

2019 Voluntary Principles on Security and Human Rights report

1. Commitment and endorsement

As a company committed to high standards across sustainability and to running a safe, responsible and profitable business, Rio Tinto is a proud founding participant of 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 fully 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 both training and effective supervision to carry out their duties with respect for human rights.

It follows that we would like to see the VPSHR continue to develop into a truly global standard. This includes working towards both home and host governments strengthening their commitment to implementation and working together to ensure that companies in the extractive sector, and their security providers, are able to operate with respect for human rights.

Our commitment to the VPSHR is set out in Rio Tinto's Group-wide [Human rights policy](#) and [The way we work](#), our global code of business conduct. Our security and human rights work is guided by our broader human rights approach, which is set out in our [Human rights policy](#). This includes that we respect and support human rights consistent with the Universal Declaration of Human Rights. Our [policies and standards](#) on Employment; Health, Safety, and Environment; Communities; and Inclusion and Diversity also contain human rights commitments, including relating to security and human rights.

In 2019 we published our third [Modern Slavery Statement](#), which complies with the UK Modern Slavery Act and, from 2021, will comply with the Australian Modern Slavery Act. In [our statement](#), we outline the policies, standards and processes that contribute to our control framework to respect [human rights](#) and help protect against our involvement in modern slavery. We also explain how we assess and mitigate modern slavery risks, how we track our performance, how we collaborate with stakeholders and how we build capacity around these issues. Our 2019 Modern Slavery Statement included information on our work with security providers to help them to identify red flags for modern slavery, including trafficking.

In addition to the VPSHR, we implement the [UN Guiding Principles on Business and Human Rights](#) (UNGPs). We have also voluntarily committed to upholding a range of other international standards and guidelines, including the [OECD Guidelines for Multinational Enterprises](#) and the [UN Global Compact](#).

The actions we take to respect human rights help us maintain our licence to operate by building strong relationships with local communities, employees, and business partners. Our human rights performance is referenced in our online [Annual report](#) and [Sustainable development report](#). You can also read about how our VPSHR commitment ties into our communities and social performance work in [Why human rights matter](#).

To avoid human rights violations through our security arrangements, we continue to conduct security and human rights analyses of our security operations, and we ensure relevant employees and contractors are trained in accordance with these principles. We provide practical guidelines, toolkits, and training on implementing the VPSHR. Our online VPSHR training is also mandatory for all security personnel at high-risk sites, and is strongly

recommended for all other Rio Tinto businesses. Security and human rights information is also included in our Human Rights Training Programme for our business leaders and managers.

We impose strict controls on the use of force and minimise the use of armed security at our sites. We work with external stakeholders, as well as public and private security providers, to promote understanding and implementation of the VPSHR.

In 2019, Rio Tinto Group Security and Business Resilience (Group Security) employed one person dedicated to supporting sites with VPSHR implementation, supporting conflict prevention, and continuing to strengthen Rio Tinto's security and human rights governance framework. Group Security also works closely with our human rights specialists within our External Affairs and Communities team in Corporate Relations implementing Rio Tinto's broader human rights approach.

2. Transparency

We report annually on our human rights performance (inclusive of security and human rights implementation) through our online [Annual report](#), [Sustainable development report](#) and [Modern Slavery Statement](#).

In 2019, Rio Tinto's [VPSHR report](#) was published online at [riotinto.com](#) and made publicly available by the [Voluntary Principles Initiative \(VPI\)](#). We are committed to ensure our communities, business partners, investors and governments understand our approach to respecting human rights through our security arrangements. To that end we have committed to publish a full VPSHR report annually.

Also in 2019, for the second year running, we were ranked as the top extractives company and second overall in the [Corporate Human Rights Benchmark](#). We were also included in the Dow Jones Sustainability Index Metals & Mining Sustainability Leaders group and the [FTSE4Good indices](#). All of these benchmarks and indices include specific indicators around security and human rights. We welcome inclusion in these initiatives but know we still have more work to do to make sure we maintain and improve our human rights performance.

In 2019 we also strengthened how we manage human rights-related workstreams across functions within our organisation. This involved our human rights specialists working more closely with teams such as [Ethics & Integrity](#), [Procurement](#) and [Marine](#) to help identify, manage and address human rights risks, including relating to security and human rights.

