

Modern Slavery  
Statement  
2022





# Contents

Chief Executive's message	3
2022 performance and future priorities	4
Modern slavery evaluation framework (initial indicators)	5
1. Our structure and business	6
2. Identifying risks	9
3. Managing risks	12
4. Remediation	20
5. Training	22
6. Assessing effectiveness	23
7. Collaboration	24
8. Consultation across our business	25
Appendix 1: Our performance	26
Appendix 2: Governance documents	27
Appendix 3: Reporting criteria and UNGPs	28
Appendix 4: Our 2022 reporting entities	29
About this Statement	31
Cover   QIT Madagascar Minerals, Africa.	

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.



## For more information

about Rio Tinto, see our full reporting suite at [www.riotinto.com/reports](http://www.riotinto.com/reports)



# Chief Executive's message

Treating people with care, dignity and respect – within our business, the communities where we operate, and our supply chains – is at the core of our values. This is also the foundation of our commitment to respect internationally recognised human rights, which includes freedom from all forms of modern slavery.



Sadly, modern slavery is a global issue that occurs in every country where we operate. It exists in almost every industry we work with and can take many forms, including forced labour, debt bondage, forced marriage, human trafficking, deceptive recruiting for labour, and child labour. The latest Global Estimates of Modern Slavery indicates there are currently 50 million victims of modern slavery.<sup>1</sup>

As a global company operating in 35 countries, we have an important role to play in helping to address and prevent modern slavery. This report, in line with UK and Australian modern slavery reporting legislation, highlights how we are identifying and addressing modern slavery risks throughout our business and our supply chains. And although we are not aware of any recorded modern slavery incidents or complaints in our business in 2022, we are committed to looking for ways to improve.

We have been operating for 150 years, and continue to reflect on our past and learn from it. Our new purpose, "Finding better ways to provide the materials the world needs", speaks to our drive for continuous improvement across all aspects of our business, while also emphasising how our work must be delivered – with impeccable environmental, social and governance (ESG) credentials. Respecting the human rights of those most vulnerable is an integral part of this objective.

Internally, we are continuing to strengthen how we assess modern slavery risks and collect, measure and evaluate the impacts of our actions. We are also increasing our focus on educating our workforce – our people are the first line of defence in helping identify and address risks. Externally, we are working with business partners, peers and others to share knowledge and help build capability to manage modern slavery and other labour exploitation risks. This will continue in 2023.

This report is an important opportunity to reflect on our efforts to respect human rights, including the right to freedom from slavery, share our progress and learnings, and recognise where challenges persist and what we can do better.

We welcome your feedback.

A handwritten signature in black ink, which reads "Jakob Stausholm". The signature is fluid and cursive.

**Jakob Stausholm**  
Chief Executive

22 May 2023

1. The Global Estimates of Modern Slavery, published by the International Labour Organization (ILO), International Organization for Migration (IOM) and international human rights group Walk Free, revealed that in 2021, some 50 million people were living in modern slavery: 28 million in forced labour and 22 million in forced marriages. <https://news.un.org/en/story/2022/09/1126421> (Global Estimates 2022).

# 2022 performance and future priorities

In 2022, we made advances in our approach to respecting human rights, including freedom from modern slavery.

Appendix 1 summarises our continued progress against our objectives, recognising our human rights work programme is multi-year.

Preventing and addressing modern slavery risks in our business and supply chains is an ongoing process that requires long-term planning and ongoing vigilance. It also depends on integrated, cross-functional collaboration and external partnerships to help achieve long-lasting change. Strengthening governance, managing risks, building capability and assessing our effectiveness remain our top priorities.

Theme	2022 performance	2023 priorities
Strengthening governance	Rolled out our revised Human Rights Policy and updated the human rights requirements in our revised Communities and Social Performance Standard. Read more on pages 12 and 14.	Continue to embed our responsible sourcing action plan. This includes maturing consistent and risk-based due diligence within our third-party risk management governance structures. Read more on page 15.
	Established the Third-Party Risk Management Committee to provide a forum for senior management and executive decision making on non-financial risks. Read more on pages 10 and 14.	
Managing risks	Completed risk-based due diligence on more than 18,000 third parties, with more than 200 reports (the majority relating to labour rights) escalated for further human rights review. Read more on page 13.	Complete human rights risk assessments (including assessing modern slavery risks) with a focus on assets identified as operating in higher-risk contexts. Read more on page 14.
	Completed 250 inspections (including reviewing for human rights and modern slavery risks) across our portfolio on a risk-based approach. Read more on page 18.	
Building capability	Undertook activities to demystify, integrate and operationalise respect for human rights. Designed and launched a new e-module on modern slavery and labour rights that more than 2,400 employees and contractors completed. Read more on page 22.	Influence and work with our top 20 <sup>1</sup> suppliers to promote respect for human rights through our supplier relationship management engagements and knowledge sharing to enhance due diligence efforts. Read more on pages 15 and 16.
		Develop non-financial risk management capability within Procurement. Read more on page 15.
Assessing effectiveness	Reviewed the design of modern slavery Group-wide controls. Read more on page 23.	Continue to refine and improve our approach to impact measurement. Read more on pages 5 and 23.

1. Defined by spend and strategic importance.



# Modern slavery evaluation framework (initial indicators)

Rio Tinto uses a theory of change model to evaluate the impact of our modern slavery approach. See Section 6 for more information on this model. This guides our priorities, so we focus our efforts on where we may have the greatest impact.

The table below is a model for how we measure our progress. We will continue to refine and improve our approach to impact measurement.

Theme	2022 key activities	2022 outputs (key actions completed)	Outcomes	Intended impact	Reference
<b>Strengthening governance</b>	<p><b>Policies and standards</b></p> <p>Revised our:</p> <ul style="list-style-type: none"> <li>Group-wide Human Rights Policy.</li> <li>Communities and Social Performance Standard.</li> </ul>	<p>Delivered a global internal communications campaign to demystify, integrate and operationalise respect for human rights.</p> <p>Delivered 39 targeted and bespoke internal human rights workshops for higher-risk functions and assets.</p>	Improved awareness and implementation of human rights commitments.	Through effective governance, we have more consistent, aligned and effective human rights due diligence policies, procedures and processes in place to help identify, address, remedy and prevent potential human rights impacts, including modern slavery.	Pages 12, 14 and 20.
<b>Managing risks</b>	<p><b>Third-party risk management (TPRM)</b></p> <ul style="list-style-type: none"> <li>Continued to refine the TPRM process.</li> <li>Established the TPRM Committee.</li> <li>Appointed a Director of TPRM to build additional capacity and lead our Ethics and Compliance third-party risk management practice.</li> </ul>	<p>Undertook over 18,000 third-party due diligence reviews, with 200 escalations to human rights specialists.</p> <p>Senior management and executive decision making on non-financial risks via the TPRM Committee.</p>	Increased the quantity and quality of our in-depth reviews of higher-risk third parties, with decision making by senior management.	Specialist support from human rights subject matter experts provides enhanced due diligence on higher-risk third-party relationships. Use our leverage to promote greater respect for human rights (including freedom from modern slavery) in industry supply chains.	Page 13.
	<p><b>Risk management tools</b></p> <ul style="list-style-type: none"> <li>Enhanced support and training for higher-risk assets on how to complete human rights risk assessments.</li> <li>Developed risk assessment tool.</li> </ul>	Completed human rights risk assessments for three higher-risk assets.	Improved identification and prioritisation of salient human rights risks and impacts at our operations.	Risk assessment process leads to enhanced controls that help us better identify, address, remedy and prevent human rights (and modern slavery) risks at our operations.	Page 14.
<b>Building capability</b>	<p><b>Modern slavery e-module</b></p> <ul style="list-style-type: none"> <li>Developed the module.</li> <li>Rolled out the module to employees and contractors who have greater touchpoints with modern slavery risks.</li> </ul>	Trained 2,407 people in 2022.	90% of participants reported improved awareness and capability to identify and address modern slavery risks.	Increased internal capability and awareness leads to enhanced controls that help us better identify, address, remedy and prevent human rights (and modern slavery) risks.	Page 22.
<b>Assessing effectiveness</b>	<p><b>Group Internal Audit</b></p> <ul style="list-style-type: none"> <li>Reviewed the design of Group-wide modern slavery controls.</li> </ul>	Developed a third-party risk management framework and updated our human rights consequence descriptors and taxonomy.	Improved assurance on our modern slavery governance.	Through effective risk management, we have more consistent, aligned and effective human rights controls in place to help identify, address, remedy and prevent potential human rights impacts, including modern slavery.	Page 23.
<b>Other</b>	<p><b>Human rights collaboration</b></p> <p>Took a leadership role in convening the human rights initiatives of the:</p> <ul style="list-style-type: none"> <li>International Council on Mining and Metals (ICMM).</li> <li>Human Rights Resources and Energy Collaborative (HRREC).</li> </ul>	Hosted and attended the ICMM human rights practitioner workshop in Perth, Western Australia to inform the update to the ICMM Human Rights Due Diligence Guidance. Co-developed guidance on social auditing through the HRREC supplier working group.	Improved awareness and guidance for industry stakeholders, including suppliers, peers and joint venture partners.	Through industry knowledge, sharing and collaboration, we can address systemic challenges that no one company can address on its own.	Pages 20 and 24.

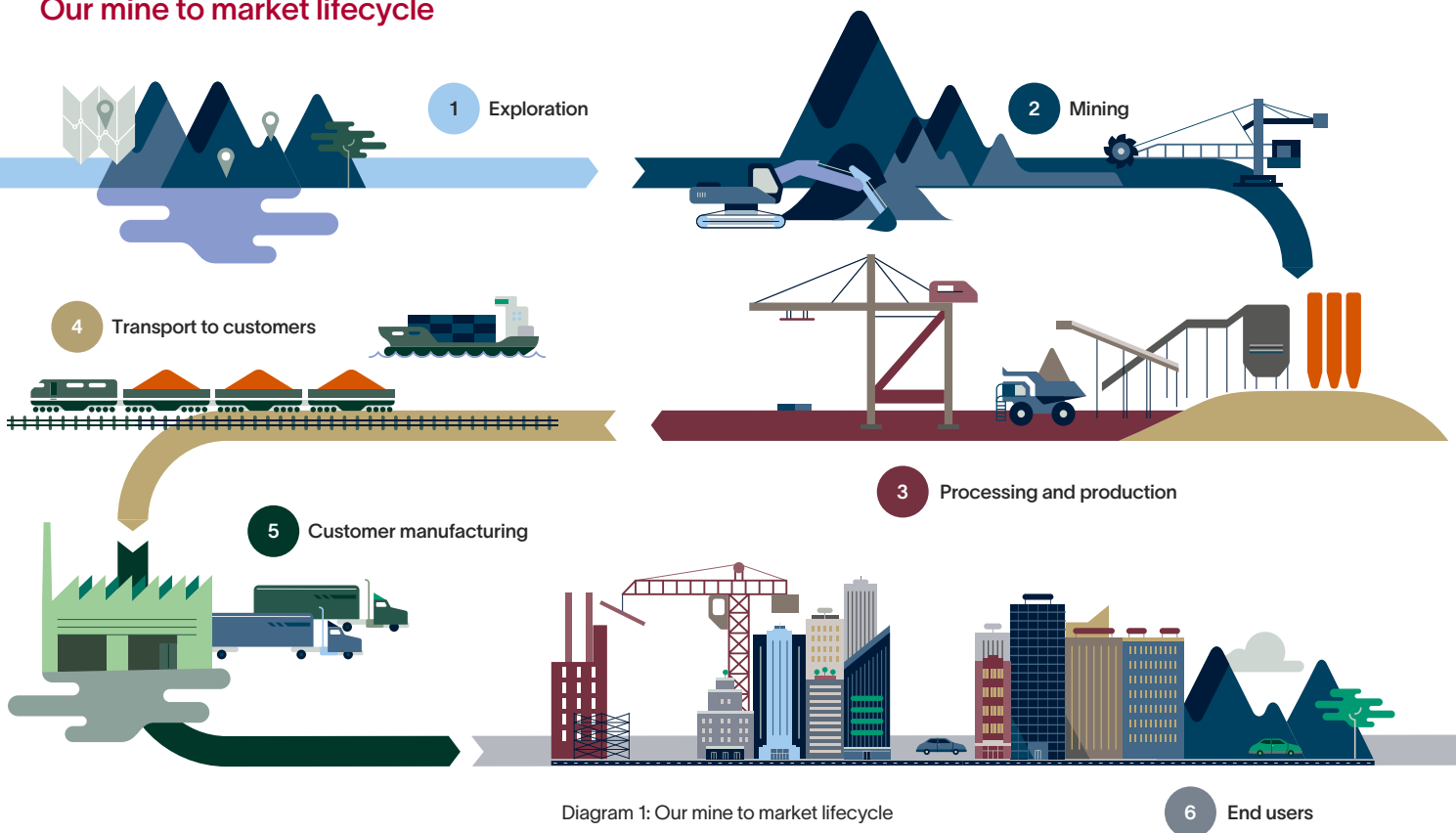
# 1. Our structure and business

We operate in 35<sup>1</sup> countries where our 54,000<sup>2</sup> employees are working to find better ways to provide the materials the world needs. Our portfolio of around 60 operations and projects<sup>3</sup> includes the extraction and processing of iron ore, copper, aluminium, minerals and other materials needed for people, communities and nations to grow and prosper, and for the world to decarbonise and achieve net zero.

We operate as a combined Group consisting of Rio Tinto plc (registered in England and Wales) and Rio Tinto Limited (registered in Australia). We are headquartered in London and Melbourne, with key office locations in Perth, Brisbane, Singapore and Montreal, among other places.

We own and operate open pit and underground mines, mills, refineries, smelters, power stations, research and development and other service facilities. Alongside other delivery partners, we use our own railways, ports and ships to deliver materials to our customers. We have significant operations in Australia, Canada, Africa, Mongolia and the US and important assets elsewhere, including businesses and operations in Asia, Europe and South America. We also invest in a range of other entities through joint venture activities. This includes non-managed operations in Chile, Brazil, Australia, Oman and Guinea.

## Our mine to market lifecycle



Our ability to create value is underpinned by the quality of our assets, the capabilities of our people, our operational and sustainability performance, innovative partnership, and disciplined capital allocation. For more information on our business model, see page 17 of our *2022 Annual Report*.

