com/Operations/australia/weipa">https://www.riotinto.com/Operations/australia/weipa</a>  <a href="https://www.riotinto.com/Operations/australia/yarwun">https://www.riotinto.com/Operations/australia/yarwun</a>  <a href="https://www.riotinto.com/operations/australia/bell-bay">https://www.riotinto.com/operations/australia/bell-bay</a>  <a href="https://www.riotinto.com/operations/new-zealand/nzas">https://www.riotinto.com/operations/new-zealand/nzas</a></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. Biodiversity assessments have been conducted at the sites and relevant details captured in the site's risk registers and Land Use Management Plans. Biodiversity risks are well understood at all sites. For the purpose of biodiversity assessments, the individual site's area of influence includes all areas on the assets' leases and receiving environments.</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. Biodiversity risks and impacts are well understood and managed. All sites have a Land Use Management Plan that identifies biodiversity management controls and actions. Specific management plans are in place to manage significant species of flora and fauna with targets identified, project milestones captured and tracked as appropriate. There is strong threatened species and conservation management work occurring across the Entity. Examples include: Weipa's research programs in collaboration with government and academia into Red Goshawk,</p>

CRITERION	RATING	COMMENT
		Palm Cockatoo, Sawfish, and Speartooth shark; and Gove's collaboration with the Dhimurru Aboriginal Corporation and CSIRO to eradicate the Yellow Crazy Ant in North East Arnhem Land.
8.2b Biodiversity management (consultation and mitigation hierarchy)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the Biodiversity management requirements. Biodiversity Action Plans follow the biodiversity mitigation hierarchy and are diverse in their application. Indigenous communities are involved in biodiversity risk assessments, management and rehabilitation. Collaboration on conservation management programs or research into threatened species has occurred with Government Agencies, Indigenous communities and Academia.
8.2c Biodiversity management (reporting)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the Biodiversity management (reporting) requirements. Outcomes and reporting against offsets are reported to the relevant regulator. Results of biodiversity outcomes are communicated through the Rio Tinto annual Report and locally through site-specific Sustainable Development reports and scorecards (as per links in criteria 3.1). Details can be found in page 85 of the Rio Tinto 2020 Annual Report. The link for the Rio Tinto Sustainable Development Report is below: <a href="https://www.riotinto.com/invest/annual-report">https://www.riotinto.com/invest/annual-report</a></p> <p>The site specific annual reports are scorecards can be found at:</p> <p><a href="https://www.riotinto.com/Operations/australia/gove">https://www.riotinto.com/Operations/australia/gove</a>  <a href="https://www.riotinto.com/Operations/australia/weipa">https://www.riotinto.com/Operations/australia/weipa</a>  <a href="https://www.riotinto.com/Operations/australia/yarwun">https://www.riotinto.com/Operations/australia/yarwun</a>  <a href="https://www.riotinto.com/operations/australia/bell-bay">https://www.riotinto.com/operations/australia/bell-bay</a>  <a href="https://www.riotinto.com/operations/new-zealand/nzas">https://www.riotinto.com/operations/new-zealand/nzas</a></p> <p>In addition, Weipa report on their Amrun biodiversity management strategies (such as the Inshore Dolphin Offset strategy and the Feral Pig Management Offset strategy). These strategies and reports can be found at the Weipa website: <a href="https://www.riotinto.com/Operations/australia/weipa">https://www.riotinto.com/Operations/australia/weipa</a></p>
8.3 Alien Species	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the alien species requirements. All sites

CRITERION	RATING	COMMENT
		<p>have strategies for prevention and management of alien species including weeds and feral animals. Wharf areas are controlled in accordance with the relevant Australian and New Zealand biosecurity laws.</p>
<p>8.4a Commitment to “No Go” in World Heritage properties (exploration and new mines)</p>	<p>Conformance</p>	<p>The current leases of Gove and Weipa mines are not adjacent to any World Heritage sites. There are no current exploration or proposed new mine sites outside current leases. The Rio Tinto Study Definitions Guideline (used for all major projects) includes a checkpoint in relation to assessment of project location and impact on World Heritage sites.</p>
<p>8.4b Commitment to “No Go” in World Heritage properties (existing operations)</p>	<p>Not Applicable</p>	<p>There are no World Heritage sites adjacent to existing bauxite mine sites.</p>
<p>8.5a Mine rehabilitation (best available techniques)</p>	<p>Conformance</p>	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the mine rehabilitation requirements. Stakeholder mapping process have identified that the key external stakeholders are traditional owners and state and federal government. Gove and Weipa have rehabilitation plans that are regularly reviewed for effectiveness. Progressive rehabilitation occurs. Rehabilitated areas are monitored against completion criteria approved by the Environmental Regulators. Engagement and consultation with traditional owners include discussion on required end use of land which includes specific vegetation choice to enable needs of the population to be met, and full 'on-country' access for practical, cultural and other purposes. Traditional owners tour rehabilitated areas and participate in seed collection and storage for future rehabilitation. Rehabilitation criteria specific to each site have been set as part of the Environmental Licencing requirements. In Australia, this process involves consultation between the Administrating Environmental Authority and the Entity to determine appropriate pathways.</p>
<p>8.5b Mine rehabilitation (financial provisions)</p>	<p>Conformance</p>	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the mine rehabilitation requirements. All sites have closure plans which include an estimate of cost. Financial provisions are in place for closure and rehabilitation of the bauxite mines.</p>

