

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

Rio Tinto Aluminium (RTA)

CERTIFICATE NUMBER

4

ASI STANDARD

CHAIN OF CUSTODY
(V2 2022)

CERTIFICATION LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITING FIRM

ERM CERTIFICATION
AND VERIFICATION
SERVICES

DATE OF ISSUE

12 JULY 2024

DATE OF EXPIRY

11 JULY 2027

CERTIFIED SINCE

12 JULY 2018

AUTHORISED BY

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

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

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

www.aluminium-stewardship.org

CERTIFICATION SCOPE

Rio Tinto Aluminium's facilities including Gove Bauxite Mine and related port facilities and power station (Gove, Northern Territory, Australia), Weipa Bauxite Mines, related port facilities and power stations (Weipa, Queensland, Australia), Vaudreuil Alumina Refinery (Saguenay QC, Canada), Yarwun Alumina Refinery (Yarwun, QLD, Australia), Alma Smelter (Alma QC, Canada), AP-60 Smelter (Saguenay QC, Canada), Arvida Smelter (Saguenay QC, Canada), Bell Bay Aluminium Smelter (George Town, Tasmania, Australia), Grande-Baie Smelter (Saguenay QC, Canada), Laterriere Smelter (Saguenay QC, Canada), Kitimat Smelter (Kitimat BC), PLS (Specialised Casthouse) (Saguenay QC, Canada), IPSF (Port and Rails) (Saguenay QC, Canada), New Zealand Aluminium Smelter (Invercargill, New Zealand), ISAL (Hafnarfjörður, Iceland), Headquarters (Brisbane, QLD, Australia), and Headquarters (Saguenay and Montreal QC, Canada).

SUMMARY AUDIT REPORT

CHAIN OF CUSTODY

STANDARD

OVERVIEW

MEMBER NAME	Rio Tinto Aluminium Division
ENTITY NAME	Rio Tinto Aluminium (RTA)
CERTIFICATION SCOPE	Rio Tinto Aluminium's facilities including Gove Bauxite Mine and related port facilities and power station (Gove, Northern Territory, Australia), Weipa Bauxite Mines, related port facilities and power stations (Weipa, Queensland, Australia), Vaudreuil Alumina Refinery (Saguenay QC, Canada), Yarwun Alumina Refinery (Yarwun, QLD, Australia), Alma Smelter (Alma QC, Canada), AP-60 Smelter (Saguenay QC, Canada), Arvida Smelter (Saguenay QC, Canada), Bell Bay Aluminium Smelter (George Town, Tasmania, Australia), Grande-Baie Smelter (Saguenay QC, Canada), Laterriere Smelter (Saguenay QC, Canada), Kitimat Smelter (Kitimat BC), PLS (Specialised Casthouse) (Saguenay QC, Canada), IPSF (Port and Rails) (Saguenay QC, Canada), New Zealand Aluminium Smelter (Invercargill, New Zealand), ISAL (Hafnarfjörður, Iceland), Headquarters (Brisbane, QLD, Australia), and Headquarters (Saguenay and Montreal QC, Canada).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">• Bauxite Mining• Alumina Refining• Aluminium Smelting• Aluminium Re-melting/Refining• Casthouses
ASI STANDARD	<ul style="list-style-type: none">• Chain of Custody Standard V2
AUDIT TYPE	<ul style="list-style-type: none">• Initial Certification Audit (13 February – 29 April 2018)• Scope Change Audit (4 – 12 July 2019)• Scope Change Audit (18 September – 28 October 2019)• Surveillance Audit (18 September 2019 – 26 February 2020)• Re-Certification Audit and Scope Change (1 February – 16 June 2021)• Re-Certification Audit and Scope Change (7 August 2023 – 1 March 2024)
AUDIT FIRM	ERM Certification and Verification Services
AUDIT DATE	<ul style="list-style-type: none">• 13 February – 29 April 2018 (Initial Certification Audit)• 4 – 12 July 2019 (Scope Change Audit)• 18 September – 28 October 2019 (Scope Change Audit)• 18 September 2019 – 26 February 2020 (Surveillance Audit)• 1 February – 16 June 2021 (Re-Certification Audit and Scope Change)• 7 August 2023 – 1 March 2024 (Re-Certification Audit and Scope Change)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">• 15 June 2018 (Initial Certification Audit)• 10 September 2019 (Scope Change Audit)• 22 November 2019 (Scope Change Audit)• 13 August 2020 (Surveillance Audit)

