

Voluntary Principles on Security and Human Rights 2023

Annual Report to the Voluntary Principles Initiative



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Many of our operations are located on land and waters that have belonged to Indigenous Peoples for thousands of years. We respect their ongoing deep connection and vast knowledge of the land, water and environment. We pay respects to Elders, both past and present, and acknowledge the important role Indigenous Peoples play within our business and the communities where we live and work.

About this Report

We have prepared this Report as part of our membership requirements under the Voluntary Principles Initiative (VPI) and aligned with our broader human rights commitment to transparent communications with external stakeholders under Rio Tinto's *Human Rights Policy*. This annual report is a full report as required under the Voluntary Principles Initiative's reporting guidelines for corporate pillar members, of which we are a full member.

This Report relates to the Rio Tinto Group, which consists of Rio Tinto plc (registered in England and Wales as company number 719885 under the United Kingdom's Companies Act 2006 and listed on the London Stock Exchange) and Rio Tinto Limited (registered in Australia as ABN 96 004 458 404 under the Australian Corporations Act 2001 (Cth) and listed on the Australian Securities Exchange) and their owned and controlled entities. Rio Tinto plc and Rio Tinto Limited operate together under a dual listed structure and are referred to in this report as Rio Tinto. The words "we", "us", "our" and "ourselves" are used to refer to the companies of the Rio Tinto Group in general. These terms are used for convenience. They are not intended to convey how the Group is structured, managed or controlled from a legal perspective. Any reference to "our people" includes our directors, officers, employees and category 1 contractors (being a contractor who provides services under the direction of Rio Tinto leaders).

Our 2023 reporting suite

Our *Voluntary Principles on Security and Human Rights* report is our *Annual Report to the Voluntary Principles Initiative*. It forms part of our annual reporting on sustainability performance and human rights, and is also part of our broader 2023 reporting suite. You can find this report and others, including our *2023 Annual Report*, *Climate Change Report*, *Sustainability Fact Book*, *2023 Addendum - Scope 1, 2 and 3 Emissions Calculation Methodology*, *2023 Industry Association Disclosure* and *Taxes Paid Report*, on our website. Some of our reports are published on our website later in the year, including our *2023 Modern Slavery Statement* and *Country-by-Country Report*.



To view and download these documents see riotinto.com/reports.



To read more about our approach to human rights see riotinto.com/humanrights.



2023 Annual Report



2023 Climate Change Report



2023 Sustainability Fact Book



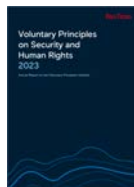
2023 Addendum - Scope 1, 2 and 3 Emissions Calculation Methodology



2023 Industry Association Disclosure



2023 Taxes and Royalties Paid Report



2023 Voluntary Principles on Security and Human Rights

Introduction

We operate in 35¹ countries where our 57,000 employees² are working to find better ways to provide the materials the world needs. Our portfolio includes iron ore, copper, aluminium, lithium and other materials needed for people, communities and nations to grow and prosper, and for the world to cut carbon emissions to net zero. We continuously search for new projects that can support the energy transition, currently exploring for eight commodities in 18 countries.

We have been mining for 150 years, and we continue to build on a history and knowledge that span generations and continents. Today, our business relies on technology such as automation and artificial intelligence to help us run safer, more efficient operations and leave a lighter footprint.

We are a proud founding participant of the Voluntary Principles Initiative (VPI) and we are committed to implementing the Voluntary Principles on Security and Human Rights (VPSHR).

Our company policies on security and human rights draw explicitly on the VPSHR and we are committed to integrating the VPSHR into all our security arrangements. We believe in the potential of the VPSHR to help companies to respect human rights. This is particularly important in regions where it is challenging to provide responsible security for mining operations, including where local private or public security providers may need additional training to carry out their duties with respect for human rights, and where engagement with public officials is important to promote respect for human rights.

As we enter our twenty-third year of being a VPI member, we continue to support the development of the VPSHR into a truly global standard. Through the implementation of the Voluntary Principles and participation in the Initiative, governments, non-governmental organisations (NGOs) and companies develop relationships through which they can participate in dialogue, engage in mutual learning and joint problem solving, create common approaches to address challenges, and jointly promote human rights for a lasting positive impact.

1. Includes our mines and production facilities, main exploration activities and countries where we have a significant presence through activities including research and development, commercial, sales, and corporate functions.

2. This represents the average number of employees for the year, including the Group's share of non-managed operations and joint ventures.

Key achievements in 2023:

- Improving the delivery of VPSHR training to our security personnel, with training modules now available in seven languages.
- Conducting reviews at two of our operations to support conformance with Rio Tinto's Security and Human Rights governance framework.
- Supporting our joint venture partners in implementing the VPSHR at non-managed operations.