## Our workforce

Our sustained performance and growth rely on having a diverse and inclusive workforce that is representative of the communities in which we operate and having a workplace where people are valued for who they are and encouraged to contribute to their full potential. We acknowledge research by the Walk Free Foundation that indicates women and girls account for 71% of all victims of modern slavery. Through our broader inclusion and diversity and communities work, we work to address the root causes of modern slavery. For more information about our workforce, including our gender diversity targets and performance in 2022, see page 24 of our *2022 Annual Report*.

## Gender diversity

Representation of women within our workforce

2018	17.7%
2019	18.4%
2020 <sup>4</sup>	19.0%
2020 <sup>4</sup>	20.1%
2021	21.6%
2022	22.9%

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

2. Includes our share of joint ventures and associates (rounded) and excludes contractors.

3. Includes active mine operations, projects, production facilities and power plants.

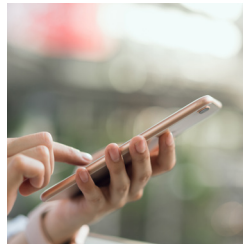
4. Baseline reset with definition for 2020 to 2021 gender diversity.

## Our product groups and locations



### Iron Ore

We are one of the world's leading iron ore producers and exporters. Iron ore is the primary raw material used to make steel. Steel is strong, long-lasting and cost-efficient, making it perfect for everything from wind turbines to skyscrapers and ships. In the Pilbara region of Western Australia, we operate a network of 17 iron ore mines and produce five mainstream iron ore products. This includes the Pilbara Blend™, which is the world's most traded brand of iron ore and makes up approximately 65% of our portfolio. Our Dampier Salt operations in the Pilbara are the world's largest exporter of seaborne salt, produced from evaporating seawater. The operations have the capacity to annually produce up to around 10.3 million tonnes of seaborne salt – most of which is delivered to our customers in Asia and the Middle East.



### Aluminium

Lightweight and infinitely recyclable, aluminium is found in everything from solar panels to electric vehicles and smartphones. Our aluminium portfolio is vertically integrated across Canada, Iceland, Australia and New Zealand, with assets spanning high-quality bauxite mines, alumina refineries and smelters. In Canada and New Zealand, our operations are powered by renewable energy. In the Pacific, our unique position allows us to provide an end-to-end value chain that includes aluminium with a low-carbon footprint, traceable from mine to metal. In Canada, our low-cost, hydro-based aluminium smelters will continue to grow their distinct structural advantages as we move towards a net zero world.



### Copper

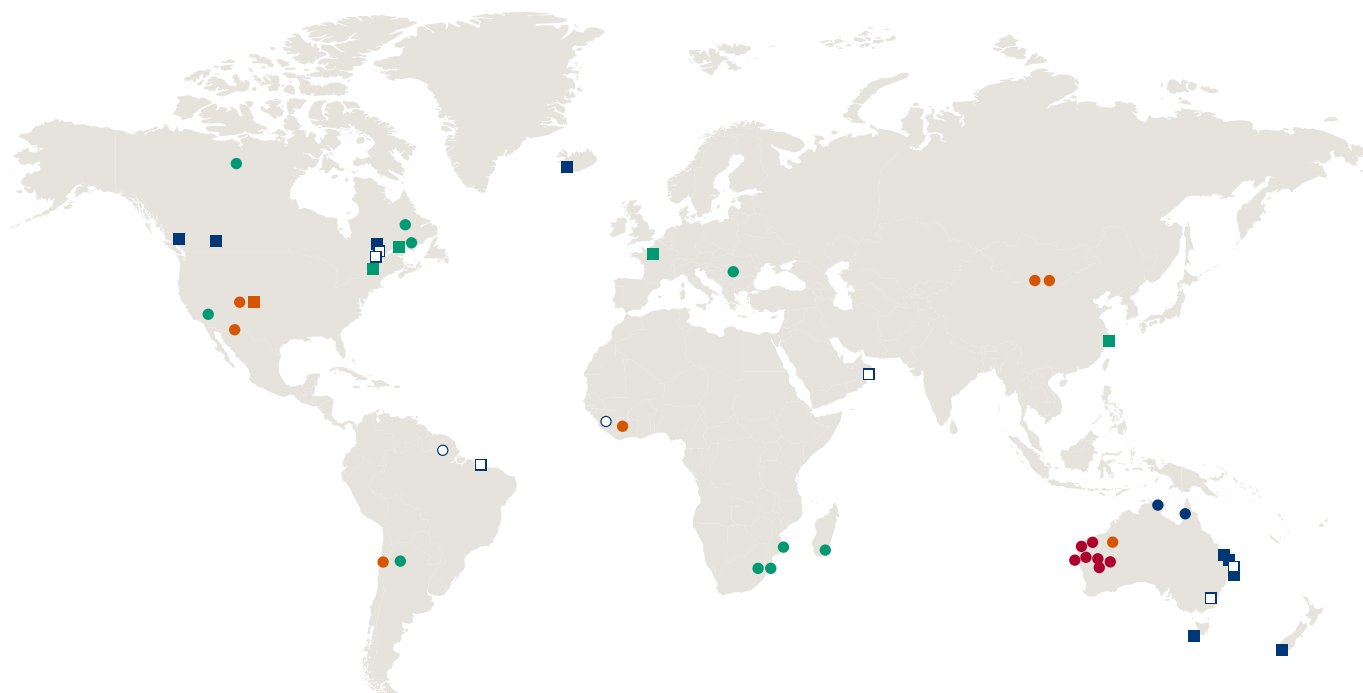
Copper is essential to the transition to a low-carbon future as it plays a key role in electrification and power generation, including in renewable energy and electric vehicles. Our operations span the globe, from Mongolia to Chile to the US, and occupy various stages of the mining lifecycle. With global decarbonisation goals set to drive growing demand for copper and other key commodities, our pipeline of growth projects strongly positions us as a partner in sustainable growth. In addition to copper, our product group also includes the Simandou iron ore project in Guinea, the largest known undeveloped high-grade iron ore deposit in the world.<sup>1</sup>



### Minerals

Our Minerals product group provides materials essential to a wide variety of industries, ranging from agriculture to renewable energy and electric vehicles. We produce high-grade, low-impurity iron ore pellets and concentrate<sup>2</sup>, titanium dioxide, diamonds and borates from our operations in Canada, Madagascar, South Africa and the US. We contribute to Rio Tinto's sustainable growth by unlocking value from our high-grade orebodies and developing new materials. By reprocessing mining waste to extract valuable by-products, we are expanding our frontiers and meeting the increasing demand for critical minerals, such as monazite and scandium. Our product group also includes the Jadar and Rincon lithium projects in Serbia and Argentina, respectively.

See our website for more information about our business, including our strategy, products, projects and operations, locations and our sustainability approach.



- Key**
- Iron Ore
  - Aluminium
  - Copper
  - Minerals
- 
- Mines and mining projects
  - Smelters, refineries, power facilities and processing plants remote from mine
  - □ Non-managed operations

1. Simandou is an iron ore project but is reported under Copper due to the management structure.  
 2. The Iron Ore Company of Canada is an iron ore operation but is reported under Minerals due to the management structure.

## Our supply chains

The goods and services we buy span the mining asset lifecycle, from exploration and construction services when we build assets, to on-site transport, catering and equipment for running our operations and for rehabilitation when we close a site.

### Understanding our Commercial function

Our Commercial team is responsible for procurement (Buy), marine and logistics (Move), and sales and marketing (Sell) activities. They are the key interface between our assets and the market (customers and suppliers), reaching horizontally across product groups and vertically from mine to market.

### Our Commercial activities in 2022

- \$56 billion in revenue.
- 2,000 customers in almost 100 countries.
- ~2,700 voyages.
- 106,000 shipments by rail, truck and containers annually.
- 20,000 suppliers in more than 90 countries.
- More than \$26 billion in contestable spend.

### Buy – supply chains

Our contestable spend<sup>1</sup> is managed by our teams in Procurement, Marine and Logistics, Major Projects, and the business units. With approximately 430 employees in 25 locations, the global Procurement team manages the majority of the spend through a category management approach and business partnering teams. Our Purchase to Pay team provides transactional support for most of the spend.<sup>2</sup>

We work in partnership with our suppliers to manage complex global supply chains in ways that benefit our customers, business and communities. In 2022, we spent more than \$26 billion in contestable spend with over 20,000 active suppliers in more than 90 locations. The majority of our spend is incurred in countries where we have significant operating assets. Our preference is to buy local products and engage local services so that host communities can share in the economic benefits of our activities. For example, in 2022, we spent \$2.7 billion with local suppliers<sup>3</sup>, representing 14.5% of total contestable spend. We also increased our spend with Indigenous suppliers in Australia by 40% from the prior year to \$565 million in 2022.

Our strategic supplier relationships are underpinned by multi-year contractual arrangements and mutually agreed performance metrics. The balance of high-value and longer-term engagements are typically governed by contract terms and conditions, while lower-spend or shorter-term arrangements are typically governed by purchase order terms and conditions. Over 90% of total contestable spend is with suppliers in ten sourcing countries.<sup>4</sup> Our largest spend categories – which accounted for approximately 75% of total 2022 spend<sup>5</sup> – are contracted labour and facilities management, logistics, fuel and energy, professional services (such as technology, consultancy, and travel) and production consumables (explosives, raw materials).

### Top ten sourcing countries and largest spend categories

Sourcing countries	Largest spend categories (alphabetical order)
1 Australia	<ul style="list-style-type: none"> <li>– Contracted labour and facilities management</li> <li>– Fuel and energy</li> <li>– Mining equipment</li> </ul>
2 Canada	<ul style="list-style-type: none"> <li>– Contracted labour and facilities management</li> <li>– Fuel and energy</li> <li>– Professional services</li> </ul>
3 United States	<ul style="list-style-type: none"> <li>– Contracted labour and facilities management</li> <li>– Fuel and energy</li> <li>– Production consumables</li> </ul>
4 Singapore	<ul style="list-style-type: none"> <li>– Fuel and energy</li> <li>– Logistics</li> <li>– Professional services</li> </ul>
5 Greater China	<ul style="list-style-type: none"> <li>– Fuel and energy</li> <li>– Logistics</li> <li>– Production consumables</li> </ul>
6 Mongolia	<ul style="list-style-type: none"> <li>– Contracted labour and facilities management</li> <li>– Maintenance, repair and operations and consumables</li> <li>– Mining equipment</li> </ul>
7 Japan	<ul style="list-style-type: none"> <li>– Contracted labour and facilities management</li> <li>– Logistics</li> <li>– Production consumables</li> </ul>
8 Great Britain	<ul style="list-style-type: none"> <li>– Contracted labour and facilities management</li> <li>– Logistics</li> <li>– Professional services</li> </ul>
9 South Africa	<ul style="list-style-type: none"> <li>– Contracted labour and facilities management</li> <li>– Fuel and energy</li> <li>– Maintenance, repair and operations and consumables</li> </ul>
10 Germany	<ul style="list-style-type: none"> <li>– Contracted labour and facilities management</li> <li>– Logistics</li> <li>– Production consumables</li> </ul>

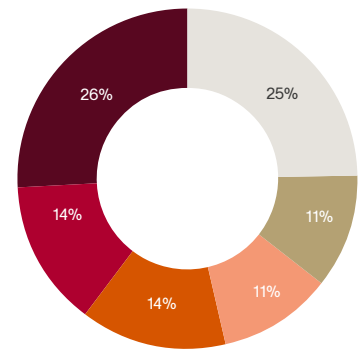
### Definitions

- Contracted labour and facilities management includes items such as cleaning, waste removal, building maintenance and security services.
- Fuel and energy include items such as diesel and power.
- Logistics includes marine-related services and freight (land transport, sea and air).
- Professional services include items such as technology, consultancy and travel.
- Production consumables include items such as explosives, raw materials and chemicals.
- Maintenance, repair and operations and consumables include items such as personal protective equipment, office equipment and packaging.
- Mining equipment includes items such as heavy haul trucks and ancillary equipment.

### Top three sourcing countries

Sourcing countries	Number of suppliers (rounded)
1 Australia	6,500 suppliers
2 Canada	5,000 suppliers
3 United States	3,000 suppliers

### Top spend categories based on Group contestable spend



- Contracted labour and facilities management
- Logistics
- Fuel and energy
- Professional services
- Production consumables
- Other

1. Contestable spend includes capital and operating expenditure and excludes: spend such as donations and gifts; fees to government/legal authorities; intercompany payments; membership and association fees; taxes; employee payments and expenses; costs associated with semi-finished goods; and spend from non-managed entities. Queensland Alumina Limited (QAL) is reported separately under this Statement. This measure differs from the \$22.5 billion "spent with suppliers globally" as included in our 2022 Annual Report, which is based on the Rio Tinto Group income statement and therefore excludes capital expenditure and incorporates financial consolidation adjustments and accruals.
2. The Purchase to Pay team supports business operations from master data maintenance to the purchasing and payment of goods and services.
3. We take a "site-centric" view of the definition of local, which allows operations to establish their own definition, based on a set of common principles. These principles require that each operation, in defining "local", takes into consideration its geographic, social and economic area of impact as well as ownership. For example, suppliers located within the Pilbara region of Western Australia are defined as "local" for Rio Tinto Iron Ore's Pilbara operations. This approach is consistent with international best practice and aligns with the ICMM Social and Economic Reporting Framework guidance. See page 51 of the 2022 Annual Report for further information.
4. These countries are where our suppliers are registered; we recognise that this does not always represent the country of origin of goods or services.
5. Based on payments committed to suppliers in 2022.



## 2. Identifying risks

Modern slavery risks are global. They may arise due to the social and political context where we work and source from, the nature of the products and services we procure, and the entities with which we engage. As such, our modern slavery risk profile is continually evolving.

Managing modern slavery risks is part of our broader human rights approach, recognising that the presence of other human rights issues such as unsafe living and working conditions, discrimination, freedom of association or other labour exploitation may indicate modern slavery and vice versa. Our human rights approach is founded on the UN Guiding Principles on Business and Human Rights (UNGPs). In this section, we set out our 2022 risk profile and the areas where we may have the greatest exposure to modern slavery and related labour exploitation risks in our business and supply chains. This risk profile is dynamic and regularly reviewed and updated (Section 3).

### Group salient human rights issues

Salient human rights issues are those that could have the most severe impacts on people through our own activities or supply chains. Aligned with the UNGPs, we manage and regularly review our salient human rights issues through risk management processes. Our current Group-wide salient human rights issues are described in Diagram 2. Modern slavery is incorporated under "labour rights" and is prioritised for action.