3. Engagement in the VPI and VPSHR

In 2019, Rio Tinto participated in the following VPSHR activities, meetings, and working groups:

- Attended the 2019 Annual VPs Plenary Meeting in the United Kingdom, as well as meetings of the Australian and Canadian Government Working Groups on the VPSHR.
- Participated in the VPI Cross Pillar Training Working Group that developed the [VPSHR training course for public and private security providers](#).
- Participated in online Corporate Pillar Meetings (throughout 2019).

4. Efforts to promote awareness of the Voluntary Principles throughout the organisation, including within the value chain

2019 efforts to promote VPSHR awareness throughout Rio Tinto included:

- Strengthening our security and human rights governance framework and implementation of the VPSHR by:
 - Revising our Security standard, Security risk analysis and management group procedure (inclusive of security and human rights risks and mitigating controls), and Security and Safety weapons and firearms group procedure.
 - Compiling a new Security and human rights group procedure to ensure clear requirements and mandatory implementation of the VPSHR at our operations, globally.
- Ongoing site visits and engagement with high-risk sites on security and human rights issues by our Group Security team
- Supporting priority sites with security risks analysis and management (inclusive of security and human rights risks)
- Delivering and maintaining VPSHR training for business leaders, persons responsible for security, private security personnel, and public security forces (see Section 13 for details)
- Providing guidance to sites and business resilience teams (BRTs) on conflict prevention and mitigating security and human rights risks
- Supporting sites with due diligence checks, contracting, and training of private security providers
- Training our internal security auditors to assess site compliance on Rio Tinto Security standard implementation (inclusive of security and human rights requirements)

5. Efforts to promote and advance implementation of the VPSHR internationally

2019 efforts to globally promote and advance VPSHR implementation included:

- Participating in International Council on Mining and Metals Security and Human Rights Working Group meetings, as well as ICMM multi-stakeholder meetings around business and human rights horizon scanning.
- Participating in the 2019 Annual UN Business and Human Rights Forum.
- Supporting the Australian Red Cross (ARC) with the design and review of an online training module on Security, Armed Conflict and International Humanitarian Law, to be used by the ARC to compliment understanding and implementation of the VPSHR in conflict-affected countries, or countries at risk of experiencing armed conflict.
- Sharing VPSHR best practices with ALCOA Corporation.

Our Group Security and Corporate Relations functions continue to engage with stakeholders such as governments, civil society, and investors on our security and human rights approach including through publications, briefings, participation in broader business and human rights events and responses to general and specific queries.

6. Relevant policies, procedures, and/or guidelines

Further to our [Human rights policy](#) and [The way we work](#), implementation of the VPSHR is supported by the following:

- The *Rio Tinto Security standard*: Outlining the Group-wide requirements to protect our people, assets, information (non-digital), and reputation in line with the VPSHR and respecting the rights of those affected by our security arrangements.
- The *Rio Tinto Security and safety weapons and firearms Group procedure*: Specifying 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.
- Newly developed *Rio Tinto Security and human rights group procedure*: Ensuring that our business security practices and arrangements protect and respect human rights, with special emphasis on:

- Implementing the VPSHR (including risk analysis, engagement with public security forces, and engagement with our private security suppliers).
- 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 dogs.
- Proactively identifying and managing business practices and decisions that may result in conflict with stakeholders, thus eliminating the need for armed security intervention and potential for force abuse.
- Our [Communities and social performance \(CSP\) standard](#): requires all sites to ensure that site Security and CSP functions collaborate to implement the VPSHR as they relate to local communities, relevant to local and operational context. Guidance notes and processes on social risk analysis and environmental and social impact assessment also make it clear that security and human rights risks should be included as part of community and social performance practices.
- Our *Supplier code of [conduct](#)* which sets expectations of our suppliers to uphold fundamental human rights.
- The *Know your supplier procedure*: 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 providing services to Rio Tinto.
- The Rio Tinto *Security and human rights toolkit* including guidelines on the use of force and engagement with public security forces; template training plans; security and human rights clauses for agreements with security providers; and checklists on private and public security weapon and firearm controls.
- Rio Tinto *Security and human rights training* (see Section 13 for details).
- Rio Tinto *Joint Venture (JV) Participation Policy* highlights that we strive to ensure our JV partners and the non-controlled companies in which we participate respect our commitments to uphold human rights and engage with the same level of rigorous focus on corporate integrity.
- Rio Tinto's statement on the [Role of Civil Society Organisations](#) which recognises the valuable role that civil society organisations can play in supporting and advocating for responsible business conduct and supports 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 employee implementation of the VPSHR. These include site visits, coaching, internal audits, VPSHR training delivery, and 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. (Refer to Section 13).

