
ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

RIO TINTO ALUMINIUM (RTA) CANADA

CERTIFICATE
NUMBER

1

ASI
STANDARD

PERFORMANCE
STANDARD
(V2 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI
ACCREDITED
AUDITOR

BNQ

DATE OF ISSUE

16 MARCH 2021

DATE OF EXPIRY

15 MARCH 2024

CERTIFIED SINCE

16 MARCH 2018

AUTHORISED BY

A stylized, handwritten signature in black ink, likely belonging to a representative of the Aluminium Stewardship Initiative.

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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 activities across Canada including the production of alumina (Vaudreuil Refinery, Québec); aluminium smelting and casting (Alma, AP-60, Arvida, Grande-Baie and Laterrière Smelter's in Québec and Kitimat Smelter in British-Columbia); aluminium casting (Dubuc/PLS in Québec); unloading, storage, loading and ground transportation of raw materials and goods (Port and Rails, Québec); electrical power generation and distribution (Power Operations in Québec and British-Columbia); treatment of spent pot lining (SPL Treatment Plant, Québec) and; head office support and research and development (Headquarters in Montréal and Saguenay, Québec).

SUMMARY AUDIT REPORT

PERFORMANCE STANDARD

OVERVIEW

MEMBER NAME	Rio Tinto
ENTITY NAME	Rio Tinto Aluminium (RTA) Canada
CERTIFICATION SCOPE	Rio Tinto Aluminium's activities across Canada including the production of alumina (Vaudreuil Refinery, Québec); aluminium smelting and casting (Alma, AP-60, Arvida, Grande-Baie and Laterrière Smelter's in Québec and Kitimat Smelter in British-Columbia); aluminium casting (Dubuc/PLS in Québec); unloading, storage, loading and ground transportation of raw materials and goods (Port and Rails, Québec); electrical power generation and distribution (Power Operations in Québec and British-Columbia); treatment of spent pot lining (SPL Treatment Plant, Québec) and; head office support and research and development (Headquarters in Montréal and Saguenay, Québec).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">• Alumina Refining• Aluminium Smelting• Aluminium Re-melting/Refining• Casthouses• Semi-Fabrication
ASI STANDARD	<ul style="list-style-type: none">• Performance Standard V2
AUDIT TYPE	<ul style="list-style-type: none">• Initial Certification Audit (9 – 26 January 2018)• Scope Change Audit (4 September – 4 October 2018)• Surveillance Audit (30 September – 28 February 2020)• Re-Certification Audit (6 October 2020 – 16 February 2021)• Surveillance Audit and Scope Change (17 October 2022 – 4 November 2022)
AUDIT FIRM	BNQ
AUDIT DATE	<ul style="list-style-type: none">• 9 – 26 January 2018 (Initial Certification Audit)• 4 September – 4 October 2018 (Scope Change Audit)• 30 September 2019 – 28 February 2020 (Surveillance Audit)• 6 October 2020 – 16 February 2021 (Re-Certification Audit)

	<ul style="list-style-type: none"> • 17 October 2022 – 4 November 2022 (Surveillance Audit and Scope Change)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"> • 7 March 2018 (Initial Certification Audit) • 26 November 2018 (Scope Change Audit) • 21 August 2020 (Surveillance Audit) • 28 February 2021 (Re-Certification Audit) • 15 August 2023 (Surveillance Audit and Scope Change)
AUDIT SCOPE	<p><u>Initial Certification Audit (9 - 26 January 2018)</u></p> <ul style="list-style-type: none"> • Vaudreuil Alumina Refinery (Saguenay QC, Canada) • Alma Smelter (Alma QC, Canada) • AP-60 Smelter (Saguenay QC, Canada) • Arvida Smelter (Saguenay QC, Canada) • Grande-Baie Smelter (Saguenay QC, Canada) • Beauharnois (Beauharnois QC, Canada) • Laterrière Smelter (Saguenay QC, Canada) • Dubuc / PLS (Saguenay QC, Canada) • Spent Pot Lining Treatment Plant (Saguenay QC, Canada) • Québec Power Operations (Saguenay QC, Canada) • IPSF (Port and Rails) (Saguenay QC, Canada) • Headquarters (Saguenay and Montreal QC, Canada) <p>All relevant supply chain activities, and Criteria in the ASI Performance Standard were included in the Audit Scope.</p> <p><u>Scope Change Audit (4 September – 4 October 2018)</u></p> <ul style="list-style-type: none"> • Headquarters (Saguenay and Montreal QC, Canada) • Kemano Power Operations (Kitimat BC, Canada) • Kitimat Smelter (Kitimat BC, Canada) <p>All relevant supply chain activities, and Criteria in the ASI Performance Standard were included in the Audit Scope.</p> <p><u>Surveillance Audit (30 September – 28 February 2020)</u></p> <ul style="list-style-type: none"> • Alma Smelter (Alma QC, Canada) • AP-60 Smelter (Saguenay QC, Canada) • Arvida Smelter (Saguenay QC, Canada) • Beauharnois (Beauharnois QC, Canada) • Headquarters (Saguenay and Montreal QC, Canada) • IPSF (Port and Rails) (Saguenay QC, Canada) • Kitimat Smelter (Kitimat BC, Canada) • Laterrière Smelter (Saguenay QC, Canada) • Québec Power Operations (Saguenay QC, Canada) • Spent Pot Lining Treatment Plant (Saguenay QC, Canada) • Vaudreuil Alumina Refinery (Saguenay QC, Canada) <p>All relevant supply chain activities, and Criteria in the ASI Performance Standard were included in the Audit Scope.</p>

Re-Certification Audit (6 October 2020 – 16 February 2021)

The audit scope included operations in Canada including the production of alumina (Vaudreuil Refinery, Québec); aluminium smelting and casting (Alma, AP-60, Arvida, Grande-Baie and Laterrière Smelter's in Québec and Kitimat Smelter in British-Columbia); aluminium casting (Beauharnois and Dubuc/PLS in Québec); unloading, storage, loading and ground transportation of raw materials and goods (Port and Rails, Québec); electrical power generation and distribution (Power Operations in Québec and British-Columbia); treatment of spent pot lining (SPL Treatment Plant, Québec) and; head office support and research and development (Headquarters in Montréal and Saguenay, Québec)..

Supply chain activities included in the Audit Scope:

- Alumina Refining
- Aluminium Smelting
- Aluminium Re-melting / Refining
- Casthouses
- Semi-Fabrication

All relevant Criteria in the ASI Performance Standard were included in the Audit Scope.

At the time of the audit (October 2020 - February 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.

Surveillance Audit and Scope Change (17 October 2022 – 4 November 2022)

- AP-60 Smelter (Saguenay QC, Canada)
- Arvida Smelter (Saguenay QC, Canada)
- Dubuc / PLS (Saguenay QC, Canada)
- Headquarters (Saguenay and Montreal QC, Canada)
- IPSF (Port and Rails) (Saguenay QC, Canada)
- Kemano Power Operations (Kitimat BC, Canada)
- Kitimat Smelter (Kitimat BC, Canada)
- Laterrière Smelter (Saguenay QC, Canada)
- Québec Power Operations (Saguenay QC, Canada)
- Spent Pot Lining Treatment Plant (Saguenay QC, Canada)
- Vaudreuil Alumina Refinery (Saguenay QC, Canada)

All relevant supply chain activities, and Criteria in the ASI Performance Standard were included in the Audit Scope.

AUDIT METHODOLOGY DECLARATION	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"> ☑ 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	16 March 2021 – 15 March 2024
NEXT AUDIT TYPE	Re-Certification Audit
NEXT AUDIT DATE	15 March 2024
CERTIFICATION NUMBER	1

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
PRINCIPLE 1 BUSINESS INTEGRITY		
1.1 Legal Compliance	Conformance	<p>The Entity has implemented processes that allow adequate awareness of legal requirements and to ensure compliance with Applicable Laws and regulations. Based on interviews and evidence observed, this criterion is met. To ensure legal compliance, the Entity deploys the following processes:</p> <ul style="list-style-type: none"> - Rio Tinto Management System and Performance Standards for Health, Safety, Environment and Communities (HSEC) - Ethics & Compliance Business Integrity Standards - Company Code of Conduct (The Way We Work) - Legal Register, Legal watch and regulatory HSE compliance - ISO 14001 certification for smelters, refinery and power operations and ISO 9001 in casting centres - Tax Service for tax requirements - Human Resources Service and Labour Law - Legal Service for any other law/ regulation <p>Information is publicly available at: https://www.riotinto.com</p>
1.2 Anti-Corruption	Conformance	<p>The Entity has established adequate anti-corruption measures which are approved by senior management and implemented at all relevant corporate levels. Based on the provided objective evidence, the following elements have been implemented:</p> <ul style="list-style-type: none"> - Anti-Corruption Policies and systems, officially approved by senior management. These provide an awareness of the Corruption, Bribery, fraud and economic criminal risks and the basis for integrating an overall anti-corruption culture into the Entity. - These Policies are communicated appropriately to all employees and Stakeholders. The penalties that apply in case of non-compliance are reference. - The Ethics and Compliance Team is the primary contact for providing advice on business integrity matters and the Business Conduct Office is responsible for managing the confidential reporting program and responding to allegation of misconduct or breach of policies or law. This confidential reporting program is available to all employees, contractors, suppliers, clients and community members. - Periodic training on anti-corruption is mandatory for employees. - Policies and procedures appropriately address donations, charitable contributions and sponsorships. - Criteria and documented procedures are available for registration and approval of the offer and acceptance of third-party gifts, including hospitality and entertainment. A register is established for recording these. - Risk assessments to identify aspects of the company that are exposed to corruption risk is reviewed regularly.
1.3 Code of Conduct	Conformance	<p>The Entity has implemented an organisational Code of Conduct that includes relevant principles for environmental, social and</p>

CRITERION	RATING	COMMENT
		<p>governance performance. Known as 'The Way We Work' it includes commitments regarding:</p> <ol style="list-style-type: none"> 1) Business integrity, including the areas of environmental, social and governance performance. 2) The inclusion of a commitment to respect the rights of Indigenous Peoples. 3) Safety and Health, Human Rights, Communities, employment and inclusion. <p>Employees and interested parties (including subcontractors) are made aware of the Code of Conduct. A demonstration of the principles of the Code of Conduct are integrated into the business activities. Awareness sessions are planned and implemented to inform employees and Entity partners, service providers and suppliers about the principles and values of the Entity.</p> <p>The Entity's Ethics and Compliance Team is the primary contact for providing advice on business integrity matters and the Business Conduct Office is responsible for managing the confidential reporting program and responding to allegation of misconduct or breach of policies or law. The confidential reporting program is available to all employees, contractors, suppliers, clients and community members.</p>
PRINCIPLE 2 POLICY & MANAGEMENT		
2.1a Environmental, Social, and Governance Policy (implement and maintain)	Conformance	<p>The Entity has Policies that include statements of principles and intention which support achievement of the requirements in the ASI Performance Standard. A set of environmental, social and governance Policies comply with the ASI Performance Standard. These Policies are relevant to activities and their potential impacts.</p>
2.1b Environmental, Social, and Governance Policy (senior management)	Conformance	<p>The Entity's senior management endorses and supports through the provision of resources and a regular review of the Policies. Senior management has demonstrated its commitment to the implementation of the Policies and has implemented the following elements:</p> <ul style="list-style-type: none"> - Business activities are in accordance with the Policies. - Environmental, social and governance Policies are updated regularly. - Policy commitments are incorporated into operational policies and appropriate procedures. - The Ethics and Compliance Team is the primary contact for providing advice on business integrity matters and the Business Conduct Office is responsible for managing the confidential reporting program and responding to allegation of misconduct or breach of policies or law. This confidential reporting program is available to all employees, contractors, suppliers, clients and community members for receiving complaints or concerns regarding compliance with policies. A reporting and denunciation mechanism is available for all employees and contractors and actions are planned when required.