Diagram 2: Rio Tinto salient human rights issues

### Understanding our risks of involvement in modern slavery

In identifying and understanding our modern slavery risks, either in our operations or in our supply chains, we draw on the UNGPs, which consider that a company may be involved in an adverse human rights impact by:

- Causing it directly through its own actions or omissions.
- Contributing to it through its own actions or omissions or through a third party (or parties).
- Being directly linked to it through its business relationships arising from its products, services or operations.<sup>1</sup>

### Risks in our operations and communities

Research indicates modern slavery occurs in every country.<sup>2</sup>

We understand there may be higher risks of modern slavery (unrelated to our business activity), such as child labour, forced marriage and forms of debt bondage, in vulnerable communities. Our communities and social performance work, including Regional Economic Development (RED), is a mechanism to address the root causes of modern slavery in such communities. For example, at our Simandou iron ore project in Guinea, we have been working with communities to help them prepare for construction and future operations by identifying and managing our impacts. To address the risk of in-migration, we are designing and delivering local social investment and RED programmes with a focus on growth of non-mining economic opportunities, social infrastructure, livelihood restoration and community resilience initiatives.

There is a lower risk of our involvement in modern slavery relating to our workforce due to strong Group-wide human resources policies and procedures, training, accessible grievance mechanisms and risk management. No incidences of modern slavery were identified in our operations during 2022, nor received via our confidential reporting programme myVoice. See page 21 for more information.

 **For more information on our broader human rights performance**  
see page 61 in our 2022 Annual Report.

### Risks in our supply chains

We recognise that the risk of modern slavery is higher within our supply chains than in our operations, including within direct supplier relationships (tier 1), but also within subcontracting relationships (tier 2 or tier 3). We adopt a holistic and integrated approach when assessing risks in our supply chains, considering a combination of category, country, worker and supplier management risk profiles. For example, a supplier operating in a higher-risk country with a potentially vulnerable workforce may have excellent management practices to mitigate risks.

Conversely, a supplier operating in a lower-risk country and with a lower-risk worker profile may have very poor management practices, which creates labour and modern slavery risks. We consider the indicators set out in Diagram 3, recognising that one indicator is rarely sufficient to determine risk alone. In 2022, we prioritised efforts on the following categories of goods and services as higher risk that required heightened human rights due diligence (in alphabetical order):

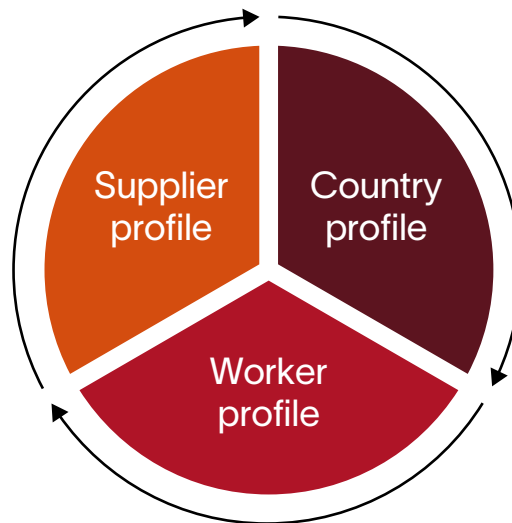
- Building and grounds maintenance services.
- Building products.
- Catering services.
- Cleaning and waste removal services.
- Computer equipment and electronics.
- Construction services.
- Renewables.<sup>3</sup>
- Security services.
- Temporary labour.
- Transport (including by rail, sea and road), logistics and warehousing services.
- Uniforms and personal protective equipment.

1. See *Our Statement on Modern Slavery 2021* for hypothetical examples of what cause, contribute or being linked to an adverse human rights impact may look like.  
2. Global Slavery Estimates (2022), US Department of State Trafficking in Persons Report 2022. We seek to maintain a current understanding of country risk profiles by reviewing a wide range of external sources as well as in-house specialist knowledge and third-party experts.  
3. Determined on a risk-based approach with respect to limited categories of equipment used in renewable energy projects.

New and emerging risks can occur outside our defined high-risk categories, which we respond to on a case-by-case basis. We describe supplier-specific risks identified through our third-party due diligence process in Section 3.

To assess the management profile of our supplier, we consider several indicators, such as:

- A commitment to respect human rights aligned with the UNGPs.
- Human rights and responsible sourcing policies and procedures.
- Evidence of implementation and communication of these policies to workers.
- Human rights due diligence undertaken on their own suppliers.
- Training provided to their workforce.
- Functioning and effective grievance mechanism.



As modern slavery can occur in any country, the risk indicators we consider include:

- The government's response to modern slavery (for example, if they have effective law enforcement, strong regulation and laws and support to victims).
- Vulnerability of individuals to modern slavery (for example, high rates of inequality, poverty and/or disenfranchised groups, lack of political rights, low or reduced financial and health protections, no protection in place for those most vulnerable).
- Conflict or risk of conflict.

Diagram 3: Risk profile indicators

Recognising certain individuals or types of work may be at higher risk of modern slavery, we may seek further information on the workforce involved in delivery of goods or services to review whether the worker may be higher risk because:

- The work is out of sight or in remote locations.
- The work is temporary, seasonal or contractual in nature.
- The work is gendered, and where women and girls may suffer discrimination.
- The work is frequently performed by migrant workers who may speak a different language or be culturally separate.
- There are low barriers to entry (where minimal skills, education or experience is required).
- The work performed may be considered dangerous, demeaning or degrading.
- Workers are recruited by third-party labour agencies, without clarity on recruitment practices.

### Decarbonisation and our renewables supply chain

People and planet are at the forefront of our approach to sustainability. We are committed to our ambition to reach net zero emissions across our operations by 2050 and deliver this in alignment with our values and social and human rights commitments. The use of renewable technology – whether it be hydro, wind turbines or solar panels – is a critical enabler for us to meet our emissions reduction targets. We also recognise that the market for renewables is evolving and requires careful and holistic consideration of sanctions and trade controls, environmental, human rights, communities and commercial issues.

During 2022, our Commercial, Legal, Third-Party Risk Management and Human Rights teams developed a holistic decision-making framework for reviewing environmental, social and governance (ESG) risks and applied a risk-based approach to undertake enhanced due diligence on selected renewables suppliers, including solar panel providers. We created a Third-Party Risk Management Committee comprising senior executives to oversee this framework and support consistent, high-quality decision making.

To meet evolving market conditions, social expectations and regulatory obligations, we have recently bolstered our in-house expertise in our Commercial, Third-Party Risk Management and Human Rights teams. To deliver on our commitment to transparency and strong governance, we also updated our Group Human Rights Policy, Communities and Social Performance Standard as well as our third-party risk management procedures (see further details in Section 3). We also delivered enhanced training for those operating in higher-risk roles on the changing regulatory landscape alongside a newly launched e-module on modern slavery (see Section 5 for more information).

Responsible conduct in this space can be a challenging and complex issue, and we remain committed to engaging and collaborating with all third parties to advance respect for internationally recognised human rights.





## 2022 third-party due diligence human rights reports

In 2022, approximately 200 third-party due diligence (TPDD) reports were escalated for specialist review by our in-house Human Rights team. Escalation is based on the pre-identified category risk rating, with the additional lens of whether the entity is based in a higher priority region. The reports escalated for review in 2022 included direct suppliers, subcontractors, joint venture investments and customer relationships.

Other key observations during 2022 relating to reports escalated for human rights review included:

- 80% came from our Exploration function and five sites (the majority are related to new projects).
- 75 low-risk reviews, 106 medium-risk reviews, 26 high-risk reviews.
- Areas for further investigation included the third party’s supply chain due diligence approach, the effectiveness of grievance mechanisms, rights to freedom of association, forced or compulsory labour and management practices around the use of third-party labour providers.

Diagrams 4 to 7 reflect the type of third-party relationship, categories and regions where high human rights risks were identified for the 26 high-risk human rights reports. Typically, across each of these higher-risk reviews, there were: lack of policies in place to address forced labour or child labour, labour rights concerns, public allegations on human rights issues that required investigation, or related ethics and compliance risks.

For more information about our Third-Party Risk Management (TPRM) approach to assessing and addressing risks, see Section 3.

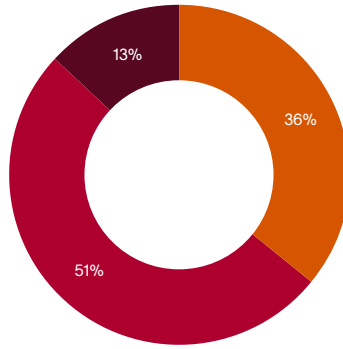


Diagram 4: 2022 third-party due diligence reports escalated for specialist human rights review by risk rating

- Low risk
- Medium risk
- High risk

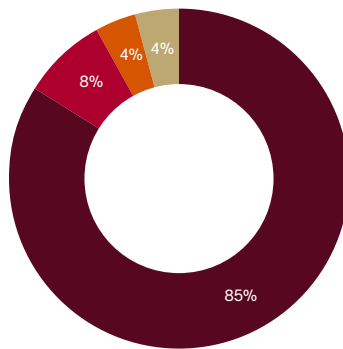


Diagram 5: 2022 high-risk human rights reviews by type of third party

- Suppliers
- Sub-suppliers
- Joint venture investments
- Customers

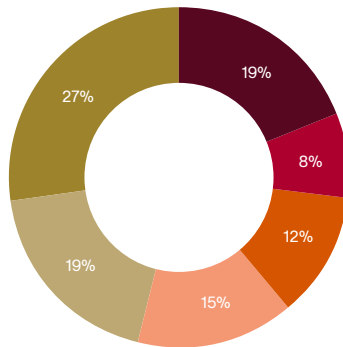


Diagram 6: 2022 high-risk human rights reviews by type of category of goods or services

- Construction services
- Raw materials
- Security services
- Computer equipment and electronics
- Transport and logistics
- Emerging risk – Manufacturing

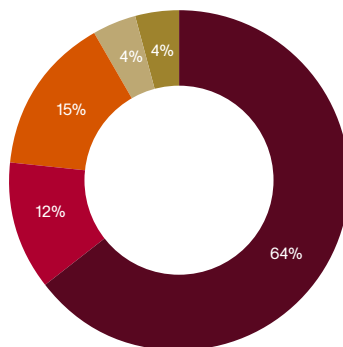


Diagram 7: 2022 high-risk human rights reviews by region

- Africa
- Australia
- Asia
- South America
- Multiple regions

# 3. Managing risks

We aim to continuously improve our governance, systems, processes and capability to better identify, assess and address modern slavery risks across our business and supply chains.

## Accountabilities

The Board's Sustainability Committee oversees strategies to manage social and environmental risks. Their oversight includes reviewing the effectiveness of management policies and procedures relating to suppliers and supply chains, including modern slavery, and human rights monitoring and issue management. While our Board has overarching accountability for our human rights approach, everyone in the business has a role to play in the day-to-day implementation of our human rights commitments, and to know how to identify and report concerns.

Our Executive Committee has accountability for managing modern slavery risks across all our product groups and functions. It is responsible for our overall human rights approach and broader communities and social performance; third-party due diligence; business integrity and external stakeholder engagement; projects; procurement; sales and marketing; and marine and logistics.

Human Rights specialists in our Communities and Social Performance Area of Expertise have day-to-day oversight of our overall human rights approach, including in relation to modern slavery and supporting functions and product groups, country teams, and our Commercial function as they implement our commitments.

## Policies, standards and procedures

We have a range of regularly reviewed policies, standards and procedures that outline our commitment to respect human rights, including freedom from modern slavery. These governance documents describe the mandatory requirements of our workforce, business partners and others linked to our operations or value chains.

To embed our human rights commitments into action, we align all our asset-level policies, standards and broader business policies with our Human Rights Policy, which is approved by the Board. As stated in our Human Rights Policy, we expect our consultants, agents, contractors and suppliers to respect internationally recognised human rights and promote compliance via our Supplier Code of Conduct (SCOC) and contractual arrangements. The Policy also describes our expectations of third parties and how we will work with third parties, including joint venture partners and non-controlled companies.

Throughout this section, we outline the key governance documents and how these are applied to help govern, assess and address modern slavery risks. Appendix 2 summarises the key governance documents relevant to our modern slavery approach. For more information about our corporate governance framework and structure, see our website.

## Promoting greater awareness of human rights

As part of our plan to operationalise our updated Human Rights Policy, we launched an internal campaign to promote greater awareness of human rights within the business. Our initiatives included a video campaign with our employees speaking personally about what human rights means to them, a human rights safety share pack for leaders to use to start a discussion about human rights at our operations, and newsletter updates, among other things.

During our campaign, we referred to labour rights and modern slavery as a salient human rights issue across the business. We also used this campaign as an opportunity to raise awareness about the launch of our global human rights e-learning modern slavery training model. For more information about our human rights training targets, see Section 5.

In 2022, we shared our updated Human Rights Policy commitments with civil society organisations, investors and other interested stakeholders. Their feedback indicated support for the updated commitment on human rights defenders, clearer accountabilities and focus on the implementation of the Policy.

## 2022 commitment in action

In 2022, key updates to our governance documents included:

### Human Rights Policy

The Policy has been updated to support the continuous improvement of our human rights performance in line with our business objectives, values, emerging regulatory requirements and stakeholder expectations. New additions include managing climate change and just transition (respecting human rights while transitioning to a low-carbon economy) and respecting the rights of human rights defenders. We have also clarified how we implement our commitments through human rights due diligence, using leverage, effective grievance mechanisms and strong governance.

### Our Code of Conduct – The Way We Work

Our Code of Conduct sets out our commitment to conducting business with integrity and provides clarity about the behaviours we expect and why responsible business conduct matters. The updated Code has a broader scope and reflects changes in both internal and societal expectations regarding business conduct. This includes significant updates to the human rights expectations (including modern slavery), aligned with the updated Human Rights Policy, to provide further clarity to our workforce about what this means for them in their everyday roles.

### Communities and Social Performance Standard

The revised standard applies to all managed operations globally and will help us work thoughtfully, responsibly and transparently. It provides clear direction on good practice and the minimum standards expected across our global operations. Specifically, this includes clarity on the frequency of human rights risk assessments, human rights training and the requirement to provide remedy.



## Third-party risk management (TPRM)

Our TPRM process is critical in assessing the risk exposure from the third parties we do business with, including risks of modern slavery in our operations or supply chains.

