

# ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

# Rio Tinto Aluminium (RTA) Pacific Operations

CERTIFICATE NUMBER  
2

ASI STANDARD  
PERFORMANCE  
STANDARD  
(V3.1 2023)

CERTIFICATION LEVEL  
FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITING FIRM

ERM CERTIFICATION  
AND VERIFICATION  
SERVICES

DATE OF ISSUE  
13 DECEMBER 2024

DATE OF EXPIRY  
12 DECEMBER 2027

CERTIFIED SINCE  
9 MARCH 2018

## AUTHORISED BY

A stylized signature in black ink, likely representing the Aluminium Stewardship Initiative Ltd.

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            | Performance Standard V3.1                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| 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><li>• Surveillance Audit (8 – 29 October 2024)</li><li>• Surveillance Audit (18 May – 3 June 2026)</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><li>• 8 – 29 October 2024 (Surveillance Audit)</li><li>• 18 May – 3 June 2026 (Surveillance Audit)</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><li>• 21 November 2024 (Surveillance Audit)</li></ul>                                                                                                                                                                                                                                                                        |

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- 3 August 2026 (Surveillance Audit)
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#### AUDIT SCOPE

##### Initial Certification Audit (29 May – 8 August 2019)

The Audit Scope included the Gove Bauxite Mine and related port facilities and power station (Gove, Northern Territory, Australia).

Supply chain activities included in the Audit Scope:

- Bauxite Mining

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 mine, 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 mine, 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 mine, 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.

##### Surveillance Audit (8 – 29 October 2024)

The Audit Scope included RTA Pacific Operations sites (Bauxite Mines, Refinery and Smelters) including Bell Bay smelter, Gove Bauxite mine, 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.

Surveillance Audit (18 May – 3 June 2026)

The Audit Scope included the Gove Bauxite mine, Weipa Bauxite mines, Yarwun Alumina refinery and Headquarters – Brisbane.

Supply chain activities included in the Audit Scope:

- Bauxite Mining
- Alumina Refining

All applicable Criteria that were identified as non-conformities or that were identified as risk areas from the previous Audit were included in the Audit Scope.

AUDIT OUTCOME

- Certification

AUDIT METHODOLOGY  
DECLARATION

The Auditors confirm that:

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

CERTIFICATION PERIOD

13 December 2024 – 12 December 2027

NEXT AUDIT TYPE

Re-Certification Audit

NEXT AUDIT DATE

12 December 2027

CERTIFICATE NUMBER

2



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

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

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

## ENTITY OVERVIEW

The Entity 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 388 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 2,430 employees and Contractors, and in 2025 had an annual production of 39.5 million tonnes (Mt). The site includes two 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 ceased operations in early 2024 however the plant and port facilities continue to operate. 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 518 employees and Contractors. The mine produced 12.7 Mt in 2025, 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 1365 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 2.9 Mt of product in 2025. 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 678 employees and Contractors, and produced 190Kt in 2025, 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, a carbon plant as well as workshops and a 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 1,056 employees and Contractors, and produced 315Kt of product in 2025 (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 product also 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       | High        | High   | HIGH            |
| <b>RISKS</b>       | High       | Medium      | Medium | MEDIUM          |
| <b>PERFORMANCE</b> | High       | High        | Medium | HIGH            |
| <b>OVERALL</b>     | HIGH       |             |        |                 |

## AUDIT PLANNING AND OVERSIGHT

As part of the planning and preparation for both this Audit, and previous Audits, a review of the Audit Plan was undertaken by the ASI Secretariat. These reviews were to ensure that the Audits are undertaken by ASI Accredited Auditor personnel that have the necessary auditing experience applicable to the Entity and its risk profile, that an appropriate level of effort and engagement (internal and external) undertaken during the Audit is appropriate to the overall level of risk, issues and complexity of the Entity's Area of Influence and that the Audit requirements are consistent with the requirements as described in the ASI Assurance Manual. This process also provided direct feedback to the Lead Auditor and the Entity with respect to any specific areas of concern and/or greater risk that would require additional level of effort during the Audit.

A component of this Surveillance Audit was also subject to an ASI Witness Assessment, specifically the Surveillance Audit of the Weipa Bauxite Mines. Witness Assessments are undertaken by members of the ASI Secretariat and form part of the ASI Oversight Mechanism to enable the direct in-person observation of the audit team undertaking audits against the ASI Performance Standard. This assessment evaluates consistency with the requirements of the ASI Assurance Manual, the competency and impartiality of the Audit team and identifies improvement opportunities for the ASI assurance system. Witness Assessments are not a 'shadow audit' and as such do not assess the performance of the Entity or make recommendations on levels of conformance to the ASI Performance Standard.

All Audits are subject to the ASI oversight process which is a review of the submitted Audit Report to ensure that the Audit has adequately assessed all relevant criteria for the Certification Scope and provided all required information, and to ensure that all auditor findings address the requirements of the ASI Standard. The oversight assessment also checks that the Audit Team has specified the objective evidence they had reviewed during the audit and that this evidence adequately supports the conformance findings for each relevant criterion. This process aligns with the principles in the ISEAL Code of Good Practice for Assuring Compliance with Social and Environmental Standards (Assurance Code), which ASI implements through its Certification program.

