

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

RIO TINTO ALUMINIUM (RTA)

CERTIFICATE
NUMBER

4

ASI
STANDARD

CHAIN OF CUSTODY
(V1 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI
ACCREDITED
AUDITOR

BNQ

DATE OF ISSUE

12 JULY 2021

DATE OF EXPIRY

11 JULY 2024

CERTIFIED SINCE

12 JULY 2018

AUTHORISED BY

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

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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

Rio Tinto Aluminium's facilities including Gove Bauxite Mine and related 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), ISAL (Hafnarfjörður, Iceland), Headquarters (Brisbane, QLD, Australia), and Headquarters (Saguenay and Montreal QC, Canada).

SUMMARY AUDIT REPORT

CHAIN OF CUSTODY

STANDARD

OVERVIEW

MEMBER NAME	Rio Tinto Aluminium Division
ENTITY NAME	Rio Tinto Aluminium (RTA)
CERTIFICATION SCOPE	Rio Tinto Aluminium's facilities including Gove Bauxite Mine and related 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), ISAL (Hafnarfjörður, Iceland), Headquarters (Brisbane, QLD, Australia), and Headquarters (Saguenay and Montreal QC, Canada).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">• Bauxite Mining• Alumina Refining• Aluminium Smelting• Aluminium Re-melting/Refining• Casthouses
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 – 29 April 2018)• First Scope Change Audit (4 – 12 July 2019)• Second Scope Change Audit (18 September – 28 October 2019)• Surveillance Audit (18 September 2019 – 26 February 2020)• Re-Certification and Third Scope Change Audit (1 February – 16 June 2021)
AUDIT FIRM	BNQ
AUDIT DATE	<ul style="list-style-type: none">• 13 February – 29 April 2018 (Certification Audit)• 4 – 12 July 2019 (First Scope Change Audit)• 18 September – 28 October 2019 (Second Scope Change Audit)• 18 September 2019 – 26 February 2020 (Surveillance Audit)• 1 February – 16 June 2021 (Re-Certification and Third Scope Change Audit)

- 15 June 2018 (Certification Audit)
- 10 September 2019 (First Scope Change Audit)
- 22 November 2019 (Second Scope Change Audit)
- 13 August 2020 (Surveillance Audit)
- 24 June 2021 (Re-Certification and Third Scope Change Audit)

AUDIT SCOPE

Initial Certification Audit (13 February – 29 April 2018)

- Gove Bauxite Mine including its port facilities and power station (Gove Northern Territory, Australia)
- Vaudreuil Alumina Refinery (Saguenay QC, Canada)
- Alma Smelter (Alma 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)

All relevant supply chain activities, and criteria in the Chain of Custody Standard were included in the audit scope.

First Scope Change Audit (4 – 12 July 2019)

- Kitimat Smelter (Kitimat BC, Canada)

All relevant supply chain activities, and criteria in the ASI Chain of Custody Standard were included in the audit scope.

Second Scope Change Audit (18 September – 28 October 2019)

- 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)

All relevant supply chain activities, and criteria in the ASI Chain of Custody Standard were included in the audit scope.

Surveillance Audit (18 September 2019 – 26 February 2020)

- 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)
- Headquarters (Brisbane, QLD, Australia)
- Headquarters (Saguenay and Montreal QC, Canada)

All relevant supply chain activities, and criteria in the ASI Chain of Custody Standard were included in the audit scope.

Re-Certification and Third Scope Change Audit (1 February – 16 June 2021)

The audit scope covers facilities that produce primary aluminium across operations in Australia (Bauxite Mines, Refinery, Smelters and Casthouse), New Zealand (Smelter and Casthouse), Iceland (Smelter and Casthouse) and Canada (Refinery, Smelters and Casthouses), including:

- 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)
- ISAL (Hafnarfjörður, Iceland)
- Headquarters (Brisbane, QLD, Australia)
- Headquarters (Saguenay and Montreal QC, Canada)

Supply chain activities included in the audit scope:

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

All relevant supply chain activities, and criteria in the ASI Chain of Custody Standard were included in the audit scope.

