

ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

Rio Tinto Aluminium (RTA) Canada

CERTIFICATE NUMBER

1

ASI STANDARD

PERFORMANCE
STANDARD
(V3 2022)

CERTIFICATION LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITING FIRM

ERM CERTIFICATION
AND VERIFICATION
SERVICES

DATE OF ISSUE

16 MARCH 2024

DATE OF EXPIRY

15 MARCH 2027

CERTIFIED SINCE

16 MARCH 2018

AUTHORISED BY

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

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

CERTIFICATION SCOPE

Rio Tinto Aluminium's activities across Canada including the production of alumina (Vaudreuil Refinery, Québec); aluminium smelting and casting (Alma, AP-60, Arvida, Grande-Baie and Laterrière Smelters 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).

AUDIT REPORT PERFORMANCE STANDARD

OVERVIEW

MEMBER NAME	Rio Tinto Aluminium Division
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 Smelters 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 V3
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)• Re-Certification Audit and Scope Change (18 September 2023 – 1 March 2024)
AUDIT FIRM	ERM Certification and Verification Services
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)• 17 October 2022 – 4 November 2022 (Surveillance Audit and Scope Change)• 18 September 2023 – 1 March 2024 (Re-Certification 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)• 2 March 2024 (Re-Certification Audit and Scope Change)

AUDIT SCOPE

Initial Certification Audit (9 - 26 January 2018)

The audit scope included the following operations:

- 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)

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.

Scope Change Audit (4 September – 4 October 2018)

The audit scope included operations in Canada including:

- Headquarters (Saguenay and Montreal QC, Canada)
- Kemano Power Operations (Kitimat BC, Canada)
- Kitimat Smelter (Kitimat BC, Canada)

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.

Surveillance Audit (30 September – 28 February 2020)

The audit scope included the following operations:

- 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)

Supply chain activities included in the Audit Scope:

- Alumina Refining
 - Aluminium Smelting
 - Aluminium Re-melting / Refining
-

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- Casthouses
 - Semi-Fabrication

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

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 Smelters 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)

The audit scope included the following operations:

- 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)

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.

Re-Certification Audit and Scope Change (18 September 2023 – 1 March 2024)

The audit scope included Rio Tinto Aluminium's activities across Canada including the production of alumina (Vaudreuil Refinery, Québec); Aluminium smelting and casting (Alma Smelter and Grande-Baie Smelter in Québec and Kitimat Smelter in British-Columbia); unloading, storage, loading and ground transportation of raw materials and goods (IPSF Port and Rails, Québec); electrical power generation

and distribution (Quebec Power Operations in Québec); treatment of spent pot lining (SPL Treatment Plant, Québec) and; head office support and research and development (Headquarters in Québec).

The Entity uses the ASI multi-site sampling approach and sites AP-60 Smelter, Arvida Smelter, Dubuc/PLS, Kemano Power Operations, Laterrière Smelter and Headquarters in Montreal were not included in the audit scope.

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.

AUDIT OUTCOME

- Certification

AUDIT METHODOLOGY
DECLARATION

The Auditors confirm that:

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

CERTIFICATION PERIOD

16 March 2024 – 15 March 2027

NEXT AUDIT TYPE

Re-Certification Audit

NEXT AUDIT DATE

15 March 2027

CERTIFICATE NUMBER

1



If you have an inquiry or complaint about this Certification, go to the third-party EthicsPoint portal at: <https://aluminium-stewardship.ethicspoint.com/>

EthicsPoint is a comprehensive and confidential reporting tool that enables complaints to be securely raised, managed and responded to. This enables anonymity to be maintained where desired by complainants, or as relevant to whistleblowing situations.

Information is available in five languages – English, French, Chinese, German and Portuguese (Brazil). Translation services provided by EthicsPoint enable complaints and correspondence to be managed in multiple languages.

ENTITY OVERVIEW

The Entity consists of Head Offices in both Montreal and Saguenay with operations across Canada including, on the west coast of British-Columbia an Aluminium smelter and hydroelectricity production facility. In the province of Quebec, on the east coast of Canada, the Entity operates an Alumina refinery, a Spent Potlining Treatment (SPL) Plant, five smelters with Casthouses as well as a dedicated stand-alone Casthouse. In support of the Entity there are also wharf and rail operations, reservoirs and hydroelectricity production as well as an Aluminium dedicated research centre.

The Head Office in Montreal serves as the Rio Tinto Canadian hub and employs over 100 employees who offer a wide variety of functional support services to the Entity's operations. In Saguenay, the regional Head Office has over 90 people who provide technical support services for the Entity's operating sites. The regional Head Office also houses the Aluminium Operational Centre which remotely supports process monitoring and management for all sites.

The Quebec operation includes five aluminium smelters in the Saguenay/Lac St-Jean area (Alma, Arvida, AP60, Grande-Baie and Laterrière) who work and are managed as one plant with an annual production of 1.2 Mt in 2023 and collectively employ approximately 4,000 employees. The Vaudreuil plant is an Alumina Refinery employing 450 people that produces 1.5 Mt of Alumina and specialty products which provides 70% of the required Alumina for the regional smelting operations. The SPL Treatment plant employs 44 employees and has an annual production/treatment capacity of 88 Kt.

Regional operations in Saguenay also include management of six hydroelectric power plants employing approximately 300 employees who maintain 33 water retention works, 884 kilometres of electricity transport lines and produce an average of 2,093 MW.

Bulk transport of raw materials transits through the wharf and rail operations which employs 270 people and manages on average 125 ships transporting 5 Mt of bulk materials annually, (including Bauxite, Alumina, green coke and calcined coke). These materials are then transported to the Entity's operating sites through 142 kilometres of managed railway using a fleet of 14 locomotives and 500 rail cars.

The BC Works operation, in Kitimat, British Columbia, comprises a newly modernised Aluminium smelter and the Kemano Powerhouse, a hydropower facility supplied by the Nechako Reservoir. From Canada's west coast, the Entity transports products by ship and rail, primarily to customers in Japan, South Korea and the United States.

MATURITY RATINGS

A rating of maturity (low, medium or high) determined by the Auditor that provides a general assessment in terms of systems, Residual Risk and performance assigned to a Sustainability Component.

Maturity ratings are not a direct assessment of conformance to the Standard.

	GOVERNANCE	ENVIRONMENT	SOCIAL	COMBINED RATING
SYSTEMS	High	High	High	HIGH
RISKS	High	High	High	HIGH
PERFORMANCE	High	High	High	HIGH
OVERALL		HIGH		

FINDINGS

CRITERION	RATING	COMMENT
1. BUSINESS INTEGRITY		
1.1 Legal Compliance	Conformance	The Entity has a system in place to maintain awareness of evolving regulations and to ensure Compliance against Applicable Law and regulations, and external and internal standards. Where a conflict exists between the Applicable Law and Customary Law, the Entity's approach is to follow the legal frameworks to manage the discrepancies.
1.2 Anti-Corruption	Conformance	<p>Rio Tinto's Code of Conduct (The Way we Work) sets the foundation for doing business appropriately at the Entity. The values, commitments and behaviours set out in the Code of Conduct provide clarity on what is expected from everyone. The Code of Conduct is applicable to everyone who works for the Entity including the Board, Executive Committee, employees and third parties working under the direction of the Entity.</p> <p>In addition to a variety of ESG topics, the Code of Conduct covers topics related to countering Bribery and Corruption (bribery and corruption; conflicts of interest; gifts and hospitality; and anti-money laundering); sanctions and trade controls; competing fairly; tax transparency; privacy and security; insider dealing; and transparent communications.</p> <p>Supporting the Code of Conduct is the Rio Tinto Business Integrity Compliance Programme (BCIP) which is focused on preventing, detecting and responding to business integrity risks. A central and independent Ethics and Compliance function has day-to-day responsibility for the design, implementation and effectiveness of the BCIP.</p> <p>Annual training on ethics and compliance is mandatory for all employees. The Entity's Workers, including employees and contractors, receive training on ethics and compliance, including refresher training. Relevant documents including the Code of Conduct (the Way we Work); the MyVoice procedure; and Business Integrity Standard and Competition Standard are available in multiple languages at: https://www.riotinto.com/en/sustainability/policies</p>
1.3a-e Code of Conduct	Conformance	<p>The Code of Conduct and the Supplier Code of Conduct are publicly available at: https://www.riotinto.com/en/sustainability/policies</p> <p>Both Codes of Conduct were updated during 2022-2023 to capture the learnings from the 2020 Juukan Gorge incident and the Everyday Respect Report (released in 2022). All employees receive training on Ethics and Compliance that includes the Code of Conduct, on an annual or bi-annual basis (based on their role type).</p>
2. POLICY AND MANAGEMENT		
2.1a-f Environmental, Social, and Governance Policy	Conformance	The Entity's Code of Conduct provides guidance on the "right way" to conduct business, including aspects related to Environmental, Social and Governance (ES). Several publicly available stand-alone policies are supporting the guidance provided in the Code of Conduct, including: Group Health, Safety, Environment and Communities Policy; Human Rights Policy; Group Tax Policy; Inclusion and Diversity Policy; Securities Dealing Policy; Disclosure and Communication Policy; Risk Management Policy; Tailings Policy; and Employment Policy;