Additional information has also been provided throughout this report in the form of expanded information for selected criterion. Further information on ASI's oversight and audit review processes is available at: <https://aluminium-stewardship.org/get-certified/asi-oversight-mechanism>

## FINDINGS

| CRITERION              | RATING      | COMMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|------------------------|-------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. BUSINESS INTEGRITY  |             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| 1.1 Legal Compliance   | Conformance | <p>Rio Tinto Aluminium and Lithium (RTAL) 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>Agreements, and Memorandums of Understanding (MoU) with Indigenous Peoples, coupled with participation and engagement strategies, are utilised to understand customary lore.</p> <p>In addition, Rio Tinto has sought to further improve 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. The Code of Conduct is applicable to all who work 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 (BICP) 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 BICP.</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.</p> <p>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 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                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|------------------------------------------------------------------|-------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                  |             | All employees receive training on ethics and compliance that includes the Code of Conduct, on an annual or bi-annual basis (dependent 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; Respect, Inclusion and Diversity Policy; Securities Dealing Policy; Disclosure and Communication Policy; Risk Management Policy; Tailings Policy; and Employment Policy:</p> <p><a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p> <p>All Policies have been updated over the previous five years.</p>                                                                                                     |
| 2.2a-c Leadership                                                | Conformance | <p>The Health, Safety, Environment and Communities (HSEC) Vice President of Rio Tinto Aluminium and Lithium (RTAL) 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 Sustainability Team.</p> <p>RTAL has implemented a 'One RTAL' approach to ASI, 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>                                                                                                                                                       |
| 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>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 ISO 14001; Weipa holds ISO 9001, and ISO 14001; Yarwun holds ISO 14001; Bell Bay holds ISO 9001, ISO 14001 and ISO 45001; and NZAS holds ISO 14001 and ISO 45001.</p> |
| 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>                                                                                                                                                                                                                                                                                                                |

| CRITERION                                          | RATING      | COMMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|----------------------------------------------------|-------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                    |             | 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.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| 2.4a-e Responsible Sourcing                        | Conformance | <p>Rio Tinto and the Entity have focused on ensuring that suppliers and procurement comply with the Entity's standards of business ethics. The corporate Code of Conduct, Supplier Code of Conduct, and Business Integrity Standard 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 - Business Integrity Standard.</p> <p>Further details on Rio Tinto's management of their supply chain are available at: <a href="https://www.riotinto.com/en/about/suppliers">https://www.riotinto.com/en/about/suppliers</a></p> <p>The Entity adheres to the Rio Tinto Group Procurement Standard internally and has implemented 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 investment.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 2.5a-g Environmental and Social Impact Assessments | Conformance | <p>The Entity complies with legal obligations to undertake Social Economic Impact Assessments (SEIAs) and Environmental Impact Assessments (EIAs) 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 SEIAs 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 five years).</p> <p>Major changes identified during this Audit include:</p> <ul style="list-style-type: none"> <li>- Yarwun: SEIA - Reduction of operating capacity in Yarwun. Study underway.</li> <li>- Weipa: SEIA - Collective future operations. Study complete, final report publication pending (closure of the East Weipa mine and planned future closure of Northern operations, and expansion of Amrun with the Kangwinan project).</li> <li>- Gove: SEIA - Gove Mine closure in Q1 2029. Study complete. A public-facing summary, including community updates is available at: <a href="https://govefutures.nt.gov.au/gove-futures-community-update">https://govefutures.nt.gov.au/gove-futures-community-update</a></li> <li>- NZAS: SEIA 'extension of life' decision: The assessment covered the continuation of the NZAS and a summary of the social-economic impact is available at: <a href="https://nzas.co.nz/our-community">https://nzas.co.nz/our-community</a></li> </ul> <p>Studies currently underway are communicated initially to primary Stakeholders for co-design of social impact management plans and are publicly disclosed once finalised.</p> <p>Apart from the mandatory impact assessments or studies that are undertaken to identify impacts from Major Changes, additional studies may be completed at other project stages to ensure the knowledge base content of the RTAL Pacific's team remains current.</p> |

| CRITERION                                       | RATING                | COMMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|-------------------------------------------------|-----------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 2.6a-h Human Rights Impact Assessment           | Conformance           | <p>Rio Tinto's Communities and Social Performance (CSP) Standard requires that a Socio-Economic Impact Assessment (SEIA) must be conducted every five years at all sites. Within the Entity, since 2024, Human Rights have been incorporated into the scope of the SEIA.</p> <p>In addition to the SEIAs, all sites within the Entity undergo an annual review of their Social &amp; Human Rights risks. Any risks identified from the SEIA, or the Social &amp; Human Rights Annual risk review are captured in the Entity's Enterprise Risk Management Tool.</p> <p>All sites within the Entity that are approaching a Major Change currently have SEIAs under development or recently completed.</p>                                                                                                                                                 |
| 2.7a-f Emergency Response Plan                  | Minor Non-Conformance | <p>The Entity has consistent, thorough and robust Emergency Response Plans (ERPs) at all its sites that identify multiple emergency and business risks. The Entity shares details of its ERP and scenarios with responsible area authorities at each site, including co-development of plans, as relevant. Whilst ERPs are not automatically publicly disclosed due to security issues, they are shared with local authorities and during drill exercises that include external emergency services.</p> <p>Scenarios identified in the ERP are the basis for training drills by the Emergency Response Teams, which also enables regular review of the ERP.</p> <p>Whilst training and exercises/drills were completed at Gove, concerns were identified around the effective identification, planning and completion of emergency response drills.</p> |
| 2.8a-d Suspended Operations                     | Conformance           | <p>The Entity has implemented 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 closure specialists that provides support to the sites. Each asset has a closure strategy; this has been established since the closure pre-feasibility phase and updated and reviewed as required.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |

| CRITERION                          | RATING      | COMMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
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| <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 Report</li> <li>- Sustainability Fact Book (excel)</li> <li>- Taxes and Royalties Paid Report</li> <li>- Modern Slavery Statement</li> <li>- Voluntary Principles on 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 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 2025 reporting period, the Entity reported two fines totalling AUD\$32,260. Details on these fines can be found in the 2025 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 payments to Governments, and provides obligations to avoid, disclose, and manage conflicts of interest. The Group Tax Policy covers the fundamental principles that govern the Group's tax management practices and how they support the Group's strategy.</p> <p>Rio Tinto is a founding member of the Extractive Industry Transparency Initiative (EITI). Rio Tinto was assessed as having met all the Expectations of EITI Companies, with a report dated January 2026, available online at <a href="https://eiti.org/news/new-eiti-report-calls-sustained-action-advance-gender-responsive-extractive-governance">https://eiti.org/news/new-eiti-report-calls-sustained-action-advance-gender-responsive-extractive-governance</a></p> <p>In 2021, Rio Tinto reinforced its 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). Details of this commitment to transparency can be found at <a href="https://www.riotinto.com/en/sustainability/ethics-compliance/transparency">https://www.riotinto.com/en/sustainability/ethics-compliance/transparency</a></p> <p>The Taxes and Royalties Paid Report is available 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> |