E-learning modules on the Voluntary Principles on Security and Human Rights

We continue to make our VPSHR learning modules more accessible for our security personnel. A key achievement in 2023 was adding Mongolian and Indonesian language versions to the learning suite, which already included modules developed in English, French, Spanish, Portuguese and Serbian. The modules include 14 short, animated videos that can be accessed through our internal e-learning portals and through externally hosted webpages. The material can also be printed for those with limited access to electronic resources.

A. Commitment to the Voluntary Principles

1. Our commitment

Our security and human rights work is guided by our broader human rights approach, which is set out in our *Human Rights Policy*¹ and on our human rights webpage. Our commitment to the Voluntary Principles on Security and Human Rights (VPSHR) is set out in this Policy and in our global Code of Conduct, *The Way We Work*.

In addition to the VPSHR, we are committed to implementing the *UN Guiding Principles on Business and Human Rights* (UNGPs), the *OECD Guidelines for Multinational Enterprises*, the *International Finance Corporation's Environmental and Social Performance Standards*, the *Maritime Labour Convention*, *ICMM Mining Principles* and the *UN Global Compact's Ten Principles*.

Our policies and standards on employment; health, safety and environment; communities and social performance (CSP); and inclusion and diversity, also contain human rights commitments, including relating to security and human rights.

The actions we take to respect human rights help us maintain our social licence by building strong relationships with local communities, our people and business partners. To help avoid security-related human rights impacts, we conduct security and human rights analyses of our security operations, and we train our people in accordance with these principles as needed.

We provide practical guidelines, toolkits and training on implementing the VPSHR. We have a number of VPSHR training modules available through e-learning and face-to-face delivery, which is mandatory for all private security personnel. Our Group-wide online Code of Conduct training, available to all of our people, includes information on our security and human rights commitment. We work with external stakeholders, as well as public and private security providers, to promote understanding and implementation of the VPSHR. We impose strict controls on the use of force and minimise the use of armed security at our sites.

Our Group Security Area of Expertise (Group Security AoE) partners with teams across the business to embed security risk and business resilience management into core business processes and decision making. Group Security partners with risk owners in our business to create and protect value propositions, while safeguarding people, assets and reputation. Group Security also works closely with human rights specialists within the Communities and Social Performance Area of Expertise (CSP AoE) to help implement our broader human rights approach.

In 2023, we continued to support sites with VPSHR implementation and conflict prevention. We also strengthened our security and human rights governance framework by conducting security and human rights reviews² to ensure that operations with armed security arrangements comply with our internal governance framework (see Section 10).

We also continued to strengthen how we manage human rights-related work streams across functions within our organisation. This involved our security advisers working more closely with functions such as the CSP AoE, Ethics and Compliance, Procurement and Marine, to help identify, manage and assure risks associated with security and human rights.

2. Transparency

We report annually on our human rights performance (including security and human rights implementation) through our *Annual Report*, *Sustainability Fact Book* and *Modern Slavery Statement*, available on riotinto.com.

Since 2017, we have published our VPSHR Report on our website and made it publicly available through the Voluntary Principles Initiative (VPI). We are committed to ensuring governments, as well as communities, our business partners and investors, understand our approach to respecting human rights through our security arrangements. To that end, we have committed to publishing a full VPSHR report annually.



For more information
about how our VPSHR commitment ties into our CSP work, see our *Why Human Rights Matter* guide at riotinto.com/humanrights.

QIT Madagascar Minerals, Madagascar

Consistent with our commitment to transparency, we reported two incidents to the VPI in 2023. These involved public security forces (PSF) and demonstrators near our mine in Madagascar.

Incident 1: QIT Madagascar Minerals (QMM) operations were significantly impacted between 26 June and 3 July, as demonstrators blocked the main public roads leading to the Mandena mine site. 380 QMM employees were unable to leave the site for more than seven days due to concerns for their safe passage, and we curtailed most activities at QMM during this period, leaving only essential services (such as power supply to Fort Dauphin) connected. PSF intervened on 3 July and several demonstrators and members of the PSF sustained non-life-threatening injuries in the process.

Incident 2: QMM carefully monitored demonstrations occurring at the side of the main public road leading to the Mandena mine site between 16–19 October. Although initially a peaceful demonstration, on 19 and 20 October demonstrators blocked the road preventing the free movement of vehicles. They also took individuals, including a police officer, hostage. The PSF intervened to free the hostages however, tragically, this led to a number of fatalities.

In response to each incident, QMM's medical team supported the local hospital by assisting the injured.

We are deeply saddened by these events and will continue to monitor the situation closely and support local and national authorities to uphold the VPSHR.