CRITERION	RATING	COMMENT
		<p>https://www.riotinto.com/en/sustainability/policies</p> <p>All Policies reviewed during the audit have been updated in the last five years.</p>
2.2a-c Leadership	Conformance	<p>The Health, Safety, Environment and Communities (HSEC) Vice President of Rio Tinto Aluminium is designated as the senior Management Representative that leads communication and implementation of HSEC Policies. This includes ensuring resourcing is allocated from within the greater HSEC and operational teams, including the ASI Team.</p> <p>When Rio Tinto Aluminium first implemented ASI (2018), a “One RTA” approach was adopted including a dedicated central team that provides guidance to sites and corporate teams, to facilitate Leadership’s understanding of ASI including compliance issues, budgets, reporting requirements related to ASI, and participation in ASI Standards Committee.</p> <p>To address potential gaps in how ESG Policies were implemented for transitioning to ASI (v3), Rio Tinto undertook a Gap Assessment in November 2022. Results were presented to Senior Leadership. Implementation planning for gap closure was agreed upon and commenced.</p> <p>Leadership interviews conducted in Quebec and British Columbia indicated strong support for the implementation of ESG Policies as described in the ASI Performance Standard.</p>
2.3a Environmental and Social Management Systems – Environmental	Conformance	<p>The Canada Environmental Management System is an integrated Management System organised following the Plan, Do Check and Review philosophy with 17 elements responding to the ASI requirements. Each Facility implements the Environmental Management System with their site specificities under the general Canadian framework. Documents and recordings are available on a local SharePoint platform.</p> <p>The Management Systems are independently certified against international standards (dependent on the site), including ISO 9001 Quality Management, ISO 14001 Environmental Management and ISO 45001 Occupational Health & Safety.</p>
2.3b Environmental and Social Management Systems – Social	Minor Non-Conformance	<p>The 2022 Rio Tinto Community and Social Performance (CSP) Standard is the foundation of the Entity’s Corporate Environmental and Social Management System (ESMS) – Social. Implementation of the new standard is progressing at all Entity sites, however, operational priorities or uncertainties have slowed implementation of the CSP Standard.</p> <p>Whilst a robust Social Management System is in progress, there is inconsistent implementation and integration, and lack of full Human Rights Impact Assessments at the Entity sites.</p>
2.4a-e Responsible Sourcing	Conformance	<p>Rio Tinto and the Entity have focused on ensuring that suppliers and procurement are in Compliance with the Entity’s standards of business ethics. The corporate Code of Conduct (2023), Supplier Code of Conduct (2022), and Business Integrity Standard (2021) reflect this objective, and are available in multiple languages at: https://www.riotinto.com/en/sustainability/policies</p>

CRITERION	RATING	COMMENT
		<p>Further details on Rio Tinto's management of their supply chain can be found at: https://www.riotinto.com/en/about/suppliers</p> <p>The Entity follows the Rio Tinto's Group Procurement Standard (2022) internally available and has an audit program against it to ensure it is applied. Corporate Headquarters manages global procurement and supplier due diligence, and the Canadian procurement team work on fostering local and Indigenous participation and spending.</p>
2.5a-g Environmental and Social Impact Assessments	Conformance	<p>Significant changes to existing Facilities are managed according to the Rio Tinto Project Definition Guideline, which details requirements for each project phase, including environmental and social studies and consultations required at each stage.</p> <p>In addition, Environmental Provincial Regulations in British Columbia and Quebec are stringent regarding new projects and the alteration of operational permits. Depending on the risk level related to the project, Facilities are required to implement extended environmental impact assessments, resulting in the issuing of a new Certificate of Authorization (CoA).</p> <p>Numerous examples were observed during the audit, confirming that projects that have followed, or are currently following, these processes. In 2022 and 2023, Grande-Baie in Quebec went through this process for modification of their Water Treatment System (Usine Grande Baie - Modification of CoA for the installation and operation of the water sedimentation basin and connection to the water sewage system).</p> <p>Quebec Power Operations has commenced this extensive ESIA process for the renewal of their CoA to be obtained in 2028 for the Lac Saint-Jean Riverbanks Stabilization Program currently regulated by the 2018-2027 decree as described at: https://energie.riotinto.com/protection-des-berges/decret/</p>
2.6a-h Human Rights Impact Assessment	Minor Non-Conformance	<p>Whilst Rio Tinto has updated its Human Rights Policy in 2022, interviews acknowledge that Human Rights Impact Assessments (HRIA) have generally not been undertaken at either corporate or site levels. At the corporate level, the focus has been on designing and delivering training for sites on Human Rights, how to identify potential risks, and developing a framework for undertaking an impact assessment.</p> <p>Site interviews confirm that site-level HRIAs (integrated into the Social Impact Assessment or stand-alone) have not been undertaken for anticipated and Major Changes. Neither a HRIA was conducted, nor could an existing HRIA act as a basis for a desktop review.</p> <p>Efforts made by the Entity to conform to the Global Industry Standard on Tailings Management have driven those sites with Tailings Storage Facilities to integrate Human Rights components into the recently conducted social impact assessments, and these reports are identified as the first HRIA exercises for the Entity. Human Rights risks were considered and identified at Quebec Operations and Kitimat and are documented in their operational risk registers (Archer).</p>
2.7a-f Emergency Response Plan	Conformance	<p>The Entity has a Province-wide, plant, and situational Emergency Response Plan (ERPs) that are reviewed at least every five years. A range of diverse scenarios are tested annually at each Facility across the Entity, and the Entity has a debrief process to collect feedback and update the ERPs after a drill, or following a real emergency event.</p> <p>For emergency situations where the potential impact may reach beyond the Entity's Facilities, the specific ERPs are shared with the local</p>

CRITERION	RATING	COMMENT
		<p>police and municipalities, which did not wish to be involved in the drills.</p> <p>The local police, municipalities and Local Communities have been involved in development of the ERP for a Tailings Storage Facility breach.</p>
2.8a-d Suspended Operations	Conformance	<p>Rio Tinto has a Group procedure to oversee the Business Resilience and Recovery Program (BRRP). Each site within the Entity has a Business Resilience and Recovery Program, which is documented in its Business Resilience Management Plan (BRMP). The document focuses on three aspects: 1. Emergency response; 2. Business continuity; and, 3. Information and technology disaster recovery.</p> <p>The BRMPs are typically reviewed annually or when there is a Material change to the business risk profile. At Quebec Operations and Kitimat, the BRMPs were reviewed in the last five years.</p>
2.9a-b Mergers and Acquisitions	Conformance	<p>The Entity's corporate structure establishes the guidelines and processes to take and follow when a merger or acquisition occurs. It sets its guidelines and requirements on its Project Evaluation Standard. Due Diligence has to be performed when a merger or acquisition occurs; this Due Diligence process includes the review of the environmental, social, and governance practices of the project in question and, from that, the risks and opportunities process is developed, within this is considered the legacy issues and other historical information.</p> <p>The Entity has recently entered into an agreement to form a Joint Venture. (https://www.riotinto.com/en/news/releases/2023/rio-tinto-and-giampaolo-group-enter-into-matalco-aluminium-recycling-joint-venture)</p> <p>Whilst the process is not finalised, the Due Diligence process evaluated risks related to human resources, communities, decarbonisation, health and safety, environment, finance, and Human Rights. Based on the due diligence recommendations, the Entity has integrated mitigation measures related to the major risks identified in its acquisition strategy.</p>
2.10a-b Closure, Decommissioning and Divestment	Conformance	<p>The Entity has established a process for site closure described in their closure-related documents, including the Closure Standard, Closure Guidance Note and the Rio Tinto Closure Steering-Committee (CSC) Terms of Reference. All assets, whether considered to be of 'indefinite life' or not, must have a closure strategy and a closure plan to be updated at least every five years by the local closure team.</p> <p>An Asset Closure Strategy was conducted in 2022 on Entity's operations to confirm the life expectancy of each asset, reviewing closure triggers. The BC Works closure team is currently moving to phase two of the old Kitimat Smelter (L1-5) partial closure. Stakeholders receive regular updates addressing projects updates, impacts and elimination and mitigation measures implemented.</p>
3. TRANSPARENCY		
3.1a-b Sustainability Reporting	Conformance	<p>Rio Tinto discloses its approach to sustainability at: https://www.riotinto.com/en/sustainability/our-approach</p>