8. Company procedure to conduct security and human rights risk assessments

Group Security continues to provide implementation support to all Rio Tinto sites where security and human rights assistance visits have been conducted in the past nine years, and to all sites considered to be at high or critical inherent security and human rights risk. A combination of security and human rights reviews, firearm decision reviews, security risk analyses, and incident reporting and investigation is used to identify and assess potential security and human rights issues.

We understand that these steps must include gaining a greater understanding of the security and human rights situation. This is achieved through a range of actions, from examining the preparedness of security personnel to respond to a security and human rights incidents,

through to interviews with key external stakeholders, such as local government officials, local police, and military commanders, our private security suppliers, and local community leaders. These interviews occur in consultation with local and group security, as well as communities and social performance teams (amongst others), to encourage both local ownership and alignment with Group-wide standards.

Mandatory annual site security risk analysis and management requires our sites to identify risks linked to abuse of force, weapons, firearms, and potential human rights abuse.

Our risk assessment methodology also involves the collection and review of relevant information and engaging with multi-disciplinary representatives (e.g. Communities & Social Performance, Human Resources, HSE, Security, Operations, Procurement, and Security providers - as required by the local context) to help analyse security risks, as well as identify and analyse the potential for violence, conflict, and security and human rights abuses.

If relevant, sites are obliged to implement adequate controls to manage these risks effectively. Group Security also uses the results of 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

Our procurement process for the contracting of security suppliers include a due diligence check and analysing the human rights performance of all private security providers, as required by our *Know your supplier procedure*.

9. Engagements with security forces

Procedure or mechanism to report security-related incidents with human rights implications by public/private security providers relating to the company's activities:

Security and human rights incidents continue to be reported through our incident reporting system, as well as through [Talk to Peggy](#) – a confidential, free, and independently operated multilingual whistleblowing service that allows employees, contractors, suppliers, community members and customers of Rio Tinto to report suspicion of violations of Rio Tinto's policies and procedures (including human rights violations), to senior management.

Under our [Communities and social performance \(CSP\) standard](#), all sites must have a complaints, disputes and grievance mechanism, which may also be used to address security and human rights complaints. These procedures must be operated in line with the criteria of effectiveness for operational-level grievance mechanisms in the UNGPs. This includes being publicly available, locally appropriate, and easily accessible to all community members affected by Group operations and businesses. 2020 targets require all sites to have effective capture and management of community complaints, and year-on-year reduction in repeat and significant complaints.

Any security and human rights incident reported is automatically escalated to the Group Security team. Our *Group procedure on 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).

Procedure to consider the VPSHR in entering into relations with private security providers:

Please refer to section 12.

Procedure or mechanism to investigate and remediate security-related incidents with human rights implications by public/private security providers relating to the company's activities:

Our *Security and human rights group procedure* requires our sites to report, record, and investigate (as necessary) 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 (IHL), as well as any discharge, accidental discharge, pointing, injury, damage, allegations of unsafe or unauthorised use, force abuse, or legal inquiry resulting from the use of security weapons, firearms, or dogs.

Our business leaders, Group Security, and Group Ethics & Integrity functions are committed to fully supporting and cooperating with any resulting inquiry or investigation, and we expect our security providers (private or public) to do the same. This includes implementing the measures necessary to limit, reduce, prevent, or deter reoccurrence of such an allegation or incident.

Direction on the identification, reporting and investigation of potential breaches of [The way we work](#), our policies, procedures or laws by any Rio Tinto employee, contractor, or security supplier, or business partner are provided in our Group Ethics & Integrity's *Investigations procedure* and *Investigations manual*. This includes wrongdoing that impacts human rights.