The third parties we interact with – suppliers, contractors, customers, acquisition targets or joint venture partners – are required under our Business Integrity Standard and Know Your Third Party procedure<sup>1</sup> (KYTP procedure) to complete a baseline screening, which assesses sanctions and regulatory enforcement actions.

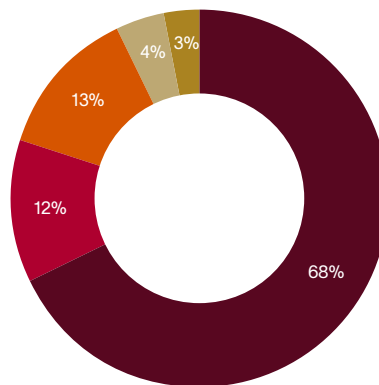
Where the third parties meet higher inherent third-party risk criteria, such as country, activity or value criteria, we perform more detailed levels of due diligence to highlight business integrity risks such as bribery and corruption, money laundering, terrorist financing and tax evasion and other financial crimes, politically exposed persons, other reputational risks and human rights risks (including modern slavery).

In the case where risks have been identified, a third-party due diligence report is issued by our Ethics and Compliance team that identifies any potential red flags across a range of issues, including human rights and modern slavery. The KYTP procedure also includes criteria to address human rights risks (including modern slavery) through high-risk activities and countries. We also apply a defined risk rating methodology, ranging from low risk to very high risk.

- Low-risk reports mean no concerns or minor concerns have been identified.
- Medium- and high-risk reports mean that concerns were identified that require mitigation.
- Very high-risk reports mean that very serious concerns have been identified that the business may not be able to mitigate.

During 2022, we appointed a Director, Third-Party Risk Management to build additional capacity and lead our Ethics and Compliance third-party risk management practice. In addition, we have implemented further enhancements to risk-based due diligence on third parties. Our Human Rights team reviewed twice as many due diligence reports in 2022 as compared to 2021. This is likely the result of an overall increase in due diligence requests received from the business, combined with an increased focus by the TPRM team on identifying third-party-related human rights risks. Our Human Rights and TPRM teams will continue to work together to refine the risk conditions leading to human rights risk reviews.

### Due diligence reviews and reports



**4,122**

#### due diligence reviews

completed on third parties in 2022  
(2021: 4,754, 2020: 4,055)

- Suppliers
- Customers
- Recipients of sponsorships and donations
- Other third parties
- Existing or prospective joint venture partners or other third parties in relation to mergers, acquisitions and divestment

**18,375**

#### baseline screenings

completed on third parties in 2022  
(2021: 8,040, 2020: 20,371)

**~200**

#### third-party due diligence reports

escalated to Human Rights specialists for review  
(see Section 2)

Across all human rights reviews, particularly high-risk reviews, we always seek to understand the full context of the identified risk or allegation through engagement with the third party. Depending on the third party, areas for heightened human rights review typically included:

- Reviewing if the overall TPDD risk rating, which also applies to other risk profiles such as bribery and corruption, also equates to a high, medium or low human rights risk rating;
- Asking the third party for further details on its workforce, country of operations, type of goods and services being delivered and management approach (as per our risks profile in Section 2);
- Reviewing publicly available information and indices on the typical country and category profile risks;

- Where applicable, requesting the third party to formally respond to the allegation(s), and reviewing any public responses to the allegations; and/or
- Recommending mitigation actions such as contractual controls, recommending suggestions to improve supplier management processes, verification or review of risk profiles using independent third-party experts, ongoing monitoring and evaluation.

Where we proceeded with the relationship, we did so either because our due diligence could not substantiate the allegations, or it found the third party appeared to have appropriate controls to manage the risks. In some cases, we also included mitigation actions such as ongoing monitoring as part of the conditions to proceed.

1. The Know Your Third Party procedure is applicable to all Rio Tinto business units and functions and to managed joint ventures (where contractually agreed). It can also extend to reviewing recipients of donations and sponsorships. Legally required tax or other statutory payments to government authorities, payments to employees (such as expenses) and credit card transactions are generally not currently subject to third-party due diligence.

## Addressing and assessing risks in our operations

We identify and assess modern slavery risks across the product lifecycle, from exploration and construction to operations and closure.

### Risk management framework

When considering human rights risks, we focus on harm faced by people before we consider risks faced by the business (such as legal, financial and reputational damage). Our risk management framework includes:

- Human rights consequence descriptors aligned with the UNGPs' concept of "severity" of impacts.
- Human rights taxonomy aligned with our salient human rights issues (level 1) and internationally recognised human rights (including modern slavery) (level 2).

For more information about our broader approach to risk management, see page 77 in our *2022 Annual Report*.

### Risks in our workforce

Our Employment Policy and associated standards require our business to implement equitable and transparent remuneration and incentive systems and recognise everyone's right to choose whether or not they wish to be represented collectively. The Policy contains a commitment that we do not employ forced, bonded or child labour.

We undertake regular measures to mitigate the risk of modern slavery and labour exploitation of our people, including:

- An annual remuneration review to ensure that our people are being paid appropriately for their position and at a minimum in line with legal minimum wage.
- Processes that help us assess that the recruitment agencies we are working with are reputable and have ethical recruitment practices.
- Not requiring recruitment fees to be paid to Rio Tinto by job seekers and paying all recruitment fees where we work with third-party recruiters.
- Not holding original copies of anyone's passport.<sup>1</sup>
- Processes that prevent us from hiring job seekers without the appropriate work rights and skills checks being completed, including through strong controls and regular audits.
- Complying with applicable laws, including in relation to working conditions.
- Providing all employees with a written contract setting out the terms and conditions of their employment.

### Risks in the communities where we operate

We work hard to avoid or minimise adverse impacts in the geographic areas and communities where we operate. During 2022, we continued to strengthen our social performance governance, capacity and capability. We also launched our revised Communities and Social Performance Standard (CSP Standard), which applies to all managed operations. The CSP Standard requires every asset to conduct regular human rights and social assessments, and to identify, assess and address adverse social and human rights impacts. High-risk assets must complete an independent human rights impact assessment. Our social risk guidance note explains how to conduct risk assessments (and consider forced labour and child labour risks) and, in 2022, we developed additional resources to assist assets in conducting human rights risk assessments. In addition, we measure, monitor and review our communities and social performance against targets to help us continuously improve. This includes reporting and communicating on how we are addressing human rights impacts, both positive and negative. For more information about our CSP work, see our *2022 Annual Report*.

### Risks associated with joint venture partners and non-controlled companies

Our Joint Venture Policy states that we strive to ensure our joint venture partners and the non-controlled companies in which we participate respect our commitments to uphold human rights. We share our expectations about human rights with joint venture partners through appropriate contractual arrangements and engagement protocols, and we screen all new joint venture partners for human rights under the KYTP procedure (see page 13). Our governance of managed and non-managed joint ventures involves annual attestation certification signed by the Rio Tinto lead responsible for overseeing the relationship with the joint venture. More broadly, we look for ways to help joint venture partners respect human rights. At non-managed operations, this may include sharing best practice around complaints handling, discussing human rights issues at joint management meetings and making our Human Rights specialists available to build capacity and deliver training.

### 2022 commitment in action

For continued operationalisation of respect for human rights across our Group assets, in 2022 we focused our efforts on the following initiatives:

- Launched our revised CSP Standard.
- Updated our Complaints and Grievances Guidance, including on how to manage and respond to human rights complaints and grievances.
- Continued to simplify our recruitment and pre-onboarding processes, focusing on the experience felt by the job-seeker and increased efficiencies to drive better business outcomes, transparency and inclusivity across processes.
- Continued ongoing negotiations with unions globally, with a focus on contract renewals with unions in Canada, the US and Madagascar.
- Continued to integrate human rights into risk management processes, including social risk assessments, incident reporting, tailings assessments and cultural heritage assessments.
- Several assets undertook risk assessments to review salient human rights issues.
- Continued to develop guidance and tools to improve human rights performance (including a guided approach for assets to run an annual self-assessed human rights risk assessment process).
- Completed security risk assessments aligned with the Voluntary Principles on Security and Human Rights. Read more in our annual Voluntary Principles Initiative Statement.
- Launched the "Lead, Look, Act" model outlining how we can lead by having our executives make better and consistent decisions, look for better platforms for our risk assessment, and act by supporting the business to make decisions.
- Established the Third-Party Risk Management Committee to provide a forum for senior management and executive decision making on non-financial risks.

1. Passports are under the Master's care on Rio Tinto-owned vessels in line with industry practice and are available upon request.



## Addressing and assessing risks in our supply chains

Recognising that modern slavery risks could exist in our supply chains, including subcontracting relationships, we know that it is critical to work in partnership with our suppliers, marine business partners and customers to address these risks.

### Our "Buy" approach – supply chain assessments

Our Procurement Category Management Cycle encompasses five phases of strategic sourcing (see Diagram 8). It is a continuous cycle comprising mandatory compliance and best-practice requirements to guide our procurement of goods or services. Within these five phases, the suppliers' risks (including modern slavery) can be identified and managed by leveraging tools such as supplier evaluation criteria, contract clauses and supplier performance management activities. Our Group Procurement Standard is applicable to all procurement activities across the Group.

In 2022, we continued to embed our Responsible Sourcing Action Plan, informed by a cross-functional team including Ethics & Compliance, Procurement, Marine and Communities and Social Performance Area of Expertise (see page 20).

In 2023, key procurement deliverables under the Plan include further integrating human rights and modern slavery into supplier relationship management mechanisms, undertaking holistic updates to the human rights requirements in the Supplier Code of Conduct, and developing non-financial risk management capabilities within Global Procurement. These focus areas are designed to drive the maturity in supplier due diligence and embed non-financial risk management into existing procurement practices.

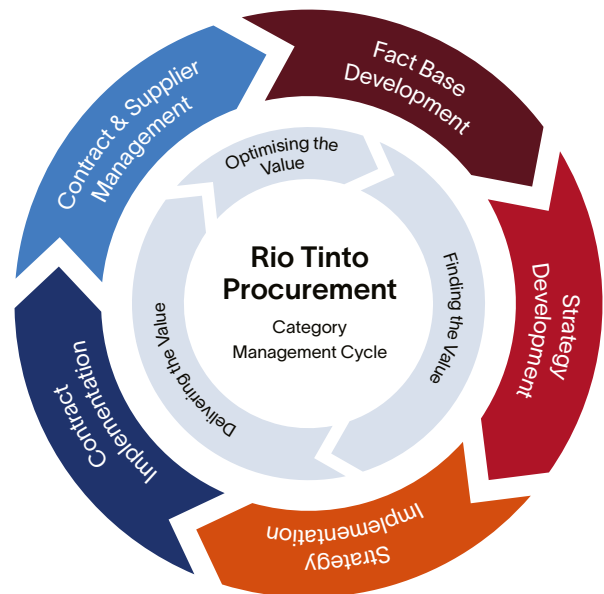


Diagram 8: Our five-phase global procurement process

### Supplier Code of Conduct

Our Supplier Code of Conduct (SCOC) is available on our website in five languages and sets out our human rights expectations of suppliers, their subsidiaries and subcontractors, which includes committing to:

- All work being completed without the use of forced or compulsory labour.
- All workers being of local legal age and prohibiting the use of child labour.
- Maintaining policies and practices to allow violations, misconduct, or grievances to be reported by workers and addressed without fear of retaliation.
- Encouraging their subcontractors to adopt and promote the commitments in the SCOC.

The SCOC is provided to prospective suppliers and it is regularly referenced in discussions with existing suppliers. In 2023, following recent updates to our Code of Conduct, a cross-functional review of the SCOC will be led by Global Procurement with full input and review by our Human Rights specialists.

### Contractual terms and conditions

Our purchase order terms and conditions and global supply contract incorporate the SCOC and allow us to terminate supplier relationships for non-compliance. Our procurement global supply contract and purchase order terms and conditions, as well as our marine chartering contract, include modern slavery provisions (see our *2019 and 2020 Modern Slavery Statements*). Our standard suite of contracts for use in major capital projects was updated in 2022 and it has significant human rights and modern slavery provisions, including expectations that contractors will take reasonable steps to put in place policies and procedures to address their modern slavery risks and an audit right.

We may discuss our modern slavery provisions with suppliers during contract negotiation. See pages 15 and 16 for details on our approach on initiating discussions with suppliers. In line with the KYTP procedure, depending on the risk profile, country of origin or category, we may also review and monitor a supplier's modern slavery-related policies and processes.

### Supplier prequalification

In some higher-risk locations, our Procurement teams will also include a supplier self-assessment process as part of their supplier prequalification process, in addition to the KYTP procedure. This may cover a range of issues, including several potential modern slavery indicators. For example, at one of our sites, the prequalification process requests information on suppliers' policies on the retention of identity documents, and at another site, suppliers must confirm if they have policies regarding non-discrimination. Prequalification outcomes inform whether to proceed with the supplier and ongoing monitoring requirements.

In 2021, we refined our procurement sourcing risk assessment (which is conducted as part of our sourcing strategy to consider high-risk activities, including modern slavery risks). To continue consistency in 2022, Procurement and the Human Rights team collaborated in mapping existing human rights risk management activities. Our Human Rights specialists work with the TPDD team and the supplier relationship owner to agree an appropriate response, including any mitigation actions. Where risks cannot be sufficiently mitigated through our leverage, or where the supplier refuses to provide information or provides incomplete or inaccurate information to support our human rights due diligence, we will consider terminating the relationship.

## Responding to incidents in our supply chains

Our suppliers to Rio Tinto and their workers have access to myVoice to report concerns or misconduct directly to us, and we encourage any individual who has a concern to report non-compliance with the SCOC.

We may decide to inspect or audit a supplier's premises and records at different stages of our relationship. This includes situations when we identify risks as part of the KYTP procedure, as part of prequalification in some locations or if issues arise during the term of the contract. In line with the KYTP procedure, once a TPDD report has been completed, the supplier will be subject to ongoing automated monitoring on regulatory and sanctions issues. The TPDD team will review the identified updates and inform the relevant business unit or function if there are any material changes to the initial findings that may alter the third party's risk classification. The relevant business unit or function is accountable for the overall monitoring of the relationship.

### Supplier Relationship Management

In 2022 we introduced human rights and modern slavery topics into contract performance discussions with our top suppliers. This enabled ongoing dialogue with our strategic and high-spend suppliers through the Supplier Relationship Management (SRM) plan – a way to introduce human rights and modern slavery topics into performance conversations with our top suppliers. While we acknowledge that spend does not determine where risks of modern slavery are in our supply chain, through the SRM engagements, we have an opportunity to influence broader respect for human rights in our supply chains.



