

# ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

# Rio Tinto Aluminium (RTA) Pacific Operations

CERTIFICATE NUMBER

2

ASI STANDARD

PERFORMANCE  
STANDARD  
(V3 2022)

CERTIFICATION LEVEL

PROVISIONAL  
CERTIFICATION

ASI ACCREDITED  
AUDITING FIRM

ERM CERTIFICATION  
AND VERIFICATION  
SERVICES

DATE OF ISSUE

9 APRIL 2024

DATE OF EXPIRY

8 APRIL 2025

CERTIFIED SINCE

9 MARCH 2018

## AUTHORISED BY

Aluminium Stewardship Initiative Ltd  
ACN 606 661 125, Australia  
[info@aluminium-stewardship.org](mailto:info@aluminium-stewardship.org)

*Validity of this Certificate is subject to continued conformance with the applicable ASI Standard and can be verified at*  
[www.aluminium-stewardship.org](http://www.aluminium-stewardship.org)

## CERTIFICATION SCOPE

Rio Tinto Aluminium (RTA) Pacific Operations including:

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

# AUDIT REPORT PERFORMANCE STANDARD

## OVERVIEW

MEMBER NAME	Rio Tinto Aluminium Division
ENTITY NAME	Rio Tinto Aluminium (RTA) Pacific Operations
CERTIFICATION SCOPE	<p>Rio Tinto Aluminium (RTA) Pacific Operations including:</p> <ul style="list-style-type: none"><li>• Bell Bay Aluminium Smelter (George Town, Tasmania, Australia)</li><li>• Gove Bauxite Mine including its port facilities and power station (Gove Northern Territory, Australia)</li><li>• New Zealand Aluminium Smelter (Invercargill, New Zealand).</li><li>• RTA Headquarters – Brisbane (Queensland, Australia)</li><li>• Weipa Bauxite Mines, related port facilities and power stations (Weipa, Queensland, Australia)</li><li>• Yarwun Alumina Refinery (Yarwun, Queensland, Australia).</li></ul>
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>• Bauxite Mining</li><li>• Alumina Refining</li><li>• Aluminium Smelting</li><li>• Aluminium Re-melting/Refining</li><li>• Casthouses</li></ul>
ASI STANDARD	<ul style="list-style-type: none"><li>• Performance Standard V3</li></ul>
AUDIT TYPE	<ul style="list-style-type: none"><li>• Initial Certification Audit (29 May – 8 August 2019)</li><li>• Surveillance Audit and Scope Change (5 August – 16 October 2019)</li><li>• Re-Certification Audit (30 November 2020 – 15 January 2021)</li><li>• Re-Certification Audit and Scope Change (7 August 2023 – 8 September 2023)</li></ul>
AUDIT FIRM	ERM Certification and Verification Services
AUDIT DATE	<ul style="list-style-type: none"><li>• 29 May – 8 August 2019 (Initial Certification Audit)</li><li>• 5 August – 16 October 2019 (Surveillance Audit and Scope Change)</li><li>• 30 November 2020 – 15 January 2021 (Re-Certification Audit)</li><li>• 7 August 2023 – 8 September 2023 (Re-Certification Audit and Scope Change)</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>• 21 September 2019 (Initial Certification Audit)</li><li>• 11 November 2019 (Surveillance Audit and Scope Change)</li><li>• 30 March 2021 (Re-Certification Audit)</li><li>• 29 February 2024 (Re-Certification Audit and Scope Change)</li></ul>
AUDIT SCOPE	<p><u>Initial Certification Audit (29 May – 8 August 2019)</u></p> <p>The Audit Scope included the Gove Bauxite Mine and related port facilities and power station (Gove, Northern Territory, Australia).</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"><li>• Bauxite Mining</li></ul>

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

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

The Audit Scope included RTA Pacific Operations sites (Bauxite Mines, Refinery and Smelters) including Bell Bay smelter, Gove Bauxite mines, Headquarters – Brisbane, New Zealand Aluminium Smelter, Weipa Bauxite mines and Yarwun Alumina refinery.

Supply chain activities included in the audit scope:

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

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

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

The Audit Scope included RTA Pacific Operations sites (Bauxite Mines, Refinery and Smelters) including Bell Bay smelter, Gove Bauxite mines, Headquarters – Brisbane, New Zealand Aluminium Smelter, Weipa Bauxite mines and Yarwun Alumina refinery.

Supply chain activities included in the audit scope:

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

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

Re-Certification Audit and Scope Change (7 August 2023 – 8 September 2023)

The Audit Scope included RTA Pacific Operations sites (Bauxite Mines, Refinery and Smelters) including Bell Bay smelter, Gove Bauxite mines, Headquarters – Brisbane, New Zealand Aluminium Smelter, Weipa Bauxite mines and Yarwun Alumina refinery.

Supply chain activities included in the Audit Scope:

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

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

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AUDIT OUTCOME

- Provisional Certification

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

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CERTIFICATION PERIOD 9 April 2024 – 8 April 2025

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NEXT AUDIT TYPE Surveillance Audit

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NEXT AUDIT DATE 8 October 2024

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CERTIFICATE NUMBER 2

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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.

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## ENTITY OVERVIEW

The Entity comprises of Rio Tinto Aluminium's Pacific Operations, including the Head Office, and five operational sites of two Bauxite mines, an Alumina refinery, and two Aluminium smelters. The Head Office, located in Brisbane, Australia employs approximately 585 people, and provides support for sites (including senior leadership, technical and functional support) and includes an Integrated Operations Centre, for the management of logistics for the Bauxite mines.

The Weipa mine (est. 1963) is located in Far North Queensland, Australia. Weipa operations has approximately 2000 employees and contractors, and in 2023 had an annual production of 35.1 million tonnes (Mt). The site includes three Bauxite mines, processing facilities, stockpiling, ship loaders, an export wharf, two ports, power stations, a rail network and ferry terminals over a total area of just over 38,000 hectares (ha). Weipa supplies Bauxite to the Entity's Alumina operation in Gladstone Australia, as well as export markets in China, and the USA. The East Weipa mine is currently in decommissioning phase with mine operations expected to end in early 2024. The plant and port facilities will continue to operate after the mine closure.

The Gove mine (est. 1971) in the region of Nhulunbuy, Northern territory, Australia. Gove operations has approximately 1,400 employees and contractors. The mine produced 11.56 Mt in 2023, with facilities including the mine area, processing, stockpiling, wharf facilities and power generation over a total area of nearly 9,000 hectares (ha). The site supplies high quality Bauxite to the Entity's domestic Alumina refinery in Gladstone, as well as the export market in China and South Korea.

The Yarwun refinery (est. 2004) is located near the township of Yarwun, in Gladstone, Queensland, Australia. The Yarwun workforce consists of approximately 2195 employees and contractors. Yarwun processes Bauxite from the Gove and Weipa mines using the Bayer process, and supplies Alumina to internal smelters, as well as Alumina hydrate and Alumina to export markets, with a total production of 3Mt of product in 2023. The operations include the refinery itself, as well as the residue management area, power management and wharf over a total area of 769 hectares (ha).

The Bell Bay Aluminium smelter (est. 1955) is located near George Town, Tasmania, Australia. The smelter has approximately 640 employees and contractors, and produced 186Kt in 2023, including Aluminium slab, molten metal, small form, and t-foundry and remelt, on a site of approximately 277 hectares (ha). The Bell Bay smelter was the first operating Aluminium smelter in the southern hemisphere, and operates three pot lines, a casthouse, carbon plant as well as workshops and wharf facility. Bell Bay customers include hot metal sales within Tasmania (Australia), Aluminium (Cold Metal) to Australia, the USA and Asia (including Malaysia, Indonesia, Japan, China, Hong Kong and Taiwan).

The New Zealand Aluminium Smelter (NZAS) (est. 1971) is located in Invercargill, on New Zealand's South Island. NZAS has a workforce of approximately 820 employees and contractors, and produced 334Kt of product in 2023 (Aluminium billet, slab, small form foundry, high purity, remelt) on its 283 hectares (ha) site. NZAS operates four reduction lines, carbon plant, cast house, as well as the Tiwai wharf. NZAS Aluminium is trucked to the Tiwai wharf and loaded onto a ship for export to Asia, the United States and Europe, with approximately 10 per cent used in the domestic market. Each site within the Entity has unique Stakeholders, however all engage with local, state and national Government bodies, relevant environmental protection agencies, community groups and neighbours, and importantly with Traditional Owner groups in Australia and the Ngāi Tahu iwi in New Zealand.