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- 24 June 2021 (Re-Certification Audit and Scope Change)
 - 10 June 2024 (Re-Certification Audit and Scope Change)
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AUDIT SCOPE

Initial Certification Audit (13 February – 29 April 2018)

The Audit Scope includes the following facilities:

- Gove Bauxite Mine including its port facilities and power station (Gove Northern Territory, Australia)
- Vaudreuil Alumina Refinery (Saguenay QC, Canada)
- Alma Smelter (Alma QC, Canada)
- AP-60 Smelter (Saguenay QC, Canada)
- Grande-Baie Smelter (Saguenay QC, Canada)
- Laterriere Smelter (Saguenay QC, Canada)
- PLS Specialised Casthouse (Saguenay QC, Canada)
- IPSF (Port and Rails) (Saguenay QC, Canada)
- Headquarters (Saguenay and Montreal QC, Canada)

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

Scope Change Audit (4 – 12 July 2019)

The Audit Scope includes the following facilities:

- Kitimat Smelter (Kitimat BC, Canada)

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

Scope Change Audit (18 September – 28 October 2019)

The Audit Scope includes the following facilities:

- Weipa Bauxite Mines, related port facilities and power stations (Weipa, Queensland, Australia)
- Yarwun Alumina Refinery (Yarwun, QLD, Australia)
- Bell Bay Aluminium Smelter (George Town, Tasmania, Australia)
- New Zealand Aluminium Smelter (Invercargill, New Zealand)
- Headquarters (Brisbane, QLD, Australia)

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

Surveillance Audit (18 September 2019 – 26 February 2020)

The Audit Scope includes the following facilities:

- Gove Bauxite Mine including its port facilities and power station (Gove Northern Territory, Australia)
- Vaudreuil Alumina Refinery (Saguenay QC, Canada)
- AP-60 Smelter (Saguenay QC, Canada)
- Arvida Smelter (Saguenay QC, Canada)
- IPSF (Port and Rails) (Saguenay QC, Canada)
- Headquarters (Brisbane, QLD, Australia)
- Headquarters (Saguenay and Montreal QC, Canada)

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

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

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

- Gove Bauxite Mine including its port facilities and power station (Gove Northern Territory, Australia)
 - Weipa Bauxite Mines, related port facilities and power stations (Weipa, Queensland, Australia)
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- Vaudreuil Alumina Refinery (Saguenay QC, Canada)
 - Yarwun Alumina Refinery (Yarwun, QLD, Australia)
 - Alma Smelter (Alma QC, Canada)
 - AP-60 Smelter (Saguenay QC, Canada)
 - Arvida Smelter (Saguenay QC, Canada)
 - Bell Bay Aluminium Smelter (George Town, Tasmania, Australia)
 - Grande-Baie Smelter (Saguenay QC, Canada)
 - Laterriere Smelter (Saguenay QC, Canada)
 - Kitimat Smelter (Kitimat BC, Canada)
 - PLS Specialised Casthouse (Saguenay QC, Canada)
 - IPSF (Port and Rails) (Saguenay QC, Canada)
 - New Zealand Aluminium Smelter (Invercargill, New Zealand)
 - ISAL (Hafnarfjörður, Iceland)
 - Headquarters (Brisbane, QLD, Australia)
 - Headquarters (Saguenay and Montreal QC, Canada)

Supply chain activities included in the audit scope:

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

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

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

Re-Certification Audit and Scope Change (7 August 2023 – 1 March 2024)

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

- Gove Bauxite Mine including its port facilities and power station (Gove Northern Territory, Australia)
 - Weipa Bauxite Mines, related port facilities and power stations (Weipa, Queensland, Australia)
 - Vaudreuil Alumina Refinery (Saguenay QC, Canada)
 - Yarwun Alumina Refinery (Yarwun, QLD, Australia)
 - Alma Smelter (Alma QC, Canada)
 - AP-60 Smelter (Saguenay QC, Canada)
 - Arvida Smelter (Saguenay QC, Canada)
 - Bell Bay Aluminium Smelter (George Town, Tasmania, Australia)
 - Grande-Baie Smelter (Saguenay QC, Canada)
 - Laterriere Smelter (Saguenay QC, Canada)
 - Kitimat Smelter (Kitimat BC, Canada)
 - PLS Specialised Casthouse (Saguenay QC, Canada)
 - IPSF (Port and Rails) (Saguenay QC, Canada)
 - New Zealand Aluminium Smelter (Invercargill, New Zealand)
 - ISAL (Hafnarfjörður, Iceland)
 - Headquarters (Brisbane, QLD, Australia)
 - Headquarters (Saguenay and Montreal QC, Canada)
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Supply chain activities included in the audit scope:

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

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

AUDIT OUTCOME Certification

AUDIT METHODOLOGY
DECLARATION

The Auditors confirm that:

- The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this Report.
 - The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.
 - The Audit Scope and Audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope.
 - The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.
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CERTIFICATION PERIOD 12 July 2024 – 11 July 2027

NEXT AUDIT TYPE Re-Certification Audit

NEXT AUDIT DUE DATE 11 July 2027

CERTIFICATE NUMBER 4



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

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

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

ENTITY OVERVIEW

For the purposes of this Chain of Custody Certification (Certificate #4) the 'Entity' consists of the facilities included in the Performance Standard Certifications for Certificate #1 (Rio Tinto Aluminium (RTA) Canada), Certificate #2 (RTA Pacific Operations) and Certificate #131 (RTA ISAL). The Entity comprises of Rio Tinto Aluminium's Pacific, Canadian and Icelandic Operations, including the following:

The Weipa mine (est. 1963) is located in Far North Queensland, Australia. The Weipa operations have approximately 2000 employees and contractors, and had an annual production of 35.1 million tonnes (Mt) in 2023. 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). The East Weipa mine is currently in the decommissioning phase with mine operations expected to cease 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. The Gove operations have 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, 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 186 Kt in 2023, including Aluminium slabs, 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, a carbon plant as well as workshops and wharf facility.

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, Casthouse, as well as the Tiwai wharf.

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

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

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

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

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

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

The ISAL Aluminium Smelter is located in Hafnarfjörður, Iceland and began operations in 1969, with a capacity of 33,000 tonnes. The Entity currently employs approximately 500 employees and produces 209,000 tonnes of high quality Aluminium billets, with one of the lowest carbon footprint Aluminium in the world, destined mostly for the European market. 100% of its electricity is generated from clean, renewable hydropower, supplied by the National power company Landsvirkjun.

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.

OVERALL	
SYSTEMS	High
RISKS	High
PERFORMANCE	High
OVERALL	HIGH

FINDINGS

CRITERION	RATING	COMMENT
1. MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI Membership	Conformance	The Entity is a ASI Member of the Production and Transformation Member Class: https://aluminium-stewardship.org/about-asi/asi-members/rio-tinto/
1.2 CoC Management System	Conformance	The Entity has a Management System that addresses all applicable requirements of the Chain of Custody Standard, in all Facilities under its control related to the management of the Chain of Custody (CoC) Material. The evidence provided demonstrates that there is an effective Management System and resources to maintain this system.
1.3 CoC Management System Monitoring	Conformance	The Management System is available on the Entity's ASI SharePoint page and evidence provided confirms it is reviewed annually as per the Entity's ASI CoC Manual requirement and the ASI CoC Management System Procedure.
1.4 Management Representative	Conformance	The Entity has nominated a Management Representative that has overall responsibility and authority for the Entity's conformance with all applicable requirements of the ASI Chain of Custody Standard. Based on the evidence provided, the Entity has a designated responsible manager who oversees ASI conformance. The Entity's ASI governance mapping has also been updated.
1.5 Communications and Training	Conformance	<p>The Entity has implemented training and coaching sessions commensurate to ASI team members' roles and ASI related activities. The Commercial teams at each site participates in Sustainability training aligned to their roles. This includes commercial, technical marketing, sales, portfolio and investment personnel who have varied accountabilities under the Chain of Custody Management System.</p> <p>The Entity has also implemented processes that allow for efficient communications within the global ASI team. Relevant on site personnel are trained to maintain the mass balance traceability (QA/QC) which fits with their responsibilities within the Management System.</p>
1.6 Records Management	Conformance	The Entity has adequate record management practices and associated procedures as well as the five-year record retainer Policy. Documents associated with the Chain of Custody are saved in SharePoint. Production records are stored in the Rio Tinto Business Solution (i.e. GPC, Met Pro or SAP depending on the operating site).
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The mass balance is updated annually with Inputs and Outputs of CoC Materials. The 2022 report was produced, transmitted on time and uploaded on ElementAI before June 30, 2023.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	The Entity's mass balance has been updated with new requirements for Inputs and Outputs of pre-consumer Eligible Scrap. The Entity's 2022 report was produced, transmitted on time and uploaded on ElementAI before June 30, 2023.