### Supplier Relationship Management (SRM) engagements

Our SRM engagements include regular meetings that are embedded for the life of the contract with key suppliers to collaboratively drive values as part of a two-way relationship. SRMs are a key mechanism to initiate human rights and modern slavery discussions with our suppliers. In 2022 we focused on strengthening processes and awareness to support supplier relationship owners to initiate due diligence and embed consistent supplier engagement. We also carried out five SRMs across the mining equipment and contracted labour categories. In 2023, we will continue the delivery of our SRM engagements across the identified suppliers, which will:

- Encourage two-way dialogue on modern slavery and human rights risk.
- Communicate our human rights due diligence expectations.
- Highlight and share best practice.
- Discuss opportunities for further supply chain transparency.

The Human Rights and Procurement teams are equipping supplier relationship owners to lead these conversations regularly as part of scheduled SRMs, so that we can better understand our supplier risk profiles and leverage industry best practice with our key suppliers.

### 2022 commitment in action

In 2022, aligned with our Responsible Sourcing Plan, our key performance actions focusing on assessing and addressing risks in our supply chains included:

- Bolstering the assurance and resourcing model to manage non-financial risks and responsible sourcing activities, including in our Communities and Social Performance, Global Procurement and Third-Party Due Diligence teams.
- Providing enhanced responsible sourcing support to higher-risk assets.
- Establishing a Sustainable Procurement Forum that meets quarterly, with representatives from Procurement, Product Stewardship, Sustainability, Human Rights, Environment and Ethics and Compliance teams as we move towards a more integrated social and environmental risk management model.
- Undertaking enhanced due diligence on our renewable supply chains (see case study on page 10).
- Using specialist independent enhanced due diligence from Fair Supply on heightened category risks.
- Initiating human rights discussions in our Supplier Relationship Management programme with top spend suppliers (see above).



## Our "Move" approach – Marine and Logistics risk assessments

Our Marine team is accountable for providing safe freight services to our business and our Logistics team manages third-party truck, rail and containerised shipments.

We are the world's largest dry bulk charterer with approximately 2,700 voyages per year. Our owned fleet of 17 vessels has approximately 350 seafarers onboard. In addition, we charter more than 230 vessels at any given time underpinned by approximately 170 shipowners over the course of a year. These charters have nearly 6,000 seafarers onboard. Our owned and chartered vessels are supported by 70 shore-based Rio Tinto employees with expertise across safety, vetting, assurance, environment, operations, chartering, engineering and fleet optimisation. We also manage a small proportion of carriers (approximately 95,000 container boxes a year) for other containerised shipping requirements. We acknowledge the vessels used to transport mined and refined materials can involve a range of potential modern slavery and other human rights risks, which may be closely connected to welfare and safety risks.

### All vessels

As part of our broader commitment to uplift safety and crew welfare standards, we continue to expand and strengthen the capabilities of our vetting desk, which includes reviewing for human rights and modern slavery risks. For all vessels (owned vessels and chartered fleet), we conduct the following:

- **RightShip vetted** – All vessels calling at our terminals must be RightShip vetted, which includes reviewing whether the vessels have historical human rights abuses, poor living or working standards, gross failings of rights and employment terms and any identified International Labour Organization abandonment cases.
- **Onboard vessel inspections** – We conduct periodic health, safety and environmental inspections (HSE inspections) on owned vessels, time chartered and voyage chartered vessels, which includes reviewing for human rights (including modern slavery) risk indicators on crew welfare and living conditions. We adopt a risk-based approach to selecting vessels for inspection (and the frequency of the inspections) considering factors such as the trading area and vessel and operators' past performance history.
- **Shore leave** – We encourage recreational rest time for seafarers during a port stay (known as shore leave) across all vessels through quarterly engagement with operators and owners. We continue to provide financial support to seafarer centres including for crew welfare initiatives and arranging for bus transportation from the port to seafarer centres. Post COVID-19 we are seeing shore leave recommence in most countries, although there are still some government restrictions in terminals that we operate from.
- **Digital risk profiling tool** – In 2022, we implemented a new digital risk profiling tool known as Safety Assessment by Intelligent Learning (SAIL) to integrate datasets and insights and provide safety data analytics on vessels. SAIL is designed to further enhance and support RightShip vetting protocols and allow us to strengthen communication with operators and owners on incident trends and risk mitigation.

We have set out additional measures taken in respect to our owned vessels and chartered fleet.

### Chartered fleet

We recognise the challenges posed by monitoring conditions on chartered vessels (including vessels chartered by customers, suppliers and joint venture partners) and look for opportunities to encourage meaningful due diligence. Key steps to assessing risks relating to our chartered fleet include:

- **Pre-Vet Questionnaire** – This includes specific checks around employment conditions, whether the vessel has an International Transport Federation Agreement (or equivalent), crew changes and the contract lengths of seafarers.
- **KYTP procedure** – Our contracted shipping counterparties are assessed in line with our KYTP procedure (see page 13) and they are required to comply with our policies and standards.
- **Training** – Our shipping agents must complete annual ethics and compliance training that focuses on business integrity and refers to our SCOC and our Code of Conduct.
- **Incident management and learning** – We have a systemised incident management and restriction process for non-conforming vessels, which is subject to review and reporting. This includes monitoring the crew members' contract length on board our time-chartered vessels and actively engaging with the vessel owner to change crew before 11 months in line with the Maritime Labour Convention. For spot-chartered vessels, we work to confirm with the vessel owner that the crew has been on board for less than 11 months prior to chartering. In exceptional situations, limited exemptions have been permitted for crew to stay onboard beyond 11 months. In all situations, authorities were notified, the crew agreed, and at the earliest possible stage, crew disembarked. Moving forward, no exemptions will be granted after April 2023.

These are each existing and embedded processes that create visibility and support other existing vetting and lines of assurance. These processes entail the minimum vessel management and operating thresholds that must be met to enable trade with our business.

## Owned vessels

For our owned vessels that we operate via ship managers Anglo Eastern and ASP Ship Management, we have additional seafarer welfare initiatives and human rights-related risk mitigation efforts including:

- **Wellness sessions** – monthly wellness sessions with a psychologist for those onboard and on shore leave (along with their families) to understand and discuss strategies to self-assess wellbeing, recognise concerns and action tools to manage and seek support.
- **Everyday Respect** – We have joined the All Aboard Alliance, a Global Maritime Forum initiative, which aims to bring together industry leaders to promote gender equality at sea. We have also made changes to our owned vessels to address any gender inequalities for female seafarers, including providing staple hygiene products and separate locker facilities.
- **Ship management contracts** – We outline our expectations in our ship management contracts and conduct regular audits of management offices to verify compliance. Our ship management contracts go beyond minimum standards, such as imposing a maximum of seven months onboard vessels for seafarers (instead of 11 months permitted by the Maritime Labour Convention).
- **Quarterly vessel inspections** – Alongside the annual HSE inspections, our Ship Managers, third-party inspectors and Port Captains conduct broader safety and operational assurance inspections on owned vessels at least once per quarter as permitted by vessel schedules. This includes discussions on human rights and welfare conditions.
- **Training** – We provide training and support (including ethics and compliance, and human rights) to officers and crew members on our owned fleet, including to help our shipping partners understand our expectations (see Section 5).

## Other marine assessments

We recognise there are also broader risks in the marine value chain. For example, dry docking in shipyards is a regulatory requirement and critical for maintaining our own vessels. However, a range of labour rights risks, including modern slavery, may be associated with shipyard work, given risk factors. Workers may be exposed to health and safety risks, and due to the cyclical nature of the work, companies may employ temporary or short-term contract labour through labour agencies that may have exploitative practices. Also, some shipyards may be located in regions known for weaker governance on labour rights standards.

To address these risks, we continue to undertake due diligence on dry docking business partners. This may include:

- A physical audit of the shipyards to pre-qualify prospective suppliers.
- Assessing shipyards on a range of criteria, including human rights, and whether the supplier has appropriate policies and processes on key risk areas such as forced labour (including through questions around recruitment processes), child labour, discrimination and harassment and access to a confidential grievance mechanism. The supplier's responses are reviewed by our Human Rights specialists.

The engagement with the shipyards enabled us to set expectations of the shipyards around modern slavery risk management and highlighted the importance of discussing modern slavery risk management at prequalification.

We also manage a small proportion of carriers for other shipping requirements. These carriers are reviewed as part of our Third-Party Risk Management approach (see page 13) and as per all suppliers, must acknowledge our Code of Conduct and agree to our SCOC. Through regular engagements with carriers, we review our carriers' commitments to modern slavery reporting obligations and how they manage the welfare conditions of seafarers, including crew changes.

## 2022 commitment in action

- Drafted a marine human rights work plan, which will be integrated into the safety and welfare strategy to be implemented in 2023 onwards.
- Implemented SAIL, a digital safety risk profiling tool.
- Increased rigour and transparency on incident investigations and learning integration through quarterly safety engagement workshops with shipping counterparties and sharing of alerts, incidents and health, environment and safety shares through regular email reports.
- Conducted approximately 250<sup>1</sup> inspections on chartered vessels and owned vessels as part of our marine safety and crew welfare programme in 2022. This included reviewing their living and working conditions.
- Applied the new Designated Owners and Operators Standard as a pilot on our owned fleet.
- Conducted five human rights reviews on dry docking shipyards in Singapore with identified areas for improvement including to promote awareness of grievance mechanisms.
- Trained 185 officers and crew on our owned fleet on human rights, including grievance mechanisms. This represents approximately 55% of the onboard crew on owned vessels. We are working to introduce mandatory human rights training for all crew.

In 2023, as part of the launch of our Designated Owners and Operators programme, we will continue to focus on the uplift of crew safety and welfare initiatives.



## Our marine inspection targets

In 2023, our target is to complete at least 500 inspections on our chartered fleet, which covers:

- 100% of our time-chartered fleet (approximately 200 inspections)
- 35% of our voyage-chartered vessels (approximately 300 inspections)

This is an increase on our pre-COVID baseline of 250 inspections<sup>2</sup> on our chartered fleet (representing 90% of our time-chartered vessels and 5% of our voyaged-chartered vessels) as we work to demonstrate year-on-year improvement and adopt a risk-based approach to inspections. While our 2021 inspections prioritised time-chartered vessels given contractual obligations, we will continue to increase the number of inspections on our voyage-chartered vessels as we work towards safety and crew welfare assessments and actual performance being consistent across our entire shipping portfolio.

We will continue to conduct inspections on all of our owned vessel fleet.

1. The 250 audits do not include RightShip inspections.

2. This included inspections of 100% of owned vessels, 90% of time-chartered vessels and 5% of voyage-chartered vessels.



### Respecting the rights of seafarers and our new Designated Owner and Operators Standard

The seafarers that transport our products around the globe play a vital part in our global supply chains as we work to produce and deliver materials that help the world grow. The title “seafarer” refers to a range of roles – from navigating, maintenance, cooking and cleaning, to making sure that our cargo is loaded safely and efficiently. Their work contracts on a ship typically last between three and nine months.

Our teams work in a variety of ways to assess and address the risks in the marine supply chain, including at its most extreme modern slavery, with our goal to provide safe, rewarding and decent work for seafarers. While we were not aware of any modern slavery allegations or incidents in 2022, fatalities and injuries occur across the industry.<sup>1</sup> This is not acceptable and crew welfare remains of critical importance.

In early 2023 we launched our Designated Owners and Operators Standard. This is a foundational initiative in the dry bulk

shipping industry, aiming at collectively enhancing safety and crew welfare across our chartered fleet.

The Standard outlines requirements for our commercial partners, which can be adopted on a voluntary basis to obtain Designated Owner or Operator status. Commercial partners are incentivised to adopt this status to work with likeminded partners to improve overall safety and crew welfare performance. Requirements are drawn from industry best practice (such as the Dry Bulk Management Standard and Sustainable Shipping Initiative crew welfare self-assessment), and require partners to uplift practices and standards, share and learn from incidents, and conduct auditing, training and reporting. Inaugural members were welcomed to the programme in February 2023. It is our target to have all commercial partners meeting the expectations set out in the Standard by 2027.

### Our “Sell” approach – Engaging with customers through due diligence and product stewardship


We aim to engage and collaborate with our customers to advance respect for internationally recognised human rights, including freedom from modern slavery. In 2022, we continued to respond to customer requests regarding our modern slavery risk management and broader human rights performance.

Through our product stewardship teams, we are actively involved in value chain initiatives, including the Aluminium Stewardship Initiative (ASI), the Copper Mark, the International Council on Metals and Mining (ICMM) and the Responsible Jewellery Council, giving us the opportunity to engage with our customers on key and emerging human rights topics, including modern slavery. ASI and ICMM initiatives in particular contain indicators on preventing involvement in forced and child labour.

### 2022 commitment in action

- Completed 497 third-party due diligence reviews on customers in 2022 (see page 13).
- See table for current list of asset certifications and accreditations as of 2022. More information about our work to assure against the ICMM Performance Expectations summary page is available in our 2022 *Sustainability Fact Book*, including on Principle 3 (Human rights).

Copper Mark	2 assets
ASI	20 assets
Responsible Jewellery Council	3 assets
London Bullion Market Association	1 asset
Towards Sustainable Mining	3 assets

 **For more information** about the full list of asset certifications and accreditations, see our 2022 *Sustainability Fact Book*.

1. IHS, State of Maritime Safety Report (S&P Global Market Intelligence) reported approximately 527 fatalities during 2015 to 2019.



# 4. Remediation

If a human rights incident occurs despite our efforts to prevent it, we seek to mitigate the situation in line with our values, commitments, policies and standards.

## Responding to modern slavery

We may learn about a human rights allegation in different ways, for example, through one of our own grievance mechanisms, a business partner or other stakeholders such as a civil society organisation, media outlets or a workers' association. The central principle of any response is ensuring individuals are not put at risk of further harm.

We are committed to investigating incidents and recognise that we may need to involve law enforcement. Depending on our level of involvement, we will provide for or cooperate in remediation and use our leverage with business partners in line with the UNGPs. This work would entail a cross-functional response, escalated to senior leadership as required.

In 2022, we supported the launch of the Walk Free and Human Rights Resources and Energy Collaborative (HRREC) Response and Remedy Framework. This is a practical guide for companies on how to respond to modern slavery in their operations and supply chains, including suggested processes of providing a remedy for an adverse human rights impact and steps that can be taken to mitigate that impact or prevent the harm from reoccurring. We will use this framework to inform the ongoing development and improvement of our own policies and procedures and raise the profile of this guidance in our training initiatives in 2023 (see Section 5).