10. Overview of country operations selected for reporting

In 2019, Rio Tinto VPSHR training was delivered to our business operations and/or security providers in Madagascar, South Africa, and Jamaica:

- Madagascar, QMM operations: In October 2019, Group Security delivered a three-day VPSHR course to 24 participants – including QMM's security team, the site's private security providers, local police, the Gendarmerie, and local community organisations. The training increased participants' knowledge, skills, and ability to perform their security tasks in a way that respects human rights, and supports implementing the VPSHR.
- South Africa, Richards Bay Minerals (RBM) operations: In August 2019, Group Security delivered a two-day VPSHR course to 25 participants – including the RBM security team and the site's private security provider.
- Jamaica, Mt. Rosser Remediation Site: A one-day VPSHR course was delivered on 28 October 2019 to 22 participants – including the Mt. Rosser management team and the site's private security provider. The training increased participants' knowledge and understanding of security roles and responsibilities and the use of force, weapons, and firearms.



Image 1: Rio Tinto French VPSHR course participants – 22 to 24 October 2019, QMM, Fort Dauphin, Madagascar.



Image 2: Rio Tinto VPSHR course participants – 28 October 2019, Mt. Rosser Remediation Site, Jamaica.

11. Engagements with stakeholders on country implementation

Please refer to sections 4, 5, and 10.

12. VPSHR considerations in the selection of private security providers and formulation of contractual agreement with private security providers, as well as arrangement with public security forces

Working with private security suppliers

Rio Tinto's *Security supplier management guidance notes* expand on Rio Tinto 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 assess relevant security supplier pre-qualification requirements, including:

- Criminal background checks on personnel providing services to Rio Tinto.
- Management system that contains security procedures, a drug and alcohol policy, and code of conduct.
- Employee selection procedure that includes: pre-employment medical screening, assessment and fitness for work evaluation, and confirmation of employee competencies and qualifications.
- A formal process for reporting and investigating incidents.
- Legal and/or regulatory compliance to provide professional or security-related services (eg security provider registration, weapon and firearm licensing).
- Results from due diligence investigations conducted by Group Ethics & Integrity as part of our *Know your supplier procedure*, including allegations of past human rights abuse.
- Security-related technical capabilities and competencies (includes training).
- Adequate control measures to manage weapons used for security purposes (if applicable).
- Adequate control measures to manage firearms used for security purposes (if applicable).

Our sites must also ensure that all contractual agreements with security suppliers include clearly defined roles and responsibilities of both Rio Tinto and the supplier, as well as the competencies and training required. Contractual agreements with suppliers providing guarding services will also include a mandatory signed *Security and human rights addendum* (in use since December 2015) to be respected by the security provider, with 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 human rights section and our updated standard global contract for suppliers now includes a modern slavery clause.

Group Security continues to support sites (as needed) with the selection and contracting of private security suppliers.

Working with public security forces

Our guidance notes on *Engaging public security forces* and *Ad hoc or emergency public security forces support* provide clear guidelines to sites on how to engage and work with public security forces.

Sites intending to establish a formal agreement or a Memorandum of Understanding (MoU) with public security forces, or who wish to provide any type of support to a public security force need to first secure the approval of both our head of Group Security and Business Resilience 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 on site, as well as the risk of providing logistical or financial support. Any logistical or financial support to public security forces also has to be preceded by a local needs assessment to identify where and when there may be a need.

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. Our sites will then take the steps necessary to ensure that any support,

equipment loan/transfer, or funding to public security forces, including support arranged or delivered through third parties:

- do not contravene any recognised laws, regulations, or standards.
- are 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.
- are 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.
- exclude the building of prisons.
- exclude weapons, firearms, or ammunition.
- without clear guidance from home government export licensing departments, avoid equipment that requires end-user certificates (e.g. secure communication sets, bullet or stab resistant jackets, helmets, visors, etc.).
- are recorded and reported to Group Security.

Sites will 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 will also be monitored.

Approval required for armed security arrangements

The use of firearms (from private and public security) in support of Rio Tinto security must be explicitly approved by both our head of Group Security and Business Resilience and the relevant product group or function chief executive. Use of weapons, other than firearms, must also be explicitly approved by the site's most senior leader and the head of Group Security.

Strict preconditions and controls must exist before Group Security approves the use of weapons or firearms (through private and public security agreements). These preconditions include the presence of security risks that pose a direct threat to the life of Rio Tinto employees, contractors and/or security personnel in support of sites/projects and ensuring that other conflict prevention strategies are ongoing (eg community and employee engagement).

Our controls work 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.