## 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
<b>SYSTEMS</b>	High	Medium	Medium	MEDIUM
<b>RISKS</b>	High	Medium	Medium	MEDIUM
<b>PERFORMANCE</b>	High	Medium	Medium	MEDIUM
<b>OVERALL</b>	<b>MEDIUM</b>			

## FINDINGS

CRITERION	RATING	COMMENT
1. BUSINESS INTEGRITY		
1.1 Legal Compliance	Conformance	<p>Rio Tinto Aluminium (RTA) Pacific Operations corporate legal team supports the sites within the Entity to provide information and advice on legal and Compliance requirements.</p> <p>All sites have a Legal and Other Requirements (LOR) Procedure that is part of their integrated Health, Safety, Environment and Community (HSEC) Management System and maintain subscription legal services that provide legislative updates and access to relevant Acts, Regulations, and cited codes or standards. Obligation registers are maintained in varying formats across the sites within the Entity.</p> <p>Management Systems are independently certified against ISO standards (dependent on each site). The ISO certification process considers legal Compliance in the annual audits.</p> <p>Indigenous agreements, and memorandums of understanding with Local Communities, coupled with participation and engagement strategies, are utilised to understand customary lore.</p> <p>In addition, Rio Tinto seeks to further its understanding of customary lore and practices through the formation of an Australian Indigenous Advisory Group (AAG) in 2022 to provide guidance on current and emerging issues for Indigenous communities.</p>
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 environmental, social and governance (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.</p> <p>A central and independent Ethics &amp; 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 are available in multiple languages at: <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a> and include the Code of Conduct; the myVoice Procedure; the Business Integrity Standard and the Competition Standard.</p>
1.3a-e Code of Conduct	Conformance	<p>The Code of Conduct and the Supplier Code of Conduct are publicly available at: <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p>

CRITERION	RATING	COMMENT
		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).
<b>2. POLICY AND MANAGEMENT</b>		
2.1a-f Environmental, Social, and Governance Policy	Conformance	<p>The Entity's Code of Conduct provides guidance to its sites on the "right way" to conduct business, including aspects related to environmental, social and governance. Several publicly available stand-alone Policies support the guidance provided in The Way We Work, 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. <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></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 conformance issues, budgets, reporting requirements related to ASI, and participation in the ASI Standards Committee.</p> <p>To address potential gaps in how environmental, social, and governance Policies were implemented for transitioning to ASI Performance Standard (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>
2.3a Environmental and Social Management Systems - Environmental	Conformance	<p>The Rio Tinto Corporate Team has established an internal Standard with the minimum requirements to maintain a HSEC Management System applicable to all the sites operating under it, including the Entity.</p> <p>Each site must apply and adopt these minimum requirements as the structure framework of its Management Systems, which aligns with the key elements of international Management Systems including ISO 14001 and ISO 45001.</p> <p>Some sites within the Entity are independently certified against international standards, including ISO 9001 Quality Management, ISO 14001 Environmental Management and ISO 45001 Occupational Health &amp; Safety. Gove holds ISO14001; Weipa holds ISO9001, and ISO14001; Yarwun holds ISO14001, and Bell Bay holds ISO9001, ISO14001, and ISO45001. At the time of the on-site Audit, NZAS was undergoing certification for ISO14001 and ISO45001 (which were both awarded in December 2023).</p>

CRITERION	RATING	COMMENT
2.3b Environmental and Social Management Systems – Social	Conformance	<p>Rio Tinto’s Community and Social Performance (CSP) Standard is the foundation of the Entity’s Social Management System (SMS). The Rio Tinto Community and Social Performance Standard has been implemented across the Entity where each site has CSP Management Plans, Engagement Plans, Cultural Heritage Management Plans and Social Risk Assessments which identify social and Human Rights impacts; mitigation strategies to manage these issues; assigns responsibility for the ongoing management of the issues and assigns a level of risk.</p> <p>Each site’s Social Management System has been audited as part of the internal Rio Tinto Business Conformance Audit process. In addition, an Independent Cultural Heritage Management Audit has been conducted by a third-party at all sites. Social performance is being continuously improved with future integration of human rights impact assessments at Entity sites.</p> <p>Rio Tinto’s CSP Standard was reviewed in 2022 following learnings from the previous years. The sites are implementing improvement plans to strengthen their SMS to capture these learnings and ensure full alignment to the new standard.</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. The following documents are available in multiple languages at: <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a> – Rio Tinto’s Code of Conduct – Supplier Code of Conduct</p> <p>Further details on Rio Tinto’s management of their supply chain can be found at: <a href="https://www.riotinto.com/en/about/suppliers">https://www.riotinto.com/en/about/suppliers</a> The Entity follows the Rio Tinto Group Procurement Standard (2022) internally and has an audit program to ensure it is applied. Corporate headquarters manages global procurement and supplier Due Diligence, and has a procurement team that works on fostering local and Indigenous participation and spending.</p>
2.5a-g Environmental and Social Impact Assessments	Conformance	<p>The Entity complies with legal obligations to undertake Environmental and Social Impact Assessments (ESIA) for each of its sites and for any New Projects or any expansion that can cause a Major Change in its existing operations or create new impacts. The ESIA’s consider the Baseline Conditions as required and their effects over time. The impacts identified under these assessments include the proposed controls and are added to each site’s digital risk platform, which is tracked, and reviewed on a periodic basis to check the controls effectiveness or any potential change.</p> <p>The review frequency of plans is established depending on the level of risk (not exceeding 5 years), however, the ESIA review frequency does not necessarily consider whenever a control gap is identified.</p> <p>Amrun (Weipa – South of Embley) is a New (in the last decade) Project that has progressed through to operation. Impact Assessments, Environmental and Social Management plans, and associated monitoring data are made publicly available at: <a href="https://www.riotinto.com/Operations/australia/weipa">https://www.riotinto.com/Operations/australia/weipa</a></p> <p>Additional information is also available at the following websites:</p> <p>South of Embley Environmental Impact Statement: <a href="https://cdn-rio.dataweavers.io/-/media/content/documents/operations/weipa/rt-weipa-">https://cdn-rio.dataweavers.io/-/media/content/documents/operations/weipa/rt-weipa-</a></p>



CRITERION	RATING	COMMENT
		<p><a href="https://cdn-rio.dataweavers.io/-/media/content/documents/operations/weipa/rt-weipa-eis-summary.pdf?rev=1d160d8ef7ec4602b5805cb2b5504166">environmental-impact-statement.pdf?rev=1d160d8ef7ec4602b5805cb2b5504166</a></p> <p>South of Embley Environmental Impact Statement Summary: <a href="https://cdn-rio.dataweavers.io/-/media/content/documents/operations/weipa/rt-weipa-eis-summary.pdf?rev=11f5ef7d8da045d5878b589d08462c66">https://cdn-rio.dataweavers.io/-/media/content/documents/operations/weipa/rt-weipa-eis-summary.pdf?rev=11f5ef7d8da045d5878b589d08462c66</a></p> <p>South of Embley Supplementary Report to EIS: <a href="https://cdn-rio.dataweavers.io/-/media/content/documents/operations/weipa/rt-weipa-supplementary-report-to-eis.zip?rev=eae3f512d12a47939f9de7f1a6dde75b">https://cdn-rio.dataweavers.io/-/media/content/documents/operations/weipa/rt-weipa-supplementary-report-to-eis.zip?rev=eae3f512d12a47939f9de7f1a6dde75b</a></p> <p>South of Embley Final Environmental Impact Statement (Commonwealth): <a href="https://cdn-rio.dataweavers.io/-/media/content/documents/operations/weipa/rt-weipa-final-eis-commonwealth.zip?rev=00e9816a084147d48994f08af9c9391b">https://cdn-rio.dataweavers.io/-/media/content/documents/operations/weipa/rt-weipa-final-eis-commonwealth.zip?rev=00e9816a084147d48994f08af9c9391b</a></p> <p>The closure of East Weipa is also considered a Major Change and an SIA is planned. Other projects are under evaluation with ESIA's planned within the appropriate project phases.</p>
2.6a-h Human Rights Impact Assessment	Minor Non-Conformance	<p>The only New Project that has occurred since Rio Tinto joined ASI is the Amrun (South of Embley) project in Weipa. Impact Assessments, Environmental and Social Management plans, and associated monitoring data for this project are made publicly available at: <a href="https://www.riotinto.com/Operations/australia/weipa">https://www.riotinto.com/Operations/australia/weipa</a></p> <p>In early 2023, Pacific Operations undertook an update of social and Human Rights risk assessments for all sites. The assessment identified the key social and Human Rights impacts; mitigation strategies to manage these issues; assigned responsibility for ongoing management of the issues and assigned a level of risk. The social risks within the enterprise risk management tool 'Archer' were updated from this assessment.</p> <p>Potential upcoming closure of some assets within the Entity are considered Major Changes. Within East Weipa, the Human Rights Risk Assessment performed for closure does not specifically incorporate assessment of Indigenous Peoples rights, and gender sensitive requirements. At NZAS, the Social Impact Assessment for closure is a community only assessment and does not cover Human Rights issues. While the Entity continues to make progress with respect to human rights impact assessment as part of its internal CSP Standard requirements and in relation to ASI, these points constitute a minor non-conformance for this Criterion.</p>
2.7a-f Emergency Response Plan	Conformance	<p>The Entity has consistent, thorough and robust Emergency Response Plans (ERP) at all its sites that identify multiple emergency and business risks. Identified scenarios are the basis for drills by the Emergency Response Teams. The ERPs are reviewed regularly and following training drills. The Entity shares details of its ERP and scenarios with responsible area authorities at each site, as required. External emergency services, government departments, industry bodies and Local Communities have been involved in the development of the Tailings Response Plans at Gove, Weipa and Yarwun. Whilst ERPs are not automatically publicly disclosed due to security issues, they are shared with local authorities and during drills that include emergency services. The Tailings Response Plans have been shared with Affected Populations including the Local Disaster</p>