CRITERION	RATING	COMMENT
		<p>The Rio Tinto Corporate annual reporting framework include a main webpage at: https://www.riotinto.com/en/invest/reports, which is accompanied by a variety of reports including (but not limited to):</p> <ul style="list-style-type: none"> - Annual Report - Climate Change Report - Sustainability Fact Book (excel) - Taxes Paid Report - Modern Slavery Statement - Voluntary Principles of Security and Human Rights Report <p>Rio Tinto's corporate reporting follows the Global Reporting Initiative (GRI). Each site, including the Entity, contributes their data to the corporate reporting however the data are presented at the scale of the overall Rio Tinto corporation. Some data can be broken down to country and/or product group and some data (such as Biodiversity, Water Risk, Tailings and Certifications / Frameworks) are broken down to a site level.</p> <p>Quebec (QC) and British Columbia (BC) operations also have local sustainability reporting initiatives that report on local data:</p> <ul style="list-style-type: none"> - QC Operation report is available in French at: https://votreriotintoslsj.com/rapports-de-developpement-durable - BC Operations report is available in English at: https://www.riotinto.com/en/operations/canada/bc-works <p>BC Operations also produces an Annual Environmental Report to share environmental performance with Stakeholders, available at: https://www.riotinto.com/en/operations/canada/bc-works</p>
3.2 Non-compliance and Liabilities	Conformance	<p>Rio Tinto discloses the monetary amount of its fines and prosecutions related to health, safety and environment in its Sustainability Fact Book and Annual Report, which are available at: https://www.riotinto.com/en/invest/reports</p> <p>At BC Operations, the Kitimat Public Advisory Committee (KPAC) is used as a forum to disclose non-compliances and liabilities to Affected Populations, including First Nations. Additionally, non-compliances are annually documented in section 11 of the BC Works Environmental Reports, available at: https://www.riotinto.com/en/operations/canada/bc-works</p> <p>At Quebec Operations, local Good Neighbour Committees are used as a forum to disclose non-compliances and liabilities to affected populations. The Good Neighbour Committees' meeting minutes are available at: https://votreriotintoslsj.com/les-comits-bon-voisinage-du-saguenay-lac-saint-jean</p> <p>Quebec Operations also report their number of environmental non-conformities and the monetary amount of fines and prosecutions through the Quebec Aluminium group Sustainable Development Report, available at: https://votreriotintoslsj.com/rapports-de-developpement-durable</p>
3.3a-c Payments to Governments	Conformance	<p>Rio Tinto Business Integrity Standard prohibits Bribery, Corruption, fraud, and other economic crimes in all their forms, including in payments to governments, and provides obligations to avoid, disclose, and manage conflicts of interest. The Group Tax Policy covers the fundamental principles that govern the Group's tax management practices and how they support the Group's strategy.</p> <p>Rio Tinto are a founding member of the Extractive Industry Transparency Initiative (EITI). In 2021, Rio Tinto reinforced their</p>

CRITERION	RATING	COMMENT
		<p>commitment to transparency over tax reporting by being one of the first companies to fully implement the disclosure requirements under the GRI 207 Tax standard.</p> <p>Rio Tinto publicly commits to disclosing contracts with, and taxes and payments to, governments, as well as the identities of the owners of companies with which they work (beneficial ownership). The Taxes Paid Report is publicly disclosed at: https://www.riotinto.com/en/invest/reports/taxes-paid-report</p> <p>The Rio Tinto Group Tax Policy and Business Integrity Standard can be found at https://www.riotinto.com/en/sustainability/policies</p>
<p>3.4a-f Stakeholder Complaints, Grievances and Requests for Information</p>	<p>Conformance</p>	<p>Rio Tinto has a Grievance Mechanism at the corporate level called MyVoice which is detailed in a procedure (2022) available at: https://www.riotinto.com/en/sustainability/policies</p> <p>MyVoice is available to all, from employees to members of the Communities where the Entity operates. The publicly available online platform is https://app.convercent.com/en-us/LandingPage/60732c5c-fb3c-e811-80e2-000d3ab6ebad</p> <p>In addition to MyVoice, employees and contracted Workers can also direct their grievances to their management and human resources representatives. Workers at the Entity are made aware of the two processes through training, regular refreshers, and posters. Category 2 and 3 contractors are also informed of the availability of MyVoice through posters and compulsory training before site entrance, however, the confidential interviews indicated that most of the Category 2 and 3 contractors were unfamiliar with the system.</p> <p>Feedback from outside parties (Affected Populations and Organisations), including complaints, grievances, and information requests are mostly received through phone, mail, social media or via locally dedicated community offices. The channels to reach the Operations are publicly available at:</p> <ul style="list-style-type: none"> - Quebec (QC): https://votreriointoslsj.com/gestion-des-plaintes - British Columbia (BC): https://www.getinvolvednechako.ca/keeping-in-touch/ and https://www.riotinto.com/en/operations/canada/bc-works/bc-works-communities <p>All forms of public feedback are listed in an engagement tracking system which allows tracking of occurrences and resolution. The overall management system is reviewed annually and was thoroughly revised in 2023 to follow the UN Guiding Principles on efficiency criteria.</p> <p>Documentation about complaints, grievances, and information requests resolution is publicly available in French for Quebec at: https://votreriointoslsj.com/gestion-des-plaintes</p>
<p>4. MATERIAL STEWARDSHIP</p>		
<p>4.1a Environmental Life Cycle Assessment</p>	<p>Conformance</p>	<p>Environmental Life Cycle Assessments (LCAs) exist for all Aluminium production at all Rio Tinto Aluminium smelters, including at the Entity. LCAs are produced in accordance with ISO 14040 and ISO 14044 and undergo third party review.</p> <p>Environment Product Declarations (EPDs) have been completed on major Product lines for all Smelters within the Entity. EPDs are produced in accordance with EN:15804+A2; ISO14025; ISO21930; and applicable Product Category Rules. EPDs are validated by an external third party consultant.</p>

CRITERION	RATING	COMMENT
4.1b-c Environmental Life Cycle Assessment - Disclosure	Conformance	Environmental Life Cycle Assessment (LCAs) factsheets and EPDs are available upon request by customers. In addition, LCA results and methodology are provided to customers through the START platform at: https://www.startresponsible.com/
4.2 Product Design	Not Applicable	This Criterion is not applicable to the Entity, as the ISO 9001 certificate does not include Product design and development. RTA Canada production ends at ingot fabrication.
4.3a-b Aluminium Process Scrap	Conformance	The Entity has established a 100% target for Scrap collection, recycling and re-use. The Facilities in QC and BC have integrated into their production process the recycling of all Aluminium Scrap, including offcuts, default-related Scrap and out-of-specification Scrap. All final Products are subject to a detailed alloy composition analysis certificate linked to the batch serial number, which allows for segregation and storage of Scrap material accordingly for re-melting in the Casthouse.
4.4a-c Collection and Recycling of Products at End of Life - Material Conversion and other Manufacturing	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.4d Collection and Recycling of Products at End of Life	Conformance	<p>The Entity indirectly promotes Aluminium recycling outside of its installation through its participation in the Aluminium Association of Canada (AAC) and Alu Quebec. Rio Tinto is a founding member of the Aluminium Association of Canada (AAC) and is represented on the Board of Directors of AluQuebec.</p> <p>Through its recycling strategy, Rio Tinto engages with local and regional recycling industries where available including taking extrusion Scrap and Dross, to supporting recycling of products containing Aluminium and continues to seek further opportunities for recycling products at End of Life.</p> <p>Both QC and BC operations have dedicated waste valorisation teams who track waste and waste by-products for each Facility in accordance with the Zero Waste Plan.</p>
5. GREENHOUSE GAS EMISSIONS		
5.1a-b Disclosure of GHG Emissions and Energy Use	Conformance	<p>The Entity has publicly disclosed its Greenhouse Gas (GHG) Emissions (Scopes 1, 2 and 3) and energy use by product group and sources through the Rio Tinto annual Climate Change Report. Data utilised within the Climate Change Report undergoes independent assurance (reasonable assurance for Scope 1 & 2 data, limited assurance for Scope 3). The Independent Assurance Report is published as the final pages of the Climate Change Report.</p> <p>Rio Tinto's approach to climate change, including the annual Climate Change Report and calculation methodologies, is available at: https://www.riotinto.com/en/sustainability/climate-change</p> <p>The Quebec Operations and BC Works publish annual GHG emissions reports on their respective websites.</p> <p>Quebec Operations' annual Sustainability Report is available at: https://votrieriotintosj.com/rapports-de-developpement-durable</p>

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		<p>BC Works' annual Environmental Report 2022 is available at: https://www.riotinto.com/-/media/content/documents/operations/bc-works/environmental-reports/rt-bc-works-environmental-report-2022.pdf</p> <p>Quebec Operations' and BC Works' public disclosures are independently vetted by an approved Third Party prior to publication.</p>
5.2a Aluminium Smelter GHG Emissions Intensity - Started production after 2020	Not Applicable	This Criterion is not applicable to the Entity, as its operations commenced prior to 2020.
5.2b Aluminium Smelter GHG Emissions Intensity - In production up to and including 2020	Conformance	<p>Rio Tinto's climate change strategy aims to for a GHG emissions reduction up to 15% in total emissions by 2025 and a 50% reduction in total emissions by 2030 compared to 2018 and with carbon-neutral growth supported by a fund of \$7.5 billion within the next five years, and has an ambition of being 'zero carbon' by 2050.</p> <p>'The QC Operations' GHG emissions per source for the past five years have been below 2.3 tCO₂e/t Al with a target of 2.1 tCO₂e/t Al for 2025.</p> <p>At the BC Works, since a labour dispute in 2019, production instability led to increased GHG emissions above the Kitimat historical 'threshold' of 2.0 tCO₂e/t Al. The operations aimed to reduce GHG emissions by 25% (in terms of CO₂ equivalent /Mg-Al compared to the 2022 average) after production stabilisation was achieved in 2023. The Kitimat Smelter GHG emissions intensity decreased from 2.87 tCO₂e/t Al (Scope 1 and 2) on average in 2022 to 2.15 tCO₂e/t Al in September 2023.</p>
5.3a-e GHG Emissions Reduction Plans	Conformance	<p>Rio Tinto has established targets to reduce Scope 1 and 2 emissions (15% reduction by 2025, 50% by 2030) and to reach net zero by 2050. Targets cover more than 95% of site operational emissions.</p> <p>The Entity is also contributing to Rio Tinto's GHG Emissions Reduction Pathway of carbon neutrality by 2050. Rio Tinto's targets, actions being taken and progress against these targets (including emission calculation methodologies) are published within the annual Climate Change Report at: https://www.riotinto.com/en/sustainability/climate-change</p>
5.4 GHG Emissions Management	Conformance	<p>A new organisational structure for Climate Change was introduced in May 2023. This structure aligns capital expenditure and business strategy across six distinct abatement initiative streams in addition ensuring that GHG emissions are fully integrated into the Quebec Operations and Works BC Environmental Management System. The GHG Management System structure includes a governance structure, legal requirements with regulatory annual reports to provincial and federal ministries, budget and dedicated teams, operational procedures and methods, defined targets and monitoring systems and an annual review.</p> <p>The Entity's efforts are supported by Rio Tinto's Atlantic and corporate structures dedicated to aligning business strategy, capital allocations for the "6+1" abatement programs and emissions inventories and reporting. The Rio Tinto centralized team guarantee compliance with the GHG Protocol Corporate Accounting and Reporting Standard. https://ghgprotocol.org/corporate-standard</p>

