

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

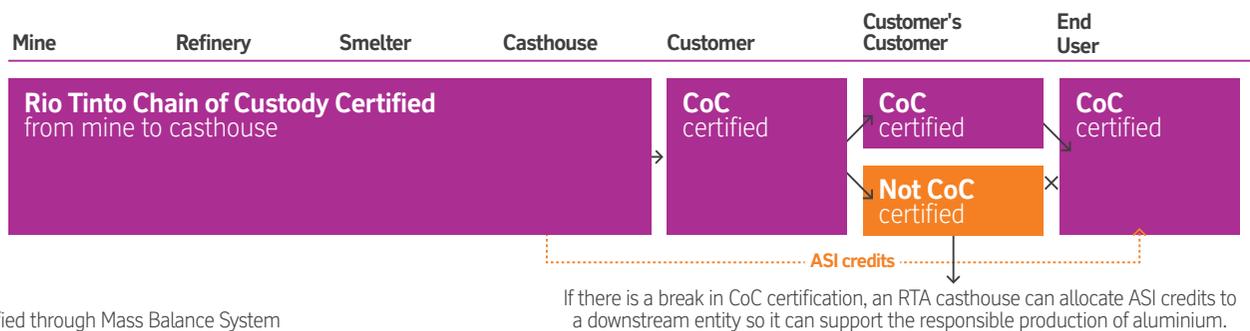
The Mass Balance System:

- ✓ 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