CRITERION	RATING	COMMENT
		Progress monitoring against reported issues and complaints are undertaken by senior management.
2.1c Environmental, Social, and Governance Policy (communication)	Conformance	<p>The Entity communicates Policies internally to all Workers via the intranet, company website and posting on notice boards. Senior management ensures that employees are aware of the social and governance Policies relevant to the specific responsibilities and tasks they perform and those directly related to their position. Awareness and reinforcement assist employees and management to integrate policies into their work and procedures. Policies are available to external Stakeholders to raise awareness of the Entity's commitments:</p> <p>https://www.riotinto.com/sustainability/policies#policy-results_q=HSE%20policy&policy-results_e=0</p>
2.2 Leadership	Conformance	<p>The Managing Director – Atlantic Operations, has renewed the General Manager (GM), Environment and Sustainability position, which is part of the RTA ASI Steering Committee. A Manager ASI for Rio Tinto Aluminium (RTA) has been appointed and this role is in control of the ASI program for RTA. The Senior Advisor ASI, operationalises ASI for the Entity and helps orientate the operations through the ASI way.</p>
2.3a Environmental and Social Management Systems (environmental)	Conformance	<p>All of the Entity's Canadian Facilities included in the Certification Scope are certified to ISO 14001:2015 by BNQ. A valid ISO 14001:2015 certificate of the Entity is available at:</p> <p>https://www.bnq.qc.ca/en/certified-clients.html?nomentreprise=&noCertificat=50650-1-08#recherche_rcc_input</p>
2.3b Environmental and Social Management Systems (social)	Conformance	<p>The Entity's Health, Safety, Environment and Communities (HSEC) Standards are implemented and meets these requirements. The Rio Tinto Management System includes a community component in its HSEC Standards as well as a Community and Social Performance Standard which is based on the International Finance Corporation (IFC) Performance Standard (PS) 4: Community Health, Safety, and Security.</p> <p>Social risks are managed using the specialised '5x5' matrix derived from Rio Tinto Risk Management Standards. Locally, the Entity's Facilities maintain Good Neighbour Committees where they interact, inform and consult with the Community.</p>
2.4 Responsible Sourcing	Conformance	<p>The Entity has implemented a Supplier Code of Conduct and deploys several processes to ensure Responsible Sourcing. These include a Procurement Group Standard and a Procurement Group website which allows access to the responsible procurement tools, including the Code of Conduct 'The Way We Work', Rio Tinto's Global Supplier Code of Conduct, the Business Integrity Standard, and the Human Rights Policy.</p> <p>Locally, contractors working in Rio Tinto's facilities or providing Rio Tinto are regularly monitored and communicated through the</p>

CRITERION	RATING	COMMENT
		deployment of the Contractor Management System. The Contractor Management Team is dedicated to deploying the Contractor Management System.
2.5 Impact Assessments	Conformance	<p>The Entity has developed and implemented a Risk Management Standard and Risk Management Policy. The 'Why human rights matter' and 'Why agreements matter' Guides have also been developed.</p> <p>The Project Evaluation Standard 2020, the Inclusion and Diversity Policy and the community relations and social performance Roadmap for Projects as well as the RTA Engineering services portal support these processes.</p> <p>Rio Tinto's major projects are audited by a dedicated corporate Rio Tinto team. Québec and British-Colombia (BC) laws and regulations for Impact Assessment are strict and Canadian laws also protect Human Rights and gender equality.</p> <p>The expansion of the Vaudreuil plant's Bauxite Residue disposal site (the VB 2022 Project Phase 2) in the Province of Québec (Qc), the expansion and redevelopment of docks at port facilities IPSF in Qc and the "T2" second tunnel to the Kemano Powerhouse construction and recent commissioning in BC have recently gone through these processes.</p>
2.6 Emergency Response Plan	Conformance	<p>Beneath the Entity's Business Resilience and Recovery Programme (BRRP), the Business Resilience Management Plan (BRMP) is the main document which addresses emergency response, contingencies and business continuity. The BRMP addresses emergency responses and defines the emergency scenarios, response plan, equipment, communication, responsibilities and specific procedures.</p> <p>A calendar for the conducting of drills and training is in place to track and document the exercises. Drills are performed and debriefing from drills and real events helps improve the effectiveness of the BRRP for the Entity.</p>
2.7 Mergers and Acquisitions	Conformance	<p>A merger and acquisition process is deployed by the Entity, governed by its Project Evaluation Standard. A merger and acquisition department operates within the Entity's Corporate Function. Any major merger and acquisition project is subject to a social, environmental and governance Due Diligence process in accordance with established guidance. Corporate processes are in place for when merger and acquisition activity may take place in future.</p>
2.8 Closure, Decommissioning and Divestment	Conformance	<p>The Entity has developed and implemented HSEC Site Closure Standards which are used by the Closure Team. The Closure Guidance Note, the Rio Tinto Closure Steering Committee (CSC) Terms of Reference and the Closure Steering Committee Dashboard support these Standards.</p> <p>In the Province of Québec, the management process for the environmental, social and governance issues related to site closure</p>

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		<p>was verified through the partial decommissioning project in Arvida, Valorisation Arvida Asset (VAA). The Pre-Feasibility study is completed at 90% (social, environmental, economic) and risk assessments were undertaken and are reviewed quarterly. Integration of the decommissioning team with the operations team has been undertaken to ensure smooth transition. No Impacts Assessment has been required as Arvida holds a current permit valid through 2025.</p> <p>In the province of British Columbia, BC Works implemented a complete closure, decommissioning and divestment process. Furthermore, all decommissioning plans must be approved by the provincial authorities. Projects are managed by a dedicated project team that report evolution of works to the management team during periodic meetings.</p>

PRINCIPLE 3 TRANSPARENCY

3.1 Sustainability Reporting	Conformance	<p>Globally, Rio Tinto publishes annually a global sustainable development report aligned with the Global Reporting Initiative (GRI) G4 Guidelines: https://www.riotinto.com/sustainability/sustainability-reporting</p> <p>The Entity has publicly disclosed a satisfactory Sustainable Development Report for the Province of Québec, which was distributed to all employees (in French): https://votreriointoslsj.com/rapports-de-developpement-durable</p> <p>British-Colombia (BC) Works has published an annual Sustainability Report, which was distributed to all employees: https://www.riotinto.com/en/operations/canada/bc-works</p> <p>An annual Environmental Report is submitted to the provincial government and made available to the Kitimat Public Advisory Committee (KPAC) and the public through the Rio Tinto website: https://www.riotinto.com/en/operations/canada/bc-works</p>
3.2 Non-Compliance and liabilities	Conformance	<p>Non-compliances and liabilities are published in the Entity's Annual Reports (including Sustainability Reports). For the province of Québec, non-compliance and liabilities, at minimum, are publicly disclosed in the annual sustainability development reports. Public disclosure is undertaken via the 2021 Sustainable Development Report (available in French only): https://votreriointoslsj.com/rapports-de-developpement-durable</p> <p>Since the Sustainability Development Reports of the Québec Operations for 2022 (currently in preparation) and 2023 (year still in progress) have not been yet published, any fine incurred in 2022 or 2023 has been otherwise published to this day through, amongst others, Good-Neighbouring Committees websites like the one of the Laterrière Smelter (available in French only: please see the March 20, 2023, Meeting Minutes on page 11 of 32): https://votreriointoslsj.com/comit-de-bon-voisinage-laterriere/widgets/47205/documents</p> <p>For British-Colombia (BC), non-compliance and liabilities are publicly disclosed at: https://www.riotinto.com/can/canada-</p>

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		operations/bc-works Non-compliances and liabilities are published in the BC Works Sustainability Report 2022. For example, the environmental non-compliances identified during the compliance audit are mentioned in the report. The BC Works Annual Environmental Report 2022 details all the non-compliances issued in 2022, with the corrective actions.
3.3a Payments to governments (legal and contractual)	Conformance	<p>The Entity's Transparency Statement, Business Integrity Standard and Procedure deployment is supported through Québec's and BC laws and regulations for taxes, permit and other official authorisations, which are strict and prescriptive.</p> <p>Payments to governments are independently verified by independent accounting firms. The Federal (Canada) and provincial governments undertaken periodic audits directly.</p> <p>Rio Tinto has a Tax Department strictly supervised by continuous training and supported through the Rio Tinto Business Integrity Standard and the Transparency Statement.</p> <p>Rio Tinto Taxes Paid report discloses publicly payment to authorities and is made available to the public via: https://www.riotinto.com/en/invest/reports/taxes-paid-report</p>
3.3b Payments to governments (disclosure – Bauxite Mining)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.4 Stakeholder complaints, grievances and requests for information	Conformance	<p>The Entity deploys the following processes for the province of Québec:</p> <ul style="list-style-type: none"> - Each major Facility deploys a Good Neighbourhood Committee to interact with relevant Stakeholders. - Rio Tinto Regional Security Department receive any complaints or relevant requests. - Websites provide information to relevant Stakeholders. - RTA Electric Power deploys a georeferenced system for monitoring complaints or requests from Stakeholders on the shores of Lake St-Jean which is a hydroelectric reservoir for Rio Tinto. - The Rio Tinto Business Solution (RTBS) enables the tracking of all relevant requests or complaints from Stakeholders. - Efficient process to address and close complaints, with KPI follow-up. - Rio Tinto's ISO 14001 certification enables the BNQ to track the handling of environmental complaints and the management of the Lac-Saint-Jean riverbanks (related to RTA hydroelectric facilities). - First Nations affected by the Lac-Saint-Jean project participated actively in the Authorization renewal consultation. <p>For the province of British-Colombia (BC):</p> <ul style="list-style-type: none"> - BC Works received complaints or requests through e-mails, phone calls and Facebook. - Complaints are usually addressed immediately and all actions

