

### ATTESTATION

This report was approved pursuant to subparagraph 11(4)(b)(ii) of the *Fighting Against Forced Labour and Child Labour in Supply Chains Act* ("Act") by the board of directors of Rio Tinto Canada Inc., Pechiney Reynolds, Quebec Inc., Rio Tinto Alcan Inc. and Iron Ore Company of Canada.

In accordance with the requirements of the Act, and in particular section 11 thereof, I attest that I have reviewed the information contained in this report for the entity or entities listed above. Based on my knowledge, and having exercised reasonable diligence, I attest that the information in this report is true, accurate and complete in all material respects, for the purposes of the Act, for the reporting year listed above.

I make the above attestation in my capacity as a director of the board of Rio Tinto Canada Inc. for and on behalf of the board of Rio Tinto Canada Inc.

I have the authority to bind Rio Tinto Canada Inc.

*Julie Parent*

\_\_\_\_\_  
Rio Tinto Canada Inc.  
Full name: Julie Parent  
Title: Director  
Date: 4 April 2024

I make the above attestation in my capacity as a director of the board of Rio Tinto Alcan Inc. for and on behalf of the board of Rio Tinto Alcan Inc.

I have the authority to bind Rio Tinto Alcan Inc.

*Marie-Cristine Dupont*

\_\_\_\_\_  
Rio Tinto Alcan Inc.  
Full name: Marie-Christine Dupont  
Title: Director  
Date: 4 April 2024

I make the above attestation in my capacity as a director of the board of Pechiney Reynolds, Quebec Inc. for and on behalf of the board of Pechiney Reynolds, Quebec Inc.

I have the authority to bind Pechiney Reynolds, Quebec Inc.

*Christian Charbonneau*

\_\_\_\_\_  
Pechiney Reynolds, Quebec Inc.  
Full name: Christian Charbonneau  
Title: Director  
Date: 4 April 2024

I make the above attestation in my capacity as a director of the board of Iron Ore Company of Canada for and on behalf of the board of Iron Ore Company of Canada.

I have the authority to bind Iron Ore Company of Canada.

\_\_\_\_\_  
Iron Ore Company of Canada  
Full name: Michael McCann  
Title: Director  
Date: \_\_ April 2024

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I make the above attestation in my capacity as a director of the board of Rio Tinto Canada Inc. for and on behalf of the board of Rio Tinto Canada Inc.

I have the authority to bind Rio Tinto Canada Inc.

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Rio Tinto Canada Inc.  
Full name: Julie Parent  
Title: Director  
Date: 4 April 2024

I make the above attestation in my capacity as a director of the board of Pechiney Reynolds, Quebec Inc. for and on behalf of the board of Pechiney Reynolds, Quebec Inc.

I have the authority to bind Pechiney Reynolds, Quebec Inc.

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Pechiney Reynolds, Quebec Inc.  
Full name: Christian Charbonneau  
Title: Director  
Date: 4 April 2024

I make the above attestation in my capacity as a director of the board of Rio Tinto Alcan Inc. for and on behalf of the board of Rio Tinto Alcan Inc.

I have the authority to bind Rio Tinto Alcan Inc.

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Rio Tinto Alcan Inc.  
Full name: Marie-Christine Dupont  
Title: Director  
Date: 4 April 2024

I make the above attestation in my capacity as a director of the board of Iron Ore Company of Canada for and on behalf of the board of Iron Ore Company of Canada.

I have the authority to bind Iron Ore Company of Canada.

  
Iron Ore Company of Canada  
Full name: Michael McCann  
Title: Director  
Date: 9 April 2024

These attestations may be signed in any number of separate counterparts, each of which shall be deemed to be an original. All such signed counterparts, taken together, shall constitute one and the same instrument. Electronic signatures are intended to authenticate this writing and to have the same force and effect as manual signatures. An electronically executed copy of this resolution shall be as valid and effective as an originally or manually executed copy.



# Modern Slavery Statement 2023





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Many of our operations are located on lands 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.

Cover | Cape Lambert, Western Australia.

## Our 2023 reporting suite

Our *Modern Slavery Statement* is part of our broader 2023 reporting suite. You can find this report and others, including our *2023 Annual Report*, *Climate Change Report*, *Sustainability Fact Book*, *2023 Addendum - Scope 1, 2 and 3 Emissions Calculation Methodology*, *Industry Association Disclosure*, *Taxes and Royalties Paid Report* and *Voluntary Principles on Security and Human Rights* report, on our website. Our *2023 Country-by-Country Report* will be published on our website later in 2024.

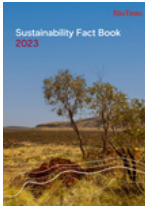
 **To view and download these documents**  
see [riotinto.com/reports](https://riotinto.com/reports).



**2023 Annual Report**



**2023 Climate Change Report**



**2023 Sustainability Fact Book**



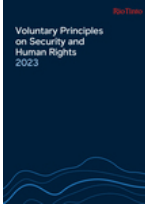
**2023 Addendum - Scope 1, 2 and 3 Emissions Calculation Methodology**



**2023 Industry Association Disclosure**



**2023 Taxes and Royalties Paid Report**



**2023 Voluntary Principles on Security and Human Rights**



**2023 Modern Slavery Statement**



# 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 include freedom from all forms of modern slavery including forced labour, debt bondage, child labour and human trafficking.



As a global business with a presence in 35 countries, we recognise the important role Rio Tinto has in helping address modern slavery. The crimes of modern slavery have the potential to occur in our business and anywhere across our supply chain, in every country where we live and work.<sup>1</sup>

We firmly believe respecting human rights and eliminating modern slavery starts with our everyday actions and is a collective responsibility across our business.

In 2023, we focused on finding better ways to integrate our modern slavery commitments across the business, helping us identify modern slavery risks early, improve transparency, and take the right steps to mitigate issues or prevent harm from occurring in the first place. As we continue to progress our strategy to achieve net zero emissions by 2050, this is increasingly relevant across our emerging renewable energy interests.

We developed a set of core human rights controls to support improved identification and mitigation of human rights risks, including modern slavery. Improving the welfare of crew on the ships that carry our materials is an ongoing priority, and in 2023, we built our human rights requirements into our marine crew welfare safety program and our logistics safety maturity assessment of all suppliers globally.

In 2024, we will train our leaders in integrating human rights requirements into business decision making and supporting their teams to identify, prevent and mitigate risks of human rights, including modern slavery. We will increase the quality and quantity of human rights risk assessments completed at our assets, delivering on our Sustainable Sourcing Plan and meeting our marine targets.

It's also our priority to continue to strengthen our workplace culture by improving physical and psychological safety in our business so our employees feel safe, supported and confident to raise concerns if something doesn't feel right. This is fundamental to identifying, investigating and responding to potential modern slavery concerns across our value chain.

We know we can affect human rights everywhere we work and beyond our operations. We also know what we do in one location may affect people's trust in how we will respect human rights elsewhere. I am confident the improvements and changes we are making in these critical areas will help ensure our people, suppliers and everyone impacted by our operations feel respected, safe, and valued.

We welcome your feedback.

A handwritten signature in black ink that reads 'Jakob Stausholm'.

**Jakob Stausholm**  
Chief Executive

2 May 2024

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, including 12 million children, and 22 million in forced marriages. Find out more at [walkfree.org](https://www.walkfree.org). The ILO estimates 160 million children are in child labour globally, with 79 million in hazardous working conditions. Find out more at [ilo.org](https://www.ilo.org).