At the time of the audit (February – June 2021), access to the site was not possible, due to COVID-19 related travel restrictions. The Audit has been undertaken as a 'desktop' exercise, in accordance with ASI Interim Policy regarding Audits, Audit-related Travel and Coronavirus (v4), and included a remote review of relevant documentation.

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 12 July 2021 – 11 July 2024

NEXT AUDIT TYPE Surveillance Audit

NEXT AUDIT DATE 11 January 2023

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 since January 2015 at: https://aluminium-stewardship.org/about-asi/asi-members/rio-tinto/</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.</p> <p>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. The evidence provided shows that the Management System in place is reviewed annually.</p> <p>The ASI CoC Management System Procedure has been displayed, implemented and upgraded for improvement purposes.</p> <p>The Management System has been updated following each scope extension. The most recent update includes ISAL and consolidates procedures into a single manual.</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 ASI Chain of Custody Standard.</p> <p>Based on the evidence provided, the Entity has a designated responsible manager who oversees ASI conformance.</p>

CRITERION	RATING	COMMENT
		<p>The Entity's ASI governance mapping has been updated with organisational changes and to include ISAL. This is used for communication of roles and responsibilities to all levels of Rio Tinto Aluminium.</p>
1.5 Training	Conformance	<p>The Entity has established and implemented communications and training measures that make relevant personnel aware of and competent in their responsibilities under the ASI Chain of Custody 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. The Commercial teams in Atlantic and Pacific participate in sustainability training aligned to their roles. This includes Commercial, Technical Marketing, Sales, Portfolio and Investment personnel who have varied accountabilities under the Chain of Custody Management System. Site based personnel are trained in ASI by the ASI Advisors.</p>
1.6 Record keeping	Conformance	<p>The Entity maintains up-to-date records (Management System) covering all applicable requirements of the ASI Chain of Custody Standard. The Entity has adequate record management practices. Their procedures comply with ASI CoC requirements as well as the 5-year record retainer policy.</p> <p>Documents associated with the Chain of Custody are kept in SharePoint. The production records are kept in Rio Tinto Business Solution (SAP).</p>
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	<p>The reports were produced and transmitted. The 2018 annual report has been sent by mail (and email) to the ASI Secretariat and the 2019 and 2020 annual reports have been documented in elementAI.</p>
1.7b Reporting to ASI (Input Percentage)	Conformance	<p>The annual reports present Input Percentage for the calendar years.</p>
1.7c Reporting to ASI (Positive Balance)	Conformance	<p>The carried over Maximum Positive Balances were documented in the annual reports.</p>
1.7d Reporting to ASI (Internal Overdraw)	Conformance	<p>There is a management process for Internal Overdraw.</p>
1.7e Reporting to ASI (Eligible Scrap)	Not Applicable	<p>Eligible Scrap is not included in this Scope of Certification.</p>

CRITERION	RATING	COMMENT
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 Rio Tinto Aluminium 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.
2.2a Control of CoC Material	Not Applicable	There are no outsourcing contractors involved in the Rio Tinto Aluminium 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 Rio Tinto Aluminium 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 Rio Tinto Aluminium 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 Rio Tinto Aluminium 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 Rio Tinto Aluminium 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	There are no outsourcing contractors involved in the Rio Tinto Aluminium 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.

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

CRITERION	RATING	COMMENT
3.1a CoC Certification Scope – Bauxite Mining	Conformance	<p>Bauxite Mining activities are ASI Performance Standard (PS) certified, and are within the Entity's CoC Certification Scope.</p> <p>The PS certification shows that the Entity respects ASI requirements applicable for Bauxite Mining activities.</p> <p>The Weipa bauxite mine and the Gove bauxite mine are owned and controlled by the ASI Member Rio Tinto Aluminium (RTA).</p>
3.1b ASI Performance Standard – Bauxite Mining	Conformance	<p>The Entity has systems in place to ensure that ASI Bauxite is produced only from bauxite mines that are certified against the ASI Performance Standard.</p> <p>The Weipa and Gove bauxite mining activities are ASI PS certified. The certification of the Entity's bauxite mines shows that the Entity respects ASI applicable requirements for bauxite mining activities. See the ASI website for the valid Rio Tinto Aluminium ASI PS certificate for 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 (Rio Tinto Aluminium). Alumina refining is part of the Entity's CoC certification scope.</p> <p>The ASI Performance Standard certifications including the Yarwun and Vaudreuil Alumina Refineries show that the Entity respects ASI applicable requirements for alumina refining activities.</p> <p>The Yarwun and Vaudreuil Alumina Refineries are ASI PS Certified and are within the CoC Certification Scope. See the ASI website for the valid Rio Tinto Aluminium ASI PS certificates for Canadian (No.1) and 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. Alumina is produced from Yarwun (Australia) and Vaudreuil (Canada), which are certified against the ASI Performance Standard supporting responsible production.</p> <p>See the ASI website for the valid Rio Tinto Aluminium ASI PS certificates for Canadian (No.1), Australian and New Zealand (Pacific) facilities (No.2).</p>