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		<p>have been closed.</p> <ul style="list-style-type: none"> - A system is also used to record complaints and requests of information from external Stakeholders. - Analytics are included in this system, which are shared with Stakeholders and the Kitimat Public Advisory Committee (KPAC). - KPAC and the Community Office advise regularly about the means for the Communities to provide questions, comments or concerns to BC Works. - Training has been provided to all communication team members on differences regarding incidents, complaints, disputes and grievances and how to deal with them. - The Water Engagement Initiative (WEI) provides a formal forum for concerned Stakeholders of the Nechako Watershed/ Reservoir (Kemano Power Operations) to communicate and monitor complaints, grievances and requests for information.
PRINCIPLE 4 MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment (life cycle impacts)	Conformance	<p>The Entity evaluates life cycle impacts of its major Product line. Based on interviews and evidence observed, this Criterion is met. The Entity completed an environmental Life Cycle Assessment (LCA) of aluminium ingot produced by Rio Tinto Alcan in 2019 titled 'Screening Life Cycle Assessment of Pechiney Aluminium technologies'.</p> <p>A 2022 LCA Update has also been completed for the Kitimat, Alma and Arvida Smelters.</p>
4.1b Environmental Life Cycle Assessment (cradle to gate)	Conformance	<p>The Entity's cradle-to-gate LCA data are available upon request. Based on interviews and evidence observed, this Criterion is met. The Entity has developed an interactive Excel matrix presenting RTA lifecycle. The Entity provides Carbon Footprint data to the Canadian Aluminium Association (AAC) and collaborates with the Intergovernmental Panel on Climate Change (IPCC) and the International Aluminium Institute (IAI).</p>
4.1c Environmental Life Cycle Assessment (public communication)	Conformance	<p>The carbon footprint analysis of the North American and European ingot has been completed and is available upon request. The summary is available and presents the system's boundaries, data sources and corresponding assumptions.</p>
4.2 Product design	Not Applicable	<p>This Criterion is no longer applicable in the Certification Scope as product design is now completely realised by specific clients.</p>
4.3a Aluminium Process Scrap (targets)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to these material stewardship requirements. Planning and implementation of optimised Aluminium residues reuse is performed, followed and integrated centrally for all RTA-Atlantic production sites at the Aluminium Operations Centre. Minimum (safety stock) and maximum aluminium residues inventory targets for each production site are set, monitored, and reviewed periodically based on the</p>

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		<p>established metallurgist requirement and reuse capacity requirements.</p> <p>The RTA Control Tower also assists in optimising scrap recycling for the Entity's operations.</p>
4.3b Aluminium Process Scrap (alloy separation)	Conformance	<p>The Entity has an Aluminium recycling strategy. All Aluminium alloys scrap are separated and recycled by family and grade based on the production needs planned by the metallurgists at each production site.</p> <p>The RTA Control Tower also assists in optimising scrap recycling for the Entity's operations.</p>
4.4a Collection and recycling of Products at end-of-life (strategy)	Conformance	<p>The Entity has an Aluminium recycling strategy. The Criterion does not directly apply to the Entity's Products. All Primary Aluminium is internally recycled when not transferred to the next transformation step. All Aluminium sold by the Facilities is Pre-Consumer Scrap and is 100% recyclable in these Facilities. The Entity does not sell Aluminium products for end uses but to material conversion or other manufacturing facilities that produce end use products. Even if the end-use products are not coming from the Entity, the Entity is involved in recycling activities at the local, regional and national levels.</p>
4.4b Collection and recycling of Products at end-of-life (engagement)	Conformance	<p>The Entity has an Aluminium recycling strategy. The Entity promotes the recycling of Aluminium in communities, as made available by the Aluminium Association of Canada (AAC). Some initiatives undertaken by the AAC on the subject include being a co-founder of the Québec Pole in Circular Economy and works with the Sustainability, Environment and Circular Economy Institute (EDDEC). The Entity is a founding member of 'Pro-Consigne', which works to develop mechanisms to promote the recovery of cans and ensure the sustainability of this recovery route. The Entity is also a member of the residual materials management committee of the Provincial Minister of Environment.</p>
PRINCIPLE 5 GREENHOUSE GAS EMISSIONS		
5.1 Disclosure of GHG emissions and energy use	Conformance	<p>Rio Tinto publishes its global Greenhouse Gas (GHG) emissions on its website in their annual Climate Change Report: https://www.riotinto.com/en/invest/reports/climate-change-report</p> <p>The consolidated material GHG emissions by source for Alumina and Aluminium production as well as the energy intensity consumed by aluminium smelters and their sources have been disclosed publicly in the 2021 Provincial Sustainability Report: https://votreriotoslsj.com/rapports-de-developpement-durable</p> <p>BC Works accounts for and publicly discloses material GHG emissions and energy use by source on an annual basis in the 2022 BC Work Environmental Performance Report: https://www.riotinto.com/en/operations/canada/bc-works</p>
5.2 GHG emissions reductions	Conformance	<p>Rio Tinto has published its global greenhouse gas reduction targets for 2030 and 2050 in its 2019 Climate Change Report. The</p>

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		<p>company will track its performances against those targets annually in its Climate Change Report. Rio Tinto Aluminium contributes to 70% of the emissions of Rio Tinto and will therefore be a major participant in these reductions.</p> <p>For the Province of Québec, the Entity has published its consolidated time bound GHG emissions reduction targets (in absolute) for the Province of Québec (Canada) in the 2021 Provincial Sustainability Report through the following link (in French): https://votreriointoslsj.com/rapports-de-developpement-durable</p> <p>For the province of British Columbia, time-bound targets were disclosed in the 2021 RT-BC Works Environmental Report (that was published in September 2022).</p> <p>A labour dispute during 2021 at the Kitimat smelter had forced the management to shut down most of the potlines. Following the positive resolution of the labour dispute, most of the potlines were restarted in 2022. This involved pot instability and increased anode effects influencing GHG emissions in an abnormal mode. Due to this, it became increasingly difficult to reach the established GHG reduction targets of 2022. Consequently, an adapted time-bound target has been established for 2023 and published in the 2022 RT-BC Works Environmental Report (published in January 2023). Refer to the 2021 and 2022 BC Work Environmental Performance Report available at: https://www.riotinto.com/en/operations/canada/bc-works</p>
5.3a Aluminium Smelting (Management System)	Conformance	<p>The Entity's Direct GHG emissions are annually verified under the Québec and British-Columbia regulations. GHG emissions are lower than 8 tonnes of CO₂e per tonne of Aluminium. Process controls are continuously optimised to reduce the frequency and duration of anode effects, which is a direct and material source of GHG emissions from aluminium smelters. Process controls to reduce net carbon consumption (anodes and cathodes) are optimised continuously. Direct GHG emissions are annually verified under the Québec and British Columbia regulations by an ISO 14065 accredited verification body.</p>
5.3b Aluminium Smelting (up to and including 2020)	Conformance	<p>The Entity's Direct GHG emissions are annually verified under the Québec and British Columbia regulations. Scope 1 and Scope 2 GHG emissions from the Entity's aluminium smelters are below 8 tonnes CO₂-e per metric tonne aluminium. External audit reports confirm this value. Québec Operations and BC Works both use hydroelectricity.</p>
5.3c Aluminium Smelting (after 2020)	Conformance	<p>Current GHG emissions for the Entity's smelters are at or below 2.2 t of CO₂ per tonne of Aluminium (for Scopes 1 and 2 emissions). It is proposed that the AP-60 smelter in the province of Quebec will be extended (up to 100 pots planned).</p>

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6.1 Emissions to Air	Conformance	<p>For the Province of Québec, the Entity holds five provincial environmental permits which detail the air emissions of all smelters. Each site maintains a daily/monthly database, to measure and report air emissions, which is supported by an exhaustive and regulatory monitoring program. Detailed calendars for sampling and monitoring programs are prepared annually.</p> <p>Monthly performance is reported to the Québec Ministry of Environment for the Depollution Attestations purposes. Capital expenditure (capex) projects and actions plans are prepared and implemented to reduce air emissions, mostly particulates, at different sites. A summary of air emissions is included in the Annual Report on Sustainable Development.</p> <p>For the Province of British-Columbia (BC), the RTA Kitimat Smelter and Kemano Hydropower facilities (known as BC Works) reports air emission data via the Provincial Pollution Prevention Multimedia Environmental Permit (P2 Permit). Under this Permit, reporting is mandatory and all air emissions reporting is based on the requirements of this Permit. All official air emission surveys are performed by external specialised firms. All air emission data are publicly disclosed in the Annual Report.</p> <p>A specific Environment Effect Monitoring (EEM) Plan has been implemented to monitor material air emissions. The results are regularly reported to environmental authorities and in BC Works' Annual Environmental Report. Most air emissions have decreased with the implementation and ramp-up of the new Kitimat Smelter except for Sulphur Dioxide (SO₂). A specific and exhaustive SO₂ environmental monitoring plan is implemented and the monitoring results are reported at:</p> <p>https://www.riotinto.com/en/operations/canada/bc-works</p>
6.2 Discharges to Water	Conformance	<p>The Entity is ISO 14001 certified and undertakes environment, health and safety (EHS) legal/ regulatory compliance monitoring.</p> <p>For the Province of Québec, Discharges to Water are defined through the Depollution Attestation (concentration limits, sampling frequency and methodology). Daily, weekly and monthly effluent samples provide a complete and efficient monitoring program. The results are communicated monthly to the Government. Projects and action plans are performed to reduce effluents or contamination at different sites. The annual provincial Sustainable Development Report includes a section on the water consumption by smelters (m³/ ton of aluminium) and total particulate matters discharged (in kg).</p> <p>For the Province of British-Columbia (BC), RTA Kitimat-Kemano plants produce water discharge reporting through the Provincial 'P2 Permit' that allows them to operate and reporting is mandatory and all reporting on water discharges are based on the Permit. There is only one effluent discharge to the ocean where water of all plant watershed is concentrated in a final contained lagoon and undergoes settling, before final discharge to the ocean. BC Works reports to the Authorities monthly reporting on discharged water parameters measurements.</p>