CRITERION	RATING	COMMENT
		Management Groups and local industries. These Plans are also available upon request.
2.8a-d Suspended Operations	Conformance	<p>The Entity has a thorough and robust system to prepare for the potential of suspended operations based on Rio Tinto's Business Resilience and Recovery Program (BRRP). Each site within the Entity has a Business Resilience Management Plan (BRMP) which identifies multiple scenarios based on the site's risk profile. The site Business Resilience Team (BRT) is typically led by the General Manager at each site, whilst the BRT Leader holds overall responsibility for the BRMP and BRT.</p> <p>BRMP scenarios are tested regularly via drills and training. The BRMP is reviewed after each practice, event or change in the operational process.</p>
2.9a-b Mergers and Acquisitions	Conformance	<p>The Entity's corporate structure establishes the guidelines and processes to adhere to whenever a Merger or Acquisition event occurs. It sets its guidelines and requirements in its Project Evaluation Standard. Due Diligence is performed prior to a Merger or Acquisition occurring; 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. There are currently no Mergers or Acquisitions relevant to the Entity.</p>
2.10a-b Closure, Decommissioning and Divestment	Conformance	<p>The Entity has established a process that includes Procedures and guidelines for Closure and Decommissioning activities through its assets. The Entity also has an integrated closure team that provides support to the sites. Each asset has a closure strategy defined by the aforementioned team; this has been established since the closure pre-feasibility phase and updated and reviewed as required.</p>
<b>3. TRANSPARENCY</b>		
3.1a-b Sustainability Reporting	Conformance	<p>Rio Tinto discloses its approach to sustainability at: <a href="https://www.riotinto.com/en/sustainability/our-approach">https://www.riotinto.com/en/sustainability/our-approach</a></p> <p>The Rio Tinto Corporate annual reporting framework includes a main webpage at: <a href="https://www.riotinto.com/en/invest/reports">https://www.riotinto.com/en/invest/reports</a>, which is accompanied by a variety of reports including (but not limited to):</p> <ul style="list-style-type: none"> <li>- Annual Report</li> <li>- Climate Change Report</li> <li>- Sustainability Fact Book (excel)</li> <li>- Taxes Paid Report</li> <li>- Modern Slavery Statement</li> <li>- Voluntary Principles of Security and Human Rights Report</li> </ul> <p>Rio Tinto's corporate reporting follows the Global Reporting Initiative (GRI). Each site contributes its data to the corporate reporting however the data is presented at the scale of the overall Rio Tinto corporation. Some data can be broken down into country and/or Product Group and some data (such as Biodiversity, Water Risk, Tailings and Certifications / Frameworks) is broken down to a site level.</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</p>

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		<p>and Annual Report, which are both publicly available at: <a href="https://www.riotinto.com/en/invest/reports">https://www.riotinto.com/en/invest/reports</a></p> <p>During the 2022 reporting period, the Entity reported four fines totalling 102,000 AUD. Details on these fines can be found in the 2022 Sustainability Fact Book, in the Environment Performance tab.</p>
3.3a-c Payments to Governments	Conformance	<p>The Rio Tinto Business Integrity Standard prohibits Bribery, Corruption, fraud, and other economic crimes in all their forms, including Government, 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 is a founding member of the Extractive Industry Transparency Initiative (EITI). In 2021, Rio Tinto reinforced their commitment to transparency for tax reporting by being one of the first companies to fully implement the disclosure requirements under the Global Reporting Initiative Tax standard GRI 2017.</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: <a href="https://www.riotinto.com/en/invest/reports/taxes-paid-report">https://www.riotinto.com/en/invest/reports/taxes-paid-report</a></p> <p>The Rio Tinto Group Tax Policy and Business Integrity Standard can be found at: <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p>
3.4a-f Stakeholder Complaints, Grievances and Requests for Information	Minor Non-Conformance	<p>Rio Tinto's Communities and Social Performance (CSP) Standard prescribes the minimum requirements for complaints and Grievance Mechanisms that each site within the Entity must follow in the development of their mechanisms. The Standard is available at: <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p> <p>Each site within the Entity has a feedback, complaint and grievance process that includes multiple contact mechanisms such as phone numbers, website forms, email addresses and social media forums. For example, Gove publishes their phone, email addresses and link to their social media page on their website at: <a href="https://www.riotinto.com/en/operations/australia/gove">https://www.riotinto.com/en/operations/australia/gove</a></p> <p>Weipa publishes their phone number, specialised power outage phone number, and link to their social media page on their website at: <a href="https://www.riotinto.com/en/operations/australia/weipa">https://www.riotinto.com/en/operations/australia/weipa</a> and provides "contact us" magnets to the community to communicate all forums where they can provide feedback.</p> <p>Yarwun publishes their community hotline number on their website at: <a href="https://www.riotinto.com/en/operations/australia/yarwun">https://www.riotinto.com/en/operations/australia/yarwun</a> and a contact us form on the Here for Gladstone website at: <a href="https://www.here4gladstone.com.au/contact/">https://www.here4gladstone.com.au/contact/</a></p> <p>Bell Bay publishes their phone number and link to their social media page on their website at: <a href="https://www.riotinto.com/en/operations/australia/bell-bay">https://www.riotinto.com/en/operations/australia/bell-bay</a> and NZAS publishes their phone number on their website at: <a href="https://www.riotinto.com/en/operations/new-zealand/nzas">https://www.riotinto.com/en/operations/new-zealand/nzas</a></p> <p>An anonymous whistleblower process called myVoice is available for external and internal reporting of any issue that is not aligned with Rio Tinto values, behaviours, Standards or Policies and is publicly available on RTA websites.</p>

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		While generally in conformance, there is a lack of external community participation in the design of mechanisms (including the use of Indigenous languages) and publication of complaint resolution mechanisms.
<b>4. MATERIAL STEWARDSHIP</b>		
4.1a Environmental Life Cycle Assessment	Conformance	<p>Environment Life Cycle Assessments (LCAs) exist for all Aluminium production at all Rio Tinto Aluminium smelters, including the Entity. LCAs are produced in accordance with ISO14040/ISO14044 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>
4.1b-c Environmental Life Cycle Assessment - Disclosure	Conformance	<p>Environmental Life Cycle Assessment (LCAs) factsheets are available upon request by customers. In addition, LCA results and methodology are provided to customers through the START platform at: <a href="https://www.startresponsible.com/">https://www.startresponsible.com/</a>. Additionally, Environment Product Declarations (EPDs) are also available upon request to customers.</p>
4.2 Product Design	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a-b Aluminium Process Scrap	Conformance	The Entity aims to minimise generation of Aluminium Process Scrap within its operations and, where generated, target 100% of scrap for collection, recycling and/or re-use. This includes offcuts, surface or crack related scrap and 'out of specification' scrap. All are labelled, segregated by type and placed for remelting in the Casthouse. Scrap rates are monitored in the Casthouse reports.
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	The Entity engages with local and regional recycling schemes where available, including taking extrusion scrap and Dross, to support the recycling of Aluminium Products, and continues to seek further opportunities for recycling Products at the End of Life.
<b>5. GREENHOUSE GAS EMISSIONS</b>		
5.1a-b Disclosure of GHG Emissions and Energy Use	Conformance	The Entity publicly discloses its Greenhouse Gas Emissions (Scopes 1, 2 and 3) and energy use by product groups 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 available in the Climate Change Report.