CRITERION	RATING	COMMENT
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity's mass balance has been updated with new requirements for Inputs and Outputs of Non-CoC Material. The 2022 report was produced, transmitted on time and uploaded on ElementAI before June 30, 2023.
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity's mass balance has been updated with new requirements with a Positive Balance carried over (or not) to the subsequent Material Accounting Period. The 2022 report was produced, transmitted on time and uploaded on ElementAI before June 30, 2023.
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity's mass balance has been updated with new requirements with a Positive Balance carried over (or not) to the subsequent Material Accounting Period. The 2022 report was produced, transmitted on time and uploaded on ElementAI before June 30, 2023.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity has established a management process to monitor and manage Internal Overdraws.
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	The Entity's mass balance has been updated with new requirements for Intra-Entity Flows. The 2022 report produced, transmitted on time and uploaded on ElementAI before June 30, 2023.

2. OUTSOURCING CONTRACTORS

2.1 Certification Scope	Not Applicable	This Criterion is not applicable, as the Entity does not have any Outsourcing Contractors within the scope that takes custody of the Entity's CoC Material for further processing, treatment or manufacturing.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	This Criterion is not applicable, as the Entity does not have any Outsourcing Contractors within the scope that takes custody of the Entity's CoC Material for further processing, treatment or manufacturing.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	This Criterion is not applicable, as the Entity does not have any Outsourcing Contractors within the scope that takes custody of the Entity's CoC Material for further processing, treatment or manufacturing.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	This Criterion is not applicable, as the Entity does not have any Outsourcing Contractors within the scope that takes custody of the Entity's CoC Material for further processing, treatment or manufacturing.
2.3 Information on Quantity of CoC Material Output and Returned	Not Applicable	This Criterion is not applicable, as the Entity does not have any Outsourcing Contractors within the scope that takes custody of the Entity's CoC Material for further processing, treatment or manufacturing.
2.4 Consistency in Inflow and Outflow Quantity of CoC Material to/from Outsourcing Contractor	Not Applicable	This Criterion is not applicable, as the Entity does not have any Outsourcing Contractors within the scope that takes custody of the Entity's CoC Material for further processing, treatment or manufacturing.

CRITERION	RATING	COMMENT
2.5 Error (Outsourcing Contractor)	Not Applicable	This Criterion is not applicable, as the Entity does not have any Outsourcing Contractors within the scope that takes custody of the Entity's CoC Material for further processing, treatment or manufacturing.
3. PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI ALUMINIUM		
3.1a ASI Bauxite (CoC Certification Scope)	Conformance	The Weipa Bauxite mine and the Gove Bauxite mine are owned and controlled by the ASI Member Rio Tinto Aluminium (RTA).
3.1b ASI Bauxite (Performance Standard)	Conformance	The Weipa and the Gove Bauxite Mining activities are ASI Performance Standard Certified. The Certification of the Entity's Bauxite mines shows that the Entity is in conformance with ASI applicable requirements for Bauxite Mining activities. For RTA ASI-PS certificates: https://aluminium-stewardship.org/about-asi/members/Rio-Tinto-Aluminium-Division
3.1c ASI Bauxite (Bauxite sourcing)	Conformance	Gove mine purchases Bauxite from Gulkula Mining (a local Indigenous owned Entity that is Certified to the ASI Performance Standard but not the Chain of Custody Standard). This Bauxite is segregated from Gove production and is not considered as CoC Material when shipping to customers.
3.2a ASI Alumina (CoC Certification Scope)	Conformance	All refineries within the CoC Certification Scope (i.e. Yarwun and Vaudreuil) are legally owned and controlled by the Entity.
3.2b ASI Alumina (Performance Standard)	Conformance	Alumina is produced from the Entity's Yarwun and Vaudreuil refineries which are Certified against the ASI Performance Standard.
3.2c ASI Alumina (Bauxite sourcing)	Conformance	Yarwun sources Bauxite from Gove and Weipa (within the Entity). Vaudreuil sources Bauxite from a mixture of sites from outside of the Entity and has systems in place to identify those that are ASI Performance and CoC Certified Entities.
3.3a ASI Aluminium (CoC Certification Scope)	Conformance	Yarwun sources Bauxite from Gove and Weipa (within the Entity). Vaudreuil sources Bauxite from a mixture of sites from outside of the Entity and has systems in place to identify those that are ASI Performance and CoC Certified Entities.
3.3b ASI Aluminium (Performance Standard)	Conformance	The Entity's Aluminium Smelting activities are ASI Performance Standard Certified and are within the Entity's CoC Certification Scope. The Performance Standard Certification confirms that the Entity is in conformance to the ASI applicable requirements for Aluminium Smelting activities.
3.3c ASI Aluminium (Alumina sourcing)	Conformance	Alumina is obtained from various sources and includes intra-Entity transfers, CoC Material and Non-CoC Material. Material is captured appropriately in the Mass Balance System as either CoC Material or Non-CoC material.