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6.3a Assessment and Management of Spills and Leakage (assessment)	Conformance	The Entity has implemented an exhaustive spill and leakage action plan. Scenarios of Spills have been assessed and evaluated throughout the Entity's sites and is undertaken using the Risk Management tool. Sites use separated files to manage these aspects locally, with critical checklists and specific controls. Exhaustive action plans and corrective actions have been implemented. Training and awareness on spill prevention has been integrated in training materials for all employees and contractors. Furthermore, the Entity's Tailings Policy has allowed to further identify potential areas of concern to be monitored. A spill management process has been implemented to deal with any type of environmental event to record, report and contain it in a timely manner.
6.3b Assessment and Management of Spills and Leakage (management)	Conformance	The Entity has implemented an exhaustive spill and leakage action plan. Communication plan and procedures have been implemented to manage Spills, from site level to the regional level. For significant Spills, the information is elevated to Rio Tinto Corporate HSE. Since 2010, the Zero-Spill Objective has released projects and initiatives to prevent, mitigate or reduce the spills at different sites. All Spills are reported internally and investigated to identify and implement relevant corrective actions.
6.4a Reporting of Spills (immediate disclosure)	Conformance	For the Province of Québec, with any significant Spill, an immediate follow-up is undertaken internally and by the Québec government inspectors. Spills and environmental incidents are investigated, documented by the Entity and corrective actions are taken. The impacts and the actions are recorded on the spill report. Any concerned Stakeholders are informed and advised of the impacts and actions taken. For the province of British-Columbia (BC), under the P2 Permit, declaring any Spill to the authorities is mandatory. The Entity publicly discloses number of spills, notice of violations, prosecutions and number of penalties in its Annual Environmental Report for BC Works, available: https://www.riotinto.com/en/operations/canada/bc-works Annual Environmental Reports for BC Works states the spills occurred during the previous year.
6.4b Reporting of Spills (regular reporting)	Conformance	The Entity reports on events on a regular basis to the various regulators and community Stakeholders. For the Province of Québec, the Entity publicly discloses number of spills, notice of violations, prosecutions and amount of penalties in its annual Sustainability Report. Partial information on significant Spills can also be found on the Provincial Ministry of Environment website. Spills, non-compliance and liabilities were publicly disclosed through the 2021 Sustainable Development Report (in French only): https://votreriotoslsj.com/rapports-de-developpement-durable As the sustainable development reports of the Québec Operations for 2022 (currently in preparation) and 2023 (year still in progress)

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		<p>have not been yet published, any Spill that may have occurred in 2022 or 2023 has been otherwise published to this day through, amongst others, Good-Neighbouring Committees websites such as the Laterrière Smelter Good-Neighbouring Committee website at: https://votreriotoslsj.com/comit-de-bon-voisinage-laterriere/widgets/47205/documents and the Alma Smelter Good-Neighbouring Committee website: https://votreriotoslsj.com/comit-case-alma</p> <p>For the Province of British-Columbia (BC), under the P2 Permit, declaring any Spill to the authorities is mandatory. The Entity publicly discloses number of spills, notice of violations, prosecutions and number of penalties in its Annual Environmental Report for BC Works. The Annual Environmental Report for BC Works states the Spills occurred during the previous year and is available at: https://www.riotinto.com/en/operations/canada/bc-works</p>
6.5a Waste management and reporting (strategy)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that conform to waste management and reporting requirements. Hazardous and Non-Hazardous Wastes have been characterised, classified and are managed based on priority to prevention, reduction, re-use, recycling and disposal. Action plans have been implemented to increase the reduction, the recovery, the recycling and reduce disposal. These plans are tracked and include targets, economic gains and timeframe.</p>
6.5b Waste management and reporting (disclosure)	Conformance	<p>Rio Tinto publishes annually a global Sustainable Development Report: https://www.riotinto.com/sustainability/sustainability-reporting</p> <p>The Entity reports on waste management in its annual sustainability reports.</p> <p>For the Province of Québec, the Entity publishes information on the volume of Hazardous and Non-Hazardous Wastes, the treatment method and their improvement/reduction in the 2021 Provincial Sustainability Report published through the following link (in French): https://votreriotoslsj.com/rapports-de-developpement-durable</p> <p>For the Province of British-Columbia (BC), the Entity reports on waste management in its Annual Sustainability Report. Waste management is reported (summarised) in the 2022 Annual BC Works Environmental Report (see Chapter 8 for waste management): https://www.riotinto.com/en/operations/canada/bc-works</p>
6.6a Bauxite Residue (storage construction)	Conformance	<p>Contaminated discharge waters from the Bauxite Residue disposal site are all reintroduced into the manufacturing process as wash water and in other process steps. The Entity is currently implementing the Global Industry Standard on Tailings Management (GISTM) requirements.</p>

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6.6b Bauxite Residue (integrity checks and controls)	Conformance	Regular inspections are undertaken internally and also by specialised external firms to ensure the integrity of the Bauxite Residue disposal sites. The Entity is currently implementing the GISTM requirements.
6.6c Bauxite Residue (water discharge)	Conformance	Contaminated discharge waters from the Bauxite Residues disposal site are all reintroduced into the manufacturing process as wash water, and in other process steps. The Entity regularly performs water samples to assess quality of groundwater and control water discharges. It also engages third parties to perform regular ground water studies. The Entity is currently implementing the GISTM requirements.
6.6d Bauxite Residue (marine and aquatic environments)	Conformance	Contaminated discharge waters from the Bauxite Residue disposal site are all reintroduced into the manufacturing process as wash water, and in other process steps. The Entity is currently implementing the GISTM requirements.
6.6e Bauxite Residue (state of the art technologies)	Conformance	A filtration plant for Bauxite Residue is in operation at the Entity. Environmental certificates required by governmental authorities are obtained. The Entity is currently implementing the GISTM requirements.
6.6f Bauxite Residue (remediation)	Conformance	The disposal sites for Bauxite Residue are currently in operation. A filtration plant for Bauxite Residue is in operation at the Entity. Plans are in place for rehabilitation of the sites when they close and environmental risks are considered in the rehabilitation plan. The Entity is currently implementing the GISTM requirements.
6.7a Spent Pot Lining (SPL) (storage and management)	Conformance	<p>For the Province of Québec the Entity operates a closed and identified warehouses are exclusively used for the storage of Spent Pot Lining (SPL) prior to processing. Periodic inventories of the contents of each warehouse are made and up-to-date reports are available. The treatment plan for all inventories is several years ahead of the zeroing schedule on the storage permit.</p> <p>For the Province of British-Columbia (BC), SPL produced at BC Works is sent to the UTB plant in Saguenay (Québec), which is a specialized SPL treatment plant. SPL is sent by rail in sealed bins following the cleaning of the former smelter. No SPL is sent to landfill.</p> <p>Prior to 1989, untreated SPL was landfilled on-site. The site is now closed, and extensive groundwater monitoring is deployed monthly. The P2 multimedia permit limits are monitored and reported in the BC Works Environmental Annual Report.</p>
6.7b Spent Pot Lining (SPL) (recovery and recycling)	Conformance	All carbon and refractory material generated are processed at the SPL processing plant (UTB). With expected sales volumes, all carbon material or refractory lining is accounted for and included into the composition of manufactured products at the UTB.

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6.7c Spent Pot Lining (SPL) (Untreated SPL)	Conformance	For the Province of Québec, no untreated SPL is sent to a disposal site. Some of the processing residue is returned to the alumina production process. Some non-hazardous components from the treatment are sent to the disposal site (SDRB). The atmospheric emissions are treated before disposal via chemical destruction systems (e.g. cyanide and ammonia). For the Province of BC, since 2017, 100% of SPL produced at BC Works is sent to the UTB plant at Saguenay (Quebec), which is a specialised SPL treatment plant.
6.7d Spent Pot Lining (SPL) (review of alternatives)	Conformance	The SPL and Dross treatment process is reviewed annually, and research projects are underway at the Aluminium Research and Development Centre (CRDA) to continually improve the performance of the process. The Entity's Commercial teams are always aiming to identify options to increase valorisation in various industries (e.g. with Cement Producers).
6.7e Spent Pot Lining (SPL) (marine and aquatic environments)	Conformance	For the Province of Québec, untreated SPL warehouses are closed and have a closed surface water drainage system which is sampled on a regular basis and the results are made available upon request. For the Province of British-Columbia (BC), SPL produced at BC Works is sent to the UTB plant in Saguenay (Québec), which is a specialised SPL treatment Plant. SPL is sent by rail in sealed bins straight after the cleaning of the former smelter. No SPL is sent to landfill.
6.8a Dross (recovery)	Conformance	Dross management is undertaken at a Corporate level. All Dross generated by the production centres is processed by a specialized external company. All metal (aluminium and alloys) is internally recovered. On-site visits during the audit (at 3 sampled smelters) demonstrated adequate management of Dross (e.g. recuperation, storage and shipment).
6.8b Dross (recycling)	Conformance	Dross management is undertaken at a Corporate level. All Dross generated by the electrolysis process of all production units are treated. The majority of the non-metallic solid part of the treated residues is used in areas such as cement and steel. A periodic monitoring of shipments is made. A small percentage is shipped and buried in a standardized landfill for receiving this type of residue. An accounting of the volumes shipped is made and the Entity keeps track of them on a periodic basis.
6.8c Dross (review of alternatives)	Conformance	The Entity's treatment process for Dross is reviewed annually and research projects are underway at the Aluminium Research and Development Centre (CRDA) to continually improve the performance of the process
PRINCIPLE 7 WATER STEWARDSHIP		
7.1a Water assessment (mapping)	Conformance	In Québec, the main reservoir is the Lac St-Jean (a large lake in the heart of the province) and in British-Columbia, it's the Nechako Reservoir, a man-made reservoir. Numerous maps are available,

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		<p>amongst others for the purposes of water balance in the watersheds of these reservoirs and a Hydrology Team works to manage acceptable water levels.</p> <p>For the rest of the Entity's Facilities in Canada, the Entity tracks water consumption annually. Data on water consumption is tracked annually in the Social and Environmental (S&E) Survey which is then consolidated to a Corporate level. A summary water mass balance is then developed.</p> <p>For the Province of Québec, RTA Québec Power Operations completed numerous studies to identify the water uses, intakes, withdraws of Lac St-Jean and its basin. The management of the lake levels is undertaken in accordance with the requirements of a provincial decree.</p> <p>Assets from the Saguenay region rely on water drawn from a pump station in the Saguenay River. There is significant rainfall throughout the year and the Saguenay region is not subject to any water shortage concerns. Water management concerns have also not been raised by catchment level groups. The Laterrière smelter Facility abstracts groundwater and are currently not subject to an abstraction limit. Key stormwater and groundwater parameters are monitored and reported to the environmental regulator monthly. Environmental monitoring data for Quebec assets is made publicly available via a government atlas website 'Atlas de l'eau' ('in French): https://www.environnement.gouv.qc.ca/eau/atlas/index.htm</p> <p>The Entity's Quebec operations are members of the Saguenay Watershed Management Committee and each of the assets is a member of a 'neighbourhood committee' where opportunity exists for Stakeholders to raise concerns regarding water use or discharge.</p> <p>For the Province of British-Columbia (BC), the Nechako Reservoir for the Kemano Power Operation is closely monitored, mapped, and managed. The Nechako Reservoir Management Plan summary is published at: https://www.getinvolvednechako.ca</p> <p>The Hydrology Team of the RTA Québec Power Operation also supports the Kemano Power Operation for the Nechako Reservoir level monitoring management. The Kemano and watershed water balance is documented and monitored.</p>
7.1b Water assessment (risk assessment)	Conformance	<p>For the Province of Québec, extensive studies have been performed over the last 20 years on RTA impacts over the Lac St-Jean. Several formal impacts assessment studies were conducted and the mitigation controls have been defined in a provincial governmental decree. The decree is reviewed and renewed periodically, with new studies to support the conditions of the watershed. As part of the decree, RTA commits to reduce the bank erosion of Lac St-Jean. Extensive and independent regulatory consultations have been deployed for the purposes of the decree renewal with the affected communities (including the First Nations). These Stakeholders were consulted to the satisfaction of the provincial government. Water-related risks are also addressed at</p>