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		The Rio Tinto's Approach to Climate Change (including the annual Climate Change Report and calculation methodologies) is available at: <a href="https://www.riotinto.com/en/sustainability/climate-change">https://www.riotinto.com/en/sustainability/climate-change</a>
5.2a Aluminium Smelter GHG Emissions Intensity – Started production after 2020	Not Applicable	This Criterion is not applicable to the Entity, as the Entity's operations started before 2020.
5.2b Aluminium Smelter GHG Emissions Intensity – In production up to and including 2020	Conformance	<p>Rio Tinto's climate change strategy aims for GHG emissions reduction of up to 15% in their total emissions by 2025 and a 50% reduction in their total emissions by 2030 compared to a 2018 baseline including carbon-neutral growth supported by a fund of \$7.5 Billion within the next five years, with an ambition of being 'zero carbon' by 2050.</p> <p>For its smelting operations, the Entity can demonstrate that the mine-to-metal emissions intensity is below 11.0 tonnes of CO<sub>2</sub>e per metric tonne of cast Aluminium. The emissions data utilised have been independently verified.</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: <a href="https://www.riotinto.com/en/sustainability/climate-change">https://www.riotinto.com/en/sustainability/climate-change</a></p>
5.4 GHG Emissions Management	Conformance	<p>A new organisational structure for Climate Change was introduced in 2023 and aligns capital expenditure and business strategy across six distinct abatement initiative streams in addition to ensuring that GHG emissions are fully integrated into the Entity's Environmental Management System. The GHG Management System structure includes a governance structure, legal requirements with regulatory annual reports to federal ministries, budget and dedicated teams, operational Procedures and methods, defined targets and monitoring systems and an annual review.</p> <p>Site efforts are supported by the Entity's Pacific, Atlantic and corporate structures dedicated to aligning business strategy, capital allocations for the "6+1" abatement programs and emissions inventories and reporting. The RTA centralized team guarantee compliance with the GHG Protocol Corporate Accounting and Reporting Standard. <a href="https://ghgprotocol.org/corporate-standard">https://ghgprotocol.org/corporate-standard</a></p>
<b>6. EMISSIONS, EFFLUENTS AND WASTE</b>		
6.1a-f Emissions to Air	Minor Non-Conformance	<p>Rio Tinto discloses data related to air emissions (NO<sub>x</sub>, SO<sub>x</sub>, fluoride, PM<sub>10</sub> and PM<sub>2.5</sub>) in the annual Sustainability Fact Book available at: <a href="https://www.riotinto.com/en/invest/reports/sustainability-report">https://www.riotinto.com/en/invest/reports/sustainability-report</a></p> <p>The Australian-based sites (i.e. Gove, Weipa, Yarwun and Bell Bay) report emissions data through the National Pollutant Inventory (NPI).</p> <p>Information on NPI is available at: <a href="https://www.dcceew.gov.au/environment/protection/npi">https://www.dcceew.gov.au/environment/protection/npi</a></p> <p>The Gove Mine specific NPI can be found at:</p>

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		<p><a href="http://www.npi.gov.au/npidata/action/load/individual-facility-detail/criteria/state/NT/year/2022/jurisdiction-facility/NT418">http://www.npi.gov.au/npidata/action/load/individual-facility-detail/criteria/state/NT/year/2022/jurisdiction-facility/NT418</a> Weipa specific NPI can be found at: <a href="https://www.npi.gov.au/npidata/action/load/individual-facility-detail/criteria/year/2022/browse-type/Company/reg-business-name/RIO%2BTINTO%2BALUMINIUM%2BLTD/jurisdiction-facility/Q020COM001">https://www.npi.gov.au/npidata/action/load/individual-facility-detail/criteria/year/2022/browse-type/Company/reg-business-name/RIO%2BTINTO%2BALUMINIUM%2BLTD/jurisdiction-facility/Q020COM001</a> Yarwun specific NPI can be found at: <a href="https://www.npi.gov.au/npidata/action/load/individual-facility-detail/criteria/state/QLD/year/2022/jurisdiction-facility/Q016COM001">https://www.npi.gov.au/npidata/action/load/individual-facility-detail/criteria/state/QLD/year/2022/jurisdiction-facility/Q016COM001</a> Bell Bay specific NPI can be found at: <a href="http://www.npi.gov.au/npidata/action/load/individual-facility-detail/criteria/state/TAS/year/2022/jurisdiction-facility/TAS+41">http://www.npi.gov.au/npidata/action/load/individual-facility-detail/criteria/state/TAS/year/2022/jurisdiction-facility/TAS+41</a></p> <p>Rio Tinto has a corporate Air Quality Protection (element E12) Standard that each site within the Entity must adhere to for the management of air related risks. The standard is available at: <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p> <p>Each site has an Air Quality Management Plan that includes details related to specific controls including monitoring programs and maintenance activities that align with the Rio Tinto Standard, and the site's legislative requirements. Bauxite Mines provide their Management Plans to the Environmental Regulator. However, as the Entity has not publicly disclosed the latest versions of Yarwun, Bell Bay and NZAS air quality control plans this constitutes a minor non-conformance.</p>
6.2a-g Discharges to Water	Minor Non-Conformance	<p>Rio Tinto discloses data related to water discharges (by product group and destination) in the annual Sustainability Fact Book available at: <a href="https://www.riotinto.com/en/invest/reports/sustainability-report">https://www.riotinto.com/en/invest/reports/sustainability-report</a></p> <p>Rio Tinto has a corporate Water Quality Protection (element E11) Standard that each site within the Entity must follow in the management of water related risks. The Standard is available at: <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p> <p>Each site within the Entity has a Water Quality Management Plan that includes details related to specific controls including monitoring programs and maintenance activities that align with the Rio Tinto standard, and the site's legislative requirements. The water discharge license, adaptive management plan, marine health monitoring plan and water management plan for Gove are available at: <a href="https://ntepa.nt.gov.au/your-business/public-registers/licences-and-approvals-register/waste-discharge-licences/mining/rta-gove-pty-ltd">https://ntepa.nt.gov.au/your-business/public-registers/licences-and-approvals-register/waste-discharge-licences/mining/rta-gove-pty-ltd</a></p> <p>However as Weipa, Yarwun, Bell Bay and NZAS have not publicly disclosed their water management plans this constitutes a minor non-conformance.</p>
6.3a-g Assessment and Management of Spills and Leakages	Conformance	<p>Rio Tinto has a corporate Hazardous Materials and Non-mineral Waste Control (element E15) Standard that each site within the Entity must follow in the management of hazardous materials and waste related risks. The Standard is available at: <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p> <p>Each site has developed and implemented Management Plans and Procedures that include details related to specific controls including Spill categorisation, response plans for different types of Spills and leaks, reporting and disclosure processes, considerations and references, and risk management and maintenance activities</p>

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		<p>designed to mitigate the potential for harm caused by Spills and leaks that align with the Rio Tinto standard, as well as the site's legislative requirements.</p> <p>Risks are assessed through the Entity's enterprise risk management program and include all potential Spills and Leakages to air, water or soil.</p>
6.4a-b Public Disclosure of Spills and Leakages	Conformance	<p>The Entity discloses the volume, type and potential impact of Spills to the site's relevant Environmental Authority via the periodic reporting program relevant for each site. All significant Spills are also reported via the annual Sustainable Development reports. Other parties who may be impacted by a Spill and that require immediate notification are managed through the Stakeholder communication processes built into the Business Resilience and Recovery Program.</p> <p>The Entity discloses all Material Spills and Leakages in the annual Sustainability Fact Book available at:  <a href="https://www.riotinto.com/en/invest/reports/sustainability-report">https://www.riotinto.com/en/invest/reports/sustainability-report</a></p>
6.5a-c Waste Management and Reporting	Conformance	<p>Rio Tinto discloses data related to waste (by waste type, disposal location, and reuse/recycling values) in the annual Sustainability Fact Book available at:  <a href="https://www.riotinto.com/en/invest/reports/sustainability-report">https://www.riotinto.com/en/invest/reports/sustainability-report</a></p> <p>Rio Tinto has corporate Chemically Reactive Mineral Waste Control (element E13) and Hazardous Materials and Non-mineral Waste Control (element E15) Standards that each site within the Entity must follow in the management of hazardous materials and waste related risks. The standard is available at:  <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p> <p>Each site has developed and implemented Waste Management Plans and Procedures that align with the Rio Tinto standard(s), as well as the site's legislative requirements and the Waste Mitigation Hierarchy. Risks are assessed through the Entity's enterprise risk management program that includes assessment of impacts to the Environment, People and Communities.</p>
6.6a-g Bauxite Residue	Conformance	<p>Rio Tinto has documented its commitment and approach to Tailings Management via its Tailings Policy and Management of Tailings and Water Storage Standard and Group Procedure which are publicly available at both <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a> and <a href="https://www.riotinto.com/en/sustainability/environment/tailings">https://www.riotinto.com/en/sustainability/environment/tailings</a></p> <p>Rio Tinto is committed to complying 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) GISTM Conformance Protocols. Public disclosures related to Tailings Storage Facilities (TSF) are available by facility, via the Rio Tinto Tailings Disclosure Interactive Map, available at:  <a href="https://www.riotinto.com/en/sustainability/environment/tailings/disclosures#">https://www.riotinto.com/en/sustainability/environment/tailings/disclosures#</a></p> <p>The facility design of Yarwun's tailings storage facility (RMA1) was completed by a qualified design engineer who is independent from the Entity and parent Company. It is designed and constructed according to Australian National Committee on Large Dams (ANCOLD) Standards. The Red Mud (Bauxite Residue) passes through sea water</p>