13. Examples of supporting outreach, education, and/or training of (i) relevant personnel, (ii) private security, (iii) public security, and/or (iv) civil society (eg local NGOs, community groups)

We communicate our human rights policy internally and externally. Our introductory Group-wide human rights online training includes a section on security and human rights including our VPSHR commitments and there is also a separate, more detailed, security and human rights module. Rio Tinto also has a range of security and human rights training products for different target audiences:

- In-person course on the VPSHR (two days) for security personnel delivered by Group Security (available in English, French, Bahasa, and Mongolian) – strongly recommended for high- and critical-risk locations and compulsory for armed guards.
- Multimedia training package on the VPSHR (one hour) for security personnel (available in English and French) – mandatory for all security guards at critical- and high-risk sites, and strongly recommended for all others. Also available to public security forces.
- Rio Tinto VPSHR Train-the-Trainers Course delivered by Group Security (two days) for sites (available in English) – to build local VPSHR training capacity. The course provides knowledge and skills to facilitate effectively the delivery of the two-day in-person course.
- Web-based security and human rights training animation for all employees, business managers and leaders (six minutes) (available in English and French) to promote awareness of the VPSHR.
- Online use of force, weapons and firearms training for our site security champions (one hour) (available in English) provides the knowledge and understanding required to perform security duties and use force, weapons and firearms in a manner that protects and respects human rights.

14. Company procedure to review progress on implementing the VPSHR at local facilities

Among our processes/activities used to monitor security and human rights implementation:

- Our security risk analysis and management approach includes assessing the adequacy of controls used to mitigate security and human rights risks.
- Site assistance visits conducted by Group Security are aimed at reviewing and optimising local VPSHR implementation and ensuring controls are adequate and effective.
- Our site firearm decision review process includes a review of security and human rights requirements with specific emphasis on strict controls to mitigate the risk for the use of force, weapons and firearms.
- Regular dialogue between Group Security and other key functions including Procurement, External Affairs and Communities within Corporate Relations, also helps to identify Group-wide and local issues in implementing the VPSHR.

In 2015, our board requested a security and human rights audit. This audit was conducted by Rio Tinto Group Audit and Assurance with assistance from KPMG, and an independent subject matter specialist. The audit considered the Group's overall design and effectiveness of governance and internal controls to manage human rights risks relating to security arrangements. Findings of this audit showed that Rio Tinto's overall internal control on security and human rights is "satisfactory". The report noted that minor control weaknesses existed in certain areas, and recommended improvements including:

- The design and implementation of a governance and assurance structure to include monitoring, measuring, and auditing of security providers.
- The need to develop an assurance framework and accountability model to ensure compliance with the Group Security guidance and site assurance visits and firearm decision reviews documents.
- A need for risk assessment and consistent authorisation processes supporting the use of weapons (excluding firearms).
- More consistent reporting of site security and human rights incidents.
- VPSHR guidance, tools, and templates that support a fit-for-purpose Group-wide approach to security and human rights.
- More informative security training for management of high-risk sites.

In addition to building on the controls framework enhancements identified in the 2015 independent audit, we also used the feedback from our security champions, experience, and the findings of our Group-wide HSEC Business Conformance Audits (BCAs) (inclusive of security and human rights requirements) in 2019 to develop our new *Security and human rights group procedure*.

15. Lessons and opportunities for advancement

In December 2019, operations at Richards Bay Minerals (RBM), our titanium dioxide asset in South Africa, were suspended for a short period following an escalation in violence in the communities surrounding our facilities. We are working hard at RBM to maintain strong relationships with key communities around our operations to support our business strategy, operational stability and growth. We are also working in partnership with governments at all levels in South Africa.

2020 Group Security efforts to strengthen further Rio Tinto's security and human rights governance framework and implementation of the Voluntary Principles include:

- Developing the capacity of our sites to implement Rio Tinto's new Security and human rights group procedure.
- Reviewing security weapon approvals and controls for our business operations globally.
- Building an in-house trainer capacity to support sustainable and cost effective delivery of Rio Tinto's VPSHR training.

In 2020, our Group Security team will continue to work closely with our Health, Communities and Corporate Relations teams to ensure that our directives and responses to COVID 19 consider the well-being of the communities and people where we operate. Despite dealing with COVID 19 related challenges, we remain committed to take the steps necessary to implement the Voluntary Principles, and ensure our security arrangements protect and respect human rights.