CRITERION	RATING	COMMENT
3.3a CoC Certification Scope – Aluminium Smelting	Conformance	<p>All aluminium smelters in Australia, New Zealand, Canada and Iceland included in the certification scope are legally owned and controlled by the ASI Entity Rio Tinto Aluminium (RTA). Aluminium smelting activities are ASI Performance Standard certified and are within the Entity’s CoC Certification Scope.</p> <p>The ASI PS certification shows that the Entity respects ASI applicable requirements for aluminium smelting activities. See the ASI website for valid RTA ASI PS certificates for Canadian (No.1), Australian and New Zealand (Pacific) facilities (No.2) and for ISAL (No.131).</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. The PS certification shows that the Entity respects ASI applicable requirements for aluminium smelting activities.</p> <p>See the ASI website for valid Rio Tinto Aluminium ASI PS certificates for Canadian (No.1), Australian and New Zealand (Pacific) facilities (No.2) and for ISAL (No.131).</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</p>

CRITERION	RATING	COMMENT
		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.
4.2b 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 Rio Tinto Aluminium (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 Performance Standard certified. See the ASI website for valid RTA ASI PS certificates for Canadian (No.1), Australian and New Zealand (Pacific) facilities (No.2) and for ISAL (No.131).</p>
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CRITERION	RATING	COMMENT
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 Rio Tinto Aluminium (RTA) casthouses are ASI Performance Standard 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) and for ISAL (No.131).</p>
5.2 Casthouse Products	Conformance	<p>The Entity's Material Accounting System provides for traceability of CoC Material. The Entity uses unique identification numbers. The system in place conforms with the ASI CoC requirement.</p>
6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a CoC Certification Scope – Post-Casthouse	Not Applicable	<p>This Criterion is not applicable to the Entity's Certification Scope.</p>
6.1b ASI Performance Standard – Post-Casthouse	Not Applicable	<p>This Criterion is not applicable to the Entity's Certification Scope.</p>
6.1c Sourcing ASI Aluminium	Not Applicable	<p>This Criterion is not applicable to the Entity's Certification Scope.</p>
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	<p>The Entity has long-standing and sustainable procurement processes for bauxite and alumina in line with international best practices in the areas of anti-corruption, responsible sourcing and the protection of human rights while considering conflict affected areas or at high risk of conflict. The Entity's requirements in these areas have long been communicated to relevant suppliers through a variety of means.</p> <p>The Entity therefore 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 policies of the Entity have been communicated to external alumina and bauxite suppliers. These policies take account of the required ASI Performance Standard criteria.</p> <p>The above mentioned processes also cover the ISAL smelter, amongst others for its alumina sourcing.</p>
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	<p>The Entity has long-standing and sustainable procurement processes for bauxite and alumina in</p>