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		<p>neutralisation and thickening processes before being deposited in the Storage Facility.</p> <p>Risks associated with the operation of the TSF during normal, and emergency conditions are assessed through the Entity's enterprise risk management program and include impacts to Operations, Environment, People and Communities. Assurance activities including periodic inspections (weekly, monthly, and annual), embankment stability monitoring, groundwater monitoring, and third-party reviews on operation and design are completed to ensure the integrity of the facility, and a maintenance program for the facility has been developed. The Design Reports are considered in closure planning and updates on closure considerations may be triggered by the Design Engineers.</p>
6.7a-f Spent Pot Lining (SPL)	Conformance	<p>At both NZAS and Bell Bay smelters, Spent Pot Lining (SPL) from the processes are transported to specifically designed SPL storage sheds, where it is then crushed and loaded onto tankers for transportation to a third-party recycler. Currently, no landfill disposal is occurring at either site. No SPL Spills have occurred to date at either location. Groundwater monitoring is undertaken at both sites to ensure no soil or groundwater contamination is occurring.</p> <p>There is no SPL discharged to freshwater or marine environments at either site. Currently, both sites are in the process of removing legacy stored SPL from their premises. At NZAS, where SPL was encapsulated until the mid-1990s, the Local Community is involved in discussions around the clean-up and removal planning process for the legacy SPL.</p>
6.8a-d Dross	Conformance	<p>Both Bell Bay and NZAS have an on-site Dross treatment process to recover metal and separate Dross residue. All materials from the process are either recycled or reused. A third party manages the on-site Dross treatment process. The Entity has established a dedicated Waste and By-Product Valorisation Team to continually review treatment and reuse options for all smelting waste streams, including Dross.</p>
<b>7. WATER STEWARDSHIP</b>		
7.1a-b Water Assessment and Disclosure	Conformance	<p>Rio Tinto discloses data related to water withdrawal (by product group, volume and source) and the water risk profile in the annual Sustainability Fact Book available at:  <a href="https://www.riotinto.com/en/invest/reports/sustainability-report">https://www.riotinto.com/en/invest/reports/sustainability-report</a></p> <p>Additionally, Rio Tinto's interactive online platform for the disclosure of surface water allocation, the latest annual water usage and the associated average catchment rainfall runoff, as well as a five-year view of historical annual water usage, allows data to be viewed by location, operation or asset and is available at:  <a href="https://www.riotintowaterdashboard.com">https://www.riotintowaterdashboard.com</a></p> <p>Following Rio Tinto's water risk framework, each Entity executes an annual assessment of water risks associated with water resources; quality and quantity; dewatering; and long-term obligations. This information is used to complement the site's Water Management Plans, where the controls and actions plans are described. The water risks are disclosed on the water page of Rio Tinto's external website at:</p>



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		<a href="https://www.riotinto.com/en/sustainability/environment/water">https://www.riotinto.com/en/sustainability/environment/water</a> and in the annual Sustainability Fact Book.
7.2a-e Water Management	Minor Non-Conformance	<p>The following sites within the Entity have been identified as having a high or very high water-related risk: Gove (quantity &amp; quality; long-term obligations); Weipa (water resource); Yarwun (water resource; quantity &amp; quality; long-term obligations); and, NZAS (water resource). Rio Tinto has a corporate Water Quality Protection (element E11) Standard that each site within the Entity must follow in management of water related risks. The standard is available at: <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p> <p>Each site has a Water Quality Management Plan that includes details related to specific controls including monitoring programs and maintenance activities that align with the Rio Tinto standard, and the site's legislative requirements.</p> <p>The water discharge license, adaptive management plan, marine health monitoring plan and water management plan for Gove are available at: <a href="https://ntepa.nt.gov.au/your-business/public-registers/licences-and-approvals-register/waste-discharge-licences/mining/rta-gove-pty-ltd">https://ntepa.nt.gov.au/your-business/public-registers/licences-and-approvals-register/waste-discharge-licences/mining/rta-gove-pty-ltd</a></p> <p>However, as the other sites within the Entity that have water related risks (i.e. Weipa, NZAS, and Yarwun) have not yet publicly disclosed their latest water management plans this constitutes a minor non-conformance.</p>
<b>8. BIODIVERSITY AND ECOSYSTEM SERVICES</b>		
8.1a Biodiversity and Ecosystem Services Risk and Impact Assessment	Conformance	<p>Rio Tinto has a corporate Biodiversity and Natural Resource Management (element E16) Standard that each site must follow for the management of biodiversity and natural resources related risks. The standard is available at: <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p> <p>The sites undertake initial Biodiversity and Ecosystem service assessments through pre-feasibility studies and associated Environmental Impact Assessments (EIA). The requirements of the Environmental Impact Assessments are defined within the <i>Environmental Protection and Biodiversity Conservation (EPBC) Act 1999</i>.</p> <p>The sites transfer the knowledge obtained through the EIA process to the Entity's enterprise risk management program for ongoing evaluation and management.</p>
8.1b Biodiversity and Ecosystem Services Risk and Impact Assessment - Priority	Minor Non-Conformance	<p>A detailed risk and Impact Assessment on important features has been completed for each site within the Entity and associated action plans are designed and implemented to address identified risks and impacts.</p> <p>From assessments previously undertaken, the Gove, Weipa, and NZAS sites have the potential to impact Ecosystem Services. At Gove and Weipa, the largest potential impact relates to clearing activities, where impacts to Biodiversity and cultural heritage are possible.</p> <p>Communication strategies and approval processes with Indigenous Peoples exist for clearing activities. Some level of review of Ecosystem Services risks are regularly undertaken through established Indigenous agreement forums at both Weipa and Gove, including discussion of potential impacts on culturally important sites and efforts to identify</p>

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		<p>and demarcate sacred sites. However, during community and management interviews evidence of identification and confirmation of Priority Ecosystem Services with Affected Populations at sites generally and especially Indigenous Traditional Owners at Weipa and Gove was not available.</p>
<p>8.2a-g Biodiversity Management</p>	<p>Conformance</p>	<p>Rio Tinto has a corporate Biodiversity and Natural Resource Management (element E16) Standard that each site within the Entity must follow in the management of Biodiversity and natural resources related risks. The Standard is available at:  <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p> <p>Each site has Land Use Management Plans (LUMP) and associated Procedures that align, at minimum, to the Rio Tinto standard, and the site's legislative requirements. The Plans include details related to specific controls such as conservation planning; identification of ecologically sensitive areas, sensitive vegetation, endangered and near threatened species, and watercourses; operational buffer zones; pest management programs; and species monitoring programs.</p> <p>The sites regularly consult and involve educational organisations (universities), Regulators (local agencies), Indigenous Peoples, and professional services (Consulting Services) in their management programs.</p> <p>Weipa is considered a priority Biodiversity asset and has an active Biodiversity Programme. This Programme includes multiple research programs to further knowledge of endangered species, weed surveys and species monitoring surveys. Traditional Owners assist in monitoring and managing cultural heritage, plant, land and marine wildlife to ensure minimal disruption. Monitoring programs and offset areas that include sensitive ecosystems are managed in partnership with Wik and Wik-Waya Traditional Owners.</p> <p>Offset strategies and survey results from the Biodiversity program at Weipa are available at:  <a href="https://www.riotinto.com/en/operations/australia/weipa">https://www.riotinto.com/en/operations/australia/weipa</a>, including the Amrun Project - Annual Environmental Monitoring Report 2023.</p> <p>For several years, Weipa has continued to implement its Feral Pig Offset Strategy and continues its Marine Turtle Nesting Survey programme. Independent assessment by a specialist third-party indicates that a ~70 percent reduction in predation by feral pigs on turtle hatchlings has occurred over a six year period (2017-2023). Performance data is available in historical reports available at:  <a href="https://www.riotinto.com/en/operations/australia/weipa">https://www.riotinto.com/en/operations/australia/weipa</a></p>
<p>8.3a-c Management of Priority Ecosystem Services</p>	<p>Conformance</p>	<p>Rio Tinto has a corporate Biodiversity and Natural Resource Management (element E16) Standard that each site must follow in the management of Biodiversity and natural resources related risks. The standard is available at:  <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p> <p>From assessments previously undertaken, the Gove, Weipa, and NZAS sites have the potential to impact Ecosystem Services. At Gove and Weipa, the largest potential impact relates to clearing activities, where impacts to Biodiversity and cultural heritage are possible.</p> <p>For NZAS, impacts to Ramsar wetland areas (<a href="https://www.ramsar.org">https://www.ramsar.org</a>) surrounding the Tiwai Peninsula from operational emissions are identified as the largest potential impact. The sites work with Indigenous Peoples to ensure access is maintained and local</p>

