

TSM Summary Assessment Report

Facility Information

Name of company	Rio Tinto Ltd.
Name of facility	Minerals Group
Address	Level 43, 120 Collins Street Melbourne VIC 3000 Australia
Country of operation	Canada, Madagascar, South Africa, and the United States
Products/metals produced on site	Iron ore pellets and concentrate, titanium dioxide, diamonds and borates
Types of operations included in scope:	
Mining	<input checked="" type="checkbox"/>
Milling	<input checked="" type="checkbox"/>
Smelting	<input checked="" type="checkbox"/>
Hydrometallurgical	<input checked="" type="checkbox"/>
Refining	<input checked="" type="checkbox"/>
Other (<i>please explain</i>)	<input type="checkbox"/>
Types of infrastructure included in scope:	
Roads	<input checked="" type="checkbox"/>
Rails	<input checked="" type="checkbox"/>
Ports	<input checked="" type="checkbox"/>
Other (<i>please explain</i>)	<input checked="" type="checkbox"/> Airstrips, worker accomodations

Verifier and Verification Information

Verification firm	EEM EHS Management Inc.
All verifiers involved in the verification are accredited TSM verifiers	Yes, the verifier involved was a recognized TSM Verification Service Providers.
Date(s) of verification activities	25/10/2023
Verification period	2023
Methodology summary	<p>The verification was carried out in accordance with the principles set out in the following standards and documents:</p> <ul style="list-style-type: none"> • <i>ISO 19011:2018 – Guidelines for auditing management systems; and,</i> • Mining Association of Canada Audit Service Provider Mandate (revised November 19, 2021). <p>The tasks and activities undertaken during the verification process are summarized below:</p> <ul style="list-style-type: none"> • <i>Prior to the verification, the mineral group’s self-assessment and supporting documentation were made available to the verifier;</i> • <i>Evidence was collected through interviews and submitted documents and records;</i> • <i>The information collected was evaluated based on the criteria set out in the performance standard protocol evaluated; and,</i> • <i>A closing meeting was held.</i> <p>This verification report, which contains the verification conclusion and the verification statement, has been produced.</p>
Summary of the verification activities	<ul style="list-style-type: none"> • A kick-off meeting was held to prepare the verification which was conducted in parallel with the external verification of the Iron Ore Company of Canada’s MAC TSM external verification; • The client submitted documentation for review by the verifier; • An opening meeting was held on the morning of October 17th, 2023; • Collection of evidence was conducted by videoconference interviews and through documents and records submitted by email or stored on an MS Teams portal; • Working notes were taken by the verifier; • A closing meeting was held during the afternoon of October 26th, 2023; and, • The present report was produced.
Was a site visit conducted?	No.


Summary of Findings

Criterion	Rating	Comments / Examples of Evidence Consulted
Crisis Management and Communications Planning - Corporate (Indicate YES or NO) (Version Can 3.0 – November 2022)		
1: Corporate Crisis Management and Communications Preparedness	YES	<ol style="list-style-type: none"> 1. The CEO has endorsed and demonstrated Support for crisis management and communications planning is endorsed at all levels of Rio Tinto. 2. The group risk function is responsible for identifying group risks. Site level risks are flowed up to the product group level. The Minerals group Risk Register is updated quarterly. <ul style="list-style-type: none"> • Plans and protocols to address threats and risks are in the asset level crisis management plans. The product group crisis management team provides assistance where required (ex. international communications). • Asset level threats and risks are flowed up to the product level automatically through Rio Tinto’s Archer risk management platform. 3. A Corporate Crisis Management Team, including replacement personnel, has been established with defined roles and responsibilities. 4. The Corporate Crisis Management Team is notified by phone or e-mail in the event of a crisis and is convened via MS Teams when required. Site, product, and group level notification and involvement requirements are defined. 5. There is a communications role in the structure of each crisis management teams at all of the three-tiered response model (i.e., Site, product, and group levels). The roles are filled by a suitably qualified and experienced communications personnel. Product group communication team ensures that communications plans are developed. Plans are deployed by local asset personnel. Rio Tinto’s Media Relations team organises media training for designated principal spokespersons. This may include formal (external) training; internal training; and/or targeted (incident specific) responses. 6. Key media and stakeholder contact information is organized by asset and country. The group crisis management team relies on asset and country lists. Engagement information is logged in an incident / action log available on an MS Teams site. 7. A Corporate Crisis Management and Communications Plan has been developed and is available and controlled on an MS Teams portal. Threats and risks are maintained in Rio Tinto’s Archer risk management platform. 8. The Corporate Crisis Management and Communications Plan and key contact information are available to Corporate Crisis Management Team members via share Sharepoint. 9. At the corporate level, crisis control centers consist principally of virtual MS Team meeting rooms. Business resilience centers site up in head office locations (ex. London, Montreal, Perth).