CRITERION	RATING	COMMENT
4. RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP		
4.1a Recycled Aluminium (CoC Certification Scope)	Conformance	All sites are 100% owned and operated by Rio Tinto except for NZAS (the Joint Venture where Rio Tinto currently owns 79.36% and is the managing partner) and all sites are ASI Performance Standard Certified.
4.1b Recycled Aluminium (Performance Standard)	Conformance	All sites are 100% owned and operated by Rio Tinto except for NZAS, the Joint Venture where Rio Tinto currently owns 79.36% and is the managing partner) and all sites are ASI Performance Standard Certified.
4.2a Eligible Scrap (Pre-Consumer)	Conformance	Any Scrap that is designated as CoC material is either internal Scrap (within Rio Tinto legal Entities) or external Scrap that can be traced. Only scrap with CoC documentation or where a Due Diligence process has been undertaken for the vendor is considered as ASI Aluminium. If documentation is not readily available, this Material is then designated Non-CoC Material.
4.2b Eligible Scrap (Post-Consumer)	Not Applicable	This Criterion is not applicable, as Post-Consumer Scrap is not considered in Casthouse Inputs nor in smelter/Casthouse Outputs for Mass Balance purposes.
4.2c Eligible Scrap (Dross)	Conformance	The NZAS and Bell Bay Facilities have on-site Dross treatment processes to recover metal and separate Dross residue. All materials from the process are recycled or re-used in their own Facility. RTA Canada Facilities have externalised the treatment of Dross generated by Quebec/British Columbia smelters. ISAL contracts a third-party Dross processor, where a portion of the Dross is recycled back into the pot room. All third parties are subject to the Rio Tinto 'Know Your Third Party' Due Diligence process.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Conformance	Details of vendors are captured and tracked under a vendor Management System (SAP), which captures the details of the vendor from whom purchases are being made from, and payments made to Scrap suppliers are listed vendors who have undergone Due Diligence assessments as per the Entity's 'Know Your Third-Party' process.
4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope, since the scope refers to a primary Aluminium Chain of Custody. Hence, the starting point of the supply chain is a Bauxite mine, not a re-melter/refiner as would typically be expected for a Recycled Aluminium supply chain. Moreover, Post-Consumer Scrap are not considered in Casthouse Inputs nor in the smelter/Casthouse Outputs for mass balance purposes.
5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a ASI Aluminium (CoC Certification Scope)	Conformance	All Casthouses within the Certification Scope are legally owned and controlled by the Entity. All sites are 100% owned by Rio Tinto except NZAS where Rio Tinto currently holds 79.36% equity and is the managing partner of the Joint Venture.

CRITERION	RATING	COMMENT
		Casthouse Products are considered as part of the Entity's CoC Certification Scope and adequate traceability of Material was demonstrated.
5.1b ASI Aluminium (Performance Standard)	Conformance	Casthouse Products are part of the Entity's CoC Certification Scope and adequate traceability of material was demonstrated during the Audit.
5.1c ASI Aluminium (Aluminium sourcing)	Not Applicable	This Criterion is not applicable, all Aluminium utilised within the Casthouses is sourced from sites within the scope of the Entity.
5.2 Unique Identification	Conformance	The Entity's Material Accounting System provides for traceability of CoC Material. The Entity uses unique identification numbers.
6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
7. DUE DILIGENCE FOR NON-COC MATERIAL, COC MATERIAL ACQUIRED THROUGH A TRADER AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible Sourcing Policy (Anti-corruption)	Conformance	<p>A central and independent Ethics & Compliance function has day-to-day responsibility for the design, implementation and effectiveness of the Business Integrity Compliance Programme (BCIP).</p> <p>External parties can view the following documents in multiple languages at https://www.riotinto.com/en/sustainability/policies</p> <ul style="list-style-type: none"> - Code of Conduct (the Way We Work) - MyVoice procedure - Business Integrity Standard - Competition Standard
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	<p>The Entity is focused on ensuring that its suppliers and its procurement live up to the highest standards of business ethics. Its corporate Code of Conduct (2023), Supplier Code of Conduct (2022), and Business Integrity Standard (2021) reflect this objective. These documents are publicly available at: https://www.riotinto.com/en/sustainability/policies.</p> <p>Rio Tinto also relies on its Group Procurement Standard (2022) which is internally available. Periodic reviews are also conducted with vendors.</p>
7.1c Responsible Sourcing Policy (Human Rights Due Diligence)	Conformance	In 2022, Rio Tinto Updated its Human Rights Policy which commits to implementing the UN Guiding Principles on Business and Human