CRITERION	RATING	COMMENT
		<p>line with international best practices in the areas of anti-corruption, responsible sourcing and the protection of human rights while considering conflict affected areas or at high risk of conflict. The Entity's requirements in these areas have long been communicated to relevant suppliers through a variety of means.</p> <p>The Entity therefore 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 policies of the Entity have been communicated to external alumina and bauxite suppliers. These policies take account of the required ASI Performance Standard criteria. The above mentioned processes also cover the ISAL smelter, amongst others for its alumina sourcing.</p>
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	<p>The Entity has long-standing and sustainable procurement processes for bauxite and alumina in line with international best practices in the areas of anti-corruption, responsible sourcing and the protection of human rights while considering conflict affected areas or at high risk of conflict. The Entity's requirements in these areas have long been communicated to relevant suppliers through a variety of means.</p> <p>The Entity therefore 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 policies of the Entity have been communicated to external alumina and bauxite suppliers. These policies take account of the required ASI Performance Standard criteria. The above mentioned processes also cover the ISAL smelter, amongst others for its alumina sourcing.</p>
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	<p>The Entity has long-standing and sustainable procurement processes for bauxite and alumina in line with international best practices in the areas of anti-corruption, responsible sourcing and the protection of human rights while considering conflict affected areas or at high risk of conflict. The Entity's</p>

CRITERION	RATING	COMMENT
		<p>requirements in these areas have long been communicated to relevant suppliers through a variety of means.</p> <p>The Entity therefore 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 qualifies a new supplier or renew an existing supply contract (KYS: Know your supplier procedure).</p> <p>According to the supplied evidence, the responsible sourcing policies of the Entity have been communicated to external alumina and bauxite suppliers. These policies take account of the required ASI Performance Standard criteria.</p> <p>The above mentioned processes also cover the ISAL smelter, amongst others for its alumina sourcing.</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>According to the supplied evidence and all relevant testimonials, the BNQ can conclude the following about the Entity:</p> <ul style="list-style-type: none"> • 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 policies have also been communicated to external bauxite and alumina suppliers. <p>The above mentioned processes also cover the ISAL smelter, amongst others for its alumina sourcing.</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 mechanisms in place. Such process is available to personnel, interested parties, as well as stakeholders. Also, the ASI Performance Standard Management System provides information on non-compliances and liabilities in Rio Tinto Aluminium's (RTA) annual sustainability report. The Entity has</p>

CRITERION	RATING	COMMENT
		<p>thus developed and implemented policies, systems, procedures and processes that conform to the standard.</p> <p>The Entity is ASI Performance Standard certified. See the ASI website for valid RTA ASI PS certificates for Canadian (No.1), Australian and New Zealand (Pacific) facilities (No.2) and for ISAL (No.131).</p>
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	<p>Rio Tinto Aluminium'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.</p> <p>The Mass Balance System has been tested with simulated material off-site, and real material on-site (in 2018 and 2019), and these tests were conclusive and helped demonstrate the adequate functionalities of this matrix. These kinds of tests were successfully deployed remotely in teleconference in 2020 and 2021, including for ISAL.</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	Rio Tinto Aluminium's CoC mass balance process respects the maximum 12 months accounting period, since the chosen accounting period is one (1) year.
8.4 Input Percentage	Conformance	<p>The Entity calculates and records the Input Percentage for a given Material Accounting Period. 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>Rio Tinto Aluminium'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 (in 2018 and 2019), and these tests were conclusive and helped demonstrate the adequate functionalities of this matrix. These kind of tests were successfully</p>

CRITERION	RATING	COMMENT
		deployed remotely in teleconference in 2020 and 2021 including for ISAL.
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>Rio Tinto Aluminium'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 (in 2018 and 2019), and these tests were conclusive and helped demonstrate the adequate functionalities of this matrix. These kind of tests were successfully deployed remotely in teleconference in 2020 and 2021 including for ISAL.</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. Rio Tinto Aluminium's processes in place allow for adequate traceability of CoC material.</p> <p>The Mass Balance System has been tested with simulated material off-site, and real material on-site (in 2018 and 2019), and these tests were conclusive and helped demonstrate the adequate functionalities of this matrix. These kind of tests were successfully deployed remotely in teleconference in 2020 and 2021 including for ISAL.</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.</p> <p>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) has shown that the output does not proportionally exceed inputs of CoC Material.</p>
8.10a Internal Overdraws (not exceed 20%)	Conformance	<p>Rio Tinto Aluminium'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>

