

7 October 2013

RJC CoC Certification Information – Kennecott Utah Copper LLC



Date of the Audit:	19 - 20 September 2013
Accredited Auditor:	Resource Consulting Services Ltd <u>Lead Auditor:</u> Michèle Brühlhart
RJC Member which controls Entity:	Rio Tinto
Entity Certification Scope:	List Scope as per Certification Recommendation Report o Facility/ies: Kennecott Utah Copper LLC o Type/s of CoC Material: Gold o Eligible Material Declarations: Mining Byproduct
Auditor Recommendation:	RJC Chain-of-Custody Certification to be granted for 3 years
Surveillance Audit Due:	7 October 2014 – 7 April 2015
Certification Period:	7 October 2013 – 7 October 2016
RJC Member Certification Number:	C0000 0007

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CoC Certification Scope

CoC Certification is open to RJC Members and/or Entities under their Control. The CoC Certification Scope is defined by the Member/Entity seeking CoC Certification and must include:

- All Facilities under the Control of the Member that the Member/Entity intends to use for the extraction, processing, manufacturing, storage, handling, shipping and receiving, and marketing of CoC Material; and
- All Outsourcing Contractors that the Member/Entity intends to use for the processing and manufacturing of CoC Material; and
- The types of CoC Material (Gold, and/or Platinum Group Metals) to be included in the Certification Scope; and
- The types of Eligible Material (Material in the form of Mined, Recycled and/or Grandfathered), if any, for which the Member/Entity intends to issue Eligible Material Declarations.

Audit methodology

Third party auditors carrying out RJC Certification audits must be accredited by the RJC, a process which involves assessment of competence, independence and internal quality systems of the auditing firm. Auditor accreditation information can be found at:

<http://www.responsiblejewellery.com/auditors/>

The RJC standards documentation is comprehensive and includes an auditable standard (the Chain-of-Custody standard), guidance, handbook for certification and assessment tools for businesses and auditors. These can be downloaded at:

<http://www.responsiblejewellery.com/chain-of-custody-certification/>

The audit process is a management systems audit aligned with ISO19011. Auditors use the triangulation method of management and employee interviews, documentation review and facility observations to verify an Entity's performance against the applicable standards.

Following Certification, a Surveillance Audit is conducted by the RJC Accredited Auditor to monitoring a sample of CoC Provisions to provide assurance that the Entity continues to conform with the RJC CoC Standard. The sample of Provisions is selected by the Auditor and usually covers areas of greatest risk of non-conformance as determined during the previous Audit.

For the first Self Assessment or Certification Audit, evidence includes records from the previous 12 months. Sampling during a Surveillance Audit or a Re-Certification Audit should include records since the last audit.

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Audit Dates 19/09/2013 – 20/09/2013
Lead Auditor Name Michèle Brülhart
Title Senior Consultant

AUDITOR RECOMMENDATION

Based on the scope and findings of the Verification Assessment, the sites visited and the available information provided by the Entity:

- Based on the scope and conclusions of the assessment, the sites visited and the information provided by the Entity, the auditor recommends that the RJC Management Team grant RJC CoC Certification to Kennecott Utah Copper LLC, Precious Metals Plant, for three (3) years. The recommendation is subject to the Entity successfully completing a surveillance assessment against the CoC Standard within 12-18 months of this report.
- The Entity is not recommended for CoC Certification as it has not fully met the requirements of the CoC Standard.

AUDITOR STATEMENT

The Auditor confirms 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 assessment, traceable and unambiguous.
- ✓ The scope of the assessment and the method used are sufficient to establish confidence that the findings are indicative of the performance of the Entity defined CoC Certification Scope (including changes to the CoC Certification Scope as stated by the Entity prior to the Audit).
- ✓ The Report has been written to address all RJC requirements.
- ✓ The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.

Signature *On file*
Date of the Report 30 September 2013
Date of Revision 07 October 2013