# 2023 progress and evaluation framework

We use a theory of change model to evaluate the impact of our modern slavery approach and measure our progress. This guides our priorities, so we can focus our efforts on where we can have the greatest impact. The table below is a simplified model to show how we measured our progress during 2023, highlighting key activities and outputs and the measured outcomes and intended impacts.

Theme	2023 key activities and outputs	Outcomes and intended impacts
Strengthening governance and promoting awareness of expectations	<ul style="list-style-type: none"> <li>– Launched the Care Hub and expanded the Business Conduct Office to include a reporting and governance function (page 26).</li> <li>– Revised our <i>Supplier Code of Conduct</i> (page 17).</li> <li>– Delivered a global internal communications campaign to demystify, integrate and operationalise respect for human rights (page 3).</li> <li>– Completed 14 supplier relationship management engagements on human rights and modern slavery to promote awareness of our human rights expectations for suppliers (page 18).</li> <li>– Increased the use of “Green and Purple banners” which are an internal communications platform used to raise awareness around human rights issues. In 2023, this included awareness raising on human rights and people smuggling risks connected to freight trains in Mexico and continued focus on inclusion and diversity (pages 16 and 23).</li> </ul>	Through effective governance and promoting awareness of our human rights commitments, we have more consistent, aligned and effective policies, procedures and processes in place to help identify, address, remedy and prevent potential human rights impacts, including modern slavery.
Identifying, assessing and addressing risks	<ul style="list-style-type: none"> <li>– Undertook over 10,000 baseline screenings of third parties, and over 5,000 third-party due diligence reviews, with 177 escalations to human rights specialists (pages 13 and 15).</li> <li>– Continued senior management and executive decision making on non-financial risks through the Third Party Risk Management Committee, with a heightened focus on renewables-related goods and services. This Committee has oversight of our human rights risk management including child labour, forced labour and broader human rights risks (page 12).</li> <li>– Deepened our understanding of risks beyond tier 1 supplier relationships and conducting due diligence on raw material components in cobalt chemistry batteries, wind turbines and solar panels. (page 12).</li> </ul>	Through increasing the quantity and quality of our in-depth reviews of higher-risk third parties, with decision making by senior management, we develop improved decision making that considers human rights impacts linked to strategic priorities (for example, human rights considerations connected to decarbonisation).
	<ul style="list-style-type: none"> <li>– Enhanced support and training for assets on how to complete human rights risk assessments, including developing a set of Group Human Rights controls and supporting risk assessment tools (page 14).</li> <li>– Completed 24 human rights risk assessments on managed assets (page 10) and 2 human rights risk assessments with non-managed joint venture partners (page 16).</li> <li>– Developed the Inherent Category Risk Matrix for assessing modern slavery risks in supply categories (pages 17 and 18).</li> <li>– Improved identification of modern slavery-related risks, including child labour risks (page 19), marine and logistics risks relating to crew and people smuggling (page 23) and labour related reports via myVoice (page 26).</li> </ul>	<p>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 and in our supply chains.</p> <p>Improved “speak up” culture to raise concerns about modern slavery risks.</p>
Building capability	<ul style="list-style-type: none"> <li>– Delivered 35 targeted and bespoke internal human rights workshops for higher-risk functions and assets (page 27).</li> <li>– 2,441 completions of the modern slavery e-module were recorded, representing 66% of employees and contractors in modern slavery high risk roles (page 27).</li> <li>– Completed a cross-functional workshop with internal and external experts to co-design a three-year learning strategy and identify leaders as the high risk cohort for learning in 2024 (page 27).</li> <li>– Trained 200 officers and crew on our owned fleet on human rights, including a focus on Everyday Respect and modern slavery (page 27).</li> </ul>	<p>Increased internal capability leads to enhanced controls that help us better identify, address, remedy and prevent human rights and modern slavery risks.</p> <p>In 2023, 90% of participants who completed the e-module on modern slavery reported improved awareness and capability to identify and address modern slavery risks.</p> <p>Building capability, particularly for senior and executive leadership, will lead to improved ability to navigate challenging human rights jurisdictions within our value chains.</p>
Assessing effectiveness	<ul style="list-style-type: none"> <li>– Completed a Group Internal Audit readiness assessment of the European Union Corporate Sustainability Due Diligence Directive (page 28).</li> <li>– Continued our multi-year Group Internal Audit program, focusing on human rights risk identification, assessment and documentation (page 28).</li> <li>– Completed asset-level certifications and standards, which included human rights-related assessments, including the Aluminium Stewardship Initiative (20 assets) and ICMM (29 assets) (page 24).</li> </ul>	Through effective risk management and assurance, we have more consistent, aligned and effective human rights controls in place to help identify, address, remedy and prevent potential human rights and modern slavery impacts.
Improving collaboration	<ul style="list-style-type: none"> <li>– Co-chaired the ICMM human rights working group, attended an ICMM human rights workshop in Brazil and attended the ICMM civil society roundtable at the UN Business and Human Rights Forum (page 29).</li> <li>– Facilitated and led dialogues on renewables and human rights due diligence through the Human Rights Resources and Energy Collaborative, including a roundtable dialogue with the New South Wales Anti-Slavery Commissioner (pages 12 and 29).</li> <li>– Engaged in dialogue with workers’ organisations at local and global level, including the International Labor Organization (page 29).</li> <li>– Engaged with 28 civil society organisations (CSOs) as part of our roundtable discussions in London, Sydney and Washington D.C. Ongoing engagement with CSOs included issue-specific dialogues and one-on-one engagements and information sharing on human rights (page 29).</li> </ul>	Through industry knowledge, sharing and collaboration, we can address systemic challenges that no one company can address on its own.



Art by Freddie, age group 8 to 13 years, Australia.



Art by Ninjin, age group 16 to 18 years, Mongolia.

## Promoting awareness

We continued our annual Human Rights Awareness Campaign which we began in 2022, to help raise awareness of human rights and modern slavery and to embed our updated *Human Rights Policy*. In 2023, this coincided with the 75th anniversary of the Universal Declaration of Human Rights (UDHR). Throughout the campaign, we encouraged people to think about how they could impact human rights at work and in their day-to-day.

The campaign included:

- Developing an online platform of human rights resources and information about the UDHR with materials for distribution at assets and links to relevant external resources.
- Hosting an art competition for employees and their families.
- Distributing polo shirts to human rights advocates in the business to help spark curiosity and conversations.
- Printing pocket-sized copies of the UDHR for employees' everyday reference.
- Digital signage of human rights resources across all major hub offices and assets globally.
- Providing a share pack on human rights for raising awareness at asset pre-start meetings.
- Hosting awareness-raising events in our Perth, Brisbane, Montreal and London offices.
- Sharing a video of our employees speaking personally about what human rights mean to them.

The key message shared across all resources was that we all have a role to play in standing up for human rights and it starts with our everyday actions at work and at home.

We have received positive feedback, including that the campaign promoted awareness outside of the company by facilitating conversations at home and among employees' families. We will continue to measure the outcomes of these campaigns.



**Read more**  
about our annual Human Rights awareness  
campaign at [riotinto.com/humanrights](https://riotinto.com/humanrights).



