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# Voluntary Principles on Security and Human Rights

## Annual Report to the Voluntary Principles Initiative 2022

Our operations are located on land and waters that have belonged to Indigenous peoples for thousands of years. We respect their ongoing deep connection to, and their 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.

This Report is part of Rio Tinto's broader annual reporting on sustainability performance and human rights. To read more about Rio Tinto's human rights approach, visit our website [www.riotinto.com](http://www.riotinto.com).

### About this Report

We have prepared this Report as part of our membership requirements under the Voluntary Principles Initiative and part of 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 (VPI) 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).*

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## Introduction

We operate in 35<sup>1</sup> countries where our 54,000 employees 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 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 following 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 of public officials is important to promote respect for human rights.

As we enter our twenty-second year of being a VPI member, we continue to support the development of the VPSHR into a truly global standard. This includes working towards both home and host governments strengthening their commitment to implementation and working together so that companies in the extractive sector, and their security providers, are better able to operate with respect for human rights.

Key achievements in 2022:

- Improving the delivery of VPSHR training to our security personnel, with training modules now available in five languages.
- Developing a control framework to implement armed security controls on vessels transiting through the High-Risk Area of the Gulf of Aden and Red Sea 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 VPSHR

To make our VPSHR learning modules more accessible to our security personnel, in 2021 we developed a suite of VPSHR e-learning modules. These 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. The content was initially available in English and French, and in 2022, we expanded to Spanish, Portuguese and Serbian. By the end of 2023, we intend to have the learning content available in Mongolian and Indonesian.

## 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](#)<sup>2</sup> and on our [human rights webpage](#). Our commitment to the VPSHR is set out in this Policy and in our global Code of Conduct, [The Way We Work](#).

<sup>1</sup> 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.

<sup>2</sup> The Rio Tinto Human Rights Policy and Communities and Social Performance Standard were updated in 2022. Group Security were consulted as a key stakeholder on these updates.

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, [the International Council on Mining and Metals \(ICMM\) 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 licence to operate by building strong relationships with local communities, our people and business partners. To help avoid security-related human rights violations, 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 training modules on the VPSHR, available through e-learning, face-to-face delivery and e-modules, which is mandatory for all private security personnel. Our introductory Group-wide human rights online 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 Security Area of Expertise (Group Security) 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 2022, 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 reviews<sup>3</sup> to working 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 workstreams across functions within our organisation. This involved our security advisors 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 our website.

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](#).

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<sup>3</sup> 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/operation security function to the Rio Tinto internal governance framework.

### 3. Engagement in the VPI

In 2022, we participated in the following activities, meetings and working groups:

- Online VPI meetings.
- Canadian Government working groups on the VPSHR meetings.
- Online VPI Corporate Pillar meetings.
- In-country working groups (eg, Brazil).
- Peer reviews as scheduled by the VPI.
- The [VPI strategic review](#) through interviews and by providing feedback.

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 VPSHR throughout the organisation

In 2022, 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.
- Implementing the following standards and procedures:
  - Security Standard.
  - Communities and Social Performance 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).
- Developing and delivering online VPSHR training for business leaders, site security champions, private security personnel, CSP personnel and joint venture partners operating in higher-risk jurisdictions.
- 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.
- Supporting sites with due diligence checks, contracting and training of private security providers.
- Training our internal security auditors to assess site compliance with the Security Standard (including the security and human rights requirements).

### **Commercial, Marine**

#### ***Deployment of armed private maritime security controls on vessels transiting High-Risk Area of the Gulf of Aden and Red Sea***

In 2022, our Commercial function's Marine team indicated a desire to recommencing vessel transits by Rio Tinto-owned and Time Charter (TC) vessels through the High-Risk Area of the Gulf of Aden and Red Sea, which may require the implementation of armed security arrangements provided by maritime security companies. In support of this business decision, Group Security conducted a Security and Human Rights review to confirm the justification for the use of armed security controls and conformance to the Rio Tinto Security and Human Rights governance framework.