CRITERION	RATING	COMMENT
9.1a Human Rights Due Diligence (policy)	Conformance	<p>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 approach to Human Rights and associated reporting can be found at:</p> <p><a href="https://www.riotinto.com/sustainability/human-rights">https://www.riotinto.com/sustainability/human-rights</a></p>
9.1b Human Rights Due Diligence (process)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these Human Rights Due Diligence requirements. A human rights due diligence process is set out in the Policies and is based on risk management. The due diligence process is implemented and includes a variety of assurance activities completed by internal and external sources. The Entity undertakes due diligence activities that identify, prevent and mitigate adverse effect of their operations.</p>
9.1c Human Rights Due Diligence (remediation)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these Human Rights Due Diligence requirements. The Entity has an Ethics and Integrity group which provides advice and receives concerns and complaints related to Human Rights. Issues and progress monitoring is done by senior management. In the case where human rights impacts of any magnitude may occur, there are systems and processes to appropriately remediate and reduce or eliminate the impact. These processes include investigation of the root cause and actions to prevent reoccurrence.</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. Rio Tinto Corporate put in place many policies, tools and resources to ensure women's rights are respected which are utilised and followed by the sites within the facility. Each in-scope facility has their own Inclusion and Diversity Committee. A wide range of local initiatives were observed at each in-scope facility which considered women's rights; issues such as domestic violence; workplace participation etc. Rio Tinto Australia is White Ribbon Accredited.</p>

CRITERION	RATING	COMMENT
9.3 Indigenous Peoples	Conformance	<p>Rio Tinto is committed to respecting the spirit of the UN Convention for the rights of Aboriginal peoples. Through many documents, agreements and forum, the sites visited demonstrated the respect for Indigenous Peoples that are present in the area of the operations. Where relevant, Rio Tinto has signed "Traditional Owners Agreements" with local indigenous communities present in the lease area where Rio Tinto has the authorisation to operate. At all in-scope sites, where Traditional Owners have been identified, several Traditional Owners Forums are available as formal platforms for engaging with Traditional Owners. Interviews with local indigenous groups interviewed as part of this assessment indicated that they are satisfied with the extent of consultation from Rio Tinto and are generally happy with Rio Tinto's management of cultural heritage issues.</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. Rio Tinto's position on FPIC is outlined in the Rio Tinto Indigenous Communities UNDRIP (United Nations Declaration on the Rights of Indigenous Peoples) and FPIC position statement. FPIC has been implemented through documented Communities and Social Performance standards (CSP), Study Definition and Closure Guidance notes. Other findings made for the applicable parts of ASI criteria 2.5, 9.3 to 9.7 from this report also help demonstrate the implementation of the Entity's consultation/participation processes with the concerned Indigenous Persons.</p>
9.5 Cultural and sacred heritage	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes which ensure that the in-scope sites protect cultural and sacred heritage in the areas owned or operated by Rio Tinto. All sites have a Cultural Heritage Management Plan (CHMP) that outlines processes for identification and recording of cultural heritage sites. Management and preservation of artefacts and sites is completed in consultation with Traditional Owners. Yarwun's CHMP is a legal agreement between Rio Tinto and the Directors of the registered Native Title Body Corporate. Weipa operations are governed by three Aboriginal agreements: the Western Cape Communities Co-existence Agreement (WCCCA), the Ely Bauxite</p>