# 1. Our structure and business

Our portfolio of more than 60 operations and projects<sup>1</sup> includes iron ore, copper, aluminium and a range of other minerals and materials needed for people, communities and nations to grow and prosper, and for the world to decarbonise to achieve net zero. We're helping develop more secure and sustainable supply chains, and strengthening our environmental, social and governance (ESG) practices across our business, from exploration through to closure.

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 offices in Perth, Brisbane, Singapore and Montreal, and a presence in many other locations.

We own and operate mining and processing operations spanning a range of countries and commodities, and we manage projects across growth, execution and closure. Our ability to create value is underpinned by the quality of our assets, the capabilities of our people, our approach to safety, our operational performance, innovative partnerships, and disciplined capital allocation. We operate with a focus on excelling in development, accelerating growth and productivity, and driving the development and delivery of technology to enable decarbonisation as we strive to achieve impeccable ESG credentials.

We have significant operations in Australia, Canada, South Africa, Guinea, Mongolia and the US, and businesses and operations in Asia, Europe and South America. We work together with stakeholders and communities to embed responsible closure considerations across the lifespan of our assets.

We are exploring for eight commodities in 18 different countries and also invest in a range of entities through joint venture activities, including non-managed operations in Chile, Brazil, Australia, Oman and Guinea.

Alongside our delivery partners, we use our global logistics networks, including railways, ports and ships, to deliver materials to our customers safely, reliably and efficiently.



**For information**  
about our business model, see [riotinto.com/ourbusiness](https://riotinto.com/ourbusiness).

## Our product groups



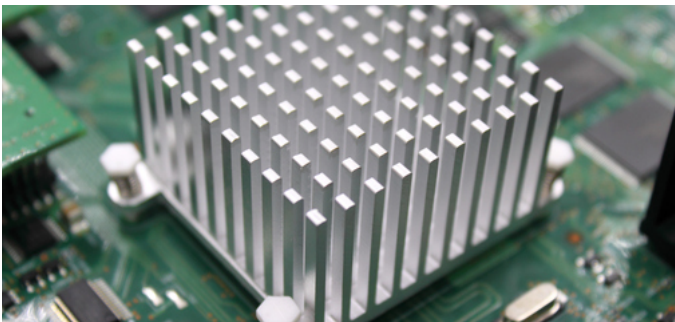
### Iron Ore

We are one of the world's leading producers of iron ore, the raw material in steelmaking. Our operations are in the Pilbara region of Western Australia and Canada, and we are partnering with stakeholders to accelerate efforts to decarbonise the steel value chain.



### Copper

We've been mining copper in the US for 120 years, and our Oyu Tolgoi operation in Mongolia is one of the largest known copper deposits in the world. Essential to creating a low-carbon future, demand for copper is increasing with electrification across all aspects of daily life.



### Aluminium

We are a global leader in low-carbon aluminium, with operations across the world. Light weight and highly recyclable, aluminium is the most abundant metal found on Earth and is used in products ranging from solar panels to electric vehicles and smartphones.



### Minerals

Our minerals portfolio includes businesses across the globe producing minerals essential for a low-carbon future. From our operations in Canada, South Africa, Madagascar and the US, we produce iron ore pellets and concentrate, titanium dioxide, diamonds and borates.



**To find out more**  
about our products, operations and projects, see pages 6-7.

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

## Our people

Respecting the rights of everyone working across our value chains is a commitment we make in all areas of our business. Across our product groups and all operations and functions, from exploration through to closure, our people play key roles in developing our approach to human rights and helping us all recognise and address the risks of modern slavery.

We invest in building a diverse workforce representative of the communities in which we operate, recognising that an inclusive workplace allows our people to feel valued for who they are and encouraged to contribute their full potential.

# 57,000

employees<sup>1</sup>

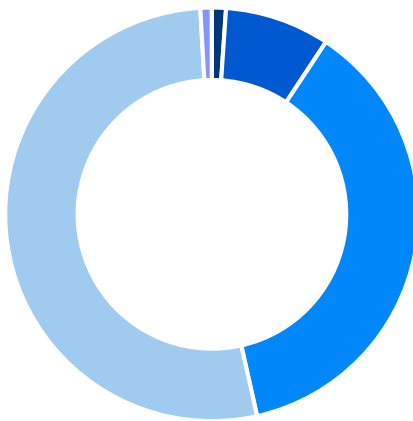
# 4,700

average number of contractors<sup>2</sup> in 2023

# 9,166

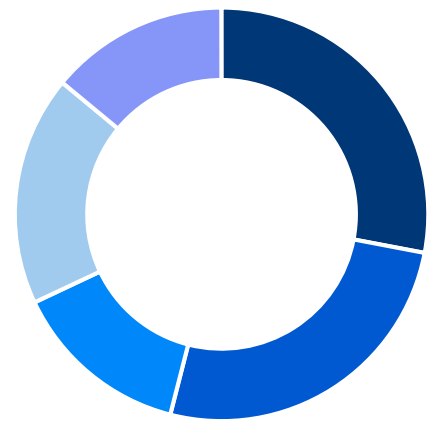
new hires joined the business in 2023, of which 2,718 were contractors becoming permanent employees

### Headcount distribution



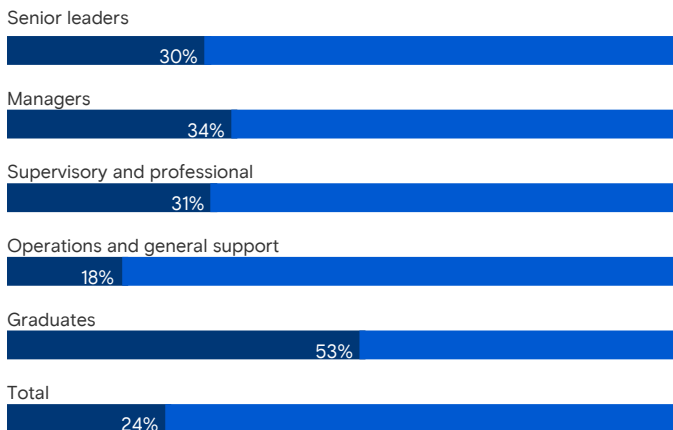
Senior leaders	1.1 %
Managers	8.2 %
Supervisory and professional	37.2 %
Operations and general support	52.6 %
Graduates	0.9 %

### Employee distribution<sup>3</sup>



Iron ore	28 %
Aluminium	26 %
Copper	14 %
Minerals	18 %
Functions <sup>4</sup>	14 %

### Workforce gender distribution



### Women in our workforce



1. This represents the average number of employees for the year, including the Group's share of non-managed operations and joint ventures. It excludes contractors. Refer to page 215 of our 2023 Annual Report for more information.

2. Represents Category 1 contractors for managed operations only. Category 1 contractors are engaged on temporary contracts to provide services under the direction of Rio Tinto leaders.

3. Based on average number of employees for 2023 including for our non-managed entities and joint ventures.


4. Functions refers to our global functions including Commercial, Development and Technology, Finance, IS&T, Legal, Compliance, Human Resources and Communications and External Affairs.