The review proposed a control framework to support adherence to our Security and Human Rights Group procedure. It also assessed that adherence to the Security and Human Rights Group procedure and full implementation of recommended controls should enable Rio Tinto to meet its commitments under the VPSHR.

Group Security will engage in assurance activities during 2023 to verify that the above control framework has been effectively implemented.

## **5. Promoting and advancing the implementation of the VPSHR internationally**

In 2022, 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 our joint ventures in Brazil, Colombia and Angola.
- 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, and further the goals of industry initiatives such as the VPSHR.
- Meeting with extractive industry peers considering membership 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 have been a particular focus of Group Security during 2022.

### **Supporting joint venture partners in VPSHR 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 on-site assessments of security and human rights risks, development of a VPSHR implementation plan and coaching. In 2023, we plan to financially support the embedding of a specialist resource with VPSHR knowledge with our joint venture partner to continue the implementation of the agreed implementation plan.

## 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 VPSHR is also supported by the following:

Policy, procedure, or related activity	Intent
<b>Security Standard</b>	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.
<b>Security and safety weapons and firearms Group procedure</b>	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/or safety purposes.
<b>Security and human rights Group procedure</b>	Ensures that our business security practices and arrangements respect human rights, with particular emphasis on: <ul style="list-style-type: none"> <li>• Implementing the VPSHR (including risk analysis and engagement with public and private security providers).</li> <li>• Working with external stakeholders, including public and private security providers, to promote understanding and implementation of the VPSHR.</li> <li>• Imposing controls to manage the deployment of security weapons, firearms and K9 security.</li> <li>• 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.</li> </ul>
<a href="#">CSP Standard</a>	In addition to more general human rights provisions, requires collaboration at all sites between Security and 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.
<a href="#">Supplier Code of Conduct</a>	Sets expectations of our suppliers (including our security providers) to uphold fundamental human rights, including promoting humane treatment and preventing harassment and unfair discrimination.
<b>Know your third-party procedure</b>	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.
<b>Joint Venture Standard and procedure</b>	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 <a href="#">Human Rights Policy</a> . 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 the Human Rights Policy.

<b>Health, Safety, Environment &amp; Security (HSES) incident management Group procedure</b>	Sets out the process to investigate and manage work-related injuries and illnesses, including security incidents.
<a href="#"><u>Statement on the role of civil society organisations</u></a>	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 VPSHR

Group Security uses a combination 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 2022, 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 the business' 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 1,500 security personnel on the VPSHR in 2022:

<b>Product group/function</b>	<b>Security personnel trained</b>
<i>Aluminium</i>	48
<i>Copper</i>	439
<i>Corporate</i>	26
<i>Development &amp; Technology</i>	72
<i>Iron Ore</i>	88
<i>Minerals</i>	859
<b>Total</b>	<b>1,532</b>

### Tracking progress on implementing our Security Standard

In 2021, we developed a Security Workbook as part of our annual Social and Environment (S&E) survey, with the aim of improving internal visibility over the implementation of the Security Standard at our operations. In 2022, operations were required to take part in this survey by self-reporting on a number of questions, including, but not limited to, 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 two years' reports to improve compliance and tailor our security and human rights support to operations.

## 8. Risk assessment

Our Security 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. They also take 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 methodology used for this assessment involves the collection and review of relevant information and engaging with multi-disciplinary representatives (such as CSP, Human Resources, HSES, Security, Operations and Procurement) to help analyse security risks, as well as 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 analyses to:

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

By working with the Risk AoE, Group Security has developed a security risk taxonomy, with associated security risk controls, including controls related to security and human rights risks, and have included these 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 and CSP functions (amongst others), 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 (joint venture), Guinea** ***Security risk management in line with the VPSHR***

In advance of the development of the Simandou Project, Group Security partnered with the project leadership team to develop and implement controls, and proactively manage security and human rights risks to the project. These controls included:

- Conducting comprehensive security risk assessments, inclusive of human rights risks, as required under the Group Security Standard.
- Developing a local security function structure that is commensurate with the project's risk profile, to help enable security risks to be effectively managed.
- Recruiting candidates with demonstrated experiences in implementation of VPSHR in challenging environments was a mandatory selection criterion for recruitment of candidates for the Simandou Project Security Function, who are accountable for the delivery of security and human rights-related deliverables as part of the security strategy.
- Supporting the Simandou Project Security Function in the development of a suitable governance framework, aligned to the Group Security standard and supporting procedures.
- Developing VPSHR training plans and in-country delivery of VPSHR training through the Group Security or appropriate 3rd parties.
- Delivering human rights training to senior management and joint venture partners.
- Conducting an initial human rights risk assessment and commenced a process to conduct an independent human rights impact assessment in 2023.

Group Security will engage in assurance activities during 2023 to verify that the above control framework has been effectively implemented.

## 9. Incident reporting

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 programme, which is available to our people, suppliers (and their employees), community members, other stakeholders and the public to bring allegations of issues and inappropriate behaviour to the attention of senior management. Subject to local law, reports to myVoice can relate to any topic, including concerns about material violations of laws or company standards, policies or procedures – this 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 site community complaints, disputes and grievance mechanisms** – these local mechanisms are required under our CSP Standard and are to be designed and operated in line with the UNGPs' criteria for effective operational-level grievance mechanisms. This includes being publicly available, locally appropriate and easily 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.

### Reviewing our grievance mechanisms

Effective complaints and grievance management is an important part of building and maintaining respectful and trusting relationships with host communities and other stakeholders. Our CSP 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 will continue in 2023, along with the creation of an internal community of practice to support practitioners on grievance management.

In 2022, 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 the actions from the internal audit and work with Group Internal Audit to provide further 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.

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 improve this process. Simultaneously we continue to engage through the VPI to learn about best practices and benchmarking with our peers.

## C. Country implementation

### 10. Overview of country operations selected for reporting

In 2022, Group Security was able to enhance or support the implementation of the VPSHR at the following sites or functions:

#### Exploration, Angola

##### *Training to private security service providers on the VPSHR*

In late 2021, we acquired the exploration rights to the Chiri project in Angola, which is a joint venture with a state-owned entity, Endiama, which represents the Angolan Government's interests in the project.

Prior to the commencement of project activities in early 2022, we engaged a third party to conduct an in-depth security and human rights assessment of the project and provide us with a recommended approach to manage security and human rights risks in line with our commitments to the VPSHR.

As part of the security plan for this project, we made the decision to deploy unarmed private security personnel at the project site. Aiming to ensure that all security personnel deployed on this project were trained on the VPSHR, we had the VPSHR e-learning modules translated into Portuguese, allowing delivery in the local language to all security personnel.

#### QMM, Madagascar

##### *Due Diligence on Enhanced Security Controls*

During 2022, a general deterioration of the social and economic contexts in Madagascar's Fort Dauphin region led to an increase in the frequency of security incidents, including attacks on security personnel. This led to a decision by the operation's leaders to enhance security visibility and effectiveness, including additional protection for security personnel, through the deployment of security dogs.

In line with our security and human rights Group procedure, Group Security conducted an onsite assessment to assess the operation's security requirements, as well as embed a clear understanding by QMM security team of the controls required in the implementation of security dogs. The review focussed on meeting both Rio Tinto's commitments under the VPSHR and industry best practice relating to the use of security dogs and recommended a control framework to meet these requirements.

Group Security will engage in assurance activities during 2023 to verify that the above control framework has been effectively implemented.

## 11. Engagements with stakeholders on country implementation

See sections 4, 5 and 10 for details.