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		<p>the plant level of the Entity.</p> <p>Quebec Operations maintain a combined register of all significant HSE risks. Risk information and ratings are updated as required and an annual review of all significant risks is completed annually and approved by facility General Managers. Lower-level facility specific risks are maintained in a facility specific register.</p> <p>For the Province of British-Columbia (BC), there is a Nechako Reservoir Dam Emergency Plan in case of dam overflow/failure. The Kemano and watershed water balance and level is documented and monitored. Local operators help mitigate flood risks in time of water surplus to ensure public safety with the help of the Hydrology Team of the Québec Power Operation. The Area of Influence of the Nechako Reservoir and the watershed are mapped in detail. Water-related risks are also addressed at the Kitimat smelter.</p>
7.2a Water management (management plans)	Conformance	<p>For the Province of Québec a water management plan is in place and regularly monitored for the Lac St-Jean reservoir. The water management plan is updated periodically by Québec Power Operations and is consistent with the current authority Depollution Attestation (a provincial Environmental Permit) and the requirements of the provincial governmental decree. A water management plan is implemented for the entire Vaudreuil Alumina Refinery and its Bauxite Residue disposal site and also for the smelters and other plants. Plans are reviewed periodically to reflect changes in material risk for each site and to include them in the project planning process.</p> <p>For the Province of British-Columbia (BC), water management plans are updated periodically. The Nechako Reservoir and Watershed Management Plan is annually revised and continuously monitored and monthly reports on material risk are produced for BC Works managers. Material elements and monitoring results of the Watershed Management Plan are available on RTA's website: https://www.riotinto.com/en/operations/canada/bc-works</p> <p>A Water Management Plan is in place and applied for the entire Kitimat smelter site. The Plan is reviewed periodically to reflect changes in material risk and to include them in the project planning process.</p>
7.2b Water management (monitoring)	Conformance	<p>The Dams Emergency Plans effectiveness are monitored throughout water surplus period and through drills. The Reservoirs and Watersheds Monitoring Plans are continuously monitored through systems and diagnostic/expertise from Québec Hydrology Team to help optimise effectiveness. Material elements and monitoring results of the Watershed Management Plans are available at: https://www.riotinto.com/en/operations/canada/bc-works and https://www.riotinto.com/en/operations/canada/saguenay</p> <p>For the smelting Facilities, the Alumina Refinery and the other Facilities, regular periodic monitoring of groundwater and surface water quality are performed and reports are undertaken internally</p>

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		and externally at specified frequencies and adjustments are made continuously to ensure that the water returned to environment meets the required.
7.3 Disclosure of water usage and risks	Conformance	<p>For the Province of Québec, the stabilisation of the bank of Lac St-Jean (reservoir) and hydrological management are reported and available on the RTA Quebec Power Operation website (in French): https://energie.riotinto.com/</p> <p>All documents related to Lac St Jean (reservoir) Stabilisation program (e.g. impacts assessments, consultation and decree) are available on the provincial Ministry of Environment website. Summaries of projects and reports are also available on the RTA Quebec Power Operation website (in French): https://energie.riotinto.com/</p> <p>The RTA websites are the main tool to provide direct and quick information. Additionally, all Stakeholders can request periodic bulletins on water management and the stabilisation program of the banks of Lac St-Jean at https://energie.riotinto.com/</p> <p>For the Province of British-Columbia (BC), annual BC Works Environmental Reports disclose water usage, effluent monitoring results and related risks. The Water Engagement Initiative (WEI) of BC Works helps inform Stakeholders about the Reservoir/ Watershed material risks and maintain dialogue to receive requests/grievances. Material element and monitoring results of the Watershed Management Plan are available on the Entity's website: https://www.riotinto.com/en/operations/canada/bc-works</p>
PRINCIPLE 8 BIODIVERSITY		
8.1 Biodiversity assessment	Conformance	<p>For the Province of Québec, risk assessments were completed on the Entity's properties to identify impacts on Biodiversity (Management Plan Environmental properties). Since 2009, potential impacts from major changes have been captured as part of project assessments and risk evaluations. The Entity employs a '5x5' Risk Matrix to evaluate each risk. All of the Entity's sites have been assessed, including the related hydroelectricity production facilities (including reservoirs, centrals, dams, power lines and communication lines) and the corresponding watersheds that overlay the majority of the Entity's Area of Influence in the Province of Québec.</p> <p>For the Province of British-Columbia (BC), exhaustive biodiversity risk assessments have been completed by BC Works for Kemano Power operations (in 2011) and for the smelter facilities (in 2015) with the assistance of a specialised consultant firm.</p> <p>These assessments and the corresponding Biodiversity Action Plan (BAP) are regularly reviewed to make sure they remain relevant and up-to-date. The two BAPs address the BC Works' Area of Influence.</p>
8.2a Biodiversity management	Conformance	For the Province of Québec, RTA Quebec Power Operations has developed a specific Workbook detailing the inventory of flora and

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(Biodiversity Action Plans)		<p>fauna, with a risk assessment and action plan to address biodiversity risks in the areas of Québec Power Operation's facilities. Actions have been implemented and the plan is revised when a trigger is raised (e.g. additional information, external request, project or legal requirement). A vegetation study is conducted every three years, by an external expert to assess the state and condition of the flora.</p> <p>For the Province of British-Columbia (BC), the Kitimat and Kemano Biodiversity plans address material impacts, have time-bound targets, and are monitored for effectiveness. More specifically, the reservoir and the Kemano Operations may affect the Nechako River which is a regulated salmon river. The Nechako Fisheries Conservation Program (NFCP) is jointly monitored by Rio Tinto, Fisheries and Ocean Canada and the BC Ministry of Environment.</p>
8.2b Biodiversity management (Consultation and mitigation hierarchy)	Conformance	<p>The Entity's Biodiversity Action Plans (BAPs) are designed in accordance with the Biodiversity Mitigation Hierarchy. For both the Province of Québec and Province of British-Columbia (BC), Stakeholders including Local Communities were involved in the preparation of the BAP. Both levels of government (Federal and Provincial) and other Stakeholders were also consulted during the process. The Biodiversity compensation project is implemented by Quebec Power Operation.</p> <p>Additionally, for the Kitimat Smelter BAP, the majority of consultation with Local Communities/Stakeholders was undertaken with the Kitimat Public Advisory Committee (KPAC). For Kemano Power Operation and the management of the Nechako Reservoir, regular meetings were undertaken with multiple Stakeholders. More recently, the Entity implemented a focussed Water Engagement Initiative (WEI) to group together most of the Nechako Watershed communities to exchange interests, needs and advice between stakeholders and facilitate dialogue. The WEI may help identify measures that BC Works can implement voluntarily to enhance operations (including to enhance BAP).</p>
8.2c Biodiversity management (reporting)	Conformance	<p>For the Province of Québec, the results of the Lac St-Jean reservoir stabilisation project were published. Regular progress and achievements are posted on the RTA Quebec Power Operation website (in French): https://energie.riotinto.com/</p> <p>The communication includes information regarding the protection of Biodiversity and projects or ongoing initiatives. Periodic fact sheets on the stabilization project are also posted. The results of the major projects are presented in the annual Report on Sustainable Development.</p> <p>For Province of British-Columbia, the achieved BAP outcomes are published through the annual Sustainability Reports and progress also posted at: https://www.riotinto.com/en/operations/canada/bc-works</p> <p>The Annual Report of the Nechako Fisheries Conservation Program (NFCP) is available on request on the NFCP website. The</p>

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		Report includes monitoring of stock and habitat performance and remedial measures.
8.3 Alien Species	Conformance	<p>The Entity's preventive action plans comply with the strict national regulations and are mostly managed through a risk approach that mainly focusses on oceanic ships and goods packaging. For the Province of Québec, the prevention of Alien Species is strictly regulated under Transport Canada regulations. Before entering the Canadian territorial waters, ballast water must be purged and recorded. Once the application is completed and verified, Transport Canada issues an authorization to the ship.</p> <p>Additionally, during the months of April to November, ships arriving from Asia-Pacific require a certificate for the Asian Gypsy Moth (AGM), which is provided by the Canadian Food Inspection Agency (CIAF).</p> <p>International domestic garbage is secured in specific plastic bags and collected by 'Urgence Maritime', for safe disposal in a Saint-Bruno waste disposal site. The Entity requires ships to have anti rat guard system to prevent rat infestation whilst a ship is moored in port.</p> <p>For the Province of British-Columbia (BC), the Kitimat Port Facility managers apply the same processes as in Quebec. The Kemano T2 Project Environmental Management Plan also has provision for flora and fauna, including weeds and invasive species prevention and mitigation.</p>
8.4a Commitment to "No Go" in World Heritage properties (exploration and new mines)	Not Applicable	This Criterion is Not Applicable to the Entity's Certification Scope.
8.4b Commitment to "No Go" in World Heritage properties (existing operations)	Not Applicable	This Criterion is Not Applicable to the Entity's Certification Scope.
8.5a Mine Rehabilitation (best available techniques)	Not Applicable	This Criterion is Not Applicable to the Entity's Certification Scope.
8.5b Mine Rehabilitation (financial provisions)	Not Applicable	This Criterion is Not Applicable to the Entity's Certification Scope.
PRINCIPLE 9 HUMAN RIGHTS		
9.1a Human Rights Due Diligence (Policy)	Conformance	The Entity has developed and implemented policies, systems, procedures, and processes that conform to Human Rights Due Diligence requirements. Policies that include commitments to respect Human Rights are available, integrated into activities and