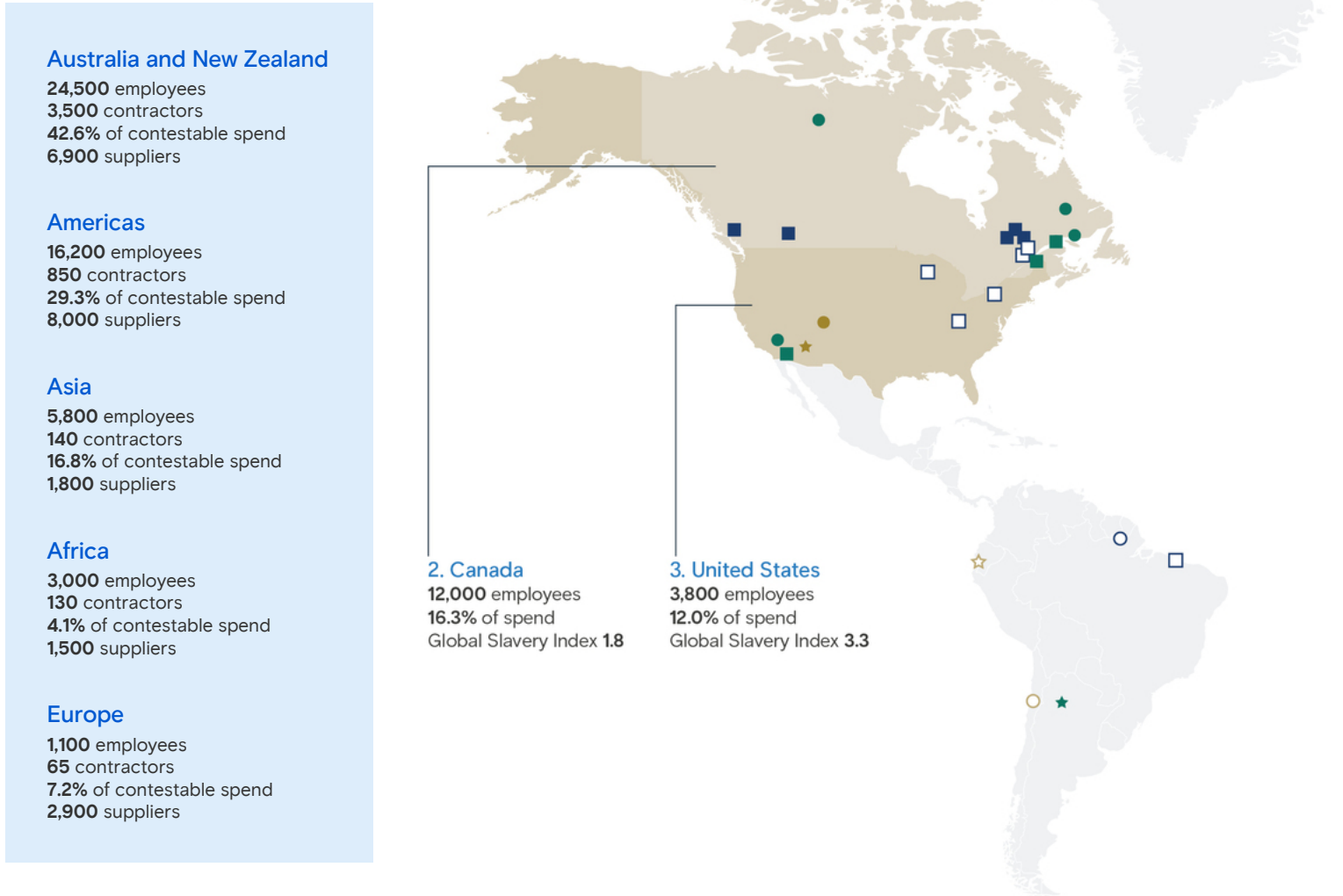


## Our operations, workforce and supply chains

We operate in 35<sup>1</sup> countries, where our 57,000 employees<sup>2</sup> are working to find better ways to provide the materials the world needs. We have over 20,000 suppliers in more than 90 countries, with more than US\$27 billion in contestable spend.<sup>3</sup>

Here we show the top 12 countries that account for more than 90% of our contestable spend, in conjunction with our average number of employees, contractors and suppliers by headcount per region. We recognise modern slavery risks occur in every country and have also incorporated the independent Walk Free Global Slavery Index's estimated prevalence rate of modern slavery.

 **For more information** about our approach to identifying modern slavery risks, see pages 10-13.



### Key

#### Operations and projects

**Iron ore**

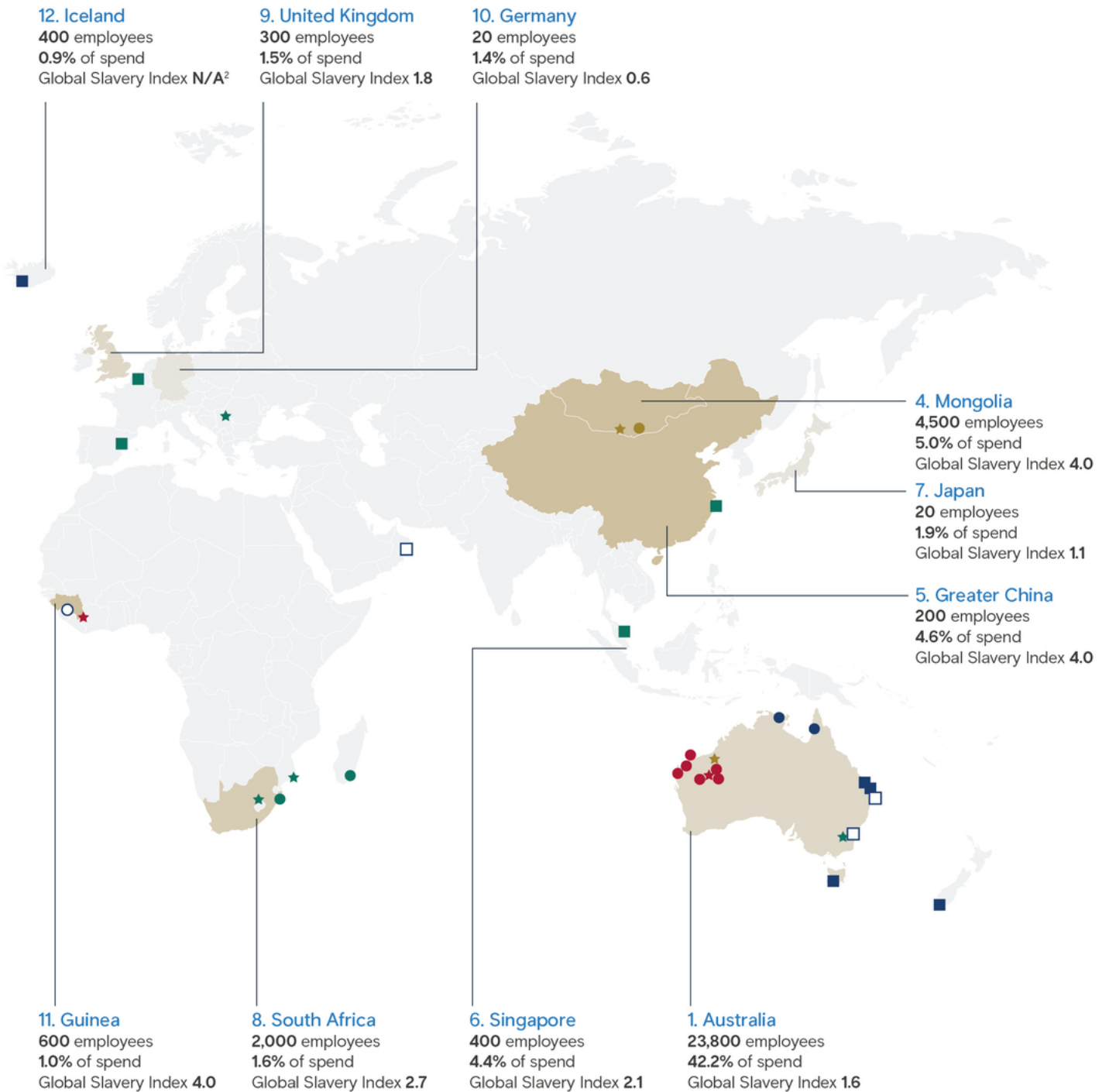
**Aluminium**

**Copper**

**Minerals**

- Mines
- Projects
- Smelters, refineries, processing plants and power and shipping facilities remote from the mine
- Non-managed operations
- Top 12 contestable spend countries