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		<p>authorities, Contractors, and others to influence their activities and mitigate impacts according to their plans.</p>
8.4 Alien Species	Conformance	<p>Risks associated with Alien Species are assessed through the Entity's enterprise risk management program including weeds; feral animals; pests; and biosecurity risks. Appropriate controls are implemented that follow legislative requirements. Wharf areas are controlled in accordance with the relevant Australian and New Zealand biosecurity laws.</p> <p>Sites have developed and implemented Biosecurity Management Plans and Land Use Management Plans that capture the programs associated with the management of Alien Species.</p> <p>Weipa maintains the RTAW Weed Management Plan which outlines the processes of weed management and acknowledges the risks and challenges in controlling invasive gamba grass and other species. Gamba is considered a high priority and Leucaena is a medium priority. Weed management activities are reported annually on the Weipa public website in the Amrun EPBC Environment Report. Sites partner with external agencies and other institutions to improve control measures. For example, since 2003, Gove has been working with the Commonwealth Scientific and Industrial Research Organisation (CSIRO) and Yolngu Business Enterprise on eradicating the Yellow Crazy Ant through detection and baiting in the Gove Peninsula.</p>
8.5a-b Commitment to "No Go" in World Heritage Properties	Conformance	<p>Major projects that adhere to the Rio Tinto Project Definitions Guideline must assess Protected Areas as part of pre-feasibility assessment requirements. Within the Entity, there are currently no New Projects or Major Changes within World Heritage Properties.</p> <p>The Yarwun refinery is located adjacent to the Lower Great Barrier Reef Marine Park. The Great Barrier Reef is listed as a World Heritage area. In addition to Yarwun's risk management program and management plans, Yarwun has a Receiving Environment Monitoring Program and participates in the broader Port Curtis Integrated Monitoring Program (PCIMP). PCIMP is a collaborative monitoring program that conducts ambient mid to far monitoring of water bodies for the whole of Port Curtis (Gladstone Harbour and its tributaries). It includes Government, research institutions and industry bodies to develop a long-term monitoring program to ensure the environmental sustainability of the Port of Gladstone. Details of PCIMP are available at: <a href="https://pcimp.aims.gov.au/charts/index.html">https://pcimp.aims.gov.au/charts/index.html</a></p>
8.6a-d Protected Areas	Conformance	<p>Rio Tinto has a corporate Biodiversity and Natural Resource Management (element E16) Standard that each site within the Entity must follow in the management of Biodiversity and natural resources related risks. The Standard is available at: <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p> <p>Sites identify Protected Areas within their Areas of Influence via a variety of measures including the use of the Integrated Biodiversity Assessment Tool (IBAT). Rio Tinto discloses operational sites owned, leased, managed in, or adjacent to Protected Areas and Areas Of High Biodiversity Value in the annual Sustainability Fact Book available at: <a href="https://www.riotinto.com/en/invest/reports/sustainability-report">https://www.riotinto.com/en/invest/reports/sustainability-report</a></p>

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		<p>Whilst there are a variety of Designated Protected Areas adjacent to the sites within the Entity, there are no designated Protected Areas within site leases.</p> <p>Risks associated with Protected Areas and high Biodiversity value areas are assessed through the Entity's enterprise risk management program. Appropriate controls are implemented that follow legislative requirements. Management Plans relevant to the risk exposure are developed. For example, controls associated with Yarwun's proximity to the Great Barrier Reef are captured in the site's Water Management Plan.</p>
8.6e Protected Areas - Bauxite Mining	Conformance	<p>Although mining lease areas extend to border some Indigenous Protected Areas and other Protected Areas, the Entity does not have active or planned Bauxite mine operations or other developments within these Protected Areas.</p> <p>Forecast mine plan maps have detailed environmental protection, and buffer zones linked to the Entity's GIS to ensure these areas are not impacted.</p> <p>For example, whilst the Gove's greater lease contains portions of Dhimurru (an Indigenous Protected Area (IPA)) this is currently not within an active mining area however Rio Tinto infrastructure is contained within the IPA and requires maintenance. Indigenous Protected Areas are non-legislated Protected Areas, recognised by all Australian governments as part of the National Reserve System of Protected Areas (NRSPA). In 2000, Yolngu Traditional Owners made a voluntary IPA declaration (refer to: <a href="https://www.dhimurru.com.au/our-ipa.html">https://www.dhimurru.com.au/our-ipa.html</a>)</p>
8.7a-i Mine Rehabilitation	Conformance	<p>Rio Tinto has corporate Land Disturbance and Rehabilitation Control (element E14) and Closure Standards that each site must follow in the management of rehabilitation and closure planning. Both Standards are available at: <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p> <p>The Entity's sites Closure Planning includes financial provisions to ensure rehabilitation can be effectively undertaken. Both Gove and Weipa Bauxite mines conduct progressive (continuous) rehabilitation and have a Mine Rehabilitation Plan for each mining lease, aligned to the mining plan and site licensing requirements.</p> <p>Relevant government agencies and Indigenous Peoples are involved in developing the Rehabilitation Plan and final closure of landforms. Traditional Owner agreements capture closure requirements and the consultation processes required. Indigenous Peoples are utilised in the rehabilitation programs to ensure appropriate seed collection and planting practices.</p> <p>Rio Tinto discloses land footprint (disturbed and rehabilitated) and types of rehabilitation in the annual Sustainability Fact Book available at <a href="https://www.riotinto.com/en/invest/reports/sustainability-report">https://www.riotinto.com/en/invest/reports/sustainability-report</a></p> <p>In addition, the closure process, and progressive rehabilitation process information, are gathered in a report that is presented through different communication processes with the Local Communities including Traditional Owners.</p> <p>At the time of the Audit, Weipa's Progressive Rehabilitation and Closure Plan (PRCP) was under review. Engagements with Traditional Owners and the Regulator had been ongoing and the PRCP was with the Regulator for final approval at the time of the Audit.</p>

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<b>9. HUMAN RIGHTS</b>		
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: <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p> <p>The updated corporate Community and Social Performance (CSP) Standard includes annual identification of actual or potential adverse salient Human Rights impacts, which are cross-functional, may include external Stakeholders and Rightsholders, and can be integrated into a social risk assessment or undertaken as a stand-alone assessment. The Entity's assets must track the effectiveness of Human Rights 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.</p> <p>Whilst each site within the Entity has conducted a Human Rights Risk Assessment that has been incorporated into the Enterprise Risk Management System, Affected Populations have not been consulted.</p> <p>An anonymous Grievance Mechanism has been implemented however a gender-responsive Human Rights Due Diligence process that can measure its effectiveness is not yet completed.</p> <p>While the Entity has implemented respectful workplace training, Confidential Worker interviews indicate Human Rights issues, including Discrimination and bullying based on gender are present in operational workplaces, especially in non-administrative environments.</p>
9.2a-e Gender Equity and Women's Empowerment	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. Targets have been set to increase the number of women and general diversity in the workforce.</p> <p>In February 2022, Rio Tinto released the Everyday Respect Report (ERR) from the 2021 study conducted by Elizabeth Broderick &amp; Co. The ERR highlighted issues related to Discrimination and Harassment throughout the organisation. Whilst Rio Tinto is actively implementing the recommendations from this report, there is still work to be completed. During workforce interviews, isolated examples of Harassment were cited that indicate ongoing attention is required to prevent and control incidents.</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. Details related to Rio Tinto's commitment and performance to diversity and inclusion is publicly disclosed at: <a href="https://www.riotinto.com/en/sustainability/talent-diversity-inclusion">https://www.riotinto.com/en/sustainability/talent-diversity-inclusion</a></p> <p>Rio Tinto's Code of Conduct and Employment Policy are available at: <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p>

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		<p>The public can view the ERR and updates related to the implementation of recommendations at:  <a href="https://www.riotinto.com/en/sustainability/talent-diversity-inclusion/everyday-respect">https://www.riotinto.com/en/sustainability/talent-diversity-inclusion/everyday-respect</a></p>
9.3a-i Indigenous Peoples	Minor Non-Conformance	<p>Rio Tinto's Code of Conduct (The Way We Work) captures the commitments made in relation to working with Indigenous Peoples. The Human Rights Policy articulates the fundamental elements of the approach to Human Rights. The Communities and Social Performance (CSP) Standard captures the controls and processes that each site must follow in the management of risk associated with community and social performance. The Code of Conduct, Policy and Standard are available at: <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p> <p>Each site within the Entity completes Stakeholder mapping including engagement strategies to support their CSP plans. The sites have dedicated Communities and Social Performance team members who are supported by corporate specialists. Agreements and Memorandums of Understanding with Indigenous Peoples exist at Gove, Weipa and NZAS. An information factsheet was produced to aid in the communication of the ASI Certification process, the recent updates to the ASI Standard and how Indigenous Peoples can obtain more information.</p> <p>However, it was noted during the Audit that there is partially ineffective implementation of relationship management Policies and Procedures, especially at Weipa where it was noted that access by Indigenous Peoples to their traditional lands was raised as a concern, and whilst Indigenous Peoples have sought and received permission, the responses provided by the Entity are not consistent. Additionally, communications with Indigenous Peoples with respect to the future of the Mission River Bridge are currently ongoing and therefore inconclusive.</p>
9.4a Free, Prior, and Informed Consent (FPIC) - New Projects or Major Changes	Minor Non-Conformance	<p>The Rio Tinto Communities and Social Performance (CSP) Standard (2022) requires Entity sites to, "Demonstrate progress towards, or achievement of, Free, Prior, and Informed Consent (FPIC) of affected Indigenous peoples across all phases of the asset lifecycle in accordance with the ICMM Indigenous Peoples and Mining Position Statement". The Standard also requires, "Assets must work consistently with rights set out in the United Nations Declaration of the Rights of Indigenous Peoples (UNDRIP)".</p> <p>Since Rio Tinto Aluminium joined ASI, several New Projects or Major Changes have been initiated within the Entity including South of Embley (Weipa expansion – Amrun), future asset closure studies (within 10 years) for Gove Mine, the East Weipa Mine, and NZAS and Yarwun RMA2 future options.</p> <p>There is evidence of engagement regarding these projects and changes. Agreements and Memorandum of Understandings are in place for the majority of the assets, and ongoing consultation processes with Indigenous Peoples have been developed and are implemented.</p> <p>However, since engagement and consultation do not necessarily constitute Free Prior Informed Consent (FPIC) it is unclear from the evidence provided or interviews that there is full conformance with this Criterion. For example, the Entity demonstrated that management plans had been shared through Weipa agreement forums but could not demonstrate corresponding consent for management plans.</p>