CRITERION	RATING	COMMENT
6. EMISSIONS, EFFLUENTS AND WASTE		
6.1a-f Emissions to Air	Conformance	<p>In Quebec, 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. 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. The latest updates on discharges to air are included in the sustainability annual report on the Quebec sites at: https://votreriotintoslsj.com/rapports-de-developpement-durable</p> <p>In BC, the 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: https://www.riotinto.com/en/operations/canada/bc-works</p>
6.2a-g Discharges to Water	Conformance	<p>The Entity's Quebec and BC Facilities hold operational permits regulating their water discharge, monitoring data, location of compliance points, and reporting requirements.</p> <p>Quebec sites are subject to the Industrial Discharge Reduction Plan (PRRI- Programme de réduction des rejets industriels) which makes their Certificate of Authorization available at: https://www.environnement.gouv.qc.ca/programmes/prri/documents/liste-etablisements-assujettis-prri.pdf</p> <p>Water management plans are updated at least every five years according to regulatory requirements, annual risk assessment updates and data monitoring. All Quebec sites issue monthly water discharge monitoring reports and an annual synthesis to the Quebec Ministry of Environment. The latest updates on water discharge are included in the annual Sustainability Report at: https://votreriotintoslsj.com/rapports-de-developpement-durable</p> <p>BC Works has a water management and monitoring program which is directed by their operational permit (Authorized Effluent Discharge). The water discharge permits remained identically applicable despite the Smelter restarts and their monitoring data is reported monthly to the BC Ministry of Environment. The latest plans and effluent discharge updates are presented to the Kitimat Public Advisory Committee.</p>

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6.3a-g Assessment and Management of Spills and Leakages	Conformance	<p>The Entity has regularly assessed major and minor risks related to environmental aspects, including potential Spills and Leakage from the production as prescribed in its internal risk assessment and aspects processes and managed via its ISO 14001 certified Management System.</p> <p>The Entity has documented processes and forms to record events and manage incidents, allowing to clearly identify areas, source contaminants and impacts of Spills, and reports on events on a regular basis to various regulators and community Stakeholders. All of the Entity's operations annually review their assessment of significant risks of Spills and Leakages and updates are recorded in the site's Risk Registers.</p> <p>In BC, environmental Leakages or Spill-related incidents, including air emission threshold exceedance are reported to the BC Ministry of Environment, Fishery and Ocean Canada (DFO) and BC Dangerous Goods Incident Report (DGIR), with the associated action plan. The latest action plans are made available to the public during the Kitimat Public Advisory Committee (KPAC) meetings at least quarterly.</p>
6.4a-b Public Disclosure of Spills and Leakages	Conformance	<p>At the Entity's BC Operations, the operational permit requires the sharing of legally required information with First Nations representatives. The KPAC is also used as a forum to disclose Spills and Leakages information to Affected Populations and First Nations.</p> <p>Additionally, Spills and Leakages are annually documented in section 11 of the BC Works Environmental Reports, available at: https://www.riotinto.com/en/operations/canada/bc-works</p> <p>At Quebec Operations, local Good Neighbour Committees are used as a forum to disclose Spills and Leakages to Affected Populations. The Good Neighbour Committees' meeting minutes are available at: https://votreriotoslsj.com/les-comits-bon-voisinage-du-saguenay-lac-saint-jean</p>
6.5a-c Waste Management and Reporting	Conformance	<p>The Entity has established a goal to achieve a 20% reduction of Waste to landfill against 2019 baseline data over five years. Streams of Waste and by-products valorization are developed and tested by the Entity's dedicated valorization team, which has led to pilot studies, including one performed for anhydrite fertilization of blueberry farms in the Saguenay region as well as the agricultural use of CHAC (aqua-catalysed hydrated lime), a gas desulphurization by-product generated from scrubbers of the coke calciner at the Arvida plant. Further information is available at: https://www.riotinto.com/en/news/stories/blueberries-love-aluminium and https://www.riotinto.com/en/can/news/stories/mining-waste-is-fertile-ground</p> <p>BC Works has developed a Smelter Restart Materials and Waste Management Plan (SR-M&WMP) for managing critical materials during the smelter restart described in BC Works' Environmental Report for 2022.</p> <p>Quebec operations has published a consolidated report of Hazardous and Non-Hazardous Wastes, including quantities landfilled, valorized, stored and treated, which is available in their Sustainability Report at: https://votreriotoslsj.com/rapports-de-developpement-durable</p>

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6.6a-g Bauxite Residue	Conformance	<p>Rio Tinto has documented its commitment and approach to tailings management via the Tailings Policy and Management of Tailings and Water Storage Standard and Group Procedure which are publicly available at: https://www.riotinto.com/en/sustainability/policies https://www.riotinto.com/en/sustainability/environment/tailings</p> <p>Rio Tinto is committed to comply with the Global Industry Standard on Tailings Management (GISTM) and assesses its progress on compliance through third party audits against the International Council on Mining and Metals (ICMM's) GISTM Conformance Protocols. Public disclosures related to Tailings Storage Facilities (TSF) are available, by Facility, via the Rio Tinto Tailings Disclosure Interactive Map at: https://www.riotinto.com/en/sustainability/environment/tailings/disclosures#</p> <p>Risks associated with operation of TSFs during normal and emergency conditions are assessed through the Entity's Enterprise Risk Management (ERM) program and include impacts to operations, environment, people and communities.</p> <p>Bauxite Residue-related activities are only in Quebec. Quebec operations currently manage three Bauxite sites (Vaudreuil Laterriere TSF Bason XC-XD; Vaudreuil Local TSF Jonquiere; and Vaudreuil Pond 4). Vaudreuil Local TSF Jonquiere is a dry-staking facility (70% dried Bauxite Residue) following a thorough deposition plan approved by external experts and Independent Tailings Review Board (ITRB) members. Comprehensive monitoring programs (water quality, slope stability, water table rise) are implemented at all TSFs.</p> <p>Tailing facilities remediation plans were issued in 2021 for Vaudreuil Laterriere TSF Basin XC-XD (pre-feasibility study) and in 2020 for Vaudreuil Local TSF Jonquiere and Pond 4. In preparation for the TSF closures and remediation in 2032, ongoing tests are undertaken for future site coverage with various materials.</p>
6.7a-f Spent Pot Lining (SPL)	Conformance	<p>The management of Spent Pot Lining (SPL) is integrated with the Entity's Waste Strategy and Waste By-Product Valorization Strategy and is currently implemented in both BC and Quebec. The Entity's Quebec SPL Treatment Plant (UTB) transforms SPL Hazardous material into a more stable material (Sous-produits carbonnés or SPC – carbon by-products), used as raw material by other industries. The Entity explores new streams of valorization of these by-products with different industries and focuses on bringing more efficiency to the treatment process.</p> <p>100 percent of BC Works' SPL have been dismantled, cut, and shipped via rail to the UTB since 2017. The historical SPL on-site landfill has since closed and is subject to extensive monthly groundwater water monitoring, which is reported to the BC Ministry of Environment. All new SPL generated is transported in secure rail cars to the Quebec UTB.</p> <p>100 percent of Quebec SPL is treated at the Quebec UTB. Old SPL which has been historically landfilled on the Jonquiere site, has since been completely retrieved and are now stored with new SPL in a dedicated above-ground storage area.</p>
6.8a-d Dross	Conformance	<p>Dross management is integrated within the Entity's Waste Strategy and Waste by product valorization Strategy and is currently implemented in both BC and Quebec. External specialised local companies process Dross generated by Quebec and Kitimat smelters.</p>

