

# Rio Tinto and the Aluminium Stewardship Initiative (ASI)

## Rio Tinto is a pioneer in responsible mining and sustainability.

Rio Tinto co-founded the Aluminium Stewardship Initiative in 2012.



## What is ASI?

A pioneering and independent third-party standards-setting and certification organisation

ASI's mission is to recognize and collaboratively foster:

- ✓ responsible production
- ✓ responsible sourcing
- ✓ material stewardship

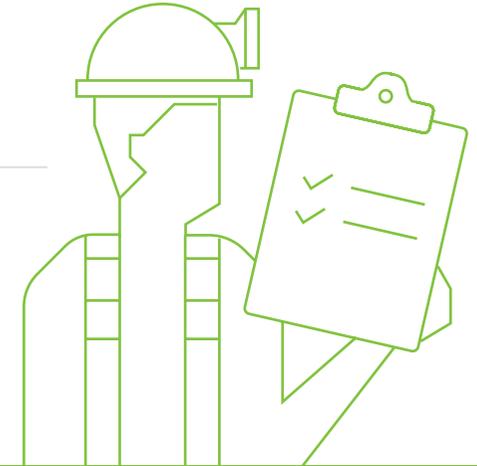
## What is ASI's goal?

Foster greater sustainability and transparency for the aluminium value chain from mine to market

ASI acknowledges companies' performance by providing two types of certification:

**One:**  
Performance Standard

**Two:**  
Chain of Custody Standard



## What is the Performance Standard?

It defines and evaluates three types of performance:

1. **Environmental**
2. **Social**
3. **Governance**



## Its goal?

Address sustainability issues relevant to the production and material stewardship of aluminium across the aluminium value chain

The Performance Standard measures performance against eleven critical areas:

1. **Business integrity**
2. **Policy and management**
3. **Transparency**
4. **Material stewardship**
5. **Greenhouse gas emissions**
6. **Emissions, effluents and wastes**
7. **Water stewardship**
8. **Biodiversity**
9. **Human rights**
10. **Labour rights**
11. **Occupational health and safety**

A facility certified to the ASI Performance Standard is:

- ✓ certified for responsible stewardship of aluminium
- ✓ an "ASI Certified Entity"

## Rio Tinto has 23 ASI-certified facilities across its entire value chain, from mine to casthouse:

- Gove bauxite mine and related port facilities and power station
- Amrun and Weipa bauxite mines
- Yarwun alumina refinery
- Bell Bay aluminium smelter
- NZAS aluminium smelter
- Vaudreuil alumina refinery
- Alma smelter
- AP60 smelter
- Arvida smelter
- Grande-Baie smelter
- Laterriere smelter
- Beauharnois
- Dubuc/PLS
- Spent pot lining treatment plant
- Quebec Power operations
- IPSF port and railroads facilities
- Kitimat smelter
- Kemano power operations
- ISAL smelter
- Brisbane, QLD, Australia Headquarters
- Saguenay, QC, Canada Headquarters
- Montreal, QC, Canada Headquarters



Rio Tinto: 1st to be ASI-certified



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**Rio Tinto is the first company to achieve Chain of Custody (CoC) certification, and it has done so across its entire value chain.**

## Chain of Custody Standard

Builds on and complements the ASI Performance Standard

### Its goal?

Create a **traceability** mechanism so end users can be sure that the material (including aluminium) that they buy has been produced and processed by ASI-certified entities at all stages of the value chain

How does a facility earn Chain of Custody certification, and what can it claim?

- 1 It must prove that the end material that it produces was ASI-certified at each stage of the production process.
- 2 Each facility that meets this requirement is a "CoC Certified Entity" and can claim it sells "ASI Certified" materials.
- 3 If there is a break, then the CoC status ends and cannot reach the final entity without purchase of ASI Credits.

**How is a facility evaluated to earn Chain of Custody certification?**

CoC certification must be proven in one of two accounting ways:

- ✓ Optimal: Mass Balance System
- ✓ Alternate: Market Credit System

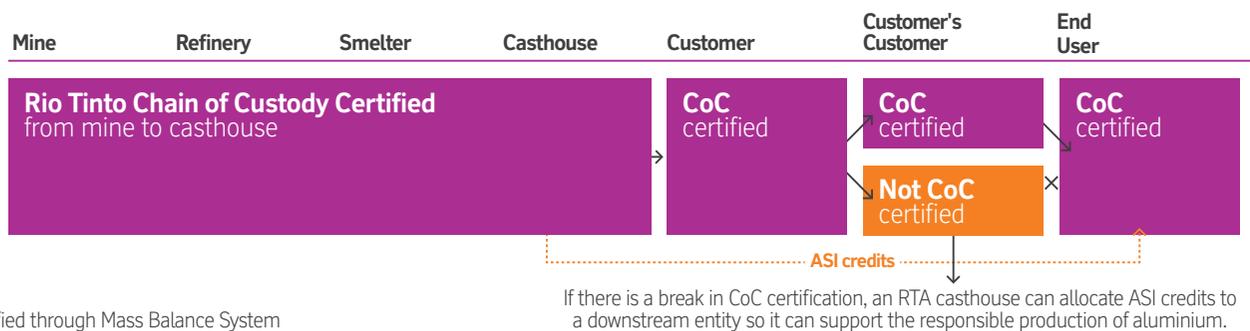
### The Mass Balance System:

- ✓ Validates at each stage of the process the percentage of ASI material certified going in and coming out
- ✓ Puts the focus on connecting supply chain practices, not atoms

### The Market Credit System:

- ✓ Is similar to purchasing green energy credits
- ✓ Allows a specific quantity of output CoC material from a casthouse to be allocated as ASI Credits to a downstream company via a certificate

## Chain of Custody



## How Rio Tinto's ASI-certified aluminium can help you:

1. Provides **independent and credible assurance** that Rio Tinto aluminium can be traced through a chain of custody from mine to alumina refinery to aluminium smelters and casthouses
2. Provides **proof of responsible production, responsible sourcing and material stewardship**
3. **Reduces reputational risks** concerning aluminium and aluminium industry players
4. Reinforces and promotes consumer and stakeholder **confidence in your products**
5. Addresses the needs of downstream industrial users and consumers for **responsible sourcing**
6. Distinguishes your products and publicizes how you are taking action to **promote sustainability**



Customer's view

**Rio Tinto was a very early adopter of the concept of responsible aluminium, and we're very proud to be working closely with them together as part of the ASI."**

**Daniel Weston**  
General counsel and global head, Nespresso