1. The Rio Tinto *Human Rights Policy* and *Communities and Social Performance Group Standard* were updated in 2022. Group Security were consulted as a key stakeholder on these updates.

2. Formerly called the "Weapons and Firearms Decision Review". Security and human rights reviews are agreed second-line assurance activities. These reviews focus on the conformance of an asset or operation security function to the Rio Tinto internal governance framework.

3. Engagement in the Voluntary Principles Initiative

In 2023, we participated in the following activities, meetings and working groups:

- Presented at the VPI Forum in London, and participated in online VPI meetings.
- Online VPI Corporate Pillar meetings.
- In-country working groups, for example, in Brazil.
- Supported VPI initiatives such as identifying new countries where in-country working groups may be established.
- Peer reviews as scheduled by the VPI.
- Face-to-face meeting between Rio Tinto Chief Legal, Governance and Corporate Affairs Officer, and VPI Secretariat, at the PDAC (Prospectors & Developers Association of Canada) 2023 conference.

We share information and insights about how we are progressing with implementing the VPSHR with other VPI participants where we can, to allow others to learn from our work.

4. Promoting awareness of the Voluntary Principles on Security and Human Rights throughout the organisation

In 2023, we increased awareness of the VPSHR throughout the business by:

- Implementing our security and human rights governance framework, of which the VPSHR is a key component.
- Verifying the implementation of our following standards and procedures:
 - *Security Group Standard*.
 - *Communities and Social Performance Group Standard*.
 - *Security and Human Rights Group Procedure*.
 - *Security and Safety Weapons and Firearms Group Procedure*.
- Conducting security risk assessments, inclusive of security and human rights risks and mitigating controls.
- Maintaining face-to-face and virtual contact and engagement with high-risk sites on security and human rights issues.
- Providing continuous support to high-risk sites in relation to the analysis and management of security risks (including security and human rights risks).
- Engaging with product groups and functions to help them prevent and mitigate security and human rights risks.
- Supporting our Exploration function and Business Development function with due diligence activities related to new country entries and activities, in particular in Rwanda.
- Supporting sites with due diligence checks, and contracting and training of private security providers.
- Training our internal security auditors to assess site compliance with our *Security Group Standard* (including the security and human rights requirements).
- Participating in internal incident investigations where security related activities have been direct or contributing factors to incidents.

5. Promoting and advancing implementation of the Voluntary Principles on Security and Human Rights internationally

In 2023, we promoted and advanced the implementation of the VPSHR internationally by:

- Meeting regularly and sharing VPSHR tools and training with some of our joint venture partners, in particular those in Brazil, Colombia, Angola, Rwanda and Chile.
- Participating in the Mining Security Working Group of Canada, which is a forum for subject matter experts and security practitioners within the extractive industry to collaborate and share insights and learnings of ongoing challenges. It also provides an opportunity to further the goals of industry initiatives such as the VPSHR.
- Meeting with extractive industry peers considering becoming members of the VPSHR, advocating the benefits of membership and sharing an overview of our approach to implementation.

Identifying and managing security and human rights risks associated with non-managed joint ventures was a particular focus for Group Security in 2023.

Supporting joint venture partners in Voluntary Principles on Security and Human Rights implementation

Since 2020, we have collaborated closely with one of our joint venture partners in South America and shared our knowledge and resources about managing security and human rights in our industry. We have shared our VPSHR tools and training materials and supported them in applying to join the VPI. In 2022, this partner became an Engaged Corporate Member of the VPI and we look forward to sharing our insights on VPSHR implementation.

We are also actively working with another joint venture partner at a non-managed site in South America to support implementing the VPSHR. To date, we have provided support through working with our partner to implement onsite assessments of security and human rights risks, development of a VPSHR implementation plan and coaching. In 2023, we financially supported the embedding of a specialist resource with VPSHR knowledge with our joint venture partner to continue the implementation of the agreed implementation plan. We are continuing this work in 2024.

B. Policies, procedures and related activities

6. Relevant policies and procedures

In addition to our *Human Rights Policy* and our Code of Conduct – *The Way We Work* – implementation of the Voluntary Principles on Security and Human Rights (VPSHR) is also supported by the following:

Policy, procedure, or related activity	Intent
Security Group Standard	Outlines the Group-wide requirements to protect our people, assets, non-digital information and reputation in line with the VPSHR, and to respect the rights of those affected by our security arrangements.
Security and Safety Weapons and Firearms Group Procedure	Specifies the site requirements for authorisation, management, strict control and mitigation of the risks of the presence and use of weapons and firearms, for security and safety purposes.
Security and Human Rights Group Procedure	Requires that our business security practices and arrangements respect human rights, with particular emphasis on: – Implementing the VPSHR (including risk analysis and engagement with public and private security providers). – Working with external stakeholders, including public and private security providers, to promote understanding and implementation of the VPSHR. – Imposing controls to manage the deployment of security weapons, firearms and K9 security. – Proactively identifying and managing business practices and decisions that may result in conflict with stakeholders, therefore seeking to eliminate the need for armed security intervention and potential for force abuse.
Communities and Social Performance Group Standard	In addition to more general human rights provisions, this Standard requires collaboration at all sites between Security and Communities and Social Performance (CSP) functions to implement the VPSHR as they relate to local communities, relevant to local and operational contexts. A CSP guidance note on social risk analysis also makes it clear that security and human rights risks should be included as part of CSP risk analysis.
Supplier Code of Conduct	Sets expectations of our suppliers (including our security providers) to uphold fundamental human rights, including promoting humane treatment and preventing harassment and unfair discrimination.
Know Your Third Party Group Procedure	Sets out a standardised integrity due diligence process to identify the potential legal, ethical or reputational risks of engaging or renewing a supplier, including around security and human rights, with particular requirements around due diligence on all private security providers delivering services to Rio Tinto.
Joint Venture Group Standard and Procedure	Provides the guidelines and expectations for how we will participate in each of our joint ventures so that they can be managed in accordance with our core values and commitments and can work towards alignment with our relevant standards. Managed operations are required to comply with our policies, standards and procedures, including the <i>Human Rights Policy</i> . Non-managed operations are expected to be assessed for consistency between their proposed or current governance material and key principles of certain Rio Tinto policies, standards and procedures, including our <i>Human Rights Policy</i> .
Health, Safety, Environment and Security (HSES) Incident Management Group Procedure	Sets out the process to investigate and manage work-related injuries and illnesses, including security incidents.
Statement on the Role of Civil Society Organisations	Recognises the valuable role that civil society organisations can play in supporting and advocating for responsible business conduct and states our support for the existence of an open civic space.

7. Efforts to increase employee awareness and implementation of the Voluntary Principles on Security and Human Rights

Group Security uses a variety of engagement tools to drive Group-wide implementation of the VPSHR. These include site visits, coaching, internal audits, VPSHR training delivery and the use of a VPSHR train-the-trainer approach.

Our security training guidance notes provide sites with clear direction on when and how to train colleagues, including business leaders, on security and human rights (see Section 13).

In 2023, we hosted a number of internal awareness-raising activities focused on security and human rights, with a particular focus on our Exploration teams. During these sessions, Group Security explained our commitment to the VPSHR amongst other core international business and human rights standards.

Through the use of our e-learning training modules and presentations, we trained more than 2,100 security personnel on the VPSHR in 2023, an increase of more than 600 people when compared to the previous year (2022: 1,532):

Product group or function	Security personnel trained
Aluminium	167
Copper	233
Corporate	28
Development and Technology	493
Iron Ore	90
Minerals	1123
Total	2,143

Tracking progress on implementing our Security Group Standard

In 2021, we developed a security workbook as part of our annual Social and Environment Survey, with the aim of improving internal visibility over the implementation of our Security Group Standard at our operations. In 2023, operations were once again required to take part in this survey by self-reporting on a number of questions regarding, among other things, the completion of annual security risk assessments, the management of security risks and security service providers (including compliance with our third-party due diligence process) and training of security personnel.

This is a multi-year initiative striving for continuous improvement and visibility of our performance. We will use insights gained during the past three years' reports to improve compliance and tailor our security and human rights support to operations.



Safety briefing, Simandou, Guinea.

8. Risk assessment

Our *Security Group Standard* mandates all sites to conduct an annual site security risk assessment to identify risks linked to abuse of force, weapons, firearms, and other potential human rights abuses related to security. We use a standardised tool to guide these site security risk assessments, and Group Security provides regular training on how to facilitate them. Group Security also takes part and reviews outputs from these assessments. Where inconsistencies or gaps are identified, the sites work with Group Security to identify the risks and the controls required.

The security risk assessment methodology involves the collection and review of relevant information. It also involves engaging with multi-disciplinary representatives (such as CSP, Human Resources, HSES, Security, Operations and Procurement) to help analyse security risks, and identify and analyse the potential for violence, conflict, and security and related human rights abuses. Sites are obliged to implement controls to manage identified risks effectively. Group Security also uses the output from the security risk assessment to:

- Identify sites at high and critical risk of security and human rights abuses.
- Monitor and support sites with control implementation (as required)
- Direct coaching and upskilling efforts and prioritise support.