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7. WATER STEWARDSHIP		
7.1a-b Water Assessment and Disclosure	Conformance	<p>The Entity has disclosed its annual water intensity use in its Sustainability Fact Book. Water withdrawal by Products Group displays the surface water, groundwater and municipal consumption for all Atlantic operations together but does not provide the exact details per Facility. The water risk per asset is provided for each Facility with the risk level based on four criteria (water resource, water quality and quantity, dewatering and Long-term obligations).</p> <p>In addition, the interactive online platform for the disclosure of surface water allocation, latest annual water usage and the associated average catchment rainfall runoff, as well as a five year view on historical annual water usage, allows data to be viewed by location, operation or asset and is available at: https://www.riotintowaterdashboard.com</p> <p>In Canada, water withdrawal and discharge are provincially regulated for all the Entity's Facilities and must be tracked annually as per the Facilities' permits or Certificate of Authorization. As part of the annual Sustainability Report, the Quebec operations publish the water intensity use, available at: https://votreriotintoslsj.com/rapports-de-developpement-durable</p> <p>In addition, Quebec Entities' environmental monitoring data is made publicly available via the Government website "Atlas de l'eau" (in French)at: https://www.environnement.gouv.qc.ca/eau/atlas/index.htm</p> <p>Quebec operations are also members of the Saguenay Watershed Management Committee. Each Facility within the Entity is a member of a 'Good Neighbourhood Committee' where Stakeholders' concerns regarding water use and discharge are addressed as required.</p> <p>In BC, water challenges are related to the operation of the Nechako Reservoir, which significantly impacts fish resources (Oolichan) due to the water level in the Nechako River. The Entity has initiated a Water Engagement Initiative (WEI) with approximately 40 community members, including residents, First Nations, and local Government representatives, to improve water management in the Nechako Reservoir and Nechako River. They identify opportunities and address erosion, water quality, and resource management challenges.</p>
7.2a-e Water Management	Conformance	<p>For Quebec Facilities, water management plans are updated annually, along with Certificates of Authorization and/or Depollution Attestations edits, minimally every five years (Alma, UTB, Grande Baie and Vaudreuil). A Water Management Plan encompasses activities for the Vaudreuil Refinery, Bauxite Residues tailings facility, and smelters.</p> <p>For the Quebec Power Operations, the Water Management Plan is updated annually and addresses primary sources of hydro power such as the Peribonca River and two water reservoirs (Lac Saint-Jean and Reservoir des Passes). The Water Management Plan is established in partnership with Hydro Quebec to ensure that reservoir discharges are coordinated and executed safely for the potentially affected population in the Watershed. The Facility is in discussion with the Pekuakamiulnuatsh First Nation to optimise the use of water for electricity production and also for the nation's electricity production from their private Hydro Electric Dam. A proposal has been developed regarding a partnership between the Entity and the First Nations in the</p>

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		<p>coming years. Up-to-date water management information is disclosed via the Good Neighbourhood Committees.</p> <p>In BC, the water management plans are updated for each Facility on an annual basis.</p> <p>For the Kitimat Facility, a Water Management Plan is updated annually in conjunction with the risk assessment review, monitoring results and legal requirements, when applicable. Water management updates are presented to the Kitimat Public Advisory Committee (KPAC) and disclosed in the BC Works Annual Environmental Report.</p> <p>The Kemano Water Management Plan, which encompasses the Nechako Reservoir and the related Watershed, is updated at least annually. The impact of the water level is continuously monitored, and monthly reports are produced for BC Works. In February 2023, an updated Watershed Community Engagement Plan was presented to the key Stakeholders to schedule consultations and select key topics (such as water management plan, shoreline erosion, water level, flooding, fish resources availability) to be discussed during these consultations. The latest updates related to Water management are disclosed via different BC Works websites in the Flow Facts, Dam Safety and Water Engagement Initiative sections, at: https://www.getinvolvednechako.ca</p>

8. BIODIVERSITY AND ECOSYSTEM SERVICES

8.1a Biodiversity and Ecosystem Services Risk and Impact Assessment	Conformance	<p>Rio Tinto has developed a corporate Biodiversity Protection and Natural Resource Management Standard that prescribes each Facility to execute a biological diversity and Ecosystem Services impact assessment for all ecosystems relied upon by surrounding communities. Biodiversity and Ecosystems Services impact assessment is performed as per the environmental risk assessment process and recorded into the Facility's risk register.</p> <p>Biodiversity and Ecosystem Impact Assessments are also driven by regulatory requirements for new projects in both BC and Quebec as part of the permit process. The latest regulatory-driven Environmental Impact Assessment with Biodiversity and Ecosystems Services risk assessments were performed in BC for the Kemano Tunnel T2 and in Quebec for the Lac-Saint-Jean permit (current Decree 2018-2027) for the Shoreline Stabilization Program.</p> <p>Quebec Power Operations updated their business unit biodiversity risk assessment in September 2022. The study was conducted to evaluate the impacts generated by construction and operation activities (i.e. air emissions, water discharge, waste generated, vegetation clearing, boat traffic) on cultural heritage areas, Protected Areas, areas of interest, endangered/vulnerable species and sensitive habitats in their Area of Influence.</p> <p>La Baie IPSF (Port and Rail) has annually updated their risk register as their Area of Influence encompasses the presence of protected species, migratory birds, marine mammals, and new 'invasive' species.</p>
8.1b Biodiversity and Ecosystem Services Risk and Impact Assessment - Priority	Conformance	<p>The Entity undertakes regular Biodiversity and Ecosystem Services reviews and provides feedback with Local Communities. The latest regulatory-driven Environmental Impact Assessment was performed in BC for the Kemano Tunnel T2, where Affected Populations fully participated in all aspects of the Canadian Environmental Assessment Act Screening process. First Nations (Haisla Nation, Cheslatta Carrier</p>

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		<p>Nation, Office of the Wet'suwet'en, Skin Tyee Nation, Nee Tahí Buhn Nation) were consulted. An updated Watershed Community Engagement Plan has been presented to the key Stakeholders and discussion of critical topics has occurred. At Kitimat, Biodiversity issues are addressed with the Kitimat Public Advisory Committee (KPAC).</p> <p>For Quebec operations, Biodiversity impacts and initiatives are discussed and presented at the Neighbourhoods Committees ("Comités de bon voisinage"). For the Lac Saint-Jean facility, Stakeholders are consulted via two processes, with specific consultation stages described on Quebec Power operations' website at: https://energie.riotinto.com/protection-des-berges/decret/</p> <p>The second consultation/participation process occurs quarterly via the Stakeholders' committee meetings where questions and concerns are addressed, refer to: https://energie.riotinto.com/documents/comite-des-parties-prenantes/. Committee members are consulted about reintroducing local vegetal species for the shoreline stabilization. Species are discussed and chosen with the local Stakeholders' input.</p>
8.2a-g Biodiversity Management	Conformance	<p>Biodiversity management plans are mostly integrated into each Facilities' environmental plans. Action plans are updated with the annual risk assessment review and upon any material changes. Quebec Power Operations updated their Biodiversity risk assessment in September 2022, and the associated action plan comprises of specific actions with targeted due dates and ongoing actions focused on operationalized daily procedures aiming to impact avoidance or minimization and adequate monitoring.</p> <p>At the La Baie IPSF Port, Biodiversity Action Plans are developed with the support of subject matter experts (SME) such as biologists for bird management (i.e. program for local swallow nest relocation, and new species arrival such as cormorants).</p> <p>The Entity offsets habitat loss through the building of nearby swallow nests with their staff and neighbouring schools' participation under a biologist SME guidance. Details are available at: https://votreriointoslsj.com/projet-de-modernisation-des-quais-et-du-dchargement-dalumine. Biodiversity Action Plans and updates are disclosed and discussed with local stakeholders during the Neighbourhoods Committees meetings available on the Quebec Facilities' website at: https://votreriointoslsj.com/les-comits-bon-voisinage-du-saguenay-lac-saint-jean</p> <p>The BC Works Biodiversity Plan for the Nechako Reservoir focuses on fish and fish habitat preservation. Material impacts are addressed with time-bounded targets and effectiveness followed up via a detailed monitoring program for the Oolichan population in the Kemano River and Salmon and white Sturgeons populations. At the Kitimat Smelter, the sulphur dioxide (SO₂) emission environmental effects monitoring program (SO₂EEM) on plants and lichens, commenced in 2013 has been extended to the monitoring of culturally important plants, herbs, shrubs and cyano lichen biodiversity for potential long-term indirect effects caused by sulphur deposition on these more sensitive species.</p> <p>The Entity utilises the technical expertise of local First Nations alongside a local ecologist to have a long-term monitoring program supported by First Nations whose traditional territories are located within the Area of Influence.</p>

CRITERION	RATING	COMMENT
		<p>Biodiversity Action Plans and updates are disclosed and discussed with local Stakeholders during KPAC meetings and the Kemano Operation group of Stakeholders such as the Water Engagement Initiative (WEI), the NFCP Nechako Fisheries Conservation Program Technical Working Group, and the NWSRI Nechako White Sturgeon Recovery Initiative Group. Further information is available on the BC Works community websites at: https://www.getinvolvednechako.ca and https://www.riotinto.com/en/operations/canada/bc-works/bc-works-communities</p>
8.3a-c Management of Priority Ecosystem Services	Conformance	<p>Electricity production in BC and Quebec relies on the water supplied from the Watershed to the hydroelectric power plants (Nechako Reservoir for BC and three reservoirs in Quebec, Lac Manouane, Lac Passes Dangereuses and Lac Sain-Jean). These Priority Ecosystems are meaningful to Affected Populations, including First Nations (access to fish resources, resorts, tourist activities, and cultural heritage interest). Priority Ecosystem Services' action plans are embedded in the Facilities' Biodiversity Management Plans.</p> <p>The Quebec Power Operations Water Risk Profile remains moderate for both water quality and quantity and low for long-term management. BC Power Operations' water risk profile is high for both parameters. Further information is available at: https://www.riotinto.com/en/sustainability/environment/water</p>
8.4 Alien Species	Conformance	<p>Canadian regulations provide the primary driver for Alien Species prevention throughout the Entity and are applicable in the IPSF Port of La Baie and the Kitimat Port Facility, which represent the main pathways for Alien Species. Both ports similarly apply this regulation implemented according to Canadian Port Authorities and the Canadian Food Inspection Agency.</p> <p>The significant Alien Species prevention procedures and associated action plans implemented in Quebec Operations Area of Influence include:</p> <p>1 - Prevention of marine alien species at the port entry regulated by Transport Canada. Vessels are under Ballast Water Regulations and all vessels must have ballast water management in place and keep records before receiving approval from Transport Canada to proceed to the delivery port. The Entity ensures ships comply with the regulation, with adequate records.</p> <p>2 - Prevention of Flighted Spiny Moth Complex (FSMC), also called Asian Gypsy Moth (AGM), where vessels must notify the Canadian Food Inspection Agency (CIAF) prior to entering Canadian waters.</p> <p>3 - As part of the Lac Saint-Jean biodiversity plan for 2024, the Entity is building boat washing stations at designated access ramps to avoid the risk related to the Zebra Mussels.</p> <p>For BC Works, Alien Species regulations are federal; whilst at the Kitimat Port Facility, it applies the same processes as in Quebec (refer above). The Kemano T2 Project (the second tunnel) Environmental Management Plan also include provisions for flora and fauna, including weeds and invasive species prevention and mitigation.</p>
8.5a-b Commitment to "No Go" in World Heritage Properties	Conformance	<p>The Entity has a process in place to avoid selecting projects in or close to World Heritage Properties. The Entity's current and proposed operations are neither inside the boundaries of, nor adjacent to any World Heritage sites.</p>