CRITERION	RATING	COMMENT
		<p>Rights (UNGPs). The Policy is publicly available at: https://www.riotinto.com/en/sustainability/policies</p> <p>The Entity has implemented Human Rights Due Diligence in its global Procurement and vendor review process. High-risk vendors are identified and not engaged by the Entity through the use of this process.</p>
7.1d Responsible Sourcing Policy (Conflict-Affected and High-Risk Areas)	Conformance	<p>The Entity has implemented a Due Diligence process which is managed at the Entity's corporate headquarters. The 'Know Your Third Party' (KYTP) Procedure governs the Due Diligence process and applies to all third-party the Entity engages with.</p> <p>The Entity uses a risk-based approach to determine the appropriate level of Due Diligence review to be performed on third parties. At a minimum, all third parties including other parties to the transaction, must be subjected to a baseline assessment, which includes an assessment of the third-party Entity/individual/vessel against the sanctioned countries list; the applicable sanctions list; an internal watch list; and the regulatory enforcement lists. After a baseline assessment, based on activity, country, and value risk criteria, each third party must be assessed to determine if further third-party Due Diligence will be required and any ongoing monitoring and assessment that will be applied.</p>
7.2 Risk Assessment and Mitigation	Conformance	<p>The Entity uses a risk-based approach to determine the appropriate level of Due Diligence review to be performed on third parties. At a minimum, all third parties including other parties to the transaction, must be subjected to a baseline assessment, which includes an assessment of the third-party Entity/individual/vessel against the sanctioned countries list; the applicable sanctions list; an internal watch list; and the regulatory enforcement lists. After a baseline assessment, based on activity, country, and value risk criteria, each third party must be assessed to determine if further third-party Due Diligence will be required and any ongoing monitoring and assessment that will be applied.</p>
7.3 Complaints Resolution Mechanism	Conformance	<p>The Entity uses a whistle-blower program known as MyVoice for anonymous complaints which is available to employees, Contractors, suppliers, service providers, Joint Venture partners and members of the communities where Rio Tinto operates. In addition, suppliers can email procurement for specific requests.</p> <p>Both methods are available to receive and manage complaints or concerns about potential non-conformities related to all of the Entity's activities including Procurement issues.</p>
8. MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	<p>The Entity's CoC mass balance process provides both the Input Quantity as well as Output Quantity of CoC Material and Non-CoC Material, by mass for each of the Aluminium value chain elements included in the Entity's CoC Certification Scope.</p>
8.2 Material Accounting Period	Conformance	<p>The Entity's mass balance process follows the 12 months accounting period, with the accounting period from January to December as defined in the Chain of Custody Manual.</p>