Working with the Risk AoE, Group Security developed a security risk taxonomy. The taxonomy includes security risk controls related to security and human rights risks, which have also been included in Rio Tinto's risk control library. The risk control library forms an integral part of Archer, Rio Tinto's Enterprise Risk Management System, which is our mandated platform for capturing, analysing and managing material risk exposures.

Where a site is considered to have a high or critical inherent security and human rights risk (such as where armed security or public security forces are used), a site visit is conducted by Group Security to identify and assess potential security and human rights issues and to recommend adequate controls to manage these risks. Gaining a greater understanding of the security and human rights situation at a particular site is achieved through a range of actions, from examining the preparedness of security personnel to respond to security and human rights incidents, to interviews with key external stakeholders such as local government officials, local police, military commanders, our private security suppliers, and local community leaders. These interviews occur in consultation with local and Group Security, CSP and other functions, to encourage both local ownership and alignment with Group-level standards. Group Security monitors and supports sites with the implementation of risk control frameworks recommended during these visits.

Simandou project, Guinea

Security risk management in line with the Voluntary Principles on Security and Human Rights

The Simandou project aims to implement security controls and strategies to help ensure compliance with Rio Tinto internal governance framework, IFC performance standards and strict alignment with the VPSHR.

These commitments have been reinforced by the execution of Simandou's VPSHR implementation plan which is maturing in its implementation. Specific initiatives that have been implemented by the project include:

- A focus on fostering mutually beneficial partnerships with public security forces (PSF) leadership across the projects footprint.
- The delivery of VPSHR training to both public and private security forces on an ongoing basis, with training figures tracked monthly at each respective project location.
- The deployment of Security Liaison Officers trained in VPSHR & Human Rights with the task of monitoring and assurance across project sites and associated communities.
- VPSHR and broader human rights awareness and training delivered to Rio Tinto contracting partners, with materials being available in multiple languages.
- Conducting ongoing security risk assessments, inclusive of human rights risks, undertaken by security personnel, well versed in the implementation of VPSHR.

9. Incident reporting

We are committed to providing our people and those affected by our business, access to effective grievance mechanisms. Security and human rights incidents can be reported in three ways:

- **Through our Health, Safety, Environment, Security and Communities incident reporting system** – This system provides a specific classification for security and human rights incidents. Our Group procedure on Health, Safety, Environment and Communities (HSEC) incident management provides direction and guidance to sites and Group Security on dealing with security incident reporting and investigation (including allegations or incidents involving security and human rights abuses).
- **Through myVoice** – myVoice is our confidential reporting program operated by the Business Conduct Office within the Legal, Governance and Corporate Affairs function. myVoice is available to our people, suppliers (and their employees), community members, other stakeholders and the public, to raise concerns about the business or behaviours of individuals, including suspected violations of our standards, policies and procedures. This also includes issues around human rights and security. More information on myVoice is available on our designated myVoice website and on our broader Ethics and Compliance webpage.
- **Through operational-level grievance mechanisms** – These local mechanisms are required under our *Communities and Social Performance Group Standard* and are to be designed and operated in line with the *UN Guiding Principles on Business and Human Rights* (UNGPs) criteria for effective operational-level grievance mechanisms. This includes being publicly available, locally appropriate and accessible to all community members affected by Group operations and businesses. Complaints must be addressed and the actions to resolve the matter recorded and reported. We promote these mechanisms locally in a number of ways, including via community newsletters, asset signage and posters.

Capacity building on grievance management

Effective complaints and grievance management is an important part of building and maintaining respectful and trusting relationships with host communities and other stakeholders. Our *Communities and Social Performance Group Standard* requires managed sites to have a local-level complaints and grievance mechanism consistent with the UNGPs effectiveness criteria (including to be accessible, transparent, legitimate and a continuous source of learning, among others).

Following an internal review in 2021 that identified opportunities to improve our grievance mechanisms and management, in 2022 we updated our internal complaints and grievance management guidance. The guidance materials were developed in consultation with internal CSP practitioners and functional partners to ensure it could be adapted to local contexts as well as with external experts to ensure it reflected leading practice. Launched in February 2023, this guidance seeks to help assets improve the way they receive, record, respond, review, remedy, resolve and report community grievances, including grievances with alleged human rights impacts connected to security providers. It includes a detailed guidance document and user-friendly quick reference guides. We conducted training and capability-building initiatives throughout 2022, and this continued in 2023, along with the creation of an internal community of practice to support practitioners on grievance management.

In 2023, we continued to monitor the effectiveness of our control framework to help prevent our involvement in adverse human rights impacts and, importantly, our mechanisms to provide for, or cooperate in, remediation if we identify that we have caused or contributed to human rights harm.