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9.4b Free, Prior, and Informed Consent (FPIC) - Bauxite Mining	Minor Non-Conformance	<p>The Rio Tinto Communities and Social Performance (CSP) Standard (2022) requires Entity sites to, "Demonstrate progress towards, or achievement of, Free, Prior, and Informed Consent (FPIC) of affected Indigenous Peoples across all phases of the asset lifecycle in accordance with the ICMM Indigenous Peoples and Mining Position Statement". The Entity has a number of ongoing Bauxite Mining projects that may impact Indigenous Peoples (For example, Gove closure, Weipa Amrun, and East Weipa closure).</p> <p>The closure process, mining plans, and ongoing progressive rehabilitation process, are presented through communication forums with the Local Communities. In addition, clearing processes include Indigenous Peoples' input and approvals before clearing can commence.</p> <p>However, despite some Indigenous Peoples' participation in rehabilitation programming (e.g. native seed collection) and the sharing and discussion of rehabilitation plans through agreement forums, the Entity was not able to demonstrate during management or community interviews that consent from Indigenous Peoples had been requested and received.</p>
9.4c Free, Prior, and Informed Consent (FPIC) - Demonstrate support	Minor Non-Conformance	<p>The Rio Tinto Communities and Social Performance (CSP) Standard (2022) requires Entity sites to, "Demonstrate progress towards, or achievement of, Free, Prior, and Informed Consent (FPIC) of affected Indigenous Peoples across all phases of the asset lifecycle in accordance with the ICMM Indigenous Peoples and Mining Position Statement". The Standard also requires, "Assets must work consistently with rights set out in the United Nations Declaration of the Rights of Indigenous Peoples (UNDRIP)". The Entity has a number of ongoing projects that may impact Indigenous Peoples. Consultation processes occur between the Entity and the Indigenous Peoples prescribed Corporations and associated elected Committees.</p> <p>However a review of the Weipa committee engagement records and interviews from site personnel or community representatives do not currently demonstrate an appropriate level of support or understanding provided to Indigenous Peoples for the FPIC process.</p>
9.5a Cultural and Sacred Heritage - Identification	Conformance	<p>Rio Tinto's Code of Conduct captures the commitment made in relation to careful and respectful management of cultural heritage. The Communities and Social Performance (CSP) Standard captures the controls and processes that each site within the Entity must follow in the management of both tangible and intangible Cultural Heritage. The Code of Conduct and Standard are available at: <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p> <p>All of the Entity's sites have Cultural Heritage Management Plans and Procedures that capture the mechanisms for the identification and protection of cultural heritage. Across the Entity, artefacts or sites requiring protection may originate from Indigenous Peoples, First Fleet and/or Industrial Heritage.</p> <p>Identification of Indigenous cultural artefacts and Cultural or Sacred sites occurs through engagement with Indigenous Peoples and survey works. All identified sites are recorded in the site's Geographic Information Systems (GIS). Digital buffer zones can be developed to protect the areas. At times, under instruction and supervision from Indigenous Peoples, artifacts may be moved to Protected Areas. The mines and refineries undergo survey work before any ground disturbances.</p>

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		<p>All sites implement cultural awareness training with relevant details on the identification and protection of cultural heritage that includes the site's specific controls. Management and community interviews highlighted incidents where GIS data and buffers have been previously ineffective in protecting scar trees from destruction. The Entity has acknowledged this and as a result, has completed a significant amount of work on the GIS and additional controls put in place.</p>
<p>9.5b Cultural and Sacred Heritage - Impacts</p>	<p>Conformance</p>	<p>The Entity has identified the activity with the highest potential for impact to cultural heritage are clearing activities. Clearing Permitting Systems are in place at both Gove and Weipa and are applicable to all works where clearing is required (including normal operations or projects). The permitting system includes approval from the representative body and associated on-ground surveys by Traditional Owner representatives.</p> <p>Yarwun has implemented a clearing approval process that ensures survey works are undertaken before clearing commences.</p>
<p>9.6a-i Displacement</p>	<p>Conformance</p>	<p>The Entity has developed and implemented Policies, systems, Procedures and processes that conform to relevant Resettlement requirements. There is a Group Level Guidance Note (Resettlement &amp; Livelihoods) available, which includes internationally recognised guidance, aligned to International Finance Corporation (IFC) Guidelines. A Procedure is in place to correctly plan and realise resettlement.</p> <p>No physical resettlement has occurred at any of the Entity's sites in Australia or New Zealand, but economic displacement of Affected Populations and Indigenous Peoples with respect to New Projects and Major Changes at multiple sites (i.e. Gove closure; East Weipa closure; Amrun expansions; Yarwun RMA2) have been considered.</p> <p>Studies and engagements with Indigenous Peoples in Australia and New Zealand are progressing to support potential future opportunities within areas of closure sites.</p> <p>Amrun has captured Traditional Owner interests through the Local and Indigenous Participation Plan (2015) available at: <a href="https://www.riotinto.com/en/operations/australia/weipa">https://www.riotinto.com/en/operations/australia/weipa</a></p> <p>The Amrun Social Impact Management Plan (SIMP) included details of the Local and Indigenous Participation Plan. An annual report on progress to the SIMP was completed during construction phase of Amrun and is located on the Rio Tinto Weipa Website: <a href="https://www.riotinto.com/en/operations/australia/weipa/">https://www.riotinto.com/en/operations/australia/weipa/</a></p>
<p>9.7a-h Affected Populations and Organisations</p>	<p>Minor Non-Conformance</p>	<p>Rio Tinto's Code of Conduct captures the commitment made in relation to engaging with communities, Indigenous People and other Stakeholders. The Communities and Social Performance (CSP) Standard captures the controls and processes that each site must follow in order to manage their communities and social performance risks. The Code of Conduct and Standard are available at: <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p> <p>Each of the Entity's sites has conducted Stakeholder mapping and developed engagement plans. The engagement plans have considered input from Stakeholders in relation to their expectations on how they wish to be communicated with and in which forums. The Entity has explored with Affected Populations and Organisations</p>



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		<p>opportunities for support and has developed local programs for sponsorships, donations and community development funds, in addition to the local procurement processes.</p> <p>Each site has developed summary plans for their community and social performance management programs. Whilst interviews with site management and the community indicate efforts in this area are being made, generally speaking these plans have not yet been made public.</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 the Rio Tinto Group Ethics &amp; Compliance team. Part of this team's role is to manage, 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 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 an 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.</p> <p>Countries assigned a high-risk ranking are primarily determined by 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 (CAHRAs). 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). 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, World 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 Due</p>

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		<p>Diligence Report is issued with overall risk rating, mitigating actions, and overall recommendations.</p> <p>A summary of the Know your Third Party process and other sustainability controls within the value chain can be found at: <a href="https://www.riotinto.com/en/sustainability/ethics-compliance/value-chain">https://www.riotinto.com/en/sustainability/ethics-compliance/value-chain</a></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 Third-Party 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 Know your Third Party (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 Factbook) data related to the number of Due Diligence baseline screenings, Due Diligence reports and third parties who are centrally monitored. The Sustainability Factbook can be found externally at: <a href="https://www.riotinto.com/en/invest/reports/sustainability-report">https://www.riotinto.com/en/invest/reports/sustainability-report</a></p> <p>A summary of the Know your Third Party process and other sustainability controls within the value chain can be found at: <a href="https://www.riotinto.com/en/sustainability/ethics-compliance/value-chain">https://www.riotinto.com/en/sustainability/ethics-compliance/value-chain</a></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 the implementation of the Voluntary Principles of Security and Human Rights (VPSHR) through risk analysis and</p>