CRITERION	RATING	COMMENT
		<p>Mining Project Agreement (EBMPA) and the Weipa Township Agreement that detail rights and obligations on the Indigenous territory on which the mine is located.</p> <p>Gove Operations are governed by their Gove Traditional Owner Agreement.</p> <p>All sites work to identify sacred and cultural heritage sites and values within the assets' leases which is where their area of influence in relation to cultural heritage sites and values exists. The sites work with the traditional owners and as per the cultural heritage management plans. Areas that were specifically assessed during audit include: Weipa mining leases (ML6024, ML7024, and ML7031, including areas of the Weipa Township area and communities within these areas e.g. Weipa, Napranum, Aurukun, Mapoon): Traditional Owner representatives from the Ely Coordination Committee and the WCCCA executive community and trust were interviewed during the process.</p> <p>Yarwun leases for the Residue Management Area (RMA 1 &amp; 2), Refinery, Wharf facilities and associated pipeline and conveyor corridors: Invitations to participated in the ASI process were sent to all Gladstone Region Traditional Owners. Traditional Owners declined to be interviewed during the process.</p> <p>Gove mine and Refinery: Representatives from the Gumatj and Rirratingu Traditional Owners were interviewed as part of the audit process.</p> <p>Bell Bay leases for the smelter and adjacent buffer zones: Whilst there is currently no recognised native title claims against the region, Bell Bay demonstrated consultation with the local Aboriginal Heritage Office in identification and management of artefacts and sacred sites.</p>
9.6a Resettlements (avoid or minimise)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to relevant Resettlement requirements. A procedure is in place to correctly plan and realize resettlement. There is no planned project that would require the implementation of the Resettlement procedure. No resettlement has occurred in the last three years and none is planned within the next three years. There is a Group Level Guidance Note (Resettlement &amp; Livelihoods) available, which includes internationally recognised guidance, aligned to International Finance Corporation (IFC) Guidelines.</p>

CRITERION	RATING	COMMENT
9.6b Resettlements (where unavoidable)	Not Applicable	As there is no actual, ongoing, planned project that would require the implementation of the Resettlement procedure, this element does not apply.
9.7a Local Communities (rights and interests)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to Local Communities requirements. All sites have completed a social risk assessment and stakeholder mapping process that includes needs analysis. These form part of the site's Communities and Social Performance Plans.
9.7b Local Communities (impacts)	Conformance	All sites have completed a stakeholder mapping process, which considers influence and support, as well as a needs analysis. Each site has also completed a social risk assessment. The individual site's engagement strategy is based on this mapping process. The assessment includes processes to establish ways for addressing adverse impacts or concerns arising from stakeholder meetings and forums. All sites participate in a variety of forums and reference groups which are used to engage with local communities and further enhance the understanding of needs and provide support as required. Examples include: the Bell Bay Advanced Manufacturing Zone Committee; Southland Chamber of Commerce visits; George Town Future Impact group.
9.7c Local Communities (livelihoods)	Conformance	All sites have invested significantly in the local community including facilities such as: child care; leisure facilities; sponsoring local sporting events; and other social investments. Various community investment programs exist including: Here for Gladstone; and the Weipa Liveability project. The community investment programs have governance boards who manage the programs. Focus groups and regional surveys are conducted periodically to determine the needs of the community. Programs are developed to support the identified gaps or improvement requirements for the benefit of the community. For example, the Weipa Liveability program utilised all of town surveys via online, face to face and phone interviews. Confidential feedback provided by employees at all locations indicated that Rio Tinto is well viewed in the communities that the sites are located in. Significant efforts and investment have been made by the sites to support local businesses and communities during the Covid-19 pandemic.

CRITERION	RATING	COMMENT
9.8 Conflict-Affected and High-Risk Areas	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the conflict-affected and high-risk areas requirements. The Entity has performed security risk assessments and management plans for each of its locations. Australia and New Zealand are not conflict affected or high risk areas. The Entity follows the Rio Tinto Know your Supplier and Know your Customer processes which are due diligence checks that include high risk and conflict affected area components.
9.9 Security practice	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the security practice requirements. The Entity has performed security risk assessments and management plans for each of its sites. All personnel involved in security, or who supervise security personnel, have completed the Rio Tinto Voluntary Principles on Security and Human Rights (VPSHR) Training.
PRINCIPLE 10 LABOUR RIGHTS		
10.1a Freedom of Association and Right to Collective Bargaining (freedom of association)	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to these Freedom of Association and Right to Collective Bargaining requirements. Workers have the freedom of association without interference from the Entity. These rights are enshrined in Australian and New Zealand laws.
10.1b Freedom of Association and Right to Collective Bargaining (collective bargaining)	Conformance	At Gove and Bell Bay the Enterprise Bargaining Agreement (EBA) 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 meetings between all parties are scheduled and held to ensure good collaboration and faith. Individuals not under EBAs have individual employment agreements that follow the Rio Tinto remuneration and performance framework. These sites also have access to site process for union entry to site.
10.1c Freedom of Association and Right to Collective Bargaining (alternative means)	Not Applicable	Rights of association and workers are supported by the legislation. Australia & New Zealand laws do not restrict the right to freedom of association and collective bargaining. Refer New Zealand