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. Any references to employees represents the average number of employees for the year, excluding the Group's share of non-managed operations and joint ventures and excludes Non-Executive Directors, contractors and people not available for work. Any references to contractors refers to category 1 contractors for managed operations only. Category 1 contractors are engaged on temporary contracts to provide services under the direction of Rio Tinto leaders. Refer to page 215 of our 2023 Annual Report for more information.  
 3. Please see page 8 and page 9 for more details on contestable spend.  
 4. This map shows the approximate location of our managed and non-managed operations. At some locations, multiple operations or projects of the same type exist within close proximity (as defined by the key). Due to the scale of the map, the key should be considered indicative of the type of operation or project present at each location, not the number.



### Walk Free Global Slavery Index



Estimated prevalence of modern slavery per 1,000 (Walk Free Global Slavery Index 2023).

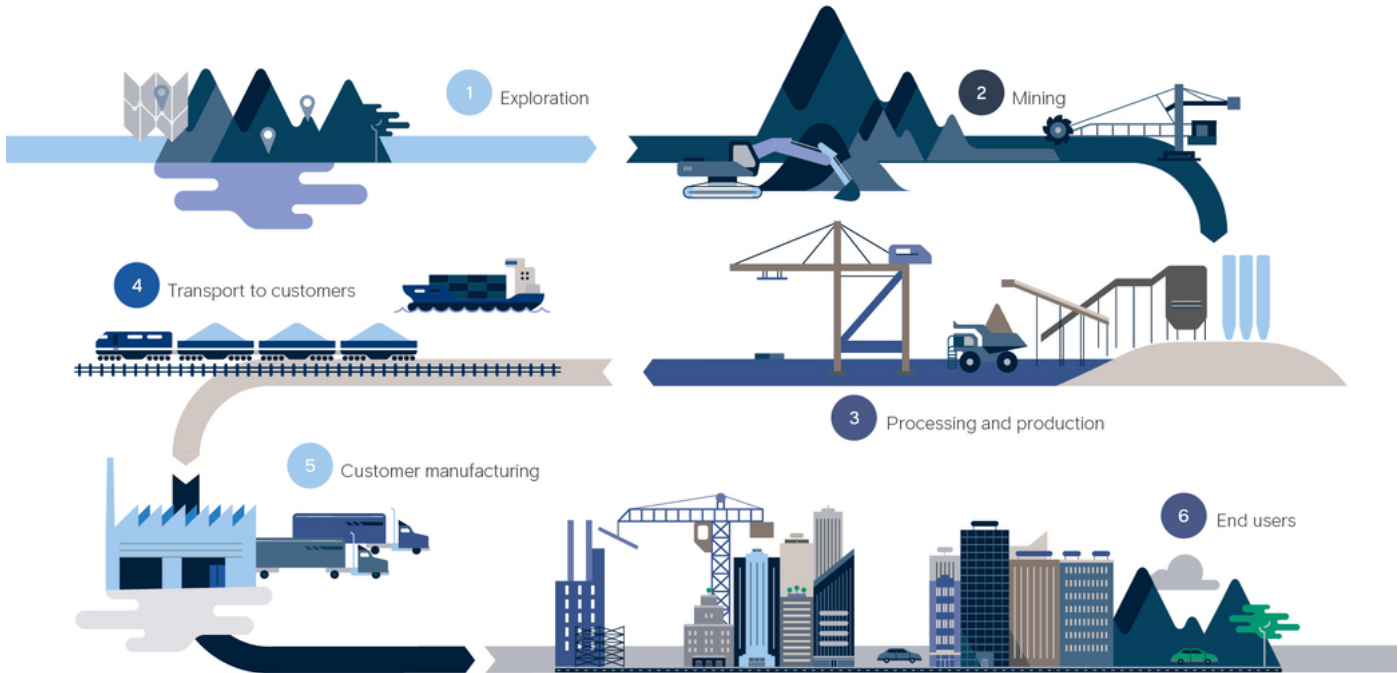
Globally the highest estimated prevalence is 104.6 and the lowest is 0.5, Rio Tinto's top 12 spend countries illustrated above are all below an estimated prevalence of 4.0 per 1000.



## Our value chains

We buy, move and sell goods and services across the mine to market lifecycle, supporting exploration, construction of and operation of our assets, production of goods for our customers, and site rehabilitation at closure.

### Our mine to market lifecycle



#### Understanding our Commercial function

Our Commercial team is responsible for procurement (Buy), marine and logistics (Move), and sales and marketing (Sell) activities. The team is the key interface between our assets and the market (customers and suppliers).

##### Buy – supply chains

We work with 20,000 suppliers in more than 90 countries, generating more than US\$27 billion in contestable spend.<sup>1</sup>

Our contestable spend is managed by our Global Procurement, Marine and Logistics and Major Projects teams. With approximately 465 employees working in 25 global locations, Global Procurement manages the majority of this 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.



**Read more** about our contestable spend and top supplier countries on page 9.

#### Move – our marine and logistics supply chains

Our Marine team is responsible for providing safe freight services for our business, and our Logistics team manages third-party truck, rail and containerised shipments, totalling 180,000 shipments annually.

We are the world's largest dry bulk shipper by volume. Our owned fleet of 17 vessels carries approximately 350 seafarers onboard, and we charter more than 230 vessels at any given time with approximately 200 shipowners. These charters have nearly 6,000 seafarers onboard 2,700 voyages, and carry more than 300 million tonnes of cargo annually.

Our owned and chartered vessels are supported by 65 shore-based Rio Tinto employees with expertise across safety, vetting, assurance, environment, operations, chartering, engineering and fleet optimisation.

We manage a small proportion of carriers (approximately 85,000 to 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.

#### Sell – our customers

In 2023, we generated US\$54 billion in revenue, working with 1,900 customers.

Our customers' needs are central to our operational decision making. Using the insights generated from everything we buy, sell and move around the world, our Sales and Marketing team works closely with customers to ensure we deliver products that meet their specific requirements.

Periodically, we ask our customers for their feedback via a survey and the insights help us deliver new and better products and services. Where possible, we partner to co-develop solutions that support our environmental, social and governance commitments. For example, in 2023 we expanded our low-carbon portfolio by forming the Matalco joint venture to produce and market recycled aluminium in North America.