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		The Rio Tinto Study Definitions Guideline (used for all Major Projects) includes a checkpoint in relation to assessment of project location and impact on World Heritage sites.
8.6a-d Protected Areas	Conformance	The Entity's exploration's procedure governing access to Protected Areas prohibits any activities within World Heritage areas and assesses access into Protected Areas on a case-by-case basis. The Entity uses the Integrated Biodiversity Assessment Tool (IBAT) tool to identify any Protected Areas within a 50 kilometre radius of operational sites. An extensive list is available in the Sustainability Fact Book 2022, accessible at: https://www.riotinto.com/en/invest/reports/sustainability-report
8.6e Protected Areas - Bauxite Mining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.7a-i Mine Rehabilitation	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9. HUMAN RIGHTS		
9.1a-d Human Rights Due Diligence	Minor Non-Conformance	<p>In 2022, the Entity updated its Human Rights Policy which commits to implementing the UN Guiding Principles on Business and Human Rights (UNGPs). The Policy is publicly available at: https://www.riotinto.com/en/sustainability/policies</p> <p>The updated corporate Community and Social Performance (CSP) Standard includes annual identification of actual or potential adverse salient Human Rights impacts, that are cross-functional, include external Stakeholders and Rightsholders, and can be integrated into a social risk assessment or undertaken as a stand-alone assessment. The Entity's Facilities track the effectiveness of Human Rights mitigation measures and communicate identified Human Rights impacts and how they are being addressed. Human Rights training for employees is required and CSP functions must also collaborate with other functional roles, including, but not limited to, Procurement and Security.</p> <p>The Entity has implemented Human Rights Due Diligence in its global procurement and vendor review process. High-risk vendors are screened out by this process. Corporate and site management interviews indicate that Human Rights Due Diligence is "a work in progress" with a low maturity level. Entity site interviews indicate Human Rights Due Diligence or Human Rights risk and impact assessments have not yet been integrated into CSP practice. Affected Populations have not been consulted on a gender-based process.</p> <p>Confidential Worker interviews indicate Human Rights issues, including Discrimination and bullying based on gender are present in operational workplaces, especially non-administrative environments. While the Entity has implemented respectful workplace training during induction and in its refinery and smelter operations, as well as implementing multi-platform and anonymous grievance mechanisms, a gender-responsive Human Rights Due Diligence process that can measure its effectiveness is not yet completed.</p> <p>The mapping of Affected Populations is also not equally implemented across the Entity.</p>

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9.2a-e Gender Equity and Women's Empowerment	Minor Non-Conformance	<p>The Entity has multiple Policies and programs intended to promote gender equity and women's empowerment, including an Employment Policy that specifically highlights diversity and non-discrimination in recruitment, an annual gender equity review of remuneration and a Women in Leadership program. In addition, Quebec and BC Operations have adapted hiring practices to be more appealing to women and implemented a women mentorship program. Targets have been set to increase the number of women and general diversity in the workforce.</p> <p>To date, Rio Tinto has renewed its Code of Conduct and developed and implemented multiple respectful workplace policies and training programs. Risk registers with controls have been implemented at most of the Entity sites. Details related to Rio Tinto's commitment and performance to diversity and inclusion is publicly disclosed at: https://www.riotinto.com/en/sustainability/talent-diversity-inclusion</p> <p>Rio Tinto's Code of Conduct and Employment Policy are available at: https://www.riotinto.com/en/sustainability/policies</p> <p>A focused corporate emphasis in the area of gender equity is recognised since public release of the Everyday Respect Report (ERR) by Elizabeth Broderick and Co. in 2022 which found systemic examples of Harassment, sexual Harassment and intimidation / bullying, identified barriers in the workplace during multiple site audit interviews and limited public disclosure of the effectiveness of programs. External parties can view the ERR and updates related to implementation of recommendations at: https://www.riotinto.com/en/sustainability/talent-diversity-inclusion/everyday-respect</p> <p>However, during workforce interviews examples of Harassment were cited that indicate additional measures are needed to prevent and control incidents.</p>
9.3a-i Indigenous Peoples	Minor Non-Conformance	<p>At the corporate level, Rio Tinto has Policies and standards that frame its relationship with First Nations, among which are a Human Rights Policy (2023) and a Social Performance Standard (2022). Those documents are publicly available at: https://www.riotinto.com/en/sustainability/policies</p> <p>The First Nations in the Entity's Areas of Influence in Quebec and in British Columbia have been mapped and the Entity has engaged with First Nations in relation to ASI Certification and the ASI Performance Standard.</p> <p>In BC, the Entity has direct communication channels with the Indigenous communities to report environmental non-compliance, water quality, air quality, and other disclosures related to the ASI Performance Standard. Engagement is undertaken with a total of four First Nations in the Kitimat/Terrace area and twelve First Nations' traditional territories in the Watershed near their operations. The Entity has entered into several agreements which provide frameworks for collaboration with the different First Nations.</p> <p>In Quebec, the Entity is in the process of preparing a long-term Impact Benefit Agreement (IBA) with the PekuakamiInuatsh First Nation (PFN). Quebec personnel are also considering engagement with other First Nations that may be impacted by dam-related activities. The IBA negotiation with the PFN has been ongoing since 2014. The "Kuessilueu, le vent tourne" interim agreement was signed in 2022. Under this agreement, six committees were supposed to be formed to prepare the basis of the IBA. However, engagement with the PFN related to the</p>

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		<p>IBA was paused in the summer of 2023 by the PFN for reasons outside of its relationship with the Entity. Collaborative activities that do not relate to the IBA negotiations are still ongoing, such as cultural heritage mapping, business opportunities, and engagement around the Lac Saint-Jean shore restoration program.</p> <p>However, the interviews demonstrated limited communication channels between the Entity and the PFN in QC for reporting of environmental non-compliances and water quality in the municipalised areas as well as air quality, and other disclosures mentioned in the ASI Performance Standard.</p>
<p>9.4a Free, Prior, and Informed Consent (FPIC) - New Projects or Major Changes</p>	<p>Conformance</p>	<p>The Entity's Communities and Social Performance (CSP) Standard provides a framework to engage with Communities. The CSP Standard has a requirement to demonstrate progress towards, or achievement of, Free, Prior, and Informed Consent (FPIC) of affected Indigenous Peoples. The Standard is publicly available at: https://www.riotinto.com/en/sustainability/policies</p> <p>At the BC Operations, the Entity has been working for years on the construction of a tunnel to secure its energy supply. Prior to construction, the permitting process included extensive engagement and consultation with the Cheslatta Carrier Nation and the Haisla First Nation to ensure that their culture and traditions were respected. The Entity also has Impact Benefit Agreements signed and in place with the two First Nations. Information about the project is available publicly at: https://www.riotinto.com/en/operations/canada/bc-works</p> <p>At Quebec Operations, several projects are in preparation and the Entity plans to engage further with the Pekuakamiulnuatsh First Nation to obtain FPIC.</p>
<p>9.4b Free, Prior, and Informed Consent (FPIC) - Bauxite Mining</p>	<p>Not Applicable</p>	<p>This Criterion is not applicable to the Entity's Certification Scope.</p>
<p>9.4c Free, Prior, and Informed Consent (FPIC) - Demonstrate support</p>	<p>Conformance</p>	<p>Through the permitting process, the conclusion of Impact Benefit Agreements with the Cheslatta Carrier Nation and the Haisla First Nation, and during collaboration on the name and design of the tl'uqhus tunnel boring machine, the Entity has obtained FPIC for the Kemano T2 Project.</p>
<p>9.5a Cultural and Sacred Heritage - Identification</p>	<p>Conformance</p>	<p>Rio Tinto has procedures and resources at the corporate level to serve as frameworks to manage cultural and sacred heritage sites, such as the Communities and Social Performance Standard (2022) (section 8) and the "Why cultural heritage matters" resource guide (2011). Both documents are available at: https://www.riotinto.com/en/sustainability/policies</p> <p>The Quebec Operations are working on finalising a 'Chance Find' Procedure in case a site is discovered during operations. Until now, Quebec Operations have been working on a project-specific basis. For projects that may impact a new area, with unknown cultural and sacred potential, engagement with the local First Nation triggers the study of cultural and sacred heritage sites. Such projects are mostly completed for the Lac-St-Jean Shoreline Stabilization Program. Through the program, the Entity is actively working with the Pekuakamiulnuatsh's First Nation (PFN) and the local University to identify Pekuakamiulnuatsh's cultural and sacred heritage sites and to manage cultural and sacred heritage. The program has been taking</p>