## Reporting incidents and issues

Our health, safety, environment, communities and security incident reporting procedure prompts us to record whether an incident, including a complaint, has human rights implications. We can then identify which specific human right the incident may have impacted, including through a targeted questionnaire relating to labour rights, where modern slavery-related incidents may be included. Other relevant processes include our locally managed employee relations case management system, which tracks a range of labour-related issues that have been investigated and any actions taken in response. We continue to build our people's capacity to identify and correctly categorise incidents and complaints as having human rights impacts.

## Grievance mechanisms

We are committed to providing our workforce, community members affected by our operations, workers in our value chain and others with access to effective grievance mechanisms. These are publicly available for any individual to raise complaints relating to our operations and our supply chains, including any concerns about modern slavery.

Our CSP Standard requires managed sites to have a local-level complaints and grievance mechanism consistent with the UNGPs' effectiveness criteria (which includes being accessible, transparent, legitimate and a continuous source of learning, among other things). In addition to myVoice, examples of ways that community members may seek to raise complaints via an asset-level grievance mechanism include face-to-face engagement, via email or telephone or engagement via a third party trusted by the complainant. We also have recourse or appeals mechanisms when a grievance cannot be resolved between a complainant and the company and is handled on a case-by-case basis; this may involve an internal review committee, mediation via a joint community or company appeals committee or via a third-party arbitrator.

Our grievance mechanisms are intended to be accessible for any individual to use, including our suppliers. We are considering ways to promote further access to our grievance mechanisms (for example by promoting myVoice) to workers within our supply chains, as well as to support our suppliers in strengthening their grievance mechanisms. This helps establish multiple reporting channels for someone who may observe or be in a situation of modern slavery.

Following an internal review in 2021 that identified opportunities to improve our grievance mechanisms and management, in 2022, we updated our Complaints and Grievance Management guidance. Launched in February 2023, this guidance helps assets improve the way they receive, record, respond, review, remedy, resolve and report community grievances, including grievances with alleged human rights impacts. The guidance directs practitioners to forward any complaint or grievance alleging serious human rights abuse (including child labour, trafficking, or other forms of modern slavery) to the Business Conduct Office and myVoice (described on page 21). In 2022, we conducted several training and capability-building initiatives on complaints and grievance management and will continue this training and support in 2023.

### myVoice

We have continued to develop our confidential reporting programme myVoice (launched in 2021), which is designed to help our people voice concerns about potential misconduct or improper behaviour, including anonymously.<sup>1</sup> Our care for our people and our desire to understand contributing factors for misconduct sit at the core of this programme. myVoice is available in multiple languages to our workforce, suppliers (and their employees and contractors), community members, other stakeholders and the public.

Subject to local laws, reports to myVoice can relate to concerns about the business or behaviours of individuals, including suspected violations of our standards; policies and procedures; human rights, including modern slavery; safety and environment; financial reporting; and fraud or other business integrity issues. The Business Conduct Office (BCO) assesses concerns and selects the appropriate grievance category – this includes categories for unfair labour practices as well as child labour-related complaints. The BCO reports to our Chief Legal Officer, Governance and Corporate Affairs; the Board; and the Global Ethics and Compliance Committee.

Our SCOC and Code of Conduct encourage employees, contractors and suppliers to report concerns – including breaches of these codes – either directly to their Rio Tinto contact or via myVoice. Suppliers are required under the standard global supply contract to notify us directly if they reasonably suspect an actual or

potential breach of our Business Integrity contract provisions, including modern slavery provisions. Our SCOC encourages suppliers to maintain their own policies and practices to allow violations, misconduct or grievances to be reported by workers and addressed without fear of retaliation.

In 2022, we received 1,459 reports through myVoice channels (up from 1,246 reports in 2021). Of these cases, 63% were substantiated, including 77 cases which were reports received in 2021. Issues raised through myVoice related to discrimination, bullying, harassment, sexual misconduct and sexual harassment, employee relations and benefits and compensation. In 2022, we received six reports relating to labour practices. All six investigations are ongoing. A number of reports involving suppliers related to alleged conflicts of interest between suppliers and employees. We are not aware of any modern slavery-related issues raised via myVoice or any asset level mechanism in 2022.

The BCO is working to increase awareness and availability of myVoice, alongside how to improve how we capture learnings from the myVoice programme by expanding the team to include a reporting and governance function. We continue to see an increase in reporting, and we believe this means that more people are feeling comfortable to share their concerns.

 **For more information**  
see our myVoice website and our Ethics and Compliance page on our website.

### 2022 commitment in action

During 2022, key performance updates included:

- Organisational design review completed and implemented, ensuring the BCO is structured appropriately to deliver the services expected of it, including operation of the myVoice programme.
- Additional management roles recruited.
- Enhancing the myVoice programme, which included reviewing and improving the end-to-end triage and investigation processes and strengthening reporting.
- Reviewing “issue type” classification of allegations to improve modern slavery reporting (will be deployed in 2023).
- Releasing the *Everyday Respect Report* with 26 recommendations. The BCO is responsible for delivering two key recommendations from the *Everyday Respect Report*. For more information about the Everyday Respect initiative, visit [riotinto.com/everydayrespect](http://riotinto.com/everydayrespect).
- Updating Group-wide Complaints and Grievance Guidance for asset-based grievance mechanisms to better align with the UNGPs.

In 2023, the BCO will be focusing on projects to continue to strengthen its framework and performance, including enhancing triage and assessment processes, education and training on modern slavery issues and response and continuing to ensure investigations are conducted using a trauma-informed and people-centric approach.

### myVoice\* case activity

	2022	2021	2020	2019	2018
Number of reports	1,459	1,245	748	805	679
Number of reports per 1,000 employees	28.1	26	16.3	17.9	14.3
Substantiated claims (%)	63%	51%	42%	34%	34%

\* myVoice (introduced in 2021) replaced the programme formerly known as Talk to Peggy or Speak Out.

1. The content reported and the right to anonymity may be subject to local laws.

# 5. Training

Our people are our first line of defence in managing modern slavery risks. They need to understand modern slavery red flags and how to report concerns.

This is especially the case for people most likely to be exposed to higher risks, either because of their role or because they are working in a higher-risk location. We use a variety of forums and tools to raise awareness and build capacity. Our training strategy in 2022 focused on demystifying, integrating and personalising human rights across the business so that team members understood that no one individual role, team or department owns the human rights programme; instead, respect for human rights is embedded in everyone's job. We also explored models of training that are sustainable and scalable, such as online e-modules and train-the-trainer formats.

This table outlines our key performance updates to deliver on these targets during 2022. See our annual *Sustainability Fact Book* for a summary of human rights training completions.

Initiative	2022 update
<b>Bespoke face-to-face or virtual training</b>	We provided approximately 39 human rights workshops, webinars or conferences globally, including on modern slavery, and involving a range of asset based and function teams.
<b>Security training</b>	We recorded over 1,500 completions of our Voluntary Principles on Security and Human Rights (VPSHR) training e-module. These are mandatory for all Rio Tinto security personnel and private security personnel and may be provided to public security providers.
<b>Modern slavery e-module</b>	We launched a new e-module on modern slavery and labour rights, with a focus on supply chains. Over 2,400 completions were recorded. See the case study below for more information about the development and the outcomes of this training.
<b>Marine training</b>	We provide face-to-face training to officers and crew members of Anglo-Eastern and ASP Ship Management Singapore Pte Ltd which manage Rio Tinto-owned vessels. In 2022, 185 crew, officers and shore team attended these workshops where the focus was on promoting effective grievance management and encouraging officers and crew to know, trust and use the range of grievance mechanisms available. We will work to increase the coverage of training across 100% of our owned fleet crew.  Through the Designated Owners and Operators Standard (see page 19) we will work to embed human rights awareness initiatives for crew on chartered fleets.
<b>Ethics &amp; Compliance training</b>	Our online business integrity induction training provides all new employees with an introduction to ethics and compliance as well as tools to recognise and understand human rights risks. In addition, the Ethics and Compliance team provides ongoing targeted face-to-face sessions on key risk areas including bribery and corruption, data privacy and competition. In 2022, we trained 24,857 people in how to recognise and manage business integrity dilemmas.

## Our Group-wide human rights training targets

### Tailored training

- By the end of 2024, 100% of employees in roles with high human rights risks will complete job-specific human rights training annually.

### All of business training

- By the end of 2026, 100% of employees will complete general human rights training annually.



## Tailored training for our employees

By the end of 2024, our tailored training target is to have 100% of employees in roles with high human rights risks complete yearly job-specific and general human rights training. This includes training on a range of our human rights salient issues including security, rights of Indigenous peoples, diversity and inclusion and freedom from slavery. In 2022, we identified that while modern slavery training was being deployed across the business, it relied heavily on external consultants and experts to deliver and was in a format that was not scalable or easily deployable to new starters. With our continued training strategy goals to demystify, integrate and operationalise human rights training, we developed an online learning modern slavery and labour rights module with the key learning objectives being to help individuals understand what modern slavery and labour rights are, how to identify risks, Rio Tinto's commitments and what each individual can do to address the risks.

The module (available in English and French) is available to everyone in the business, but mandatory on an annual basis for team members in roles with higher touchpoints with modern slavery risks, including Commercial, Legal, Ethics and Compliance, External Affairs and the Communities and Social Performance Area of Expertise. The module was deployed in December 2022, with 2,407 completions by 31 December 2022, and we continue to see further completions in 2023.

The feedback we received included over 90% of participants indicating they:

- Know what human rights are.
- Know how to identify modern slavery risks.
- Know how to report a concern about modern slavery.
- Understand how Rio Tinto is committed to identifying and preventing modern slavery.
- Were very satisfied or somewhat satisfied with the training content.



# 6. Assessing effectiveness

An effective response to modern slavery seeks to put the interests of survivors of modern slavery and related exploitation first. We work to identify current and emerging risk areas, which helps prevent and address our involvement in harm.

We track and assess the effectiveness of our actions in a number of ways:

- Internal tracking, including of due diligence and training activities.
- Internal assurance, including internal audits and reviews.
- Monitoring our asset and Group-level grievance mechanisms.
- Engaging with business partners and external stakeholders for input and feedback.
- Applying a theory of change and impact measurement framework to our modern slavery approach.

See Appendix 1 for a summary of how we perform on our commitments.

### Monitoring our due diligence activities

Monitoring the implementation of our KYTP procedure and related processes is a vital part of managing our modern slavery risks. Colleagues receiving a due diligence report with mitigation actions are responsible for their implementation and for the ongoing monitoring of the related risks. The ongoing dialogue between our Human Rights specialists and relevant functions and sites on modern slavery continues to help build internal capacity and strengthen the implementation of the KYTP procedure.

Enquiries about, and assessments of, third parties that are made by the Third-Party Risk Management team and Procurement specialists are continuing to evolve, particularly in relation to modern slavery risks for new suppliers. We track third-party responses to the Approach to Labour Rights questionnaire, including the emerging risk themes from the questionnaire, to develop proactive approaches to risk mitigation.

### Internal assurance

We have three lines of defence in place across the business, aligned with the globally recognised model, to ensure assurance coverage and effective human rights (including modern slavery) risk management. Building on multi-disciplinary reviews of human rights (including modern slavery) risks in 2021, assets completed gap assessments against the refreshed 2022 CSP Standard requirements to identify how they were performing and if they could satisfy the strengthened requirements. Where a gap was identified, assets developed action plans on how the asset will achieve compliance with the strengthened requirements by 2024.

### Three lines of defence model

1<sup>st</sup> – all operational and functional leadership

### Responsibilities

Own and manage risks through effective design, inspection and monitoring including assurance against performance requirements.

### Examples in 2022

Annual self-assessment of human rights risks.

2<sup>nd</sup> – Internal Standard Owners (Centres of Excellence, Areas of Expertise and Group functions)

Define performance requirements and proactively engage with the 1<sup>st</sup> line, providing technical expertise and objective assurance.

2<sup>nd</sup> line of assurance identified areas of improvement on human rights across six health, safety, environment and community business conformance audits during 2022.

3<sup>rd</sup> – Group Internal Audit

Independent objective assurance to evaluate the effectiveness of risk management, internal control and governance.

Modern slavery control audits (see the case study below).

### Monitoring via our grievance mechanisms

Incident and grievance management help us assess our effectiveness by highlighting systemic issues and potential gaps in how they are being managed. Section 4 details these processes and recent updates.

### Learning from certifications and benchmarking

We actively participate in certification schemes and other voluntary initiatives to help us and others assess our performance on human rights (see page 19). These help us to assess our practices and identify opportunities for improvement at the Group and asset level. We also monitor various benchmarks developed by a range of stakeholders concerning Modern Slavery Statements in Australia and the UK and have used these to continue to improve our disclosures in this Statement, including the Australian Council of Superannuation Investors, Monash University Benchmark, EcoVadis, Dow Jones Sustainability Index and Workforce Disclosure Initiative. Our score for the Monash University Benchmark improved from grade "B" for our 2020 statement to grade "A" for our 2021 statement. In 2022, through our engagement with these benchmarks and certification schemes, we monitored how we are performing against peers and any identified gaps or areas for improvement, which included:

- Improve reporting on modern slavery risk descriptions and remediation processes.
- Engage and educate suppliers about responsibilities in mitigating risks in supply chain.
- Map extended supply chains beyond tier 1.

### Impact measurement approach

See page 5 for our 2022 modern slavery approach evaluation framework (initial indicators).

### Human Rights Group Internal Audit

In consultation with the Human Rights team, Group Internal Audit developed a multi-year approach to provide greater assurance over our human rights and modern slavery risks. This has included:

**2021** – Review of the effectiveness of grievance mechanisms.

**2022** – Review of the design of modern slavery controls.

**2022/23** – Review of human rights risk identification, assessment and documentation.

A summary of observations and opportunities from the 2022 modern slavery controls design internal audit was presented to the Sustainability Committee in October 2022.

The internal audit identified opportunities to enhance management of third-party risks across non-financial domains (including modern slavery); to improve governance over the management of modern slavery risk; and to further improve Board visibility of modern slavery disclosures.

We continue to implement the actions from the internal audit and 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.

# 7. Collaboration

Combating modern slavery requires collective, multi-stakeholder action focused on mitigating root causes, building capacity across value chains and providing robust support for survivors.