| CRITERION                                                              | RATING      | COMMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
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| 3.4a-f Stakeholder Complaints, Grievances and Requests for Information | Conformance | <p>Each site within the Entity has implemented a feedback, complaint and grievance process that includes multiple contact mechanisms including phone numbers, website forms, email addresses, 'face to face' direct interactions, or via forums. In addition, a 'whistleblower process' called 'My Voice' is available for all Stakeholders. These mechanisms account for instances where the individual wishes to remain anonymous.</p> <p>Interviews with Traditional Owners at both Gove and Weipa undertaken during the Audit indicate that this process is working well and no current issues against these processes were raised. The complaint mechanisms are disclosed via a variety of forums including social media platforms including Facebook, newspapers, and Stakeholder engagement forums, and are available via the Entity's websites at:</p> <p><a href="https://www.riotinto.com/en/operations/australia/gove">https://www.riotinto.com/en/operations/australia/gove</a><br/> <a href="https://www.riotinto.com/en/operations/australia/weipa">https://www.riotinto.com/en/operations/australia/weipa</a><br/> <a href="https://www.riotinto.com/en/operations/australia/yarwun">https://www.riotinto.com/en/operations/australia/yarwun</a><br/> <a href="https://www.riotinto.com/en/operations/australia/bell-bay">https://www.riotinto.com/en/operations/australia/bell-bay</a><br/> <a href="https://www.riotinto.com/en/operations/new-zealand/nzas">https://www.riotinto.com/en/operations/new-zealand/nzas</a></p> |

#### 4. MATERIAL STEWARDSHIP

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| 4.1a Environmental Life Cycle Assessment                                                                 | Conformance    | <p>Environmental Life Cycle Assessments (LCAs) exist for all Aluminium production at all Rio Tinto Aluminium and Lithium smelters, within the Entity. LCAs are produced in accordance with ISO 14040 and ISO 14044 and undergo Third Party review.</p> <p>Environmental 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; ISO 14025; ISO 21930; 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 (LCA) 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, 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 Scrap material is 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.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |

| CRITERION                                                                               | RATING         | COMMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
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| 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    | <p>Rio Tinto publicly discloses its Greenhouse Gas (GHG) Emissions (Scopes 1, 2 and 3) and energy use by product groups and sources through the Rio Tinto Annual Climate Report. Data utilised within the Climate Report undergoes independent assurance (reasonable assurance for Scope 1 &amp; 2 data and limited assurance for Scope 3). The Independent Assurance Report is available in the Climate Change Report.</p> <p>Rio Tinto's approach to climate change (including the Annual Climate 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></p>                                                                                                                                                                     |
| 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 commenced before 2020.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| 5.2b Aluminium Smelter GHG Emissions Intensity – In production up to and including 2020 | Conformance    | 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.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| 5.3a GHG Emissions Reduction Plans                                                      | Conformance    | <p>Rio Tinto supports the goals of the Paris Agreement to pursue efforts to limit the global average temperature increase to 1.5 degrees and does not advocate for policies that undermine this or discount Nationally Determined Contributions. Targets are set to reduce Scope 1 and 2 emissions by 50% by 2030 (relative to 2018 levels), and to achieve a 'net zero' position by 2050.</p> <p>In alignment with guidance in the ASI GHG Emissions Reduction Pathway Method, RTAL has calculated its ASI GHG Emissions Reduction Pathway using the ASI calculation tool across all its owned and managed facilities which includes all ASI Entity sites. The Aluminium Greenhouse Gas (GHG) emissions reduction pathway and plan is disclosed at: <a href="https://www.riotinto.com/en/products/aluminium">https://www.riotinto.com/en/products/aluminium</a></p> |
| 5.3b-e GHG Emissions Reduction Plans – Targets, review and disclosure                   | Conformance    | <p>Rio Tinto's targets, actions being taken and progress against these targets (including emission calculation methodologies) are published within the annual Climate Report within the Rio Tinto Annual Report at: <a href="https://www.riotinto.com/en/invest/reports">https://www.riotinto.com/en/invest/reports</a></p> <p>Disclosure of the RTAL GHG reduction initiatives and pathway is also disclosed in a dedicated Aluminium Greenhouse Gas (GHG) emissions reduction pathway and plan available on the Aluminium section of the Rio Tinto website at: <a href="https://www.riotinto.com/en/products/aluminium">https://www.riotinto.com/en/products/aluminium</a></p>                                                                                                                                                                                     |
| 5.4 GHG Emissions Management                                                            | Conformance    | Both the Rio Tinto and RTAL organisational structure have dedicated personnel for climate change 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                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |

| CRITERION                         | RATING                | COMMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
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|                                   |                       | <p>Entity's Environmental Management System. The GHG Management System structure includes a governance structure, legal requirements with regulatory annual reports to ministries (federal and/or provincial as applicable to the site), 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+" abatement programs and emissions inventories and reporting. The RTAL centralised team guarantee compliance with the GHG Protocol Corporate Accounting and Reporting Standard. Refer to: <a href="https://ghgprotocol.org/corporate-standard">https://ghgprotocol.org/corporate-standard</a></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| 6. EMISSIONS, EFFLUENTS AND WASTE |                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| 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 of the Entity (i.e. Gove, Weipa, Yarwun and Bell Bay) report emissions data through the National Pollutant Inventory (NPI), available at: <a href="https://www.dcceew.gov.au/environment/protection/npi">https://www.dcceew.gov.au/environment/protection/npi</a></p> <p>The Rio Tinto corporate Environmental Standard has requirements for air quality protection that each site within the Entity must adhere to for the management of air related risks.</p> <p>Each site has implemented 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. Details of control plans implemented to minimise exposure to, and impacts from, emissions to air is available in the Entity's Summary Environment and Social Management Plan available at:</p> <p><a href="https://www.riotinto.com/en/operations/australia/gove">https://www.riotinto.com/en/operations/australia/gove</a><br/> <a href="https://www.riotinto.com/en/operations/australia/weipa">https://www.riotinto.com/en/operations/australia/weipa</a><br/> <a href="https://www.riotinto.com/en/operations/australia/yarwun">https://www.riotinto.com/en/operations/australia/yarwun</a><br/> <a href="https://www.riotinto.com/en/operations/australia/bell-bay">https://www.riotinto.com/en/operations/australia/bell-bay</a><br/> <a href="https://www.riotinto.com/en/operations/new-zealand/nzas">https://www.riotinto.com/en/operations/new-zealand/nzas</a></p> <p>During routine stack emissions monitoring at Weipa in September 2025, one generator was noted as exceeding allowable Carbon Monoxide (CO) levels. The final monitoring report was issued to the Entity in May 2026. Reporting to the Environmental Authority, and subsequent investigation had just commenced at the time of Audit. It was unable to be demonstrated that the equipment was operating in compliance at the time of the Audit.</p> |
| 6.2a-g Discharges to Water        | Conformance           | <p>Rio Tinto discloses data related to water discharges 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 Rio Tinto corporate Environmental Standard has requirements for water quality protection that each site within the Entity must follow in the management of water related risks.</p> <p>Each site within the Entity has a Water Quality Management Plan that includes details related to specific controls including monitoring</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |

| CRITERION                                               | RATING      | COMMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
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|                                                         |             | <p>programs and maintenance activities that align with the Rio Tinto Standard, and the site's legislative requirements.</p> <p>Details of control plans implemented to minimise exposure to, and impacts from, Discharges to Water are available in each site's Summary Environment and Social Management Plan available at:</p> <p><a href="https://www.riotinto.com/en/operations/australia/gove">https://www.riotinto.com/en/operations/australia/gove</a><br/> <a href="https://www.riotinto.com/en/operations/australia/weipa">https://www.riotinto.com/en/operations/australia/weipa</a><br/> <a href="https://www.riotinto.com/en/operations/australia/yarwun">https://www.riotinto.com/en/operations/australia/yarwun</a><br/> <a href="https://www.riotinto.com/en/operations/australia/bell-bay">https://www.riotinto.com/en/operations/australia/bell-bay</a><br/> <a href="https://www.riotinto.com/en/operations/new-zealand/nzas">https://www.riotinto.com/en/operations/new-zealand/nzas</a></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| 6.3a-g Assessment and Management of Spills and Leakages | Conformance | <p>The Rio Tinto corporate Environmental Standard has requirements for hazardous materials and non-mineral waste control that each site must follow in the management of hazardous materials and waste related risks. The Standard requires the identification and characterisation of all hazardous materials on site, as well as any known or potential contamination sites.</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 Leakages, reporting and disclosure processes, considerations and references, and risk management and maintenance activities designed to mitigate the potential for harm caused by Spills and Leakages 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. Associated controls in place to manage Spills and Leakages are captured in each site's Summary Environment and Social Management Plans, are available at:</p> <p><a href="https://www.riotinto.com/en/operations/australia/gove">https://www.riotinto.com/en/operations/australia/gove</a><br/> <a href="https://www.riotinto.com/en/operations/australia/weipa">https://www.riotinto.com/en/operations/australia/weipa</a><br/> <a href="https://www.riotinto.com/en/operations/australia/yarwun">https://www.riotinto.com/en/operations/australia/yarwun</a><br/> <a href="https://www.riotinto.com/en/operations/australia/bell-bay">https://www.riotinto.com/en/operations/australia/bell-bay</a><br/> <a href="https://www.riotinto.com/en/operations/new-zealand/nzas">https://www.riotinto.com/en/operations/new-zealand/nzas</a></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 incorporated 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:<br/> <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:<br/> <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 Environmental Standard that has requirements for chemically reactive mineral waste control and hazardous materials and non-mineral Waste control that each site</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |

| CRITERION                     | RATING      | COMMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
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|                               |             | <p>within the Entity must follow in the management of hazardous materials and Waste related risks.</p> <p>Each site has developed and implemented Waste Management Plans and Procedures that align with the Rio Tinto Standard, 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. The Tailings Policy is available at: <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 design of the Yarwun 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 Bauxite Residue ('red mud') passes through sea water 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 (weekly, monthly, and annual) inspections, 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 Design Engineers.</p> |
| 6.7a-f Spent Pot Lining (SPL) | Conformance | <p>At both NZAS and Bell Bay smelters, Spent Pot Lining (SPL) is 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 occurs 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. 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 legacy SPL.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |

| CRITERION                                                           | RATING      | COMMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
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| 6.8a-d Dross                                                        | Conformance | Both Bell Bay and NZAS smelters 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.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| 7. WATER STEWARDSHIP                                                |             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| 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: <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.</p> |
| 7.2a-e Water Management                                             | Conformance | <p>The Rio Tinto corporate Environmental Standard has requirements for water quality protection that each site within the Entity must follow in the management of water related risks.</p> <p>Each site has implemented 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 each of the site's legislative requirements. Details of control plans implemented to minimise exposure to, and impacts from water use are available in each site's Summary Environment and Social Management Plan available at:</p> <p><a href="https://www.riotinto.com/en/operations/australia/gove">https://www.riotinto.com/en/operations/australia/gove</a><br/> <a href="https://www.riotinto.com/en/operations/australia/weipa">https://www.riotinto.com/en/operations/australia/weipa</a><br/> <a href="https://www.riotinto.com/en/operations/australia/yarwun">https://www.riotinto.com/en/operations/australia/yarwun</a><br/> <a href="https://www.riotinto.com/en/operations/australia/bell-bay">https://www.riotinto.com/en/operations/australia/bell-bay</a><br/> <a href="https://www.riotinto.com/en/operations/new-zealand/nzas">https://www.riotinto.com/en/operations/new-zealand/nzas</a></p>                                                          |
| 8. BIODIVERSITY AND ECOSYSTEM SERVICES                              |             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| 8.1a Biodiversity and Ecosystem Services Risk and Impact Assessment | Conformance | <p>Rio Tinto has a corporate Environmental Standard that has requirements for Biodiversity and natural resource management that each of the Entity's sites must follow in the management of Biodiversity and natural resources related risks.</p> <p>The Entity's sites undertake initial Biodiversity and Ecosystem Services assessments through pre-feasibility studies and associated Environmental Impact Assessments (EIA). For Australian sites, the requirements of the EIA's are defined within the <i>Environmental Protection and Biodiversity Conservation (EPBC) Act 1999</i>. The Entity's</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |

| CRITERION                                                                      | RATING                | COMMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
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|                                                                                |                       | <p>sites transfer knowledge obtained through the EIA process to the Entity's enterprise risk management program and management plans for ongoing evaluation and management.</p> <p>Biodiversity and Ecosystem Services risks associated with each site are captured in each site's risk register and reviewed annually.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| 8.1b Biodiversity and Ecosystem Services Risk and Impact Assessment - Priority | Conformance           | <p>The Entity has developed an Ecosystem Services Risk Assessment tool for each site, which highlight the operation's impacts (both current and potential) to the Ecosystem Service and map the prioritisation process. Identified risks have been captured in the enterprise risk Management System. Although these tools are managed internally, impacts identified are gathered from input by various Stakeholders (including various Affected Populations such as Traditional Owners, government agencies and neighbours.). The current measures undertaken to mitigate risks have been in place since the risks were initially identified. Stakeholder engagement processes provide multiple options for the discussion and provisioning of feedback related to risk mitigation measures.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| 8.2a-g Biodiversity Management                                                 | Minor Non-Conformance | <p>The Rio Tinto corporate Environmental Standard has requirements for Biodiversity and natural resource management that each of the Entity's sites must follow in the management of Biodiversity and natural resources related risks.</p> <p>Each site has a Land Use Management Plan (LUMP) and where relevant specific species management plans, and associated Procedures that align, at minimum, to the Rio Tinto Standard, and the site's legislative requirements. The plans detail 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 (i.e. universities), regulators (i.e. local agencies), Indigenous Peoples, and professional services (i.e. consulting services) in their management programs.</p> <p>Weipa is considered a priority Biodiversity asset and has an active Biodiversity Program. This program 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.</p> <p>Discussions undertaken during the Audit indicate that Alien Species (weeds) are identified as a Material risk at Weipa. There are documented actions and Key Performance Indicators (KPIs) regarding weeds; however, at the time of the Audit, these actions were still being implemented and progress against the KPIs could not be reviewed. Consequently, the effectiveness of these actions could not yet be evaluated or verified.</p> |
| 8.3a-c Management of Priority Ecosystem Services                               | Conformance           | <p>The Rio Tinto corporate Environmental Standard has requirements for Biodiversity and natural resource management that each of the Entity's sites must follow in the management of Biodiversity and natural resources related risks.</p> <p>From assessments previously undertaken, the Gove, Weipa, and NZAS sites were identified as having the potential to impact Ecosystem</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |

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|                                                           |             | <p>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 nearby 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.</p> <p>The Entity's sites work with Indigenous Peoples to ensure access is maintained, and with local authorities, Contractors, and others to influence their activities and mitigate impacts according to their plans.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| 8.4 Alien Species                                         | Conformance | <p>Each of the Entity's sites has developed specific processes for the prevention and management of Alien Species at their locations, (including weeds, feral animals, pests and biosecurity risks) that are specific to their Area of Influence. Wharf areas are controlled in accordance with the relevant Australian and New Zealand biosecurity legislation.</p> <p>Sites have developed and implemented Biosecurity Management Plans, Land Use Management Plans, and in some instances Specific Species Management Plans that capture the programs associated with the management of Alien Species. Each site's plans capture specifics related to their significant Alien Species.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| 8.5a-b Commitment to "No Go" in World Heritage Properties | Conformance | <p>Major projects adhere to the Rio Tinto Project Definitions Guideline and must assess Protected Areas as part of pre-feasibility assessment requirements. Within the Entity's sites, there are currently no New Projects or Major Changes within World Heritage Properties.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 8.6a-d Protected Areas                                    | Conformance | <p>The Rio Tinto corporate Environmental Standard has requirements for Biodiversity and natural resource management that each of the Entity's sites must follow in the management of Biodiversity and natural resources related risks.</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> <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. As an 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>Across all the Entity's sites, while some lease areas border or overlap Protected Areas (such as the Dhimurru Indigenous Protected Area at Gove), the Entity does not undertake active or planned bauxite mining or other developments within these areas. 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>Rio Tinto discloses a list of all Protected Areas overlapping or adjacent to its operations within the annual Sustainability Factbook, Biodiversity</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |

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|                                   |             | <p>Areas by Asset tab. This is available at:<br/> <a href="https://www.riotinto.com/en/invest/reports">https://www.riotinto.com/en/invest/reports</a></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| 8.7a-i Mine Rehabilitation        | Conformance | <p>The Rio Tinto corporate Environmental Standard has requirements for land disturbance and rehabilitation control that each of the Entity's sites must follow in the management of rehabilitation. Financial provisioning is made through operational and closure budgets. The Gove and Weipa mines conduct both progressive and continuous rehabilitation and have a Mine Rehabilitation Plan for each mining lease, aligned to the mining plan and site licensing requirements. Agreements with Traditional Owners capture closure requirements and the consultation processes required prior.</p> <p>Gove's closure and rehabilitation strategies are available in the Mine Management Plan. Refer to:<br/> <a href="https://industry.nt.gov.au/___data/assets/pdf_file/0005/936473/gove-operations-mining-management-plan2019.pdf">https://industry.nt.gov.au/___data/assets/pdf_file/0005/936473/gove-operations-mining-management-plan2019.pdf</a></p> <p>Weipa rehabilitates disturbed land according to their operational rehabilitation management program, and the rehabilitation progress is reported annually to the environmental regulator. The development of the rehabilitation plan, and subsequent tracking of the plan are presented to Traditional Owners through specific forums as per the Agreements.</p> <p>Weipa is transitioning to the updated Queensland legislation for Progressive Rehabilitation and Closure Plans (PRCPs). Weipa has been working on the 2 new PRCPs required for the past few years with consultation with Traditional Owners and the Queensland environmental regulator throughout this period. Submission of the updated PRCPs is imminent.</p> <p>Rio Tinto discloses land footprint (both disturbed and rehabilitated) and types of rehabilitation in the annual Sustainability Fact Book, available at:<br/> <a href="https://www.riotinto.com/en/invest/reports/sustainability-report">https://www.riotinto.com/en/invest/reports/sustainability-report</a></p> |
| 9. HUMAN RIGHTS                   |             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 9.1a-d Human Rights Due Diligence | Conformance | <p>The Entity adheres to the Rio Tinto Human Rights Policy, which is available at: <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p> <p>This Policy includes commitments on Human Rights and how these are implemented based on international Human Rights standards and frameworks.</p> <p>Rio Tinto focuses its Due Diligence process on addressing basic Human Rights issues, by embedding responsible business conduct (and the appropriate controls) into the Rio Tinto level Policies, Standards and procedures.</p> <p>The Entity's Human Rights Due Diligence process is a continuous cycle, which recognises that risks to Human Rights can change over time.</p> <p>The Due Diligence process identifies and assesses actual and potential impacts, integrates findings into operations and implements actions including remediation (if required). Tracking the effectiveness of actions and controls, measuring their impact, obtaining Stakeholder feedback and communicating externally how risk and impacts are being managed are captured in the Due Diligence process. All components of the Due Diligence process are repeated over a specified frequency relevant to that component and risk. The Due</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |

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|                                                                               |             | Diligence process captures actions undertaken at all levels of Rio Tinto (i.e. corporate, regional-level and site level).                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| 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 equity review of Remuneration, and programs that support equitable access to employment and career development opportunities. Targets have been set to increase the number of women and general diversity in the workforce.</p> <p>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 available at:<br/> <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:<br/> <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p> <p>Rio Tinto publishes its commitment to fair and equal pay and includes information on how fair and equitable pay is set and measured. The employer statement is available at:<br/> <a href="https://www.riotinto.com/en/sustainability/respect-inclusion-diversity/pay-equity">https://www.riotinto.com/en/sustainability/respect-inclusion-diversity/pay-equity</a></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| 9.3a-i Indigenous Peoples                                                     | Conformance | <p>Rio Tinto's Code of Conduct captures the commitments made in relation to working with Indigenous Peoples. In addition, the Rio Tinto Human Rights Policy articulates the fundamental elements of the approach to Human Rights, and the Rio Tinto 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 and Human Rights Policy are available at:<br/> <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 have dedicated CSP team members who are supported by central specialists. Agreements and Memorandums of Understanding with Indigenous Peoples exist at Gove, Weipa and NZAS. At Gove and Weipa, the Audit identified evidence of ongoing engagement with Traditional Owners that is aligned with the sites' respective Agreements. In addition to the formal engagements required in the sites' respective Agreements, the sites actively engage with the broader community at all opportunities (including community events) to provide further avenues for the greater community to access information from, and provide feedback directly to, Rio Tinto.</p> <p>During the Audit, discussions were held with multiple Traditional Owner groups at both Gove and Weipa Bauxite mines. Traditional Owners gave commentary that opportunities still exist to improve communication and transparency about decisions made by Rio Tinto. The Entity provided substantial evidence of engagements. Whilst the Entity was assessed as in Conformance to this Criterion, the perspectives raised and Rio Tinto's ongoing engagement with Traditional Owner groups will be revisited as part of future ASI Audit activities.</p> |
| 9.4a Free, Prior, and Informed Consent (FPIC) - New Projects or Major Changes | Conformance | <p>The Rio Tinto Communities and Social Performance (CSP) Standard requires the Entity's sites to "demonstrate and continually document progress towards, or achievement of, Free, Prior and Informed Consent (FPIC) where decisions may affect rights, lands, resources, or cultural heritage of Indigenous Peoples across all phases of the asset</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |

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|                                                                     |             | <p>lifecycle". The Standard also requires assets to 'respect the rights set out in the United Nations Declaration of the Rights of Indigenous Peoples (UNDRIP)'.</p> <p>Within the Entity, New Projects or Major Changes to existing facilities that may have impacts on Indigenous Peoples include the future mine closure at Gove, East Weipa mine closure, and potential future expansions in Weipa.</p> <p>At Gove and Weipa, formal Agreements with Traditional Owners are the basis for determining what constitutes FPIC.</p> <p>Examples were available during the Audit to demonstrate how the Entity obtains FPIC through scheduled meetings and endorsement recorded in meeting minutes. Based on the interviews with Traditional Owners, it is concluded that FPIC principles are followed.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| 9.4b Free, Prior, and Informed Consent (FPIC) – Bauxite Mining      | Conformance | <p>At Bauxite mines in Gove and Weipa, formal Agreements with Traditional Owners are the basis for determining what constitutes FPIC. The Agreements establish forums and specific topics for discussion in these forums (including mine planning, rehabilitation and closure).</p> <p>Regular meetings, the coordination committee and subcommittee processes exist. Traditional Owner groups have indicated they have regular 'touch points' with the Entity and are able to contact team members as needed outside scheduled engagements.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| 9.4c Free, Prior, and Informed Consent (FPIC) – Demonstrate support | Conformance | <p>The Entity's communication to greater Indigenous Peoples occurs via community-elected representatives of the forums established pursuant to the Traditional Owner Agreements at Gove and Weipa.</p> <p>Whilst the requirement for obtaining consent in a specific format / forum is documented as per the Agreements, the sites actively engage with the broader community at all opportunities (including community events) to provide further opportunities for the greater community to access information directly from Rio Tinto (whilst meeting the legal requirements as stipulated within the specific Agreements).</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 of the Entity's sites must follow in the management of both tangible and intangible Cultural Heritage. The Code of Conduct is available at: <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p> <p>All the Entity's sites have implemented 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, and/or Industrial Heritage and/or First Fleet protected sites.</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 each site's Geographic Information System (GIS). Digital buffer zones can be developed to protect the area's operational activities as required. Under instruction and supervision from Indigenous Peoples, artefacts may be moved to Protected Areas. The mines and refineries undergo survey work before any ground disturbance activities commence.</p> |