CRITERION	RATING	COMMENT
8.3 Input and Inflow Quantities	Conformance	RTA's CoC mass balance process provides the Input Quantity as well as Output Quantity of CoC Material and Non-CoC Material, by mass for each of the Aluminium value chain elements included in the Entity's CoC Certification Scope.
8.4 Output Quantities of CoC Material	Conformance	RTA's CoC mass balance process provides Input Quantity as well as Output Quantity of CoC Material and Non-CoC Material, by mass for each of the Aluminium value chain element included in the Entity's CoC Certification Scope.
8.5 Indivisibility of CoC Material	Conformance	The Entity's production system ensures that at the earliest stage of a client order for an ASI primary Aluminium product, the product will be fully identified and tracked as CoC Material; therefore, individual orders are linked into the Mass Balance System to ensure ASI Material is properly marked (stamped).
8.6 Output Quantity of Eligible Scrap	Not Applicable	This Criterion is not applicable, as no Scrap is sold outside the Entity as CoC Material (Eligible Scrap).
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Mass Balance System includes all production, Intra-Entity flows, Inflows of CoC Material and Non-CoC Material and Outflows of CoC Material and Non-CoC Material. The Mass Balance as reviewed during the Audit confirmed that there are no inconsistencies in the Input versus Output percentages.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Mass Balance and Reporting Requirements of the ASI Chain of Custody Manual, summarises the process to be taken for Internal Overdraws. The Entity's CoC mass balance process allows for an Internal Overdraw not exceeding 20% of total Input. Whilst the mass balance matrix has been tested, there have been no Internal Overdraws to date.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Mass Balance and Reporting Requirements of the ASI Chain of Custody Manual, summarises the process to be taken for Internal Overdraws. The Entity's CoC mass balance process allows for an Internal Overdraw not exceeding 20% of total Input. Internal processes also ensure that the Internal Overdraws do not exceed the amount of CoC Material that is needed by a Force Majeure.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Mass Balance and Reporting Requirements of the ASI Chain of Custody Manual, summarises the process to be taken for Internal Overdraws, however, there have been no Internal Overdraws to date. The Entity's process includes the verification that any overdraw is made up within the subsequent accounting period.
8.9a Positive Balance (Carry over)	Conformance	Positive Balances that are present at the end of a Material Accounting Period are carried over into the following year. These are either utilised in that year, or reported as expired.
8.9b Positive Balance (Expiry)	Conformance	Positive Balances that are present at the end of a Material Accounting Period are carried over into the following year. These are either utilised in that year, or reported as expired.

9. ISSUING COC DOCUMENTS

CRITERION	RATING	COMMENT
9.1 CoC Document	Conformance	The Entity's CoC process addresses the appropriate documentation of shipment or transfer of Material.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity's CoC process addresses the appropriate documentation of shipment or transfer of Material which includes the date of issue.
9.2b CoC Document Content (Reference number)	Conformance	The Entity ensures that CoC Documents include a reference number for the CoC Document, which is linked to the Entity's Material Accounting System for verification purposes.
9.2c CoC Document Content (Issuing Entity)	Conformance	The identity, address and CoC Certification number of the Entity issuing the CoC Document, are included in the Entity's CoC Documents.
9.2d CoC Document Content (Receiving customer)	Conformance	The identity and address of the customer receiving the CoC Material are included in the Entity's CoC Documents. When applicable, the customer's CoC Certification number is also included in this CoC Documentation.
9.2e CoC Document Content (Responsible employee)	Conformance	CoC Documents include the identity of the responsible employee of the Entity who can verify information in the CoC Document.
9.2f CoC Document Content (Conformance statement)	Conformance	The statement confirming that "The information provided in the CoC Document is in conformance with the ASI CoC Standard" appears on the Entity's CoC Documents.
9.2g CoC Document Content (Type of CoC Material)	Conformance	The type of CoC Material in the shipment is detailed in the Entity's CoC Documents.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The mass of CoC Material in the shipment is detailed in the Entity's CoC Documents.
9.2i CoC Document Content (Mass of total material)	Conformance	The mass of total material in the shipment is detailed in the Entity's CoC Documents.
9.3a Sustainability Data (optional) - Carbon footprint	Not Applicable	This Criterion is not applicable as the Entity will not include Sustainability Data in their CoC Documents.
9.3b Sustainability Data (optional) - Origin information	Not Applicable	This Criterion is not applicable as the Entity will not include as Sustainability Data in their CoC documentation.
9.3c Sustainability Data (optional) - Recycled content	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.3d Sustainability Data (optional) - Post-	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
Casthouse ASI Certification status		
9.4 Supplementary Information (optional) - Objective evidence	Not Applicable	This Criterion is not applicable, as the Entity will not include as Supplementary Information in their CoC documentation.
9.5 Verification of Information	Conformance	The Entity has a Management System in place that ensures the content of CoC Documents are in conformance with all ASI CoC requirements. The system also allows for regular verification of CoC Documents to ensure the requirements are consistently met.
9.6 Error (Shipping)	Conformance	The Entity's ASI manual includes the steps required in case of an error in CoC documentation. Discussions at the various sites confirm, if an error is discovered after delivery of the CoC Material, RTA and the receiving party will document the error and the agreed actions taken to correct it and take actions to prevent their recurrence. Error management will be documented in the Issues Log in the Entity's ASI SharePoint.
10. RECEIVING COC DOCUMENTS		
10.1 Verification of CoC Documents	Conformance	The Entity's Chain of Custody Manual includes the verification of incoming CoC Documents and there are checklists for receiving CoC Documents.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	<p>The Entity's Chain of Custody Manual includes the verification of incoming CoC Documents. There are also checklists for receiving CoC Documents, and these documents are checked for accuracy periodically. Reminders are set automatically to ensure these checks are performed.</p> <p>Verification undertaken during the Audit confirmed that all CoC Documents received are checked for accuracy at different entry points as part of the production's QA/QC process.</p>
10.3 Verification of Supplier's ASI CoC Certification	Conformance	<p>The Entity's Chain of Custody Manual includes the verification of incoming CoC Documents. There are also checklists for receiving CoC Documents, and these documents are checked for accuracy periodically. Reminders are set automatically to ensure these checks are performed.</p> <p>The Entity maintains a list of all managed or non-managed assets and their ASI status. This is assessed quarterly to ensure accuracy for reporting to leadership. The information is utilised to assure that suppliers continue to hold the required certifications.</p>
10.4 Error (Reception)	Conformance	<p>The Entity's ASI manual includes the steps required in case of an error in CoC documentation. If an error is discovered after delivery of the CoC content, RTA and the receiving party will document the error and the agreed actions taken to correct it and take actions to prevent a recurrence. Error management will be documented in the Issues Log in the Entity's ASI SharePoint.</p> <p>Verification undertaken during the Audit confirmed that checklists for CoC Documents received are reviewed prior to purchasing materials before entering information in the Mass Balance System. Any identified</p>