We encourage government efforts to help businesses prevent and address their involvement in modern slavery. We engage with peers, investors, civil society organisations, workers' organisations and business partners on issues related to human rights, including in some cases, modern slavery.

 **For more information** about our broader engagement with stakeholders during 2022, see page 18 of our *2022 Annual Report*.

## Key engagement with stakeholders on human rights and modern slavery in 2022

<b>Multi-stakeholder forums</b>	<p>We engaged in the following key forums:</p> <ul style="list-style-type: none"> <li>– International Council on Mining &amp; Metals (ICMM), taking a leadership role in the development of its updated Human Rights Due Diligence Guidance.</li> <li>– UN Global Compact (including the Modern Slavery Community of Practice).</li> <li>– UN Annual Forum on Business and Human Rights.</li> <li>– Human Rights Resources and Energy Collaborative (HRREC), taking a leadership role in convening this practitioner-led forum.</li> </ul>
<b>Civil society organisations</b>	<p>We hold yearly roundtables with civil society organisations and members of our Board, Executive Committee and senior subject matter experts. Civil society forums help us understand societal expectations across ESG issues, detect risks and identify further opportunities to collaborate. In 2022, 28 organisations participated in our roundtable discussions held in person in London, Sydney and Montreal. Human rights and modern slavery are important topics of discussion at these roundtables. For more information, see page 96 of our <i>2022 Annual Report</i>.</p> <p>In 2022, we also commenced issue-specific dialogues focused on particular themes, including decarbonisation and the <i>Everyday Respect Report</i>, and continued our one-on-one engagement and information sharing on human rights at the Group and asset level.</p>
<b>Engaging with worker representatives</b>	<p>Recognising the links between respect for labour rights and preventing modern slavery, we engage in constructive dialogue with workers' organisations at local and global levels. This includes working sessions with our main union stakeholders. In 2022, there were two main meetings with IndustriALL in Pittsburgh and London. These meetings included broader discussion on ESG, the <i>Everyday Respect Report</i> and upcoming product stewardship certifications (which includes on modern slavery). With COVID-19 restrictions easing, the team will resume its regular engagement with the International Labour Organization, including on the topic of modern slavery.</p>
<b>Engaging with investors</b>	<p>We engage with investors and respond to investor queries about how we assess and address modern slavery risks, questions about our policies, how we identify, report and manage modern slavery incidents in the event they occur and our governance structures for considering modern slavery risks.</p>



### Practitioner-led collaboration

The Human Rights Resources and Energy Collaborative (HRREC) was formed in 2019 by practitioners committed to respecting human rights in our respective businesses, including addressing modern slavery risks in our operations and supply chains. The primary purpose of HRREC is to provide a forum where practitioners can share learnings, challenges and develop best practice for respecting human rights. Key activities in 2022 included:

- Developed and launched (with the Walk Free Foundation) a Modern Slavery Response and Remedy Framework which is designed to provide practical guidance to assist companies with their response to modern slavery or related exploitation in their supply chains or operations.
- Developed guidance on social auditing in supply chains to promote a consistent, clear and effective approach for companies and suppliers in the industry and to use as training and awareness raising. This was designed to promote a “beyond audit” mindset and avoid the pitfalls of auditing that were seen in the apparel and fast-moving goods industries.
- Co-authored a submission to the Australian Government-led review of the Modern Slavery Act 2018 (Cth).

# 8. Consultation across our business

We continue to engage product groups, assets, and functions on human rights, including modern slavery, in a range of ways, including through:

- Business conformance audits.
- Communities and social performance and human rights certification processes.
- Product group salient human rights issues workshops.
- Training activities.
- Discrete human rights-related support, including around supplier due diligence.

These activities help embed our human rights approach across the Group. In addition to our broader day-to-day consultation on modern slavery and human rights issues, we also consulted with our reporting entities and owned and controlled entities to develop this Statement. This consultation process is described below.

This Statement was prepared through cross-functional collaboration, including between Human Rights specialists within the Community and Social Performance Area of Expertise, External Affairs, Communications, Ethics & Compliance, Group Security, Human Resources, Investor Relations, Legal and Commercial (including Marine, Procurement and Logistics and Sales and Marketing) and our product groups. We engage with civil society organisations regularly and we host civil society roundtable updates annually, chaired by the Chief Executive and Chair of the Board.

## Managed reporting entities and other owned and controlled entities

In preparing this Statement, all reporting entities (listed in Appendix 4) were given an opportunity to review the draft Statement and to attend an information briefing session on the Statement, external trends, assurance and forward commitments for 2023. All boards of other Australian-owned and controlled entities (that are not reporting entities) were sent a briefing pack via our Company Secretariat team in order to highlight our modern slavery obligations and commitments, inform them of the Statement and invite questions and input.

## Non-managed reporting entities

This Statement is also made on behalf of Queensland Alumina Limited (QAL), which is a reporting entity under the Australian MSA. Energy Resources of Australia Ltd (ERA) has now moved into mine closure and rehabilitation and is no longer a reporting entity under the Australian MSA.

The consultation process also included specific engagements with key personnel at QAL (in 2022 and 2023), on its modern slavery risks and relevant policies and procedures to manage those risks, and to identify opportunities for continuous improvement. The QAL Board reviewed a draft of this Statement. To fulfil its reporting obligations under the Australian MSA, additional information is provided in relation to QAL's modern slavery approach, including noting QAL follows key Rio Tinto policies and procedures and key differences in approach.

## QAL

QAL is the owner and operator of one of the largest alumina refineries in the world. The refinery is located in Gladstone, Queensland and produces some 3.8 million tonnes of the world's best smelter grade alumina per year. QAL operates on a tolling basis, in that QAL does not engage directly or indirectly in the production of alumina for its own account. During 2022, QAL was jointly owned by Rio Tinto (80%) and Alumina & Bauxite Company Ltd (20%)<sup>1</sup>, however due to the sanctions imposed on Russian individuals and entities, for a substantial portion of 2022, Rio was funding 100% of QAL and taking 100% of the alumina production of QAL.

QAL's operations include a wharf and storage facility on South Trees Island and the operation employs approximately 1,000 staff. In addition, QAL engages approximately 400 contractors each day who are based on site. This can fluctuate to 800 depending on daily project requirements. During the reporting period, QAL's total spend was approximately AUD\$1 billion with 842 suppliers located in 10 countries. The main categories of spend were procurement of:

- Raw materials and energy (caustic soda, coal, gas, water, power, and lime).
- Maintenance services.
- Maintenance materials (valves and pipework).
- Operating supplies (fuels and lubricants).
- Project goods and services for capital expenditure.

To manage the modern slavery risks that were aligned with Rio Tinto, QAL has adopted select Rio Tinto policies and processes including The Way We Work, and is working to implement the Rio Tinto Communities and Social Performance Standard, as well as incorporating a number of Rio Tinto standards and expectations into its own policies and processes. In relation to supplier due diligence, selected new suppliers are screened by Rio Tinto's TPDD team under the KYTP procedure. Use of the procedure is based on a threshold value and a risk assessment. QAL has its own Supplier Code of Conduct (SCOC) that sets out the company's expectations

that suppliers: ensure all workers are of local legal age and prevent the use of illegal child labour, affirm there is no forced or bonded labour, respect the rights of workers to lawfully and peacefully form or join trade unions of their choosing and to bargain collectively, and ensure fair remuneration and work conditions for all workers. The majority of vessels that berth at the QAL wharf are Rio Tinto owned vessels or Rio Tinto chartered vessels, which are managed in accordance with Rio Tinto's Marine approach (see Section 3).

QAL has its own community grievance mechanism (ROCS) available 24/7 via phone and online. During the reporting period, no modern slavery or other labour issues were raised through this mechanism. As set out in the SCOC, suppliers of QAL are encouraged to use the Rio Tinto myVoice mechanism if they have concerns. QAL also has a whistleblower service and an independent grievance service referred to as Speak Out, which is available to employees and contractors. No modern slavery concerns were raised via Speak Out during the reporting period.

In 2021, QAL undertook a high-level review of its modern slavery risk areas and controls. The review found that QAL's modern slavery risk areas were largely aligned with Rio Tinto's identified high-risk goods and services (see above Section 2). The review also identified a number of areas of action which were implemented during 2022, which included:

- Developed and published a Human Rights Policy.
- Embedded modern slavery clauses into new contracts and, where possible, into existing contracts when extended.
- Reviewed QAL's supplier due diligence, broadened the application of the Rio Tinto KYTP procedure to a greater number of QAL's new suppliers and introduced a bi-annual review for existing suppliers.

QAL will continue to monitor its modern slavery risks and endeavour to embed and adopt practices to reduce risk. Additional information about QAL can be accessed on its website.

1. Alumina & Bauxite Company Ltd is a subsidiary of United Company Rusal IPJSC.



# Appendix 1

## Our performance

As part of our commitment to year-on-year continual improvement and transparency, we have summarised examples of how we have delivered against key commitments in our 2020 and 2021 Modern Slavery Statements. We have also indicated where we have achieved key outcomes, where work is ongoing (and is typically multi-year in nature) or where greater focus is required for future performance.

- Completed
- Ongoing
- Needs focus

Commitment	Examples of how we have taken action	Status
<b>Strengthening governance</b>		
Update our Human Rights Policy and CSP Standard.	The updated Policy and Standard were approved by the Board and launched in early 2023 and 2022 respectively.	●
Implement our Human Rights Policy and CSP Standard.	Implementation is ongoing (see Section 3).	●
Update our Supplier Code of Conduct (SCOC).	The updated SCOC was approved by the Board and launched in 2022 (see Section 3).	●
Finalise our Responsible Sourcing Action Plan.	A multi-year action plan was agreed during 2022.	●
Implement our Responsible Sourcing Action Plan.	Implementation is ongoing (see Section 3).	●
Strengthen human rights clauses in our contracts.	We improved our projects contracts to include greater controls for higher human rights risk contexts (see Section 3).	●
<b>Managing risks</b>		
Drive consistent risk-based processes across the Group, including a human rights control framework.	We updated our Group-wide human rights consequence descriptors and risk taxonomy (see Section 4).	●
Improve the depth and breadth of our supplier risk assessments.	We updated higher risk categories of goods and services, with a focus on renewables supply chain (see Section 2).	●
Strengthen resourcing (people and systems) to effectively manage our evolving supplier and other third-party engagement	We bolstered our assurance and resourcing model to manage non-financial risks, including in our CSP Area of Expertise and Global Procurement teams. This included appointing a new Director of Third-Party Risk Management (see Section 3).	●
Expand reporting categorisations in the myVoice system to include a wider range of modern slavery risk indicators.	We reviewed "issue type" classification of allegations to improve modern slavery reporting. This will be deployed in 2023 (see Section 4).	●
Strengthen implementation of asset-level grievance mechanisms including aligning with the UNGPs, clarifying site-level accountabilities, and improving reporting.	We updated Group-wide Complaints and Grievance Guidance for asset-based grievance mechanisms to better align with the UNGPs.	●
	Implementation is ongoing (see Section 4).	●
Provide guidance on how to proactively implement a modern slavery response plan.	We supported the launch of the Walk Free and Human Rights Resources and Energy Collaborative Response and Remedy Framework (see Section 4).	●
<b>Building capability</b>		
Update our Group human rights training strategy, guidance and online programme to deliver on Group training targets.	We completed 39 human rights workshops, webinars, and other training initiatives globally. We have had more than 2,400 completions of our new e-module on modern slavery and labour rights and trained 185 crew, officers, and shore team on our marine owned fleet of vessels.	●
	The ongoing development of our Group human rights training strategy, guidance and other training initiatives are all ongoing (see Section 5).	●
Design a proactive supplier engagement training and capability programme to enhance knowledge of human rights (including modern slavery) and our human rights expectations.	We completed five supplier relationship management (SRM) engagements with key suppliers, which included raising awareness of modern slavery and human rights, encouraging a two-way conversation with suppliers and communicating our expectations. We will continue this supplier relationship programme in 2023 as well as design a supplier training programme (see Section 3).	●
<b>Assessing effectiveness</b>		
Conduct Group internal audit of human rights policies and processes.	We completed an internal audit of modern slavery controls design and presented to the Sustainability Committee (see Section 6).	●
<b>Other</b>		
Further engage with reporting entities in relation to their modern slavery approach, risk management and reporting.	We engaged with all Australian and UK MSA reporting entities, including Queensland Alumina Limited, in relation to their modern slavery risks and related approaches, risk management and reporting (see Section 8).	●
Contribute to the review of the Australian MSA in 2022.	Via HRREC we contributed to a joint submission to the Government-led review (see Section 7).	●
Ongoing collaboration with stakeholders on human rights and modern slavery	We collaborated with a number of stakeholders in 2022, including HRREC, ICMM and via civil society and investor engagements (see Section 7).	●

# Appendix 2

## Governance documents

Our Group policies are formal statements of business intent outlining the manner in which the Group intends to conduct our affairs and act in specific circumstances. Our Group standards define the minimum acceptable requirements for behaviours and/or conditions in respect of a particular activity or area of practice, which, if not met, could materially impact the Group. Our Group procedures describe how a Group policy statement, a Group standard or a legal, regulatory or corporate governance requirement should be implemented and the key activities involved. Where hyperlinked, key governance documents are available externally on our website, and all governance documents are internally available on our company internal intranet.