CRITERION	RATING	COMMENT
		Employment Relations Act 2000 & Fair Work Australia.
10.2a Child Labour (minimum age)	Conformance	Rio Tinto Human Rights Policy rejects any form of slavery, forced or child labour. Staff and contractors are trained in accordance with the Voluntary Principles on Security and Human Rights. The evidence shows that no children (under 18) are currently employed.
10.2b Child Labour (hazardous)	Conformance	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 of Child Labour is banned. Rio Tinto has developed a risk assessment which incorporates additional controls to protect workers who are under-18 e.g. apprentices.
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 none of the in-scope operations will be subject to any form of Child Labour. The Entity has an Ethics and Integrity group that provides the framework for compliance to this criterion.
10.3a Forced Labour (human trafficking)	Conformance	No evidence was identified which suggests that any of the in-scope operations support any form of human trafficking, related or not related to forced labour. Policies and procedures are implemented and followed to prevent these situations. This prohibition is also supported through several enforced regulations in Australia and New Zealand.
10.3b Forced Labour (deposits, fees, advances)	Conformance	The evidence shows that none of the in-scope operations support any form of deposit, recruitment fees through employment or recruitment, related or not related to forced labour. Policies and procedures are implemented and followed to prevent these situations. These prohibitions are also supported through several enforced regulations in Australia and New Zealand.

CRITERION	RATING	COMMENT
10.3c Forced Labour (migrant workers)	Conformance	No evidence was observed which indicated any of the in-scope operations support any form of deposit or guarantee payments from migrant workers, related or not related to forced labour. Policies and procedures are implemented and followed to prevent these situations. These prohibitions are also supported through several enforced regulations in Australia and New Zealand.
10.3d Forced Labour (debt bondage)	Conformance	The evidence shows that workers are not held in debt bondage to pay off a debt, related or not related to forced labour. Policies and procedures are implemented and followed to prevent these situations. These prohibitions are also supported through several enforced regulations in Australia and New Zealand.
10.3e Forced Labour (freedom of movement)	Conformance	The evidence show that workers have freedom of movement in the workplace or on the site, except where health and safety precaution or training is needed. Policies and procedures are implemented and followed to respect freedom of movement.
10.3f Forced Labour (retention of identity papers, permits, certificates)	Conformance	The evidence shows that none of the in-scope operations keep original copies of workers' IDs, work permits, travel documents or training certificates.
10.3g Forced Labour (freedom to terminate employment)	Conformance	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 or employee contracts.
10.4 Non-Discrimination	Conformance	Rio Tinto does not tolerate any form of discrimination, sexual harassment, bullying, vilification or victimisation. Any employee, contractor or visitor breaching this policy may be subject to disciplinary action up to the termination of employment/contract. Staff members are trained to monitor the workplace for ensuring appropriate conduct and standards are upheld at all times in accordance with relevant anti-discrimination policies and procedures. All in-scope 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. All in-scope operations have adopted the Flexible Working Arrangements Policy to make flexible working arrangements available for employees. In