1. Contestable spend includes capital and operating expenditure and excludes: spend such as donations and gifts; fees to government or 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 \$20.8 billion "spent with suppliers globally" as included in our 2023 *Annual Report*, which is based on the Rio Tinto Group income statement and therefore excludes capital expenditure and incorporates financial consolidation adjustments and accruals. All numbers disclosed in the Procurement Data Table are calculated based on Procurement Contestable spend.

2. The Purchase to Pay team supports business operations from master data maintenance to the purchasing and payment of goods and services.

## Understanding our spend

The majority of our spend is 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 benefit from our activities. For example, in 2023, we spent 16.8% of total contestable spend with local suppliers.<sup>1</sup> We also increased our spend with Indigenous suppliers in Australia by 28% from the prior year to \$725 million in 2023. Our spend with Indigenous suppliers in North America was \$190 million in 2023.

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 is 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 twelve sourcing countries.<sup>2</sup> Our largest spend categories – which accounted for approximately 89% of total 2023 spend<sup>3</sup> – are contracted labour and facilities management, transport, fuel and energy, professional services (such as technology, consultancy, and travel), mining equipment and production consumables (such as explosives, raw materials). Please see the table below for more information.

Category	Definitions	Top five sourcing countries	% contestable spend <sup>1</sup>
<b>Contracted labour<sup>4</sup> and facilities management</b>	Includes items such as construction services, cleaning, waste removal, building maintenance and security services	<ul style="list-style-type: none"> <li>– Australia</li> <li>– Canada</li> <li>– US</li> <li>– Mongolia</li> <li>– Guinea</li> </ul>	<b>31%</b>
<b>Transport</b>	Includes items such as marine-related services and transport (land transport, sea and air)	<ul style="list-style-type: none"> <li>– Singapore</li> <li>– Australia</li> <li>– Canada</li> <li>– Japan</li> <li>– Greater China</li> </ul>	<b>15%</b>
<b>Fuel and energy</b>	Includes items such as diesel and power	<ul style="list-style-type: none"> <li>– Australia</li> <li>– Greater China</li> <li>– Canada</li> <li>– US</li> <li>– Iceland</li> </ul>	<b>13%</b>
<b>Professional services</b>	Includes items such as technology, consultancy and travel	<ul style="list-style-type: none"> <li>– Australia</li> <li>– Canada</li> <li>– US</li> <li>– United Kingdom</li> <li>– Mongolia</li> </ul>	<b>12%</b>
<b>Mining equipment</b>	Includes items such as heavy haul trucks and ancillary equipment	<ul style="list-style-type: none"> <li>– Australia</li> <li>– Canada</li> <li>– US</li> <li>– Mongolia</li> <li>– Greater China</li> </ul>	<b>10%</b>
<b>Production consumables</b>	Includes items such as explosives, raw materials and chemicals	<ul style="list-style-type: none"> <li>– US</li> <li>– Canada</li> <li>– Australia</li> <li>– Japan</li> <li>– South Korea</li> </ul>	<b>8%</b>
<b>Maintenance, repair and operations (MRO) and consumables</b>	Includes items such as personal protective equipment, office equipment and packaging	<ul style="list-style-type: none"> <li>– Australia</li> <li>– Canada</li> <li>– US</li> <li>– Mongolia</li> <li>– Greater China</li> </ul>	<b>6%</b>
<b>Fixed plant and equipment</b>	Includes items such as fixed equipment, material handling and processing equipment	<ul style="list-style-type: none"> <li>– Australia</li> <li>– Canada</li> <li>– US</li> <li>– Germany</li> <li>– Mongolia</li> </ul>	<b>5%</b>

1. 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 43 of our 2023 Annual Report for further information.

2. These countries are where our suppliers are registered; we recognise that this does not always represent the country of origin of goods or services.

3. Based on payments committed to suppliers in 2023.

4. Construction services is now included within the “Contracted labour and facilities management” category. This was part of a project to re-categorise procurement spend, to better align with our category management and market engagement processes.



## 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.<sup>1</sup> We recognise that the presence of human rights issues such as unsafe living and working conditions, discrimination, freedom of association or other labour exploitation may indicate risks of modern slavery.

Our 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, is outlined in this section. Our risk profile is dynamic and regularly reviewed and updated (see Section 3).

### Group salient human rights issues

Salient human rights issues are those that are likely to have the most severe impacts on people as a result of our own activities, supply chains or other business relationships. We manage and regularly review our salient human rights issues through risk management processes. Our current Group-wide salient human rights issues are shown in Diagram 1 and have not changed since 2021. Modern slavery, such as forced labour, child labour, debt bondage and human trafficking is incorporated under “labour rights” and is one of our priority actions.



Diagram 1: Rio Tinto's 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 review whether there is potential for us to be involved in an adverse human rights impact by:

- causing it directly through our own actions or omissions
- contributing to it through our own actions or omissions or through a third party (or parties)
- being directly linked to it through our business relationships arising from our products, services or operations.<sup>2</sup>

### Risks in our business

Research indicates modern slavery occurs in every country.<sup>3</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.

During 2023, assessments were undertaken across 24 of our managed assets to identify and assess potential human rights risks. Approximately 16 risk assessments focused on potential human rights impacts from our tailings storage facilities as required under the *Global Industry Standard on Tailings Management*. Eight risk assessments focused on broader human rights issues (including risks of modern slavery). These risk assessments confirmed 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. We will continue to improve the number and quality of these risk assessments as we develop improved capability to identify and prevent human rights risks.

No confirmed incidences of modern slavery were identified in our operations or through our confidential reporting program, myVoice in 2023. See page 26 for more information.



**For more information on our broader human rights performance, see page 75 of our 2023 Annual Report.**

### Risks in our value chains

We recognise the risk of modern slavery is higher within our value chains than in our operations, including within direct supplier relationships (tier 1 of the supply chain), but also within indirect sub-contracting 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 2 (page 11), recognising that one indicator is rarely sufficient to determine risk alone.

### 2023 performance

Key performance updates include:

- Prioritised efforts on the following categories of goods and services as higher risk that required heightened human rights due diligence:
  - Building and grounds maintenance services and Building products.
  - Catering services.
  - Cleaning and waste removal services.
  - Construction services.
  - Renewables<sup>4</sup>.
  - Security services.
  - Temporary labour.
  - Transport (including by rail, sea and road), logistics and warehousing services.
  - Uniforms and personal protective equipment.
- Completed more than 10,000 baseline screenings on third parties connected to our value chains, which included over 170 third parties being escalated for specialist review by our human rights team. Please read more on page 13.

### 2024 priorities

Our priorities include:

- Continuing to use and refine our approach to drawing on independent risk indices and data to inform country risk profiles.
- Continuing to increase the quantity and quality of human rights risk assessments at our managed assets.

1. Our human rights approach is founded on the UN Guiding Principles on Business and Human Rights (UNGPs).  
 2. See our *2021 Modern Slavery Statement* for hypothetical examples of what causes or contributes to modern slavery, or what being linked to an adverse human rights impact may look like.  
 3. For example, the Global Slavery Index (2022) and the *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 making use of our in-house specialist knowledge and third-party experts.  
 4. Determined on a risk-based approach with respect to limited categories of equipment used in renewable energy projects.