Document	Overview	Read more
<b>Code of Conduct – The Way We Work</b>	Our Code of Conduct includes our commitment to respect human rights and operate consistently with the UNGPs. It is provided to potential employees during the offer process and is included in induction material for our people. Our supplier contracts require suppliers to comply with our Code of Conduct.	Pages 12, 17, 18 and 21
<b>Supplier Code of Conduct (SCOC)</b>	Our SCOC is based on internationally recognised standards and The Way We Work, and sets out our expectations of suppliers (and their subsidiaries and subcontractors) with respect to key issues, including human rights.	Pages 12 and 15
<b>Human Rights Policy</b>	Our Human Rights Policy articulates our commitments and how we implement them based on international human rights standards and frameworks. It specifically outlines our rejection of any form of slavery, forced or child labour. The policy sets expectations of third parties including suppliers, marine partners and joint venture partners. The Communities and Social Performance Standard primarily describes how the Human Rights Policy should be implemented.	Page 12
<b>Employment Policy</b>	Our Employment Policy outlines our expectations for safe and healthy working environments for our employees and an expectation that people are treated with dignity, fairness and respect. The Recruitment Approvals Standard, Talent Acquisition Framework Standard and Assessment and Selection Standard describe how the Employment Policy should be implemented.	Page 14
<b>Joint Venture Policy</b>	Our Joint Venture Policy outlines our expectations for joint venture partners (including non-managed operations) to support our corporate commitments and core principles.	Page 14
<b>Business Integrity Standard</b>	Our Business Integrity Standard outlines the key principles for business decision making, business behaviours and requirements for managing business integrity risks.	Page 13
<b>Communities and Social Performance (CSP) Standard</b>	Our CSP Standard defines how we engage communities and outlines the steps we take to identify and manage social, economic, cultural and human rights impacts. It applies to all our businesses and managed operations. Compliance with our CSP Standard is incorporated into agreements with major contractors.	Pages 12 and 14
<b>Group Procurement Standard</b>	Our Group Procurement Standard requires new and renewing suppliers to be subject to the Know Your Third Party procedure.	Page 15
<b>Know Your Third Party (KYTP) procedure</b>	Our KYTP procedure sets out mandatory processes to assess the risks – including human rights risks (such as modern slavery) – relating to third parties we engage with such as our customers, suppliers, contractors and joint venture partners.	Pages 13, 14, 15, 16, 17, 23 and 25
<b>myVoice procedure</b>	Our myVoice procedure provides guidance about how to voice concerns relating to Rio Tinto using our confidential reporting programme myVoice.	Pages 16, 20, 21 and 25

# Appendix 3

## Reporting criteria and UNGPs

This table is an index to reference where in this Statement we are addressing the UK and Australian MSA reporting criteria, and elements of the United Nations Guiding Principles on Business and Human Rights (UNGPs).

UK Modern Slavery Act recommended reporting criterion	Australian Modern Slavery Act mandatory reporting criterion	Elements of the UN Guiding Principles	Reference in this Statement
Organisation's structure, its business and its supply chains.	Identify the reporting entity. Describe the reporting entity's structure, operations and supply chains.		Section 1 (Our structure and business) Appendix 4 (Our 2022 reporting entities)
Parts of the organisation's business and supply chains where there is a risk of slavery and human trafficking taking place, and the steps it has taken to assess and manage that risk.	Describe the risks of modern slavery practices in the operations and supply chains of the reporting entity and any entities it owns or controls.	Identifying and assessing impacts.	Section 2 (Identifying risks) Section 3 (Managing risks)
Organisation's policies in relation to slavery and human trafficking; its due diligence processes in relation to slavery and human trafficking in its business and supply chains; the training about slavery and human trafficking available to its staff.	Describe the actions taken by the reporting entity and any entity that the reporting entity owns or controls, to assess and address those risks, including due diligence and remediation processes.	Policy commitment. Acting on findings.	Section 3 (Managing risks) Section 4 (Remediation) Appendix 2 (Governance documents)
Organisation's effectiveness in ensuring that slavery and human trafficking is not taking place in its business or supply chains, measured against such performance indicators as it considers appropriate.	Describe how the reporting entity assesses the effectiveness of such actions.	Tracking responses, processes to enable remediation, including alignment with the effectiveness criteria.	Section 6 (Assessing effectiveness) Appendix 1 (Our performance)
N/A	Describe the process of consultation with (i) any entities the reporting entity owns or controls; and (ii) for a reporting entity covered by a joint statement, the entity giving the statement.	N/A	Section 8 (Consultation across our business) Appendix 4 (Our 2022 reporting entities)
	Include any other information that the reporting entity, or the entity giving the statement, considers relevant.		Section 7 (Collaboration) About this Statement
	N/A	Communicating on how impacts are addressed.	Page 5 (Evaluation framework) Section 6 (Assessing effectiveness)



# Appendix 4

## Our 2022 reporting entities

This Statement is made on behalf of Rio Tinto Limited (ABN 96 004 458 404), an Australian MSA reporting entity, and Rio Tinto plc, a UK MSA reporting entity, which are the respective Australian and UK listed parent companies of the Rio Tinto dual listed companies structure, and the Group's major holding companies, as well as the following entities:

Entity	Description
<b>Australian MSA reporting entities</b>	
Alcan Primary Metal Australia Pty Ltd (ABN 25 055 787 909)	Tomago Aluminium Joint Venture participant (36.05% interest).
Alcan South Pacific Pty Ltd (ABN 47 009 726 078)	Holds a bauxite mining lease in Cape York (Weipa) and is party to the Alcan Reorganisation Act (Qld).
Australian Coal Holdings Pty Limited (ABN 79 000 066 491)	Holding company for legacy entities associated with former coal assets.
Boyne Smelters Limited (ABN 90 010 061 935)	Incorporated joint venture vehicle for the BSL Joint Venture (59.343% owned by Rio Tinto) which operates the BSL aluminium smelter on behalf of and as agent for the participants in the joint venture.
Cathjoh Holdings Pty Limited (ABN 64 094 265 871)	Tomago Aluminium Joint Venture participant (15.5% interest).
Channar Mining Pty Ltd (ABN 48 009 127 039)	Channar Mining Joint Venture participant (60% interest) and raises finance for the joint venture that develops and operates the Channar iron ore mine.
Dampier Salt Limited (ABN 30 008 706 590)	Joint venture company that owns and operates the Dampier Salt business (68.36% owned by Rio Tinto).
GPS Energy Pty Limited (ABN 36 063 207 456)	Gladstone Power Station Joint Venture participant (22.125% interest).
GPS Nominee Pty Limited (ABN 49 063 213 552)	Holding company of a Gladstone Power Station Joint Venture participant.
GPS Power Pty Limited (ABN 34 009 103 422)	Gladstone Power Station Joint Venture participant (20% interest).
Hammersley Holdings Limited (ABN 50 008 446 222)	Holding company for Australian assets involved in the mining, transport and export of iron ore, exploration for mineral deposits, servicing of sales contracts, participation in shipping ventures, raising of finance for such purposes and investment of surplus funds.
Hammersley Iron – Yandi Pty Limited (ABN 56 009 181 793)	Holds Yandicoogina mineral leases relating to iron ore operations.
Hammersley Iron Pty Limited (ABN 49 004 558 276)	Undertakes mining and transportation of iron ore, invests surplus funds and provides services to the Channar Mining Joint Venture and Bao-HI Ranges Joint Venture.
Hammersley WA Pty Ltd (ABN 53 115 004 138)	Participant in the unincorporated joint venture for the development of the Hope Downs deposits in the Hope Downs Joint Venture (50% interest).
Hope Downs Marketing Company Pty Ltd (ABN 58 115 712 117)	Undertakes marketing for the Hope Downs Joint Venture (50% owned by Rio Tinto).
Mount Bruce Mining Pty Limited (ABN 78 008 714 010)	Holds mineral lease and mining interests (iron ore).
North Limited (ABN 22 005 233 689)	Holds the North Group of companies, which includes owners of iron ore, uranium and copper mines, and Rio Tinto's shares in Energy Resources Australia (52% interest).
North Mining Limited (ABN 78 000 081 434)	Owens interest in Robe River Iron Associates Joint Venture (35% interest), which undertakes iron ore mining, as well as interests in Yarraloola Pastoral Co (35%) and Yalleen Pastoral Co. Pty Ltd (34%).
Pacific Aluminium Pty Limited (ABN 57 008 447 943)	Holding company of 100% interest in Rio Tinto Aluminium (Holdings) Limited and 68.36% interest in Dampier Salt Limited.
Pechiney Consolidated Australia Pty Limited (ABN 39 076 569 769)	Holding company of a Tomago Aluminium Joint Venture participant.
Peko-Wallsend Pty Ltd (ABN 78 000 245 054)	Holding company, including for Energy Resources Australia (publicly listed uranium company) shares (34.3% interest).
Pilbara Iron Company (Services) Pty Ltd (ABN 35 107 210 248)	Supports Pilbara Iron Pty Ltd in the provision of administration services.
Pilbara Iron Pty Ltd (ABN 75 107 216 535)	Operates the various infrastructure and non-infrastructure assets formerly owned and/or operated by each of Hammersley Iron Pty Ltd and the Robe River Associates Joint Venture.
Queensland Alumina Limited (ABN 98 009 725 044)	Incorporated joint venture vehicle for the Queensland Alumina Limited (QAL) Joint Venture (80% owned by Rio Tinto), which operates the QAL alumina refinery on behalf of and as agent for the participants in the joint venture.
Ranges Mining Pty Ltd (ABN 62 100 334 263)	Joint venture participant in the Bao-HI Ranges Joint Venture (54% interest) as well as the Western Range Joint Venture (54% interest).

# Appendix 4 (cont.)

Entity	Description
Rio Tinto Aluminium (Bell Bay) Limited (ABN 91 009 483 201)	Operates the Bell Bay aluminium smelter.
Rio Tinto Aluminium (Holdings) Limited (ABN 37 004 502 694)	Holding company of companies involved in bauxite mining, alumina production and primary aluminium smelting.
Rio Tinto Aluminium Bell Bay Sales Pty Limited (ABN 11 160 684 391)	Sales entity for the Bell Bay aluminium smelter.
Rio Tinto Aluminium Limited (ABN 51 009 679 127)	Boyne Smelters Limited Joint Venture participant (51.85% interest), Queensland Alumina Limited Joint Venture participant (38.61% interest) and Australian holding company for aluminium assets including RTA Weipa Pty Ltd and RTA Yarwun Pty Ltd which operate the Weipa bauxite mine and the Yarwun alumina refinery respectively. Foundation Member of Developing East Arnhem Limited (DEAL).
Rio Tinto Investments One Pty Limited (ABN 31 093 137 323)	Holding company including for Rio Tinto Investments Two Pty Limited.
Rio Tinto Investments Two Pty Limited (ABN 54 093 137 485)	Holding company including for North Limited.
Rio Tinto Services Limited (ABN 62 004 219 738)	Provides internal corporate administration and general services for the Rio Tinto Limited group of companies, predominantly in Australia.
Rio Tinto Shared Services Pty Limited (ABN 69 113 306 077)	Provider of shared transactional services including financial services, human resources and facilities management.
Robe River Limited (ABN 90 008 478 493)	Holds 60% interest in Robe River Mining Co Pty Ltd, which holds a 30% interest in Robe River Iron Associates Joint Venture.
Robe River Mining Co. Pty Ltd (ABN 90 008 478 493)	Holds 30% interest in and manages Robe River Iron Associates Joint Venture.
RTA AAL Australia Limited (ABN 13 008 589 080)	Holding company for aluminium assets, including Swiss Aluminium Australia Limited, which operates the Gove bauxite mine and facilities.
RTA Boyne Limited (ABN 22 008 650 600)	Boyne Smelters Limited Joint Venture participant (7.49% interest).
RTA Holdco Australia 1 Pty Ltd (ABN 17 128 762 318)	Holding company including of RTA AAL Australia Limited.
RTA Holdco Australia 5 Pty Ltd (ABN 38 128 785 599)	Queensland Alumina Limited Joint Venture participant (41.39% interest).
RTA Pacific Pty Limited (ABN 35 004 546 436)	Holding company of Pacific Aluminium (New Zealand) Limited.
RTA Weipa Pty Ltd (ABN 54 137 266 285)	Owns and operates the Weipa bauxite mine and facilities and operates the Weipa Town Authority and Cape Kids Child Care, and holds mining leases in Weipa.
RTA Yarwun Pty Ltd (ABN 73 137 266 301)	Owns and operates the Yarwun alumina refinery.
RTPDS Aus Pty Ltd (ABN 21 099 346 899)	Manages investments in related entities including receiving "dual listed company dividends" from Rio Tinto Limited.
Swiss Aluminium Australia Limited (ABN 92 008 589 099)	Owns and operates the Gove bauxite mine and facilities and member of Nhulunbuy Corporation Limited.
Technological Resources Pty Limited (ABN 12 002 183 557)	Holds trademarks and patents in relation to mine technology innovation.
<b>UK MSA reporting entities</b>	
Borax Europe Limited	Markets and distributes borates, mainly throughout Europe.
Rio Tinto European Holdings Ltd	Investment holding company for the Group.
Rio Tinto International Holdings Limited	Holding company.
Rio Tinto London Limited	UK-based nominee company.
Rio Tinto OT Management Limited	Re-charges the Group services and international assignee (expatriates) labour costs, at cost, in connection with the Group's role to provide operational services to the Oyu Tolgoi project. Charges a management fee for provision of management services in relation to the project.
Rio Tinto Western Holdings Limited	Consolidated parent of the US group of companies.
RTA Holdco 4 Limited	Head Tax Consolidation Entity for various RTA Australian subsidiaries. Holds Alcan Holdings Australia Pty Ltd (being the head cash management entity for various RTA Australian subsidiaries).

# About this Statement

The Rio Tinto Group has prepared this Statement to meet the requirements of the Australian Modern Slavery Act 2018 (Cth) (Australian MSA) and the United Kingdom's Modern Slavery Act 2015 (UK MSA). It covers the period 1 January 2022 to 31 December 2022 for the Australian MSA and UK MSA reporting entities identified in Appendix 4, the reporting entities' owned and controlled entities and our managed joint venture operations or assets.

This Statement applies to Queensland Alumina Limited, which reports under this Statement. This Statement does not apply to any of our other non-managed joint ventures; however, we have highlighted our work to identify over-arching risks relating to, and set expectations of, non-managed joint ventures for alignment with our core standards.

This Statement uses the Australian MSA definition of modern slavery, which includes slavery, servitude, forced labour, debt bondage, forced marriage, trafficking in persons, deceptive recruiting for labour or services and the worst forms of child labour. The UK Government uses a similar definition.

The information in this Statement applies to all reporting entities unless we are aware of a reporting entity having different policies or processes to those of the Rio Tinto Group to identify and manage modern slavery risks. In those cases, we have provided additional information.

The Rio Tinto Group 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).

The Australian MSA requires reporting on modern slavery risks in a reporting entity's operations and supply chains. We use "business" in place of "operations" as for us, the term "operations" has a specific meaning to describe operating mines, smelters and refineries and may not encompass all business activities. This Statement was approved on 5 May 2023 by the combined Rio Tinto Limited and Rio Tinto plc Board on behalf of all reporting entities in the Rio Tinto Group. The Statement has been signed by the Chief Executive of Rio Tinto (page 3).

This 2022 Statement is our third under the Australian MSA and seventh under the UK MSA. Appendix 3 explains how we have addressed the reporting criteria of both these Acts. This Statement has not been externally assured; however, an internal verification process has supported the integrity of our disclosures.

We welcome feedback at [humanrights@riotinto.com](mailto:humanrights@riotinto.com).



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