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		<p>place for years and nowadays, the area along the shore of the lake is mostly mapped.</p> <p>A Heritage cultural Plan involving the PFN has been developed in order to proactively identify sacred or cultural heritage sites across the Quebec Operation Area of Influence, and the First Nation Territory. In British Columbia, the Kemano T2 Project is a recent project that impacted a new footprint. The Entity underwent regulatory permitting for which they consulted with the different First Nations of the Watershed in relation to impacts. Most engagement work related to respect of Indigenous culture and tradition with the Haisla First Nation and the Cheslatta Carrier Nation.</p> <p>The Entity is also supporting archaeological research initiatives with First Nations. In British Columbia, both the Cheslatta Nation and Haisla Nation have shared cultural awareness training with the Entity's employees. These interactive sessions aimed at strengthening partnerships and teaching employees about the people who lived on the territory prior.</p>
9.5b Cultural and Sacred Heritage - Impacts	Conformance	<p>The Entity's Communities and Social Performance (CSP) Standard recommends to "Design projects and other business activities to avoid impact, and where avoidance is not possible, minimize, mitigate and offset direct, indirect and cumulative impacts to cultural heritage" and to "seek to obtain, and then maintain, agreement for any unavoidable impacts to cultural heritage from those for whom the cultural heritage has significance". BC operations are preparing a Cultural Heritage Management Plan that is coherent with the CSP Standard approach. The CSP Standard is publicly available at: https://www.riotinto.com/en/sustainability/policies</p> <p>Any perceived or identified impact on a tangible or intangible cultural and sacred heritage is typically recorded in Rio Tinto's Risk Register and then managed according to the CSP Standard. No impact on cultural or sacred heritage was identified during the Audit and during interviews with Indigenous stakeholders.</p>
9.6a-i Displacement	Conformance	<p>The Entity's Communities and Social Performance (CSP) Standard recommends "the process of resettlement and project-related land acquisition and associated restrictions on land use can have adverse impacts on communities and persons that use this land and efforts should be made to avoid it wherever possible". The statement includes an understanding that displacement may be both physical and economic. If resettlement is considered unavoidable, plans and implementation must comply with International Finance Corporation Performance Standard 5, including the development of a Resettlement Action Plan and/or a Livelihood Restoration Plan.</p> <p>None of the projects reviewed during the Audit process would require physical displacement. Consideration of the potential for economic displacement for both QC and BC is the subject of ongoing discussions with affected Indigenous Peoples.</p>
9.7a-h Affected Populations and Organisations	Minor Non-Conformance	<p>The Entity undertakes environmental, social, and health assessments for New Projects, the complexity of which will be defined according to regulatory requirements. Smaller projects are subject to risk assessment according to internal standards. All identified risks are recorded in the Entity's risk register, along with associated mitigation measures. It was noted during the audit, that the Communities and Social Performance (CSP) Standard's requirement that management</p>

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		<p>plans and engagement activities be designed collaboratively with Stakeholders and Rightsholders is inconsistently implemented across the Entity.</p> <p>The Entity has also signed several Impact Benefit Agreements with First Nations in British Columbia and is working toward the same with the First Nations in Quebec through the Kuessilueu agreement.</p> <p>At each of the Entity's sites, all significant risks and their mitigations are reviewed annually, including risks to Communities. However, no Human Rights Due Diligence or risk assessment has yet been undertaken to define the impacts of the Entity's sites on Human Rights.</p>
<p>9.8a Conflict-Affected and High-Risk Areas - Strong Management Systems</p>	<p>Conformance</p>	<p>Rio Tinto's Know your Third Party (KYTP) 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> <p>The Due Diligence processes help to identify the potential risks of engaging, renewing, or extending a relationship with a third party, whether these risks relate to potential Human Rights issues, Bribery and Corruption, money laundering, trade, and economic sanctions, denied party transactions, work bank debarments, adverse media, ethical and anti-corruption practices, labour issues, politically exposed persons and state-owned enterprises, or other reputational concerns.</p> <p>To oversee the KYTP process, a dedicated Third Party Due Diligence team is established within Rio Tinto Group Ethics and Compliance function. Part of this team's role is to manage and produce due diligence reports and baseline screening reviews on behalf of the business units and functions. The Rio Tinto Third Party Due Diligence Team performs the analysis.</p>
<p>9.8b Conflict-Affected and High-Risk Areas - Identify and assess risks</p>	<p>Conformance</p>	<p>At a minimum, all third parties including other parties to the transaction, must go through baseline screening, which includes screening of the third party entity/individual/vessel against: sanctioned countries list; applicable sanctions list; internal watch list; and regulatory enforcement lists.</p> <p>After baseline screening, based on the risk criteria, each third party must be assessed to determine if a further third-party due diligence will be required as well as the level of due diligence and monitoring that will be applied. The risk criteria include assessment of activity, country and monetary spend (value).</p> <p>Assessment of risk associated with the countries in which the third party operates is completed as per the Country Risk Classifications. Countries assigned a high-risk ranking are primarily determined by the Transparency International's Corruption Perceptions Index (CPI) and include countries and regions that are included in the EU list of Conflict Affected and High-Risk Areas (CAHRA). Where Rio Tinto is sourcing metals or minerals from high-risk countries, further due diligence is performed on the mine/source of origin (if known).</p> <p>The Third Party Due Diligence Team assesses the third party based on the risk profile to identify any potential red flags and risks related to: potential Human Rights issues, Bribery and Corruption, money laundering and tax evasion, trade and economic sanctions, denied party transactions, work bank debarments, adverse media, ethical and anti-corruption practices, labour issues, politically exposed persons and state-owned enterprises, health, safety and environmental violations/issues, or other reputational concerns. Where red flags are identified, analysis of potential risks occurs and a</p>

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		<p>Due Diligence Report is issued with overall risk rating, mitigating actions, and overall recommendations.</p> <p>A summary of the KYTP process and other sustainability controls within the value chain is available at: https://www.riotinto.com/en/sustainability/ethics-compliance/value-chain</p>
9.8c Conflict-Affected and High-Risk Areas - Strategy to respond to risks	Conformance	<p>A repository of completed Third Party Due Diligence and Baseline Screening Reviews is kept centrally and maintained by the Third-Party Due Diligence team. A copy of the Due Diligence Report is provided to the requestor and listed contract owner (if different) via email.</p> <p>All risk mitigation actions are recorded on the email issued to the requestor alongside the Due Diligence Report. For 'High' or 'Very High' risk rated reports the risk mitigating actions are also loaded onto the Group's risk management platform known as 'Archer'. As per the transacting and monitoring requirements set out in the Know Your Third Party Procedure, all records must be retained in accordance with Rio Tinto's Record Retention requirements. In certain circumstances, engagement with the third party may be prohibited.</p> <p>Once a Due Diligence Report is issued, the requestor is required to review the report and its associated details and raise any potential issues with the Third-Party Due Diligence Team.</p> <p>The requestor will manage any communication to the third party after the review including ensuring all recommended actions are implemented.</p>
9.8d Conflict-Affected and High-Risk Areas - Audit of due diligence	Conformance	<p>Rio Tinto's KYTP Procedure outlines the process followed in instances where further independent due diligence review is required. In these instances, Rio Tinto engages an external provider to provide a specialised due diligence report.</p> <p>In 2021, a report on the Third Party Due Diligence was undertaken by an external assurance firm. In 2022, Rio Tinto commenced an upgrade to the risk management and supply chain analysis capacity. This work has been focused on due diligence processes related to renewables (e.g. solar, wind turbines and batteries). During 2023 (and beyond) Rio Tinto is continuing to enhance the due diligence review processes including further development of an independent auditing program.</p> <p>This ASI Performance Standard audit also satisfies this Criterion.</p>
9.8e Conflict-Affected and High-Risk Areas - Report annually	Conformance	<p>Each year Rio Tinto reports (in the Sustainability Fact Book) data related to the number of due diligence baseline screening, due diligence reports and third parties who are centrally monitored. The Sustainability Fact Book is available at: https://www.riotinto.com/en/invest/reports/sustainability-report</p> <p>A summary of the KYTP process and other sustainability controls within the value chain is available at: https://www.riotinto.com/en/sustainability/ethics-compliance/value-chain</p>
9.9 Security practice	Conformance	<p>Rio Tinto's Security Standard and the Security and Human Rights Group Procedure outline processes to ensure that business security practices and arrangements protect and respect human rights. These include implementation of the Voluntary Principles of Security and Human Rights (VPSHR) through risk analysis and engagement of security forces, control of weapons, firearms, dogs, and proactive</p>