## Understanding and monitoring what creates risks in our value chains

New and emerging risks can occur outside our defined high-risk categories, which we respond to on a case-by-case basis. Diagram 2 below shows our approach to understanding and monitoring what creates modern slavery risks within our value chains, and more broadly, human rights risks. We describe supplier-specific risks identified through our third-party due diligence process in Section 3.

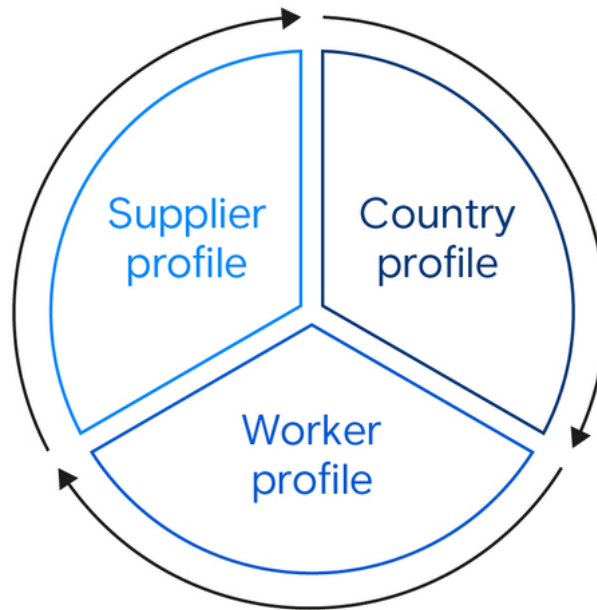


Diagram 2: Risk profile indicators.

### Supplier profile

To assess the management profile of our suppliers, we consider several indicators:

- 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 mechanisms.

### Worker profile

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 or type of work may be higher risk, due to:

- 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.
- There is a lack of oversight over workforce, or poor regulation.

### Country profile

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

- The government's response to modern slavery (for example, if the government has effective law enforcement, strong regulation and laws and support for victims).
- Vulnerability of individuals to modern slavery (for example, vulnerability indicators may include high rates of inequality, poverty, discrimination on the basis of any status including gender or race, disenfranchised groups, lack of political rights, low or reduced financial and health protections, no protection in place for those most vulnerable and where there is a risk of child labour or young workers).
- Conflict or risk of conflict.



## Decarbonisation and our renewable energy supply chain

Our approach to sustainability is guided by our purpose: finding better ways™ to provide the materials the world needs. We are committed to our ambition to reach net zero emissions across our operations by 2050, in alignment with our values and social and human rights commitments.

The use of renewable technology is a critical enabler to meet our emissions reduction targets. We are deploying a range of wind and solar projects over the next 10 years to find solutions to power our operations across the countries in which we operate. However, as renewable energy-related goods and services can carry potential human rights risks, including modern slavery and broader communities and social performance risk and issues, we apply a risk-based approach for enhanced due diligence on selected suppliers, aligned with our *Human Rights Policy*.

Our key performance updates from 2023, on further mitigating human rights and modern slavery risks in our renewables strategy, are summarised below.

**Governance** – We continued to mature our governance approach over third-party risks, including human rights and refine our policies and procedures to support the consistent delivery of our commitments.

- The Third-Party Risk Management Committee met several times in 2023, including to review a selection of renewable energy-related suppliers. This committee comprises senior executives who oversee our framework to enable consistent decision making on human rights risk management (read more in our *2022 Modern Slavery Statement*).
- Established an internal Renewables Forum convened on a monthly basis to facilitate regular dialogue, alignment and collaboration between our Commercial, Legal, Third-Party Risk Management and Human Rights teams.
- Broadened our decision-making framework (described in our *2022 Modern Slavery Statement*) for reviewing human rights risks to two additional high-risk renewable energy-related categories, being cobalt chemistry batteries and wind turbines.

**Due diligence** – We continued to enhance and embed due diligence activities, focusing on improving the quantity and quality of assessments of third parties.

- Deepened our knowledge of renewable energy supply chains beyond tier 1, including raw material components to improve our understanding of potential human rights issues.
- Reviewed battery solution providers for risks of child labour and human rights concerns connected to the use of cobalt.
- Conducted enhanced due diligence on solar panel providers (existing and proposed) in response to human rights allegations.

- Commenced due diligence of wind powered technology providers to understand any potential human rights risks.
- Developed and utilised a comprehensive Request for Information process specific to renewable energy equipment, covering topics on commercial, technical, ESG standards and human rights criteria.
- Appointed an analyst dedicated to renewable energy-related third-party risk management to support coordination of due diligence activities.
- Integrated human rights criteria, focusing on supply chain transparency, assurance practices, governance and allegations against a third-party into bid evaluation criteria for renewable energy power purchase arrangements for our Diavik, Richards Bay and Australian and Pacific assets.

**Monitoring and assurance** – We promoted an anticipatory regulatory risk approach through periodic risk reassessments and targeted assurance.

- Reviewed our regulatory compliance with custom import restriction laws in Canada and the US, including laws prohibiting the importation of goods presumed to be manufactured with forced labour (for example, the *Canadian Customs Tariff Act*, the *United States Uyghur Forced Labor Prevention Act*).
- Conducted assurance of our existing contractual clauses for modern slavery and human rights in renewable energy-related agreements. No critical issues were identified during this review. We will continue similar reviews so human rights contractual clauses remain strong, and to help monitor implementation of mitigation actions (read more on pages 15 and 17).

**Collaboration** – We continued to work with peers, civil society organisations and other stakeholders, to address shared challenges and opportunities to promote further respect for human rights within the renewable energy sector.

- Joined the Global Battery Alliance, including the Battery Passport Industry Group.
- Facilitated and led dialogues on renewables and human rights due diligence with the Human Rights Resources and Energy Collaborative (read more on page 29). This included a roundtable discussion with companies and the New South Wales Anti-Slavery Commissioner on a proposed Code of Practice to manage modern slavery risks in renewable energy value chains.

Responsible conduct in this space can be challenging. We continue to engage and work together with third-parties to advance respect for internationally recognised human rights.



**Read more** about our approach to decarbonisation in our *2023 Climate Change Report* at [riotinto.com/climate-report](https://riotinto.com/climate-report).



## Identified third party risks during specialist human rights reviews

In 2023, 177 third-party due diligence (TPDD) reports were escalated by our Third-Party Risk Management (TPRM) team to our in-house Human Rights team for specialist review. The reports included direct suppliers, sub-contractors, joint venture partners and customers.

Diagrams 3 to 5 summarise the 177 human rights reviews by risk level, category and location of the third party. Common themes across all reviews included:

- Lack of policies in place to address forced labour or child labour.
- Labour rights concerns.
- Public allegations on human rights issues that required investigation.
- Related ethics and compliance risks.