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		<p>implemented. The approach to Human Rights and associated reporting can be found at: https://www.riotinto.com/sustainability/human-rights</p> <p>A commitment to supporting Human Rights is outlined in the Rio Tinto Community and Social Performance (CSP) Standard. Employees are also invited to voluntarily adhere on a personal level to supporting human rights principles.</p> <p>The Entity has amalgamated their 'Know your Supplier' (KYS) and 'Know Your Customer' (KYC) procedures into a single 'Know your Third Party' (KYTP) Procedure. This simplified procedure aligns risk criteria and articulates the mandatory due diligence requirements for all third parties they engage with, including customers, suppliers, contractors, divestment targets and joint venture partners.</p>
9.1b Human Rights Due Diligence (Process)	Conformance	<p>A Human Rights Due Diligence process is set out in the Rio Tinto Policies and Guidance and is based on risk management (which is an inherently low risk in Canada).</p>
9.1c Human Rights Due Diligence (remediation)	Conformance	<p>Business ESG risks, including Human Rights risks are reviewed by senior leadership at RTA quarterly risk forums. Human Rights risks have been identified via the Archer risk management system. In 2022, a review of Human Rights risk and ranking was completed by the Entity. Additionally, as part of the implementation of the Global Industry Standard on Tailings Management (GISTM) at the sites, detailed Human Rights assessments have occurred and the Archer system has been updated.</p> <p>Regular meetings and training on Ethics and Integrity (where Human Rights Due Diligence is covered) are undertaken for all staff to ensure awareness and compliance with the Policies.</p> <p>The Business Conduct Office is responsible for managing the confidential reporting program and responding to complaints or concerns regarding compliance with Human Rights Policies. A confidential reporting program is available to all employees, contractors, suppliers, clients and community members and actions are planned to address identified gaps. If any gaps are identified, action plans and progress monitoring is undertaken by senior management.</p>
9.2 Women's Rights	Conformance	<p>A Due Diligence process for women's rights is set out in the Rio Tinto policies and guidance. This process ensures that women are not underrepresented in decision-making roles and pay equity is met. All incidents are investigated where women have been the target of physical and/or sexual abuse. The Business Conduct Office is responsible for managing the confidential reporting program and responding to complaints or concerns regarding compliance with policies. A confidential reporting program is available to all employees, contractors, suppliers, clients and community members and actions are planned to fill gaps.</p> <p>Recruitment targets for women as new graduates has been established and through the Rio Tinto Canada Fund, dedicated</p>

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		<p>funding is allocated to projects in aid of women (e.g. shelter for domestically abused women and First Nation women).</p> <p>If and where any concerns are raised, action plans and progress monitoring is undertaken by senior management.</p>
9.3 Indigenous Peoples	Conformance	<p>Rio Tinto globally applies its Code of Conduct (The Way We Work) and Community Management Guides (Why Human Rights Matters, Why Agreement Matters and Why Cultural Heritage Matters. The Rio Tinto Management System includes a community component in its Health, Safety, Environment and Communities (HSEC) Standards as well as a Community and Social Performance (CSP) Standard which was updated in 2022. The updated CSP Standard is being implemented at the Entity level. The new Standards includes a new co-design approach to establish constructive partnerships with native First Nation bands that is currently in implementation by the Entity's management and community staff.</p> <p>For the Province of Québec, the Entity's Area of influence in Québec is included in the larger territory of the Nitassinan, the traditional territory of the Pekuakamiulnuatsh, the Innu (Innuatsh) First Nation community of the village of Mashteuiatsh located on the shores of the Lac-St-Jean (St-Jean Lake, Pekuakami). The Entity maintains a Joint Committee with the Pekuakamiulnuatsh where the issues, concerns and opportunities are directly addressed on a bipartite model. The Lac St-Jean (Lake) Sustainable Management Council was established in 2017 following a vast public consultation process for the re-conduction of the Provincial Decree and the corresponding Certificate of Authorisation for the Entity's Lac-St-Jean (Lake) Shores Stabilisation Program.</p> <p>An elected official from Pekuakamiulnuatsh Takuhikan, the political and administrative organisation of the First Nation, signed the Agreement in principle for this participative management model. Another elected official from Pekuakamiulnuatsh Takuhikan is also an official member of the Council. A representative from the Rights and Protection of the Territory department of Pekuakamiulnuatsh Takuhikan is an active member of the Coordination Team under the Council. Pekuakamiulnuatsh Takuhikan is also represented on the Stakeholders Committee, the Scientific Committee and the Technical Committee that all support the Council. The Council was established to foster an informed public participation. It is a participatory management model which is independently managed from the Entity. The Entity recognised and saluted the contribution and expertise from Pekuakamiulnuatsh Takuhikan for the renewal of the Decree.</p> <p>During 2022-2023 the Pekuakamiulnuatsh First Nation and the Entity signed the Kuessilueu agreement. This agreement in principle establishes the foundation for an innovative and sustainable alliance for both partners from a human, cultural and economic standpoint. The Kuessilueu Agreement is available at: https://www.riotinto.com/en/news/releases/2022/the-wind-is-turning-between-pekukamiulnuatsh-first-nation-and-rio-tinto</p>

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		<p>https://www.mashteuiatsh.ca/messages-aux-pekuakamiulnuatsh/actualites/4424-le-vent-tourne-entre-la-premiere-nation-des-pekuakamiulnuatsh-et-rio-tinto-signature-de-l-entente-kuessilueu.html</p> <p>For the Province of British-Columbia (BC), the BC Works footprint has been mapped and covers over 500 kilometres and crosses known (mapped) traditional territories of different First Nations. The First Nations engagement is based on openness, respectful and mutually beneficial interests. The Watershed First Nations include many Indigenous communities including those who are not directly adjacent to it. Impact and Benefit agreements have been signed with the Haisla and Cheslatta Carrier Nations.</p> <p>As an example, the Kitimat Valley Institute is a 50% partnership between Rio Tinto and the Haisla Nation and Rio Tinto supported the establishment of the Cheslatta training centre that supports the Cheslatta Carrier Nation and other First Nations in the watershed. The Entity's General Manager (GM) of BC Works has met with local First Nation bands located within the Kitimat Smelter and the Nechako Reservoir areas of influence. These meetings were held into a relation approach between the communities' Chiefs first, before beginning dealing any interests later. The new and locally adapted co-design approach to establish constructive partnerships with native First Nation bands is currently in implementation in the BC Works areas of influence by the Entity's management and community staff. They engage with the First Nation Leaders and establish direct relations with some of these native communities to develop the co-design approach. They have established recent partnership agreements including the Kitimat Marine Agreement within the smelter area of influence with the Kitimat First Nation Band and a Cultural Heritage Partnership with the Cheslattas First Nation Band from the Kitselas Village in the Nechako Reservoir area of influence.</p> <p>Examples of recent developments with the Nechako Reservoir First Nations and the local stakeholder's informative organism 'The Water Engagement Initiative' (WEI) include the maintenance of high levels of water in the downstream rivers to protect the fish's habitat in accordance with agreements established with the Cheslattas and other downstream First Nation Bands. The Nechako First Nations sometime prefer working one-on-one with the Entity's Technical Team.</p>
9.4 Free, Prior, and Informed Consent (FPIC)	Conformance	<p>The Entity has developed and implemented policies, systems, procedures and processes that are in line with the Free, Prior and Informed Consent (FPIC) requirements. For the Province of Québec, the Entity's footprint has not changed significantly in recent years. Any project or works are the subject of consultation, accommodation and assent. For projects which affect a different footprint in the territory of Nitassinan, the traditional territory of the Pekuakamiulnuatsh, are the subject of consultation.</p> <p>Based on the Kuessilueu agreement, discussions started toward achieving a benefits agreement and for a new collaboration model.</p>

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		<p>A new approach for a round table discussion model is currently in implementation. Pre-consultations in the spirit of the FPIC approach are currently in implementation with Pekuakamiulnuatsh Takuhikan and their representatives. These pre-consultations with their Territory Management Team were targeting specific modification projects arising in the area of influence of the Entity, including the modification of the Isle-Maligne Powerhouse Dam Spillway No. 4 (located downstream of the St-Jean Lake (the reservoir) and the Relocation of the Belle-Rivière Outlet as an important modification of the river and the lake banks under the Banks Stabilization Program (PSB) of the St-Jean Lake (the reservoir).</p> <p>For the Province of British-Columbia (BC), communications between First Nations and Rio Tinto are ongoing. The process is in constant evolution and improvement. The 'Kemano T2 Project' required a significant permitting process through various provincial agencies that included extensive consultation with concerned First Nations of the Watershed. The Cheslatta Carrier Nation and the Haisla Nation have participated in the Kemano T2 project with the Entity, ensuring that their cultures and traditions are respected as the construction of the project.</p> <p>More generally, the recent BC Works major projects including the Kitimat Modernisation Plan and the Kemano T2 Project, did not significantly modify RTA's footprint in BC and received the proper permits. These permitting processes involved due diligence practices regarding FPIC with the concerned First Nations whose occupied territories are located within or close to the footprint of the projects.</p> <p>In recent years, there are no significant New Projects in the areas of influence of BC Works, but a recent new protocol has been signed with the Gitga'at to establish smaller projects in the smelter's area of influence.</p>
9.5 Cultural and sacred heritage	Conformance	<p>For the Province of Québec, the Joint Committee and the Lac St-Jean Sustainable Management Council serve to exchange relevant information and consultations in a participative way on the cultural and sacred heritage of the Pekuakamiulnuatsh.</p> <p>The Lac St-Jean Shoreline Stabilisation Program helps to counter erosion by considering the key elements of sustainable development, namely the technical, environmental, social and economic elements with the help of the Lac St-Jean Sustainable Management Council. This has enabled the Entity to obtain the approval of the Government of Quebec for the renewal of the Decree and the Certificate of Authorisation for its Lac St-Jean (Lake) Shoreline Stabilization Program.</p> <p>The Entity has undertaken archaeological research for this project, with support from the University of Quebec at Chicoutimi, to identify the Pekuakamiulnuatsh's cultural and sacred heritage sites, to prevent or mitigate any negative impacts that may result from the stabilisation works that help prevent or mitigate the erosion of the lake shores.</p>