In partnership with Group Internal Audit, the Human Rights team developed a multi-year approach to provide greater assurance over our human rights risks. We continue to implement actions from this process and to work with Group Internal Audit on other potential assurance over our human rights governance framework. This multi-year approach to assurance is one way to leverage specialist risk and assurance expertise as we continue to refine and identify new opportunities to integrate and operationalise human rights due diligence across the Group.

In 2023, Group Internal Audit focused on reviewing human rights risk identification, assessment and documentation. The review identified the need to increase awareness and understanding of human rights and impacts across the business.

Our *Security and Human Rights Group Procedure* requires our sites to report, record and investigate any incidents involving actual or alleged security and human rights abuses in accordance with the *HSES Incident Management Group Procedure*. This includes violations of international humanitarian law, as well as any other human rights harms resulting from the use of security weapons, firearms or K9 security, including through intentional or accidental discharge, pointing, injury, damage, allegations of unsafe or unauthorised use, force, abuse or legal inquiry.

Our business leaders, Group Security and Group Ethics and Compliance functions, as well as other functions as needed, are committed to fully supporting and cooperating with any resulting inquiry or investigation, and we expect our security providers (private or public) to work to meet this standard. This includes implementing the measures necessary to limit, reduce, prevent and deter any reoccurrence of or remediate a security and human rights allegation or incident.

Direction on how to identify, report and investigate potential breaches of *The Way We Work*, our policies, procedures or laws by any Rio Tinto employee, contractor, security supplier or business partner, is provided in our Business Conduct Office's *myVoice Procedure and Investigations Manual*. This includes wrongdoing that adversely impacts human rights.

There is still room to improve our security and human rights incident reporting system and escalation and investigation processes, and we continue to work with our internal stakeholders to enhance this process. Simultaneously, we continue to engage through the Voluntary Principles Initiative (VPI) to learn about best practices and benchmarking with our peers.

C. Country implementation

10. Overview of country operations selected for reporting

In 2023, Group Security was able to enhance or support the implementation of the Voluntary Principles on Security and Human Rights (VPSHR) at the following sites or functions:

Exploration, Colombia

VPSHR implementation support to joint venture partner

We completed an overview of the 2023 security situation of the project area and surrounding regions, with particular reference to sources of insecurity, as well as an updated analysis of how the presence of Colombian military in the project area could impact stakeholders.

We provided guidance on identifying measures to enhance the management of security and human rights risks; with focus on current good practices and to develop additional procedures and controls to ensure compliance to the VPSHR.

Papua New Guinea

Verification and onboarding of new security service provider

In May 2023, we increased the size of our team in Papua New Guinea to support the joint Legacy Impact Assessment in Bougainville. Due to the country's high prevalence of violent criminal behaviour, we engaged a local security service to provide safety and security protection for our people. The service provider was onboarded in accordance with our *Know Your Third Party Group Procedure*.

Our Group Security team trains the local service provider in current Rio Tinto safety and security requirements, and the service provider conducts a mandatory 12-day security guarding course and annual refresher training.

The service provider is a member of the International Code of Conduct Association which incorporates VPSHR, and was recently audited by the Association.

The service provider is also aligned with the *Montreux Document on Private Military and Security Companies* and the *Universal Declaration of Human Rights*, showing a commitment to respecting internationally recognised human rights.

Specifically, our sites are required to conduct pre-qualification checks on potential security suppliers, including:

- Criminal background checks, where possible.
- Considering whether the potential security supplier has:
 - A management system that contains security procedures, a drug and alcohol policy and a code of conduct.
 - An employee selection procedure that includes pre-employment medical screening, assessment of fitness for work evaluation, and confirmation of employee competencies and qualifications.
 - A formal process for reporting and investigating incidents.
 - Security-related technical capabilities and competencies (including training).
 - Adequate control measures to manage weapons and firearms used for security purposes (if applicable).
 - Legal and regulatory compliance to provide professional or security-related services (such as security provider registration and weapon and firearm licensing).

Our sites are also required to include clearly defined roles and responsibilities for both Rio Tinto and the supplier, as well as the competencies and training required in all contractual agreements with security suppliers. Contractual agreements with suppliers providing guarding services must also include a signed security and human rights addendum (developed in line with the VPSHR and in use since December 2015) to be respected by the security provider, with a specific focus on security and human rights training requirements, technical skills and proficiency, ethics and conduct, as well as controls for the use of force, weapons and firearms by private security personnel. In addition, we expect all security suppliers to comply with our *Supplier Code of Conduct*, which includes a commitment to respect human rights. Our standard global supply contract and purchase order terms and conditions, as well as our Marine chartering contracts, include modern slavery provisions.

When required, Group Security continues to support sites select and contract private security providers. Group Security produces guidance notes on engaging public security forces and ad hoc or emergency public security forces support, which provide clear guidelines to sites on how to engage and work with public security forces.