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|                                               |             | All the Entity's sites have implemented cultural awareness training with relevant details on the identification and protection of cultural heritage that includes the site's specific controls.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| 9.5b Cultural and Sacred Heritage – Impacts   | Conformance | The Entity has identified clearing activities as the activity with the highest potential for impact to cultural heritage. Clearing Permitting Systems have been implemented 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.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| 9.6a-i Displacement                           | Conformance | <p>The Entity has developed and implemented Policies, systems, Procedures and processes that conform to relevant resettlement requirements. A Rio Tinto Group Level Resettlement and Livelihoods Guidance Note has been developed and includes internationally recognised guidance, aligned to International Finance Corporation (IFC) Guidelines. An associated procedure is also available to appropriately 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) 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>For the Amrun project, the Entity has captured Traditional Owner interests through the Local and Indigenous Participation Plan available at: <a href="https://www.riotinto.com/en/operations/australia/weipa">https://www.riotinto.com/en/operations/australia/weipa</a></p> <p>The updated SIMP relating to future operations at the Kangwinan project, and closure at East Weipa and Northern operations was in final stages of drafting at the time of the Audit.</p>                                                                                                                                                                |
| 9.7a-h Affected Populations and Organisations | Conformance | <p>Rio Tinto's Code of Conduct captures its commitment to engage with communities, Indigenous Peoples and other Stakeholders. The Communities and Social Performance (CSP) Standard prescribes the controls and processes that each site must follow to manage their communities and social performance risks. The Code of Conduct is available at: <a href="https://www.riotinto.com/en/sustainability/policies">https://www.riotinto.com/en/sustainability/policies</a></p> <p>All the Entity's sites have a three-year Social Management Plan, that captures the processes in place for managing impacts and maximising benefits to Local Communities. These plans have been informed by Stakeholder engagement practices, the Local Voices program (where applicable), and Impact Assessments. A summary of these plans is available in each site's Summary Environment and Social Management Plan available at:</p> <p> <a href="https://www.riotinto.com/en/operations/australia/gove">https://www.riotinto.com/en/operations/australia/gove</a><br/> <a href="https://www.riotinto.com/en/operations/australia/weipa">https://www.riotinto.com/en/operations/australia/weipa</a><br/> <a href="https://www.riotinto.com/en/operations/australia/yarwun">https://www.riotinto.com/en/operations/australia/yarwun</a><br/> <a href="https://www.riotinto.com/en/operations/australia/bell-bay">https://www.riotinto.com/en/operations/australia/bell-bay</a><br/> <a href="https://www.riotinto.com/en/operations/new-zealand/nzas">https://www.riotinto.com/en/operations/new-zealand/nzas</a> </p> |

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| 9.8a Conflict-Affected and High-Risk Areas – Strong management systems | Conformance | <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 assist 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, World 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 Risk Management (TPRM) team is established within the Rio Tinto Group Ethics &amp; Compliance team. Part of the TPRM team's responsibilities is to manage Third Party Due Diligence (TPDD) processes including assessments, reports, and baseline screening reviews on behalf of the business units and functions, through a dedicated TPRM platform.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 9.8b Conflict-Affected and High-Risk Areas – Identify and assess risks | Conformance | <p>All third parties including other parties to the transaction, must undergo 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 Risk Management 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 Diligence Report is issued with an overall risk rating, mitigating actions, and overall recommendations.</p> <p>A summary of the KYTP process and other sustainability controls within the Entity's supply chain is available at:<br/> <a href="https://www.riotinto.com/en/sustainability/ethics-compliance/value-chain">https://www.riotinto.com/en/sustainability/ethics-compliance/value-chain</a></p> |

| CRITERION                                                                 | RATING      | COMMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
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| 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 managed centrally by the TPRM team through a dedicated TPRM platform.</p> <p>The Due Diligence assessment report is issued to the Relationship Owner with details of key risk findings and required risk mitigation actions, which is recorded and tracked in the TPRM Platform.</p> <p>For High or Very High risk rated reports the risk mitigating actions are also entered into 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 Risk Management Team.</p> <p>The requestor will manage any communication to the Third Party after the review including ensuring all recommended actions are implemented.</p> |
| 9.8d Conflict-Affected and High-Risk Areas – Audit of due diligence       | Conformance | <p>Rio Tinto's KYTP Procedure outlines the process followed in instances where further independent Due Diligence review is required. In these instances, Rio Tinto engages an external provider to provide a specialised Due Diligence Report.</p> <p>This ASI Performance Standard Audit addresses this requirement of the Standard.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| 9.8e Conflict-Affected and High-Risk Areas – Report annually              | Conformance | <p>Each year Rio Tinto reports data in the Sustainability Factbook that relate to the number of Due Diligence baseline screenings, Due Diligence reports and third parties who are centrally monitored. The Sustainability Factbook is available at:<br/> <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 (KYTP) process and other sustainability controls within the Entity's supply chain is available at:<br/> <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>The Rio Tinto 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 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 completed a Security Risk Assessment covering their operations with appropriate controls for their risk level (low). Security personnel (employees and 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 required under local legislation. There are restrictions in place for firearms and weapons.</p>            |