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		<p>The Pekuakamiulnuatsh's cultural and sacred heritage sites are georeferenced and mapped, and the resulting maps are then shared with Pekuakamiulnuatsh Takuhikan and their rights and protection of the territory department.</p> <p>The expertise of the professional of the Stabilisation Program is also occasionally shared with other Stakeholders including the provincial government or other non-Indigenous communities for the erosion mitigation prevention or mitigation of other sites that are not specifically targeted by the Stabilisation Program.</p> <p>For the Province of British-Columbia (BC), the cultural and sacred heritage of the impacted First Nations has been studied and knowledge forwarded to BC Works managers and community team members. The 'Kemano T2 Project' has been the object of vast permitting process through various provincial agencies that included, amongst others, extensive consultation with concerned First Nations of the Watershed. The Cheslatta Carrier Nation and Haisla Nation participated in the Kemano T2 project, including ensuring their cultures and traditions were respected as the construction of the project.</p> <p>Recent work in this area have been focussed on the Netchaco Reservoir area of influence and involve Cheslattas companies undertaking maintenance activities, the Skin Tyee are involved in Human Resources (HR), and the Haislas also undertake contract work on the Entity's facilities.</p> <p>Local and Indigenous Procurement are continually working to maintain a sustainable procurement relation and these groups meet regularly.</p> <p>The Cheslattas work with the Entity to help protect the banks of archaeological sites and wish to continue digging with their own archaeologist. Other First Nation bands prefer to not dig their archaeological sites as they wish to preserve their integrity without disturbance.</p>
9.6a Resettlements (avoid or minimise)	Conformance	<p>The Entity's Community and Social Performance (CSP) Standard requires any feasible alternatives to avoid or minimise displacement during project or regular activities to be considered. For the Province of Quebec the Entity's footprint on Quebec's territory is on the Nitassinan, the traditional territory of the Pekuakamiulnuatsh and has not changed significantly in decades. No social, economic, or ecological displacement has occurred in recent years as a consequence of the Entity's activities, developments or projects. Local economic advantage has been raised for some Stakeholders.</p> <p>For the Province of British-Columbia (BC), the Kemano T2 Project will not significantly modify the Entity's footprint. Consultation with concerned Stakeholders was undertaken via the permitting process. All feasible means and alternatives have been considered to avoid and minimise physical and/or economical displacement while balancing environmental, social and financial costs and benefits. An Agreement was signed between the Entity and the Cheslatta Carrier Nation in February 2020.</p>

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		No social, economic, or ecological displacement has happened in recent years as a consequence of the Entity's activities, developments or projects. Local economic advantage has been raised for some Stakeholders.
9.6b Resettlements (where unavoidable)	Conformance	<p>For the Province of Québec, the Entity's footprint on Quebec's territory or on the Nitassinan, the traditional territory of the Pekuakamiulnuatsh, has not changed significantly in decades. No physical or economical displacement occurs in the Certification Scope. No Resettlement was required in the Certification Scope for the Pekuakamiulnuatsh. No social, economic, or ecological displacement has happened in recent years as a consequence of the Entity's activities, developments or projects. Local economic advantage has been raised for some Stakeholders.</p> <p>For the Province of British-Columbia (BC), the Kemano T2 Project will not significantly modify the Entity's footprint. Consultation with concerned Stakeholders was undertaken via the permitting process. All feasible alternatives were considered to avoid and minimise physical and/or economical displacement while balancing environmental, social and financial costs and benefits. According to the project summary presentation document, the Haisla Nation and Cheslatta Carrier Nation participated with Rio Tinto on the project, including ensuring their cultures and traditions were respected as Rio Tinto undertook construction of the project.</p> <p>More generally, the recent BC Works major projects, the Kitimat Modernisation Plan and The Kemano T2 Project did not involve physical displacements. A Resettlement Action Plan was not required.</p>
9.7a Local Communities (rights and interests)	Conformance	<p>The Entity deploys community and social performance (CSP) processes. Impacts Assessment processes of the Entity and Provincial Laws are governing Local Communities' rights and customs. The Entity facilitates the use of Entity land through leases so that the land can be used for agricultural activities. Provisions are made with the various Communities where it operates to use its lands for different types of community activities (e.g. bicycle paths, walking and hiking paths and outdoor activities).</p> <p>For the Province of Québec, the Entity is maintaining Good Neighbourhood Committees for its main facilities to exchange information, opinions and develop opportunities to respect and support their livelihoods with a constructive approach.</p> <p>The Entity also participates in the Counsel for Sustainable Management of the Lake to assess and address any impacts of its power generation operations.</p> <p>The Entity is a member of the Lac St-Jean Fishing Activities Corporation (Corporation de L'Activité de Pêche - Lac St-Jean (CLAP)) where it collaborates on studies, projects and management of the Lac St-Jean in order to ensure that fishing areas can be maintained and are available for traditional and recreative fishing activities. In recent years, the Entity has implemented ongoing discussions with the Mashteuiatsh First</p>

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		<p>Nation - the Pekuakamiulnuatsh.</p> <p>For the Province of British-Columbia (BC), the Kitimat Public Advisory Committee (KPAC) consists of 18 members from the main Stakeholders. The Committee meet regularly. The Water Engagement Initiative (WEI) provides a formal forum for every concerned Stakeholder of the Nechako Watershed/ Reservoir (Kemano Power Operations) to communicate and monitor complaints, grievances and requests for information.</p>
9.7b Local Communities (impacts)	Conformance	<p>For the Province of Québec, the Entity is maintaining Good Neighbourhood Committees for its main facilities to exchange information, opinions and develop opportunities to respect and support their livelihoods with a constructive approach. The Entity also participate in the Counsel for Sustainable Management of the Lake to assess and address any impacts of its power generation operations. Impact Assessment processes demonstrate how public consultation was undertaken and how the Local Community will be engaged in the particular project and the Entity's corresponding engagement.</p> <p>For the Province of British-Columbia (BC), an Environmental Effects Monitoring (EEM) program was developed and implemented for the Kitimat Modernization Project. The results, improvements and recommendations were shared with the community. The Kitimat Public Advisory Committee (KPAC) consists of 18 members from community organisations. The KPAC meets regularly to communicate permits, operational information, business updates and shares complaints, grievances and requests for information. In the watershed area, Rio Tinto has established a Water Engagement Initiative (WEI) that provides an opportunity for the community members, stakeholders and organizations of the Nechako Watershed/ Reservoir (Kemano Power Operations) to share interests, concerns and priorities with Rio Tinto. It is also an mechanism to monitor complaints, grievances and requests for information.</p>
9.7c Local Communities (livelihoods)	Conformance	<p>The Entity maintains a complaints register to ensure that it addresses issues raised by the communities where it operates in. There is Local and First Nations Local Procurement team that is working on reviewing purchasing objectives that should be set for local purchases.</p> <p>For the Province of Québec, the Entity is maintaining Good Neighbourhood Committees for its main facilities to exchange information, opinions and develop opportunities to respect and support their livelihoods with a constructive approach. A website is in place to ensure information, communication, transparency and feedback from and to Stakeholders. The Entity also participate in the Counsel for Sustainable Management of the Lake to assess and address any impacts of its power generation operations. Impact Assessment processes demonstrate how public consultation was deployed, how concerned Local Communities will be treated in the particular project and the Entity's corresponding</p>

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		<p>engagement.</p> <p>For the Province of British-Columbia (BC), a website was implemented in 2018 to communicate with Stakeholders. This communication tool tracks requests and exchanges with the Local Community. Mechanisms are in place to have the Communities involved in flood mitigation and water management considerations. The KPAC consists of 18 members from community organisations which meets quarterly to communicate permits, operational information, business updates and share complaints, grievances and requests for information.</p> <p>In the watershed area Rio Tinto has established a Water Engagement Initiative (WEI) that provides an opportunity for the community members, stakeholders and organizations of the Nechako Watershed/ Reservoir (Kemano Power Operations) to share interests, concerns and priorities with Rio Tinto. It is also an avenue to monitor complaints, grievances and requests for information.</p>
9.8 Conflict-Affected and High-Risk Areas	Conformance	<p>The Entity's 'Know your Third Party' process assists the deployment of a Due Diligence process in Human Rights that includes an exhaustive Conflict-Affected and High-Risk Areas assessment of suppliers. A robust Security and Human Rights Program is in place, supported by Group Security Standards. The Rio Tinto Security Standard requires a security risk assessment and a management plan for each location. The risk assessment considered over 40 different risks and this is reviewed annually. Canada is classified as a Low-Risk Country Class 1 and there are no Conflict-Affected or High-Risk Areas. This classification is reviewed annually, or when serious national incidents occur. No security incidents have occurred at the Entity over recent years.</p>
9.9 Security practice	Conformance	<p>There are no armed personnel present at any of the Entity's sites. The security practices and processes respect Human Rights. For the Province of Québec, the Rio Tinto Security & Human Rights and Security Risk Analysis & Management are the primary guidance documents. Annual training for guards on Voluntary Principles on Security and Human Rights (VPSHR) was conducted by sites in 2021. The content of this training was updated by Group Security and new training videos are now available. A review of the Business Resilience and Recovery (BRR) program was initiated in 2021 for Quebec Operations and training was provided to all BR-Team members.</p> <p>For the Province of British-Columbia (BC), the site has an unarmed security team. Only safety firearms are used against wildlife and predators, if required. The team has a training plan that addressed all aspects of emergency response including rescue, fire, medical and security.</p>

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10.1a Freedom of Association and Right to Collective Bargaining (Freedom of Association)	Conformance	The rights of association and of Workers are supported by Rio Tinto Policies and the Canadian legislative framework. Unions or Workers can organise in council without interference by the employer. Activities that may interfere with Freedom of Association and the right to bargain collectively are covered by laws, regulations and Collective Agreements. Unions are established or supported to ensure legitimate representation of workers and there is no Entity interference to union activities.
10.1b Freedom of Association and Right to Collective Bargaining (Collective Bargaining)	Conformance	The rights of association and of Workers are supported by Rio Tinto Policies and the Canadian legislative framework. Collective Bargaining is a voluntary process that takes place between Workers' representatives and Entity representatives. The focus of this process includes negotiation of terms and conditions of employment including wages, hours of work, conditions, grievance procedures, and the rights and responsibilities of each party. Concluded Collective Agreements are implemented by the Entity.
10.1c Freedom of Association and Right to Collective Bargaining (alternative means)	Conformance	Rights of association and Workers are supported by the Rio Tinto Policies, Codes of Ethics and the Canadian legislation.
10.2a Child Labour (minimum age)	Conformance	Rio Tinto Policies are in place to avoid children under 15 years old being hired by the Entity. A Supplier Code and the 'Know your Third Party' (KYTP) Procedure are applied for the Subcontractors and addresses the minimum age of their employees. A due diligence process has been implemented to identify the potential risks of engaging, renewing, or extending a relationship with a third party and includes risks related to potential Human Rights issues.
10.2b Child Labour (hazardous)	Conformance	In the context of hazardous work, the minimum age is considered to be 18 years old (according to the Entity's Policies). Unsafe work is however typically determined under Applicable Laws. A due diligence processes is in place to identify the potential risks of engaging, renewing, or extending a relationship with a third party and includes risks related to potential Human Rights issues.
10.2c Child Labour (worst forms)	Conformance	In the event that Child Labour cases are identified in the supply chain, the Entity's Business Conduct Office is responsible for managing the confidential reporting program and responding to complaints or concerns regarding compliance with child labour policies and laws. This confidential reporting program is available to all employees, contractors, suppliers, customers and community members. Action plans to address any deficiencies in the process (if any) would be implemented as required.
10.3a Forced Labour (Human trafficking)	Conformance	Rio Tinto Policies, the Entity's Codes of Ethics and laws have been implemented to avoid Human Trafficking that can lead to Forced