As set out in our *Security Group Standard* and *Security and Safety Weapons and Firearms Group Procedure*, the use of firearms (from private and public security) in support of Rio Tinto security must be explicitly approved by both our Head of Security AoE and the relevant product group or function Chief Executive. Use of weapons and security dogs, other than firearms, must also be explicitly approved by the site's most senior leader and Head of Security AoE.

Strict pre-conditions and controls must exist before Group Security approves the use of weapons, including security dogs or firearms (through private and public security agreements). These pre-conditions include the presence of security risks that pose a direct threat to the life of our employees, contractors and security personnel, in support of sites and projects and ensuring that conflict prevention strategies are in place (such as community and employee engagement).

Our controls aim to ensure the use of firearms must be the last resort to protect people when all other possible security countermeasures have been implemented. Furthermore, these controls must be in line with the VPSHR and other relevant commitments.

Group Security is accountable, through a rigorous on-site assessment process, for advising on the need to use firearms and to request explicit approvals if the use of public security or firearms is justified in a given context. This process requires that Group Security returns to site every two years to re-assess and report on the need to use (or not use) firearms in the site security arrangements. This assurance process is currently undergoing a review as part of a Group-wide initiative to strengthen our internal assurance processes.

11. Engagements with stakeholders on country implementation

See Sections 4, 5 and 10 for details.

12. Voluntary Principles on Security and Human Rights considerations in the selection of private security providers

Our procurement process for contracting security suppliers includes a due diligence analysis of the human rights performance of all private security providers, as mandated by our *Know Your Third Party Group Procedure*. In addition to the *Know Your Third Party Group Procedure*, our security supplier management guidance notes expand on our procurement and supplier management requirements and give further guidance to sites on engaging with suppliers providing security-related services.

13. Engagement with public security forces

Establishing a formal written agreement or memorandum of understanding (MoU) with public security forces reduces ambiguity and establishes accountability. It also reflects our commitment to security and human rights principles and outlines the responsibilities and obligations of both the site and the public security force.

Sites intending to establish a formal agreement or a MoU with public security forces, or that wish to provide any type of support to public security forces, are required to secure the approval of both our Head of Security AoE and the relevant product group or function Chief Executive.

For this purpose, sites are required to collect all relevant information and assess the risk of using public security, as well as the risk of providing logistical or financial support to these agencies.

If approved, sites will continue to work with our legal counsel and the relevant government agency to develop a formal written agreement or MoU that details security and human rights considerations, Rio Tinto business expectations and the logistical or financial support that will be provided. In line with the VPSHR, our sites will then take the necessary steps to help ensure that support, equipment loan or transfer, or funding to public security forces, including support arranged or delivered through third parties:

- Does not contravene any recognised laws, regulations or standards.
- Is limited to accommodation, office, warehouse or storage-like facilities, basic living necessities, safety aids, transportation, non-lethal equipment and logistical support, and non- military or tactical police training.
- Is limited to instances where federal, state or local governments with jurisdictional oversight have demonstrated that they do not have the expertise, resources or funding needed to construct, maintain or repair facilities without support
- Excludes the building of prisons
- Excludes weapons, firearms or ammunition
- Avoids providing equipment that requires end-user certificates (such as secure communication sets, bullet or stab-resistant jackets, helmets, visors, etc) without clear guidance from home government export licensing departments
- Is recorded and reported to Group Security.

Sites also keep detailed records of engagements, agreements, transactions and support to public security forces. The deployment of transferred equipment and the use of facilities constructed or refurbished as part of support to public security forces is also monitored.

We currently have an active MoU in place with public security forces in Madagascar. We are in the process of exploring the option for MoUs at two of our operations:

- Guinea – Submitted to the relevant government authorities for approval.
- Indonesia – Under internal review.

14. Examples of supporting outreach, education and training

We communicate our *Human Rights Policy* internally and externally. Our introductory Group-wide human rights online training includes information on our security and human rights commitment.

We also have a range of security and human rights training products for different target audiences, including:

- In-person VPSHR course (two days) for security personnel delivered by Group Security or competent trainers (available in English, French and Mongolian) – compulsory for sites with armed security and strongly recommended for high- and critical-risk sites.
- In-person VPSHR Train-the-Trainers course delivered by Group Security (two days) for sites (available in French and English) – to build local VPSHR training capacity. The course provides knowledge and skills to effectively facilitate the delivery of the two-day in-person course referred to above.