Criterion	Rating	Comments / Examples of Evidence Consulted
		<p>10. Communications mechanisms to alert employees to a crisis and to provide updates is principally conducted via MS Teams though other methods may be used.</p> <p>Evidence reviewed:</p> <ul style="list-style-type: none"> • Business Resilience and Recovery Group Procedure (May 2022) • Group Crisis Communications Plan (September 2023) • Minerals product group risk register • Rio Tinto Risk Management Standard • Corporate Business Resilience Management Plan (August 2023) • Plan on a Page document
2. Corporate review	YES	<ul style="list-style-type: none"> • The Corporate Crisis Management and Communications Plan is reviewed and updated: • when there is a change of personnel associated with implementation of the plan; • when there is a material change in business (e.g., new asset, handover from exploration, political or security threat increase, material change to asset footprint); and/or, • at least every two years. • The mechanism to notify the Corporate Crisis Management Team consists of e-mail and telephone which are in constant use. • Key media and stakeholder contact information is maintained at the asset and country levels and is reviewed or updated at least every two years. • Mechanisms to alert employees to a crisis and provide updates are tested at least once per year. For Rio Tinto’s headquarters, hubs, and satellite offices, this is typically tested once per month. • Two (2) processes are in place to ensure that new Corporate Crisis Management Team members are familiarized with the Corporate Crisis Management and Communications Plan within two months of joining the team: • Handover by the former member to the new member and communication of the plan and responsibilities; and, • Personal meeting with new team members by the Security Business Partner for the Minerals Group. • In addition, the Practice Lead - Business Resilience (Group security) holds a mandatory training session for all Corporate Crisis Management Team members every 2 years. <p>Evidence reviewed:</p> <ul style="list-style-type: none"> • Business Resilience and Recovery Group Procedure • Corporate Business Resilience Management Plan (August 2023)

Criterion	Rating	Comments / Examples of Evidence Consulted
		<ul style="list-style-type: none"> Incident logs Business Resilience MS Teams site
3. Corporate training	YES	<p>Tabletop crisis simulation exercises are formally scheduled to occur every 2 years. However, the group crisis management plan is activated at least once per year. The most recent events were:</p> <ul style="list-style-type: none"> Wildfires and evacuation of personnel from Yellowknife in the Northwest Territories; and, Fatalities resulting from an incident between Madagascan Public Security Forces and local demonstrators on 20 October 2023 near QMM's operations in Mandena, Fort Dauphin, Madagascar.

Statement of Verification

Statement of Verification	
The external verification was conducted in accordance with the TSM Verifier Terms of Reference and, accordingly, consisted primarily of interviews, data analysis, and examination (on a sample basis) of other evidence relevant to management's assertion of conformance to the requirements of the TSM performance indicators.	<input checked="" type="checkbox"/> The external verification was conducted in accordance with the TSM Verifier Terms of Reference.
The scores indicated in this report are verified as being accurate based on the evidence reviewed during the external verification of this facility.	<input checked="" type="checkbox"/> The scores in this report are considered accurate based on this verification.
Limitations	No limitations were encountered that hindered the attainment of the verification objectives.
Additional comments	None.
Has an additional assurance statement been provided by the verifier?	No other assurance statement has been provided by the verifier.
Name of verifier	Ross Szwec, DGE, CEA®, EP(EMSLA), CESA®, VSP
Date of statement of verification	December 10 th , 2023
Signature of verifier	 Ross Szwec