| CRITERION                                                                                                        | RATING         | COMMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
|------------------------------------------------------------------------------------------------------------------|----------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                                                  |                | 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>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <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 mix 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 | 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).                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| 10.2a-c 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 prohibited.</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> <p>Based on the evidence reviewed, management and Worker interviews, Child Labour is not present in either the Entity or its supply chain workforce.</p> |
| 10.3a-c Forced Labour                                                                                            | Conformance    | <p>Rio Tinto's Human Rights Policy prohibits any form of Modern Slavery including Forced Labour, Debt Bondage, forced marriage and trafficking; Child Labour; or other labour exploitation. The Policy is available at: <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/invest/reports/modern-slavery">https://www.riotinto.com/en/invest/reports/modern-slavery</a></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |

| CRITERION                         | RATING      | COMMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
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| 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 Employment 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, 'toolboxes' (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 annual perception surveys at each site provide an opportunity for Workers to express their views on workplace conditions.</p> <p>An anonymous 'whistleblower program' ('MyVoice') is also available.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| 10.6a-g Violence and Harassment   | Conformance | <p>Rio Tinto's Employment Policy includes commitment to not discriminate on grounds of age, ethnic or social origin, gender, sexual orientation, politics or religion. The Preventing Harm section within the Code of Conduct (The Way we Work) includes the detailed commitments Rio Tinto has made in relation to preventing harmful behaviours including bullying, Harassment, sexual harassment, violence, racism and other forms of Discrimination. The 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> <p>In 2021, internal and external indicators led Rio Tinto to engage an independent firm to conduct an external expert review of Rio Tinto's workplace culture. Recommendations from this review have mostly been implemented, with three still under implementation at the time of this Audit. Both the external expert review and Rio Tinto's commitment and updates on actions that are being undertaken are available at: <a href="https://www.riotinto.com/en/sustainability/respect-inclusion-diversity/everyday-respect">https://www.riotinto.com/en/sustainability/respect-inclusion-diversity/everyday-respect</a></p> <p>In addition, RTAL has implemented the Respectful Behaviours program to further highlight the issue and the fact that Discrimination, bullying and harassment are not tolerated within the workforce. The program includes respectful transparency, which is a key driver of cultural change. Leaders are transparent with the workforce about the actions being taken to prevent harmful behaviours and to respond appropriately and proportionately when it occurs.</p> <p>In addition to the review of the processes implemented above to prevent Violence and Harassment at the Entity, confidential Worker interviews were held during the Audit with both male and female workers at Gove and Weipa to assess actual conditions on the ground. During the interviews, whilst mentions of Harassment were made,</p> |

| CRITERION                                                     | RATING                | COMMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
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|                                                               |                       | there were no clear recent examples cited, and the volume of commentary relating to Harassment itself was noticeably reduced compared to previous ASI Audits.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| 10.7a-c Remuneration                                          | Conformance           | <p>As part of its Letter of Offer to prospective employees, the Entity provides a comprehensive package of information that describes the 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>, <i>National Employment Standard</i> and <i>New Zealand 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> <p>In 2024, Rio Tinto achieved global Living Wage Employer accreditation from the Fair Wage Network (FWN). This accreditation was maintained during 2025.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| 10.8a-c Working Time                                          | Conformance           | <p>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.</p> <p>There were no issues related to Working Time raised by Workers (both supervisory and non-supervisory) during confidential Worker interviews undertaken as part of this Audit.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| 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 <i>New Zealand 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>The Entity's sites have implemented an integrated HSEC Management System that is designed to comply with international Standards including ISO 14001 and ISO 45001, as well as Rio Tinto and local legislative requirements.</p> <p>Interviews held during the Audit indicate each site has developed and implemented their own Occupational Health and Safety (OH&amp;S) Policies &amp; Procedures that are specific to the Occupational Health and Safety (OH&amp;S) risks and jurisdictional requirements at each location. Both Health and Safety (H&amp;S) personnel, as well as members of other teams, indicate a high level of understanding of these Procedures, the risks at their locations and controls that need to be implemented and maintained to manage these risks.</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 ISO 14001; Weipa holds ISO 9001, and ISO 14001; Yarwun holds ISO 14001; Bell Bay holds ISO 9001, ISO 14001 and ISO 45001; and NZAS holds ISO 14001 and ISO 45001.</p> |

| CRITERION                                                                                | RATING      | COMMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
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|                                                                                          |             | Although no significant OH&S risks were identified during the site tour in this Audit, some issues around the implementation and follow up of corrective actions related to risks, working conditions and incidents were noted across all sites for which this Criterion was assessed during this Surveillance Audit.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| 11.1b-e Occupational Health and Safety (OH&S) Management System – Reviews and disclosure | Conformance | <p>Rio Tinto has established internal Standards with the minimum requirements to maintain the Health, Safety, Environment, and Communities Management System applicable for all 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 the Rio Tinto Standards.</p> <p>A variety of Key Performance Indicators (KPIs) 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 (SMM) score; and rates of new cases of occupational illness.</p> <p>The effectiveness of the system is reported publicly through Rio Tinto's Sustainability Fact Book.</p> <p>The Entity actively participates in working groups and provides data on H&amp;S 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 and Lithium participates in the International Aluminium Institute (IAI) Safety Benchmarking study, and provides safety performance data to ICMM to aid in industry comparisons. For more information, refer to:</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 implemented Policies, systems, Procedures and processes that conform to employee engagement on Occupational Health and Safety (OBH&amp;S) requirements.</p> <p>The Rio Tinto Safe Production System (SPS) has been implemented at all sites and has multiple best practices that ensure employee engagement and empowerment on health and safety. All team members participate in a shift start meeting which is an opportunity to discuss work and improvements. All sites within the Entity have implemented active HSE Committees, consisting of representation from Workers, management and HSE personnel. In addition, the Entity has implemented communication processes to raise awareness and discussions relating to incidents.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |

#### ASI LIMITATION OF LIABILITY DISCLAIMER

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## DOCUMENT CONTROL AND VERSION HISTORY

| REVISION | DATE              | NOTES                                                                                                                                                                                                                                                                                                    |
|----------|-------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 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                                                                                                                                                                                |
| 5        | 13 December 2024  | Surveillance Audit – Full Certification                                                                                                                                                                                                                                                                  |
| 6        | 23 September 2026 | Surveillance Audit                                                                                                                                                                                                                                                                                       |

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