CRITERION	RATING	COMMENT
8.10b Internal Overdraws (not exceed affected amount)	Conformance	Processes also ensure that the Internal Overdraw does not exceed the amount of CoC 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 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 expires 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	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 audited, in both Pacific and Atlantic Operations: <ul style="list-style-type: none"> • Real Non-CoC Shipments' Expedition Documents without CoC claims were verified (to see how they worked) • Blank Specimen of ASI CoC Expedition Documents were also verified (to see how ASI CoC Material will be shipped once certified) • Certified shipments have been successfully audited
9.2a Date of issue	Conformance	The Entity's CoC process covers the appropriate documentation of shipment or transfer of material including the date of issue. The following elements were audited, in both Pacific and Atlantic Operations: <ul style="list-style-type: none"> • Real Non-CoC Shipments' Expedition Documents without CoC claims were verified (to see how they worked) • Blank Specimen of ASI CoC Expedition Documents were also verified (to see how ASI CoC Material will be shipped once certified) • Certified shipments have been successfully audited
9.2b Reference number	Conformance	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

CRITERION	RATING	COMMENT
		<p>verification purposes. The Entity's CoC documentation includes the required information. The following elements were audited, in both Pacific and Atlantic Operations:</p> <ul style="list-style-type: none"> • Real Non-CoC Shipments' Expedition Documents without CoC claims were verified (to see how they worked) • Blank Specimen of ASI CoC Expedition Documents were also verified (to see how ASI CoC Material will be shipped once certified) • Certified shipments have been successfully audited
9.2c Issuing Entity	Conformance	<p>The identity, address and CoC Certification number of the Entity issuing the CoC Document, are included in the Entity's CoC Documents. The following elements were audited, in both Pacific and Atlantic Operations:</p> <ul style="list-style-type: none"> • Real Non-CoC Shipments' Expedition Documents without CoC claims were verified (to see how they worked) • Blank Specimen of ASI CoC Expedition Documents were also verified (to see how ASI CoC Material will be shipped once certified) • Certified shipments have been successfully audited
9.2d Receiving customer	Conformance	<p>The identity and address of the customer receiving the CoC Material are included in Rio Tinto Aluminium's (RTA) CoC Documents. When applicable, the customer CoC Certification number is also included in RTA's CoC Documents. The following elements were audited, in both Pacific and Atlantic Operations:</p> <ul style="list-style-type: none"> • Real Non-CoC Shipments' Expedition Documents without CoC claims were verified (to see how they worked) • Blank Specimen of ASI CoC Expedition Documents were also verified (to see how ASI CoC Material will be shipped once certified) • Certified shipments have been successfully audited
9.2e Responsible employee	Conformance	<p>The Entity ensures that CoC Documents include the responsible employee who can verify information in the CoC Document. The following elements were audited, in both Pacific and Atlantic Operations:</p> <ul style="list-style-type: none"> • Real Non-CoC Shipments' Expedition Documents without CoC claims were verified (to see how they worked) • Blank Specimen of ASI CoC Expedition Documents were also verified (to see how ASI CoC Material will be shipped once certified) • Certified shipments have been successfully audited

CRITERION	RATING	COMMENT
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 the Entity’s CoC Documents.</p> <p>The following elements were audited, in both Pacific and Atlantic Operations:</p> <ul style="list-style-type: none"> • Real Non-CoC Shipments’ Expedition Documents without CoC claims were verified (to see how they worked) • Blank Specimen of ASI CoC Expedition Documents were also verified (to see how ASI CoC Material will be shipped once certified) • Certified shipments have been successfully audited
9.2g Type of CoC Material	Conformance	<p>The type of CoC Material in the shipment is detailed in the Entity’s CoC Documents.</p> <p>The following elements were audited, in both Pacific and Atlantic Operations:</p> <ul style="list-style-type: none"> • Real Non-CoC Shipments’ Expedition Documents without CoC claims were verified (to see how they worked) • Blank Specimen of ASI CoC Expedition Documents were also verified (to see how ASI CoC Material will be shipped once certified) • Certified shipments have been successfully audited
9.2h Mass of CoC Material	Conformance	<p>The mass of CoC Material in the shipment is detailed in the Entity’s CoC Documents.</p> <p>The following elements were audited, in both Pacific and Atlantic Operations:</p> <ul style="list-style-type: none"> • Real Non-CoC Shipments’ Expedition Documents without CoC claims were verified (to see how they worked) • Blank Specimen of ASI CoC Expedition Documents were also verified (to see how ASI CoC Material will be shipped once certified) • Certified shipments have been successfully audited
9.2i Mass of total material	Conformance	<p>The mass of total material in the shipment is detailed in the Entity’s CoC Documents.</p> <p>The following elements were audited, in both Pacific and Atlantic Operations:</p> <ul style="list-style-type: none"> • Real Non-CoC Shipments’ Expedition Documents without CoC claims were verified (to see how they worked) • Blank Specimen of ASI CoC Expedition Documents were also verified (to see how ASI CoC Material will be shipped once certified) • Certified shipments have been successfully audited