## 12. VPSHR 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 (KYTP) procedure. In addition to the know KYTP 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. 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/or firearms used for security purposes (if applicable).
  - Legal and/or 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 requires respect for human rights. Our standard global supply contract and purchase order terms and conditions, as well as our Marine chartering contracts, include modern slavery provisions.

Group Security continues to support sites (as required) with the selection and contracting of private security providers with 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 Standard and Security and safety weapons and firearms procedure, the use of firearms (from private and public security) in support of Rio Tinto security must be explicitly approved by both our Chief Advisor Group Security 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 Chief Advisor Group Security.

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/or security personnel in support of sites/projects and ensuring that conflict prevention strategies are in place (such as community and employee engagement).

Our controls aim to ensure that 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 and/or firearms is justified in a given context. This process requires that Group Security returns on site every two years to re-assess and report on the need to use (or not) 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.

### **13. Engagement with Public Security Forces**

Sites intending to establish a formal agreement or a memorandum of understanding (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 Chief Advisor Group Security 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 ensure that any support, equipment loan/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/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 all 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 no active MoUs with public security forces. However, we are in the process of exploring the option for MoUs at three of our operations, of which one will be a third renewal:

- Madagascar – Awaiting final acceptance of 3<sup>rd</sup> renewal.
- Guinea – Being developed.
- Indonesia – Under internal development.

## **Simandou project, Guinea**

### ***Engagement of Public Security Forces***

In 2022, Group Security was engaged for the Simandou Project to conduct a review of its intention to engage Guinean Security Forces (GSF) to protect the Simandou project's people and assets as:

- There is a national legal requirement to engage GSF to protect mining projects/mine sites; and
- An internal security risk review of the Simandou project highlighted that security risks are present in the project footprint that may require Simandou to engage GSF as a mitigation for identified security risks.

The review was conducted in accordance with Rio Tinto's internal governance framework related to security activities. We assessed the applicability and effectiveness of the planned deployment of armed GSF personnel and concluded that given the threat context, the deployment of GSF as an additional security control is justified as it:

- Forms part of a multi-layered security control framework designed to manage material security risks to people and assets; and
- Meets legal requirements.

The review recommended the implementation of a control framework aiming to ensure adherence to the Rio Tinto security and human rights Group procedure, which will ensure Rio Tinto's commitments to the VPSHR are met. Specifically, the review recommended:

- The implementation of a process for risk management and accountability
- That engagement with, and support to the GSF, should be through an MoU and in compliance with the VPSHR
- The effective implementation of physical security controls in addition for support from GSF; and
- The process should be in compliance with Rio Tinto business integrity procedure.

Group Security will engage in assurance activities during 2023 to verify that the above control framework has been effectively implemented.

## **14. Examples of supporting outreach, education and/or 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.
- Web-based security and human rights training animation available to all of our people to promote awareness of the VPSHR (available in English and French).

## **15. Company procedure to review progress on implementing the VPSHR 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 the Group Security 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 all sites every two years. During these audits, compliance with the Rio Tinto Security 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 CSP 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. For example, the ICMM Performance Expectation 3.3 focuses on implementing, based on risk, a human rights and security approach consistent with the VPSHR. In 2022, we disclosed self-assessment outcomes for 29 of our operating assets as against all ICMM performance expectations. Our assets are at various stages of implementation as outlined in the Sustainability Fact Book.
    - Rio Tinto Iron Ore (RTIO) operations are not located in high-risk or conflict-affected countries; however, an opportunity to include adherence to the VPSHR was identified. Work is well progressed to implement this improvement.
    - Suzhou, Wilmington and Coudekerque are progressing to identify human rights risks, update their security management plans and finalise the VPSHR training. Further, 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 2022. Additionally, 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 2022.

## D. Lessons and issues

### 16. Lessons and opportunities to advance the VPSHR

In 2022, our efforts to further strengthen our security and human rights governance framework and implementation of the VPSHR included:

- Further developing of site capacity to implement the Rio Tinto Security 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 ensuring that 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. 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.