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		<p>engagement of security forces, control of weapons, firearms, dogs, and proactive identification and management of practices and decisions that may result in conflict with Stakeholders.</p> <p>The Entity has 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 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 <a href="https://www.riotinto.com/en/sustainability/human-rights">https://www.riotinto.com/en/sustainability/human-rights</a></p>
<b>10. LABOUR RIGHTS</b>		
10.1a-c Freedom of Association and Right to Collective Bargaining	Conformance	<p>The Entity adheres to Applicable Laws in Australia (<i>Fair Work Act</i>) and New Zealand (<i>Employment Relations Act</i>) that govern the right of Workers to bargain collectively.</p> <p>Throughout the Entity's workforce (both employees and Contractors), there is a mixture of persons working underneath a collective agreement or an individual employment contract.</p> <p>In Australia, a Fair Work Information Statement is included in the Letter of Offer package for all employees to ensure they understand their rights under this Act. These Statements are produced by the Fair Work Ombudsman and are available at: <a href="https://www.fairwork.gov.au/employment-conditions/information-statements/fair-work-information-statement#the-FWIS">https://www.fairwork.gov.au/employment-conditions/information-statements/fair-work-information-statement#the-FWIS</a></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 Right to Collective Bargaining is not restricted in the countries in which the Entity operates (Australia and New Zealand).</p>
10.2a Child Labour	Conformance	<p>Rio Tinto Human Rights Policy prohibits any form of Modern Slavery including Forced Labour, Debt Bondage, forced marriage and trafficking, Child Labour or other labour exploitation in their activities and value chain. 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>Rio Tinto's Code of Conduct (The Way We Work), Employment Policy and Human Rights Policy include Child Labour prohibition commitments. The Code of Conduct and Policies are available at: <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p> <p>Employment processes include a review of government issued identification which confirms the provided date of birth. The Entity has developed a risk assessment that incorporates additional controls to protect Workers who are under 18 years of age (e.g. apprentices).</p>

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		Based on the evidence reviewed, management and Worker interviews, Child Labour is not present in the company or supply chain workforce.
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: <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></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 Statement is available at: <a href="https://www.riotinto.com/en/sustainability/human-rights/modern-slavery-act">https://www.riotinto.com/en/sustainability/human-rights/modern-slavery-act</a></p>
10.4a-c Non-Discrimination	Conformance	<p>Both Rio Tinto's Code of Conduct (The Way We Work) and Employment Policy capture commitments related to preventing harmful behaviours including Harassment and Discrimination. The Code of Conduct and Policy are available at: <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p> <p>Corporate hiring practices actively promote a diverse workforce and highlight non-Discrimination in hiring practices, including the use of diverse hiring panels. Annual performance evaluations are undertaken for all employees that include an annual 'PayHealth' review that considers gender salary equity, internal role types and industry salary ranges.</p> <p>Annual compliance training and the Everyday Respect workplace training reinforce non-Discrimination Policies and practices and promote a workplace culture free of Discrimination.</p>
10.5 Communication and engagement	Conformance	<p>The Entity communicates with Workers at each site through multiple platforms that include General Manager forums with staff, toolbox (pre-start) meetings, on-site and in-office televisions/monitors, colour-coded banner communications to highlight incidents and lessons learned, and in all employee email communications.</p> <p>Induction and respectful workplace training are provided through online or in-person sessions. Voluntary twice-yearly perception surveys at each site provide an opportunity for Workers to express their views on workplace conditions.</p> <p>An anonymous whistleblower program (My Voice) is also available.</p>
10.6a-g Violence and Harassment	Minor Non-Conformance	<p>In February 2022, Rio Tinto released the Everyday Respect Report (ERR) from a 2021 study by Elizabeth Broderick &amp; Co. The ERR highlighted systemic issues related to Discrimination and Harassment throughout the organisation. 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.</p> <p>During workforce interviews, examples of Harassment were cited that indicate additional measures are needed to prevent and control incidents. External parties can view the ERR and updates related to the implementation of recommendations at: <a href="https://www.riotinto.com/en/sustainability/talent-diversity-inclusion/everyday-respect">https://www.riotinto.com/en/sustainability/talent-diversity-inclusion/everyday-respect</a></p>
10.7a-c Remuneration	Conformance	As part of its Letter of Offer to prospective employees, the Entity provides a comprehensive package of information that describes the

CRITERION	RATING	COMMENT
		<p>terms and conditions of employment. This information is supplemented during the employee induction and on-boarding process. Several regulations (e.g. <i>Fair Work Act</i>, National Employment Standard and New Zealand <i>Employment Relations Act</i>) define the minimum requirements for wages and benefits which the Entity meets or exceeds.</p> <p>Remuneration is paid monthly in the local currency, by electronic transfer.</p>
10.8a-c Working Time	Conformance	The Entity complies with Applicable Laws in Australia and New Zealand governing working hours and Overtime. The amount of time all employees work is monitored. The Fatigue Policy implemented at all sites governs permitted Working Time including how rosters are organised.
10.9a-b Informing Workers of Rights	Conformance	<p>All Workers receive information statements as part of their Letters of Offer that explain their rights as Workers. These statements are based on the <i>Fair Work Act</i> (statement issued from Fair Work Australia) and the New Zealand <i>Employment Relations Act</i>.</p> <p>The Entity also provides Health and Safety training that includes information about Workers' rights.</p>

## 11. OCCUPATIONAL HEALTH AND SAFETY

11.1a Occupational Health and Safety (OH&S) Management System	Minor Non-Conformance	<p>Rio Tinto has established an internal standard with the minimum requirements to maintain the Health, Safety, Environment, and Communities Management System applicable for all the sites operating within the Entity.</p> <p>The Standard requires key elements of a Management System to be aligned with some versions of international standards such as ISO 14001 and ISO 45001. Each site's Management System is based on these Rio Tinto Standards. Maintenance of the elements of the Corporate Standard is in place through their local HSEC Management System Procedures.</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 &amp; Safety. Gove holds ISO14001; Weipa holds ISO9001, and ISO14001; Yarwun holds ISO14001; Bell Bay holds ISO9001, ISO14001 and ISO45001. At the time of the on-site Audit, NZAS was undergoing certification for ISO14001 and ISO45001 (which were awarded in December 2023).</p> <p>However, during the visit to Gove and Yarwun, different conditions were observed that reflect a minor non-conformance to this criterion. In Gove the following was observed: aging structures that may pose a risk of objects falling on employees in workshop and warehouse areas; and electrical panels without proper arc flash risk labelling. In Yarwun the following was observed: a mobile crane with no operator at the controls and its telescopic boom extended over a road did not have the swing radius cordoned to prevent unauthorised access to the working area; and a health and safety concern related to the obstruction of an emergency safety shower was raised in October 2022 in health and safety committee meeting minutes had not been corrected at the time of the on-site audit in August 2023.</p>
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CRITERION	RATING	COMMENT
11.1b-e Occupational Health and Safety (OH&S) Management System - Reviews and disclosure	Conformance	<p>Rio Tinto has established an Internal Standard with the minimum requirements to maintain the Health, Safety, Environment, and Communities Management System applicable for all the sites operating within Rio Tinto. The standard requires key elements of a Management System to be aligned with some versions of international standards (ISO 14001 and ISO 45001). Each site's Management System is based on these Rio Tinto Standards.</p> <p>A variety of Key Performance Indicators are used to assess the effectiveness of the Management System including (but not limited to): Fatalities; All-Injury Frequency Rate (AIFR); number of Lost Time Injuries (LTI); Lost Time Injury Frequency Rate (LTIFR); Safety maturity model score; and rates of new cases of occupational illness.</p> <p>The effectiveness of the system is reported publicly through Rio Tinto's Sustainability Report Fact Book.</p> <p>The Entity actively participates in working groups and provides data on health &amp; safety performance to a variety of government and industry bodies to allow benchmarking analysis to occur including (but not limited to) the International Council on Mining and Metals (ICMM), International Aluminium Institute (IAI), Australian Aluminium Council (AAC), and the Australian Bureau of Statistics (ABS). For example, Rio Tinto Aluminium participates in the International Aluminium Institute (IAI) Safety Benchmarking study, and provides safety performance data to the International Council for Mining and Metals to aid in industry comparisons.</p> <p><a href="https://www.riotinto.com/en/invest/reports/annual-report">https://www.riotinto.com/en/invest/reports/annual-report</a></p> <p><a href="https://international-aluminium.org/statistics/alumina-production">https://international-aluminium.org/statistics/alumina-production</a></p>
11.2 Employee engagement on Health and Safety	Conformance	<p>The Entity has developed and implemented Policies, systems, Procedures and processes that conform to employee engagement on Health and Safety requirements. All sites utilise a shift start team meeting ('Lean'/toolbox). Built into the program is '3-2-1 Coaching' which includes Management, Superintendent, Team Leader, and Employee/Contractor attendance at these meetings. This provides a mechanism for Workers to raise issues with various levels of management on a daily basis.</p> <p>All sites within the Entity have active site HSE Committees consisting of representation from Workers, management and HSE personnel. In addition, the Entity has in place communication processes to raise awareness and discussions related to incidents.</p>

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#### DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
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0	9 April 2018	Initial Certification Audit – Full Certification
1	7 December 2019	Updated to reflect Certification Scope change with addition of Weipa Bauxite Mines (Weipa, Queensland, Australia), Yarwun Alumina Refinery (Yarwun, Queensland, Australia), Bell Bay Aluminium Smelter (George Town, Tasmania, Australia) and New Zealand Aluminium Smelter (Invercargill, New Zealand).
2	29 January 2020	Updated to include revised hyperlinks and document names for external publications.
3	9 April 2021	Re-Certification Audit – Full Certification
4	9 April 2024	Re-Certification Audit and Scope Change – Provisional Certification Scope Change to apply the ASI Performance Standard V3

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