CRITERION	RATING	COMMENT
9.3a Sustainability Data (optional)	Not Applicable	Rio Tinto Aluminium will not include sustainability data in their CoC Documents. This optional Criterion does not apply.
9.3b Sustainability Data (passing on)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.3c Post-Casthouse ASI Certification status	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.4 Supplementary Information (optional)	Not Applicable	Rio Tinto Aluminium 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 client's 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.
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 manual 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 manual 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 Chain of Custody Certification for any changes that might affect the status of the supplied CoC Material. The Entity's ASI manual 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 recurrence.

CRITERION	RATING	COMMENT
		<p>The Entity's ASI manual includes the steps required in case of an error in CoC documentation.</p> <p>The Entity's ASI manual 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 Rio Tinto Aluminium (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. RTA's ASI CoC Manual also presents clear instructions on that subject matter.
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. The Entity's ASI CoC Manual also presents clear instructions on that subject matter.
11.1c No double counting	Conformance	<p>The Rio Tinto Aluminium (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. RTA's ASI CoC Manual also presents clear instructions on that subject matter.</p>
11.1d No Positive Balance for ASI Credits	Conformance	The Rio Tinto Aluminium (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. RTA's ASI CoC Manual also presents clear instructions on that subject matter.
11.2a Date of issue	Conformance	The Rio Tinto Aluminium (RTA) ASI CoC Credits Certificates Specimen has a specific input section for the issuance date. RTA's ASI CoC Manual also presents clear instructions on that subject matter.
11.2b Reference number	Conformance	The Rio Tinto Aluminium (RTA) ASI CoC Credits Certificates Specimen has a specific input section for the targeted reference number. This unique reference number will be generated by the products sales systems mentioned above. RTA's ASI CoC Manual also presents clear instructions on that subject matter.
11.2c Issuing Entity	Conformance	The Rio Tinto Aluminium (RTA) ASI CoC Credits Certificates Specimen identify the coordinates and the CoC certification number of the issuing Entity

CRITERION	RATING	COMMENT
		(RTA). RTA's ASI CoC Manual also presents clear instructions on that subject matter.
11.2d Receiving Entity	Conformance	The Rio Tinto Aluminium (RTA) ASI CoC Credits Certificates Specimen has a specific input section to identify the coordinates and the CoC certification number of the receiving Entity (RTA). RTA's ASI CoC Manual also presents clear instructions on that subject matter.
11.2e Conformance statement	Conformance	The Rio Tinto Aluminium (RTA) ASI CoC Credits Certificates Specimen bear this statement: "The information provided in the ASI Credits Certificate is in conformance with the ASI CoC Standard." RTA's ASI CoC Manual also presents clear instructions on that subject matter.
11.2f ASI Credits statement	Conformance	The Rio Tinto Aluminium (RTA) ASI CoC Credits Certificates Specimen bear this statement: "ASI Credits may not be re-traded. ASI Credits may not be allocated to physical products or otherwise claimed as ASI Aluminium." RTA's ASI CoC Manual also presents clear instructions on that subject matter.
11.2g Quantity	Conformance	The Rio Tinto Aluminium (RTA) ASI CoC Credits Certificates Specimen has a specific input section for the quantity of emitted ASI Credits. RTA's ASI CoC Manual also presents clear instructions on that subject matter.
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.

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

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.
4	12 July 2021	Re-Certification Audit and Scope Change Audit to include ISAL (smelter and casthouse in Iceland) (Full Certification Issued); Update to audit scope of Initial Certification Audit to include Alma Smelter, due to omission.