CRITERION	RATING	COMMENT
		<p>the event that cases of discrimination are identified, the Human Resources department is the primary contact for providing advice and receiving complaints or concerns related to discrimination. They are supported by the Ethics and Integrity Group who provide the ‘whistle blower’ mechanism “Speak-out / Talk to Peggy” which provides an avenue for individuals who chose to share their concerns relative to alleged wrongdoing anonymously and confidentially.</p>
10.5 Communication and engagement	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the communication and engagement requirements. The Entity has several means of communication to ensure open communication with workers and their representatives (e.g. unions, delegates), regarding working conditions and any problems related to the workplace. Based on the objective evidence provided, the following conclusions can be made with regard to open communication and direct engagement with Workers and their representatives regarding working conditions and resolution of workplace and compensation issues, without threat of reprisal, intimidation or harassment:</p> <ul style="list-style-type: none"> <li>- All sites complete a People Survey twice a year with results published and on-site strategies relating to people managed influenced by the outcome of the surveys.</li> <li>- Gove and Bell Bay’s Enterprise Bargaining Agreement contains consultation obligations, which the business must meet or to effect change;</li> <li>- Union Agreement and syndicate meeting are in place as further communication pathway for workers;</li> <li>- All in-scope sites utilise the anonymous ‘Talk to Peggy’/‘Speak Out’ system. These sites employ Rio Tinto’s formal mechanisms to avoid recriminations against whistle-blowers, and Fair Treatment policies allowing employees’ grievances to be heard without reprisal.</li> </ul>
10.6 Disciplinary practices	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to the disciplinary practices requirements. The Entity has policies and laws in place to avoid unreasonable practices in the workplace to apply disciplinary measures.</p>

CRITERION	RATING	COMMENT
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 payments being 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 an integrated Health, Safety, Environment and Communities Policy (HSEC) that is supported by developed and implemented systems, procedures and processes that conform to the occupational health and safety policies requirements. The Entity has endorsement and support from senior management of the HSEC policy. Senior management supports through provision of resources and regularly reviews the Policy. The Entity communicates policies internally and externally which conforms to the requirement of this criterion. The policy is publicly available via the Rio Tinto website and can be found by searching for "HSEC Policy" at: <a href="https://www.riotinto.com/sustainability/policies">https://www.riotinto.com/sustainability/policies</a> English and French versions are available.
11.1b Occupational Health and Safety (OH&S) Policy (workers and visitors)	Conformance	The Entity has an integrated Health, Safety, Environment and Communities Policy that is supported by developed and implemented systems, procedures and processes that conform to the occupational health and safety policies requirements. The Entity's HSEC policy is easily available to workers through a variety of mechanisms and is communicated to visitors and contractors through induction processes.
11.1c Occupational Health and Safety (OH&S) Policy (applicable law and standards)	Conformance	The HSEC Policy includes a commitment to compliance with applicable law on workers' health and safety.

CRITERION	RATING	COMMENT
11.1d Occupational Health and Safety (OH&S) Policy (right to stop unsafe work)	Conformance	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. The Rio Tinto document "The Way we work" is a set of principles which explains and supports the application of the HSEC Policy. The document clearly states the right of workers to understand the hazards and execute safe practices for their work. It also includes the duty and right for workers to refuse or stop any unsafe work.
11.2 OH&S Management System	Conformance	The Entity has developed and implemented health and safety policies, systems, procedures and processes that conform to the Rio Tinto Management System requirements. The Entity's OH&S Management System is well implemented, monitored and maintained, including evidence of internal Business Conformance Audits of the sites against the requirements of the Management System Standard. Bell Bay's health and safety management system has been AS/NZS4801 certified from an accredited certification body.
11.3 Employee engagement on health and safety	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the employee engagement on health and safety requirements. All sites utilise a shift start team meeting (lean/toolbox). Built into the program is 3-2-1 coaching which includes Management, Superintendent, Team Leader, Employee/Contractor attendance at the meetings. This provides a mechanism for workers to raise issues with various levels of management on a daily basis. The program enables workers to assist in the resolution of issues. NZAS & Bell Bay call this program "Leading for Safety". Gove, Weipa, Yarwun and Bell Bay also have active site HSE Committees consisting of representation from workers, management and HSE personnel. Additional HSE committees/forums for individual work groups/topics are formed as required and/or as requested by the HSE Committees.
11.4 OH&S performance	Conformance	The Entity has developed and implemented policies, systems, procedures and processes that conform to the OH&S performance requirements. The Entity's OH&S performance indicators are continuously tracked and reported (on a monthly basis) to the site General Manager, Pacific

CRITERION	RATING	COMMENT
		Operations Managing Director and Rio Tinto HSEC Function Managers for benchmarking purposes.

### **Document Control and Version History**

Revision	Date	Notes
0	9 April 2018	Issued
1	7 December 2019	Updated to reflect Certification Scope change with addition of Weipa Bauxite Mines (Weipa, Queensland, Australia), Yarwun Alumina Refinery (Yarwun, QLD, Australia), Bell Bay Aluminium Smelter (George Town, Tasmania, Australia) and New Zealand Aluminium Smelter (Invercargill, New Zealand).
2	29 January 2020	Updated to include revised hyperlinks and document names for external publications.
3	9 April 2021	Re-Certification audit