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		Labour, and that, in any of its forms, at the level of the company (including the Entity) and its Subcontractors.
10.3b Forced Labour (deposits, fees, advances)	Conformance	Rio Tinto Policies and local regulations are in place to avoid any form of deposit or recruitment fees through employment or recruitment. Prohibitions related to Forced Labour are also supported by legislation.
10.3c Forced Labour (Migrant Workers)	Conformance	Rio Tinto Policies and local regulations are in place to avoid any form of deposit or guarantee payments from Migrant Workers. Prohibitions related to Migrant Workers are also supported by legislation.
10.3d Forced Labour (Debt Bondage)	Conformance	Rio Tinto Policies and local regulations are in place to avoid Workers being held in Debt Bondage to pay off a debt. Prohibitions related to hold Workers are also supported by legislation.
10.3e Forced Labour (freedom of movement)	Conformance	Workers have freedom of movement in the workplace and on the sites except where occupational health and safety (OH&S) special precautions or training is required. Other than for OH&S risks prevention or mitigation, the Entity's Policies protect the freedom of free movement of Workers in the workplace and on and between the Entity's sites.
10.3f Forced Labour (retention of identity papers, permits, Certificates)	Conformance	Rio Tinto Policies and laws are in place to ensure that the company does not keep original copies of Workers' identification documents, work permits, travel documents or training certificates. Prohibitions relating to retaining documents for obtaining Forced Labour are also supported by legislation.
10.3g Forced Labour (freedom to terminate employment)	Conformance	Rio Tinto Policies and local regulations are in place to protect the rights of Workers to leave their jobs without penalty when they give a notice of a reasonable length to their employer.
10.4 Non-Discrimination	Conformance	<p>In Canada, laws protect Human Rights and gender equality. Prohibitions related to Discrimination are supported by legislation. Rio Tinto Policies (including the Inclusion and Diversity Policy) are communicated internally to all Workers (e.g. awareness session, intranet site, website and notice boards). Senior management ensures that Workers are aware of Non-Discrimination Policies. Awareness and reinforcement assist Workers to integrate policies into their work and procedures. Relevant Policies are available to external Stakeholders to raise awareness of company commitments.</p> <p>In the event that cases of Discrimination are identified, the Business Conduct Office is the primary contact for providing advice and receiving complaints or concerns about discrimination. A reporting and whistleblowing mechanism is available for all</p>

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		employees and action plan mechanisms in place to address deficiencies (if any).
10.5 Communication and engagement	Conformance	Several means and channels of communication are established to ensure open communication with Workers and their representatives (e.g. unions, delegates), regarding working conditions and any problems related to the workplace. These communication channels operate without threat of reprisal, intimidation or harassment for participation or problem identification (e.g. Yammer).
10.6 Disciplinary practices	Conformance	Rio Tinto Policies and local regulations are in place to avoid unreasonable practices in the workplace to apply disciplinary measures. Supervisors and subcontractors are trained in the correct management of any disciplinary matter. Security guards are not allowed to take part in personal discipline. Their role is clearly limited to the security of the facilities and the safety of the personnel and products located on the premises. Disciplinary procedures in place and described in Collective Agreements provide direction in managing Workers who do not meet the Entity's standards of work conduct and performance. Grievance procedures and resolution mechanism are a means for employees to raise concerns about management practices or disciplinary decisions. There are processes in place to allow Workers to report unfair treatment to someone other than their supervisor.
10.7a Remuneration (living wage)	Conformance	There are several policies, processes and procedures that are supporting the wages and benefits. Salary scales are established which demonstrate that wages are sufficient to meet the needs of Employees to maintain a decent and safe standard of living in the community. Workers receive higher wages for work beyond normal. The rate of these hours is fixed by contract or collective agreement. Different rates are applied for regular Overtime and Overtime worked at night, statutory holidays and weekly rest days. All Workers have access to discretionary income.
10.7b Remuneration (method of payment)	Conformance	Workers receive their wages regularly as stipulated in their employment contracts by bank wire transfer. The correct rate is paid for regular hours and Overtime worked at night, weekly rest days and statutory holidays. Payments are made regularly directly to the Workers, in accordance with the legislation in force. Policies and local regulations are in place to avoid that payments are delayed, deferred or withheld. Only deductions authorized by national and provincial legislation are allowed and when they are completed, actions are taken with the full consent and understanding of Workers. Clear and transparent information is provided to Workers on hours worked, rates of pay and the calculation of statutory deductions, so that they have complete monitoring of their income. Payment in the form of goods or services (e.g. moving, etc.) is not used to create a state of dependence of the Worker on the Employer and does not

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		constitute part of Workers' wages. Any amount deducted from the salary is determined according to a regular procedure. Legitimate deductions include income taxes, pension contributions and union membership. Workers are informed of the conditions and extent of all deductions made in their pay slip.
10.8 Working Time	Conformance	There are several applicable laws relating to working time. Collective Agreements deal with hours of work, overtime, breaks and holidays. Applicable Laws and conventions provide processes to ensure Workers are not forced to work beyond the hours allowed. Overtime is voluntary unless it is part of a legally recognised Collective Agreement. Workers are not forced to work Overtime under threat or dismissal. Timesheets are used to record the number of hours worked by each Worker and to track Overtime and leave.
PRINCIPLE 11 OCCUPATIONAL HEALTH AND SAFETY		
11.1a Occupational Health and Safety (OH&S) Policy (Policy)	Conformance	Rio Tinto has released a Health, Safety, Environment and Communities (HSEC) Policy which applies to all Rio Tinto locations. The Policy, has been presented to all employees and is part of the Health, Safety and Environment (HSE) induction for new employees and refresher for existing employees.
11.1b Occupational Health and Safety (OH&S) Policy (Workers and Visitors)	Conformance	The principles of the HSEC Policy are explained in a document 'The Way We Work', which is read and reviewed annually by all Rio Tinto employees. The HSEC Policy is posted in different areas of the Entity's sites and on the intranet. The HSEC Policy is also presented to Visitors and Contractors.
11.1c Occupational Health and Safety (OH&S) Policy (Applicable Law and Standards)	Conformance	The Rio Tinto HSEC Policy includes a commitment to the prevention of injuries and illnesses, compliance with legal requirements and beyond, achieving world class performance, thus creating a strong safety culture. Legal watch and regulatory monitoring and verification are implemented.
11.1d Occupational Health and Safety (OH&S) Policy (right to stop unsafe work)	Conformance	The Rio Tinto HSEC Policy refers to the right of Workers to understand the hazards and the safe practices for their work, and includes the duty to refuse or stop any unsafe work. HSE risk prevention and mitigation are regularly monitored and communicated and Workers are invited to share any inputs that may help continuous improvement.
11.2 OH&S Management System	Conformance	The Rio Tinto HSEC Management System is fully implemented at all of the Entity's sites. The HSEC Management System includes 17 elements, aligned with the OHSAS 18001 standard requirements. Risks are evaluated at three levels, with a Critical Risk Management (CRM) Program, to manage and control critical risk. Legal obligations are defined and verified, through compliance audits. A five year calendar has been implemented to cover all facilities and all obligations. OH&S objectives, targets and action plans are prepared annually, and then implemented and monitored

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		<p>to track progress.</p> <p>The Management System is regularly audited with findings and results are presented at the annual management review. The OH&S Management System is well implemented at the level of production operations in each sector of a given plant. During Lean Management daily follow-up meetings, there is a strong emphasis on OH&S risk management according to the activities of the day (as the top priority). Critical Risk Management and critical control checklist (CCC) exercises are rigorously performed at all levels.</p>
11.3 Employee engagement on health and safety	Conformance	<p>Joint Health and Safety Committees (CSS) are in place at each site to improve the OH&S performance and address issues, including Worker's concerns and suggestions. Each Committee meets regularly with minutes of the meetings recorded and posted on HSE billboards. Actions arising from the meetings are tracked in the minutes or in a separated Excel file and are also posted. Additionally, larger facilities such as Kitimat, Alma, Grande-Baie and Laterrière smelters or the Jonquière Complex (Arvida and AP-60 smelters and the Vaudreuil Alumina Refinery) have Prevention Safety Teams (departmental teams), which report to the Site Safety Committee and address local specific issues.</p> <p>Internal noise and respiratory protection programs are being reviewed. The Management and H&S Coordinators are involved at the beginning of the review and a draft version is presented at the CSS. Health programs have been approved by the local public health agencies and are implemented and are ongoing. Each site has a specific health program. Medical surveillance is ongoing and each year, exhaustive health sampling is conducted. The critical health risks are exposure to fluorides, Polyaromatic Hydrocarbons (PAH) and noise exposure. Operational controls (air extraction, venting, PPE and training) are in place to protect Workers.</p>
11.4 OH&S performance	Conformance	<p>The OH&S performance is tracked continuously and reported on a monthly basis. Lagging indicators include frequency and severity on lost time and recordable injuries, all injuries, near-misses and occupational illnesses. Leading indicators include Critical Risk Management (CRM), Safety Maturity level, investigation of maximum reasonable outcome (MRO) and closure of actions.</p> <p>Health and Industrial Hygiene (IH) lagging indicators include the number of IH cases reported and the number of employees with hearing loss, on a site basis. Health and Industrial Hygiene leading indicators include the progress on the annual monitoring programs and the 5-year plan, on a site basis. Similar Exposure Group (SEG) are used to monitor the exposure to a specific contaminant, based on specific tasks and risk exposure. Health and Industrial Hygiene monitoring results are entered and monitored in specialised medical software. Data are monitored at site level, entered in the Rio Tinto Business Solution (RTBS) and consolidated at the both the Entity and Corporate levels. The report presents the comparison site by site. The Corporate report collates all Rio Tinto businesses and provides a benchmark comparison. Benchmark</p>

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		comparisons of peers are also undertaken with primary aluminium companies that are members of both the Aluminium Association of Canada (AAC) and the International Aluminium Institute (IAI).

Document Control and Version History

Revision	Date	Notes
0	16 March 2018	Issued
1	13 April 2018	Comments section updated by Audit firm
2	18 January 2019	Updated to reflect Certification Scope change
3	29 January 2019	Updated to include revised hyperlinks and document names for external publications
4	10 September 2020	Surveillance Audit including an update of a reference to Montreal Headquarters in the Certification and Scope.
5	15 March 2021	Updated to include the 29 January 2019 revision as Rev 3 and amend 10 September 2020 revision from Rev 3 to Rev 4; Re-Certification Audit (Full Certification Issued)
6	1 September 2023	Surveillance Audit and Scope Change to remove Beauharnois (closed in late 2021)