CRITERION	RATING	COMMENT
		errors are documented, with corrective actions implemented to avoid recurrence and communication made to suppliers for knowledge sharing.
11. CLAIMS AND COMMUNICATIONS		
11.1a Claims and Communications (ASI Claims Guide)	Conformance	<p>Requirements relating to claims and declarations are included in the Rio Tinto Chain of Custody Manual. Customer requests related to ASI information are forwarded to the ESG Principal Advisor and then to the ASI Manager, if further clarification is required. Both roles have completed ASI training in relation to claims.</p> <p>A review of the Entity's CoC Communication Material during the Audit confirms they are in alignment with the ASI Claims Guide.</p>
11.1b Claims and Communications (Verifiable evidence)	Conformance	Requirements relating to claims and declarations are included in the Entity's Chain of Custody Manual. CoC Communication Material such as published Life Cycle Assessments encompass the systems' limits, the data summary, as well as environmental indicators' and any uncertainties.
11.1c Claims and Communications (Employee training)	Conformance	Requirements relating to claims and declaration are included in the Entity's Chain of Custody Manual. Site communications reviewed during the Audit demonstrated examples of Claims and communications regarding ASI are validated with the ASI Manager prior to publication and making of claims.

ASI LIMITATION OF LIABILITY DISCLAIMER

Organisations that make ASI-related claims are each responsible for their own compliance with Applicable Law, including laws and regulations related to labelling, advertisement, and consumer protection, and competition or antitrust laws, at all times. ASI does not accept liability for any violations of Applicable Law or any infringement of third-party rights (each a Breach) by other organisations, even where such Breach arises in relation to, or in reliance upon, any ASI Standard, document or other material, recommendation or directive issued by or on behalf of ASI. ASI gives no undertaking, representation or warranty that compliance with an ASI Standard, document or other material, recommendation or directive issued by or on behalf of ASI will result in compliance with any Applicable law, or will avoid any Breach from occurring.

DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	12 July 2018	Initial Certification Audit – Full Certification
1	20 September 2019	Updated to reflect Certification Scope change with addition of Kitimat Smelter (BC, Canada).
2	7 December 2019	Updated to reflect Certification Scope change with addition of Weipa Bauxite Mines and related port facilities and power stations (Weipa, Queensland, Australia), Yarwun Alumina Refinery (Yarwun, QLD, Australia), Bell Bay Aluminium Smelter (George Town, Tasmania, Australia), New Zealand Aluminium Smelter (Invercargill, New Zealand) and Headquarters (Brisbane, QLD, Australia)
3	31 August 2020	Surveillance Audit including an update of a reference to Montreal Headquarters in the Certification and Audit Scope.

4	12 July 2021	Re-Certification and Scope Change Audit to include ISAL (smelter and casthouse in Iceland) (Full Certification Issued); Update to audit scope of Initial Certification Audit to include Alma Smelter, due to omission.
5	12 July 2024	Re-Certification Audit and Scope Change – Full Certification Scope Change to apply Chain of Custody Standard V2.