15. Company procedure to review progress on implementing the Voluntary Principles on Security and Human Rights at sites

Our processes and activities used to monitor security and human rights implementation at sites include:

- An annual requirement for sites to conduct security risk assessments, inclusive of human rights risks, as required under our *Security Group Standard*.
- Our security risk analysis and management approach, which includes an assessment of the effectiveness of controls.
- Group Security conducts visits to high-risk sites in order to review and optimise local VPSHR implementation and assess the effectiveness of controls.
- Our security and human rights review process includes a systemic review of security and human rights controls for all sites using armed security or public security forces.
- Group Security participates in Business Conformance Audits at selected sites every two years. During these audits, compliance with our *Security Group Standard*, which includes aspects of VPSHR compliance and implementation, is audited at site level using a risk-based approach. Business Conformance Audits may also consider security and human rights issues as part of the assessment against the *Communities and Social Performance Group Standard*.
- Regular dialogue between Group Security and other key functions, including Procurement, CSP, Projects and Exploration helps to identify Group-wide and local issues in implementing the VPSHR.
- Our human rights performance is assessed through various external initiatives including the Aluminium Stewardship Initiative, Copper Mark, Responsible Jewellery Council Certification, Towards Sustainable mining and the ICMM Performance Expectations (PEs). For example, the ICMM PE 3.3 focuses on implementing, based on risk, a human rights and security approach consistent with the VPSHR. In 2023, onsite third party validations were completed for 12 of our priority operating and refining assets and included validation of the Rio Tinto corporate self-assessment. The most recent self-assessment or third party validation outcomes are outlined in the 'ICMM PE Summary' tab in the *2023 Sustainability Fact Book*.
- The Aluminium Stewardship Initiative has a criterion focused on ensuring an entity respects human rights in line with recognised standards and good practices in its involvement with public and private security providers – no non-conformances were identified with this criterion in 2023. The Copper Mark has a criterion focused on implementing the VPSHR when engaging private or public security forces – no non-conformances were identified with this criterion in 2023.
- One of our security service providers in Australia supplies 90 unarmed security officers to provide 24/7 security at 25 Rio Tinto Iron Ore (RTIO) accommodation villages in the remote Pilbara region of Western Australia. We first engaged the supplier for this work in 2022. While RTIO operations are not located in high-risk or conflict-affected countries, during contractual negotiations in 2023, we were able to update contract conditions to align with our global commitment to the VPSHR by including the requirement for the supplier to maintain (i) compliance with and a commitment to the VPSHR and (ii) that VPSHR training must be completed on an annual basis.
- Suzhou, Wilmington and Coudekerque are progressing to identify human rights risks, update their security management plans and finalise the VPSHR training.

D. Lessons and opportunities

16. Lessons and opportunities to advance the Voluntary Principles on Security and Human Rights

In 2023, our efforts to further strengthen our security and human rights governance framework and implementation of the Voluntary Principles on Security and Human Rights (VPSHR) included:

- Further developing of site capacity to implement our *Security Group Standard* and supporting procedures.
- Reviewing security weapon approvals and controls for our business operations globally.
- Reviewing existing online training materials to ensure they are fit for purpose for a wide audience.
- Supporting the Group-wide initiative to strengthen our internal assurance processes by seeking to ensure aspects of security and human rights are effectively covered.

Working more closely with joint venture partners, in particular at non-managed joint venture sites and operations, will be a key focus area for the business in the coming years.

We are actively engaged in negotiating MoUs with public security forces at some of our operations (please see page 11 for more information). While we acknowledge these negotiations do not always result in a signed MoU, this does not detract from our commitment to having meaningful discussions with relevant agencies in these jurisdictions. Ultimately, our goal is to enhance awareness of the VPSHR, help ensure a clear understanding of Rio Tinto's commitments and expectations and contribute to security arrangements that are rights-respecting.

We are also fully committed to working with our peers and other members of the VPI to drive greater awareness of the Voluntary Principles, which includes active participation in in-country working groups and supporting the development of tools and training material as required.

Simandou project, Guinea

Engagement of public security forces

We engage Guinean security forces (GSF) at our Simandou project, to protect our people and assets aligned with Guinean regulations. This is important given security risks in and around the project footprint.

In 2023, an internal assessment highlighted the possibility incidents such as violent site invasion and armed attack may occur during the construction or operations phase of the project, and that these incidents may be beyond the capability of the Simandou project's security team to manage. The GSF's presence is a proportionate measure to mitigate such risks, and to deploy public security forces' techniques and procedures to restore public order, if required.

The assessment also highlighted public order training for the GSF may help mitigate or reduce the risk of human rights harms. Our Simandou project has commissioned a further assessment to be completed in the first half of 2024, to better understand potential training options and risks associated with providing public order policing and riot control training to the GSF within the context of the VPSHR. The assessment will be used to better inform our approach to public security forces engagement and training to support our Simandou project.



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