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		<p>identification and management of practices and decisions that may result in conflict with stakeholders.</p> <p>The Entity has undertaken a security risk assessment covering their operations with appropriate controls for their risk level (low). Security personnel (contracted security staff) go through training programs for security guards. The security guards also receive training on the VPSHR. Security guards are trained to respond to potential conflict situations through conflict de-escalation, without the need to resort to the use of force. Security personnel are required to hold security licenses as per local legislation. The Entity has restrictions in place for firearms and weapons.</p> <p>Rio Tinto reports on their performance to commitments on the Voluntary Principles on Security and Human Rights Report, available at https://www.riotinto.com/en/sustainability/human-rights</p>
10. LABOUR RIGHTS		
10.1a-c Freedom of Association and Right to Collective Bargaining	Conformance	<p>The Entity respects the Applicable Laws in Canada governing Workers' rights to Collective Bargaining and includes clauses in its contracts with contractors stipulating that they must respect these rights as well.</p> <p>Interviews of Workers and Union representatives at Quebec Operations indicated that the Entity's local management is collaborating with Unions in the day-to-day tasks, as well as in benefits negotiation or in grievance investigation cases. During their induction, new employees are presented with information regarding available Unions.</p>
10.1d Freedom of Association and Right to Collective Bargaining - Alternative means in context of Applicable Law	Not Applicable	<p>This Criterion is not applicable to the Entity as Freedom of Association and the right to Collective Bargaining is not restricted in the country in which the Entity operates (Canada).</p>
10.2a Child Labour	Conformance	<p>Rio Tinto's Human Rights Policy prohibits any form of modern slavery including Forced Labour, debt bondage, forced marriage and trafficking, Child Labour or other labour exploitation. Rio Tinto's Employment Policy commits to not employing forced, bonded or Child Labour. Rio Tinto's approach to Human Rights is based upon the Universal Declaration of Human Rights and the UN Guiding Principles on Business and Human Rights. On this basis, Hazardous Child Labour or any form of Child Labour is banned.</p> <p>In Canada, Child Labour is strictly regulated by law. Through its hiring process which requires applicants to present documents attesting to age, the Entity can identify the presence of young Workers and prevent hiring Child Labour. Contractor contracts include clauses requiring compliance with applicable Child Labour legislation and the restriction in the hiring of minors.</p>
10.3a-c Forced Labour	Conformance	<p>Rio Tinto's Human Rights Policy prohibits any form of modern slavery including Forced Labour, Debt Bondage, forced marriage and trafficking; Child Labour; or other labour exploitation. The Policy is available at: https://www.riotinto.com/en/sustainability/policies</p> <p>Rio Tinto issues an annual Modern Slavery Statement rejecting the use of Forced Labour in all aspects of its value chain. The Modern Slavery</p>

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		Statement is available at: https://www.riotinto.com/en/sustainability/human-rights/modern-slavery-act
10.4a-c Non-Discrimination	Minor Non-Conformance	<p>The Entity's corporate Code of Conduct and Employment Policy prohibits Discrimination. Corporate hiring practices actively promote a diverse workforce and highlight non-discrimination in hiring practices. Both documents are publicly available at: https://www.riotinto.com/en/sustainability/policies</p> <p>Decisions to terminate employees for cause (i.e. sexual harassment) are typically undertaken through an employee relations roundtable process that includes human resources, senior management, and supervisory staff participation in order to mitigate any potential bias in the decision-making process.</p> <p>An annual review of employees' salaries and benefits is conducted at each site to ensure pay equity regardless of gender and other potential Discrimination factors. The corporate Code of Conduct and roll-out of Everyday Respect training require and promote a workplace culture free of Discrimination.</p> <p>However, interviews with Workers identified isolated cases of alleged Discrimination relating to lack of cooperation, complaint management and peer support. It is important to note that these impacts were not observed cumulatively.</p>
10.5 Communication and engagement	Conformance	<p>The Entity communicates with Workers at each site through multiple channels and platforms which include in-person, online, confidential, non-confidential, direct, or indirect (through representative) options. Confidential Worker interviews at multiple sites indicate that employees receive more communication and engagement than contractors. Actions to resolve workplace concerns seem to be more likely to be implemented if raised by an employee and even more by a unionised employee.</p>
10.6a-g Violence and Harassment	Conformance	<p>Rio Tinto's Employment Policy captures a commitment to safe and effective working relationships. The Preventing Harm section in the Code of Conduct (reviewed February 2023) includes a commitment to preventing harmful behaviours including bullying, Harassment, sexual Harassment, Violence, racism, and other forms of Discrimination. The Entity has in place a statement against bullying, sexual and gender-based Harassment stated in the Entity's Quality and Equal Pay Policy, available at: https://riotinto.is/?pageid=36</p> <p>Rio Tinto has released the Everyday Respect Report (ERR) from the 2021 study by Elizabeth Broderick & Co. which highlighted issues related to Discrimination and Harassment throughout the organisation. While Rio Tinto is actively implementing the recommendations from this report, there is still work to be completed.</p> <p>To date, Rio Tinto has renewed its Code of Conduct and developed and implemented multiple respectful workplace Policies and training programs. Risk registers with controls have been implemented at most Entity sites. External parties can view the ERR and updates related to implementation of recommendations at: https://www.riotinto.com/en/sustainability/talent-diversity-inclusion/everyday-respect</p>

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10.7a-c Remuneration	Conformance	<p>For sites operating under a Collective Agreement, the Agreement will provide a framework for salary ranges. For other employees, the remuneration package is provided in individual contracts. In their employment offer, all employees receive a contract that states their remuneration and benefits in straightforward language.</p> <p>The Entity's operations conduct annual reviews of employee remuneration, which includes a 'pay gap' review, including a review of the pay gap between genders and a market benchmark. Interviews confirmed employee satisfaction with their pay level compared to other available offers on the market.</p>
10.8a-c Working Time	Conformance	<p>For sites operating under a Collective Agreement, the Agreement provides the framework for hours of work, Overtime, breaks and holidays. For employees operating under individual agreements, their Working Time requirements are specified within individual contracts. Hours are monitored through a timesheet system and the system provides an exception report that flags occurrences where employees worked over or near the prescribed time.</p>
10.9a-b Informing Workers of Rights	Conformance	<p>The Entity informs all Workers of their rights through the hiring process, using e-mails, Collective Agreements, and/or individual contracts. The Entity also provides Health and Safety training that includes information on Workers' rights.</p>

11. OCCUPATIONAL HEALTH AND SAFETY

11.1a Occupational Health and Safety (OH&S) Management System	Conformance	<p>An Occupational Health and Safety (OH&S) Management System is implemented in the Entity's QC operations and BC Works, which is based on the 17 elements of the Rio Tinto Management System framework aligned with ISO 45001 requirements. Legal obligations are known, reviewed, and updated via the regulatory watch process implemented at each Facility from local and federal regulations.</p> <p>A risk assessments are performed at different levels with a Critical Risk Management (CRM) Program, the "STOP and ASK for HELP" program, the Pre-start-up Safety Review (PSSR), daily pre-work assessment (electronic or paper version) and pre-job LEAN meetings, allowing the capturing of workforce feedback.</p> <p>The Entity has dedicated teams, budgets and resources for OH&S management. OH&S objectives, targets and action plans are updated annually, implemented and monitored to track the achievement. Operational procedures and practices are constantly reviewed and assessed with Workers' suggestions via the different engagement mediums available on sites. Lessons learned are shared within the company via the Green, Orange and Red Banner Communication system and shared with contractors. The Facilities' performances are reviewed and internally published monthly. The Entity has publicly disclosed its leading and lagging safety performance KPIs in their Annual Report and the Sustainability Fact Book.</p> <p>An extensive Health and Industrial Hygiene program addresses exposure to chemicals and hazardous substances, noise exposure control, fitness for work, ergonomics, vector-borne, and medical surveillance.</p> <p>Workers' engagement is addressed via various means (Prejob LEAN meeting, Joint Health and Safety Committees, the "STOP and ASK for</p>
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		HELP' program. The Management System is regularly audited, and the findings and results are presented at the annual management review.
11.1b-e Occupational Health and Safety (OH&S) Management System - Reviews and disclosure	Conformance	<p>Each of the Entity's sites has key OH&S performance indicators that are continuously tracked and reported (every month) to the site General Manager and Rio Tinto HSEC Function Managers for benchmarking purposes.</p> <p>In 2023, BC Works absorbed an influx in the workforce of 400 Workers with a significant training challenge, while, at the same time, the plant was performing the ramp-up and stabilisation of the new potlines operation.</p> <p>Rio Tinto has publicly disclosed its leading and lagging safety performance KPIs, including audited performance scores related to implementing the Safety Maturity Model (SMM) framework, in their Annual Report and the Sustainability Fact Book, available at: https://www.riotinto.com/en/invest/reports</p> <p>The Entity provides data on safety performance to the International Council for Mining and Metals (ICMM), International Aluminium Institute (IAI), Australian Aluminium Council (AAC) and the Australian Bureau of Statistics (ABS). The Entity participates in the IAI Annual Safety Benchmarking study, which provides a publicly available report comparing accident and Injury performance across the Aluminium Industry.</p>
11.2 Employee engagement on Health and Safety	Conformance	<p>Employee engagement OH&S mechanisms are deployed throughout the Entity across a variety of mechanisms. On a daily operational level, each Facility implements a shift pre-job team meeting based on the LEAN philosophy practices. Various HSE committees/forums for individual work groups/topics are formed as required and as requested by the HSE Committees. Joint Health and Safety Committees (JOHSC) with employees' elected representatives are deployed at each site and provide the main forum to address Workers' questions, concerns, and suggestions. JOHSC-related action plans are tracked. Each Committee meets regularly with a pre-determined agenda and minutes of the meetings are recorded and posted on HSE billboards. Additionally, Facilities including Kitimat, Alma, Grande-Baie and Laterrière smelters or the Jonquière Complex (where the Arvida and AP-60 smelters are grouped with the Vaudreuil Alumina Refinery) have Prevention Safety Teams (departmental teams), which report to the Site Safety Committee and address local-specific issues.</p>

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DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
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0	16 March 2018	Initial Certification Audit – Full Certification
1	13 April 2018	Comments section updated by Accredited Auditing 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)
7	16 March 2024	Re-Certification Audit and Scope Change – Full Certification Scope Change to apply the ASI Performance Standard V3 and change of ASI Accredited Auditing Firm