Areas for further investigation included:

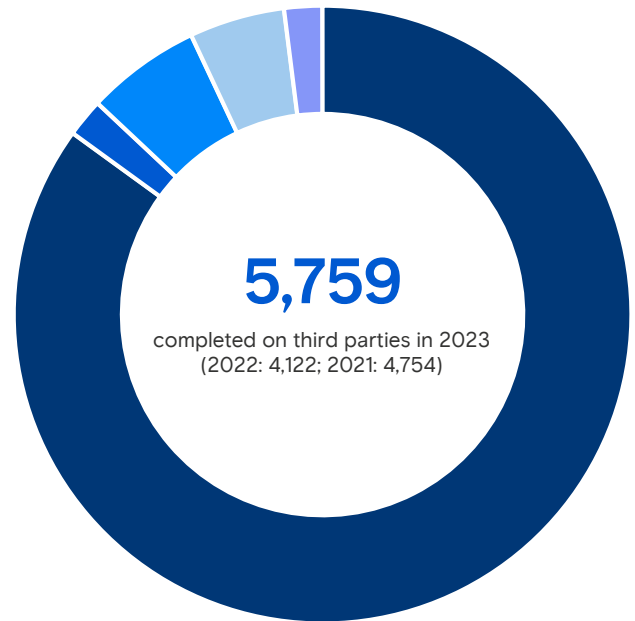
- The third party's supply chain due diligence approach.
- The effectiveness of grievance mechanisms.
- Rights to freedom of association.
- Forced or compulsory labour and management practices around the use of third-party labour providers.

We also requested additional information from the majority of third parties to understand the nature of their workforce, including to identify if vulnerable groups such as young workers and migrant workers existed within the third party workforce.

### 177 human rights reviews

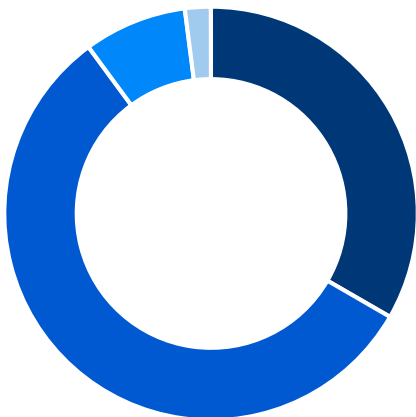
were undertaken on TPDD reports escalated to human rights specialists (see Diagrams 3 to 5).

### Due diligence reviews<sup>1</sup>



Suppliers	85%
Customers	2%
Recipients of sponsorship and donations	6%
Other third parties	5%
Existing or prospective joint venture partners or other third parties in relation to mergers, acquisitions and divestments	2%

**For more information** about our third-party risk management practices, see page 15.



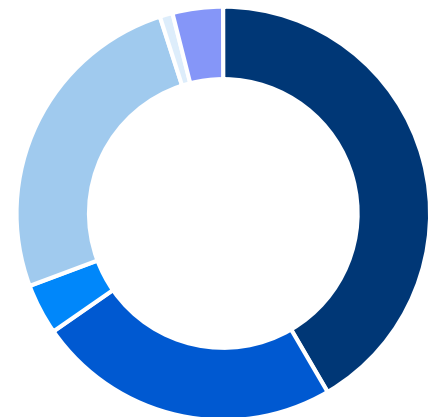
Low risk: 33%	High risk: 8%
Medium risk: 56%	Unassigned: 2%

Diagram 3: Human rights review by risk rating.



Temporary labour: 1%	Renewables: 5%
Catering services: 8%	Security services: 7%
Cleaning and waste removal services: 6%	Construction services: 41%
Building, building products and grounds: 7%	Transport, logistics and warehousing: 26%

Diagram 4: Human rights reviews by category.



Africa: 42%	Asia: 26%
Australia: 4%	United States: 1%
Central and South America: 24%	Europe: 4%

Diagram 5: Human rights reviews by third party location.

1. Where third parties meet certain inherent risk criteria, we undertake a higher level of due diligence instead of baseline screening, as described on page 15.



# 3. Assessing and addressing risks

We aim to continuously improve our governance, systems, processes and capabilities to better identify, assess and address modern slavery risks across our business and supply chains.<sup>1</sup>

## Board accountabilities

The Board's Sustainability Committee, of both Rio Tinto Limited and Rio Tinto, oversees strategies to manage social and environmental risks. The Committee helps us uphold our social licence to operate by supporting and monitoring the sustainable development of our businesses, including the Group's contribution to the sustainable development of the communities and countries in which we operate. The Committee also oversees the integrity of our sustainability reporting and associated statements on matters within its scope, set out in its terms of reference.

The Sustainability Committee's 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, including knowing how to identify and report concerns.

 [Read more about our approach to corporate governance at \[riotinto.com/corporategovernance\]\(https://www.riotinto.com/corporategovernance\).](https://www.riotinto.com/corporategovernance)

## Management accountabilities

Day-to-day management of the business is delegated by the Board to the Chief Executive and, through the Chief Executive, to other members of the Executive Committee and to certain management committees.

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 oversee, day-to-day, our overall human rights approach, including in relation to modern slavery and supporting functions and product groups, country teams, and our Commercial and Ethics and Compliance teams as they implement our commitments.

## Policies, standards and procedures

We have a range of policies, standards and procedures that outline our commitment to respect human rights, including freedom from modern slavery. These apply to all reporting entities in the Group.

These regularly reviewed documents describe the mandatory requirements of our workforce, business partners and others linked to our operations or value chains. To action our human rights commitments, we align 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 require 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 key governance documents and how they help us assess and address modern slavery risks. Appendix 2 summarises the key documents relevant to our modern slavery approach.

### Improving our risk assessment tools for assets and functions

In 2023, we developed additional risk management tools to support our frontline practitioners working at our assets and within our functions, to help identify potential human rights impacts. This included developing a set of Group-level human rights controls that could apply to all assets and functions. These common controls are based on human rights due diligence requirements set out in the UNGPs. They require assets and functions to demonstrate a systematic and ongoing approach in respect of human rights due diligence by:

- Implementing a management system that embeds human rights due diligence.
- Conducting ongoing and regular human rights risk assessments.
- Monitoring human rights mitigation actions.
- Implementing human rights training and capability initiatives.
- Conducting incident investigation and remediation for human rights concerns.

The Group-level human rights controls will be further tested, refined and validated by subject matter experts in 2024, and when embedded, will enable a consistent and targeted approach to human rights risk management.

In addition, we developed a human rights self-assessment tool for assets to identify and assess potential human rights risks across our Group-level salient human rights issues, which include labour rights and modern slavery such as forced labour, child labour and human trafficking. This tool was developed in consultation with internal and external experts and piloted during 2023. It will be formalised in 2024 to further improve the ongoing monitoring and management of human rights risks. Our aim is to achieve year-on-year improvement in processes and systems to identify and respond to human rights risks, including modern slavery risks. In the past year, we have already seen a steady increase in risks mapped to the human rights risk taxonomy, and an increase in the number of risks with potential human rights consequences, giving us confidence that human rights risk awareness is increasing across the organisation.

1. The way we manage modern slavery risk, as described in this section, applies across the Group, including for all reporting entities.

## Third-party risk management

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

Rio Tinto's *Business Integrity Standard* and *Know Your Third Party (KYTP) procedure* set out the requirements and mandatory processes to help ensure we adequately identify, assess, manage and monitor risks, including human rights and modern slavery risks of third parties prior to establishing a business relationship.<sup>1</sup> This applies to third parties including suppliers, customers, contractors, consultants, distributors, agents, vessels, joint venture partners and any other third party to whom a Rio Tinto reporting entity makes payment to or receives payment from.

### Our approach

We use a risk-based approach to determine the appropriate level of due diligence to be undertaken on third parties (read more about our risk management approach on page 16).

Where third parties meet certain inherent risk criteria, we undertake due diligence to assess business integrity risks such as bribery and corruption, money laundering, terrorist financing, tax evasion and other financial crimes, politically exposed persons, other reputational risks, and human rights risks, including modern slavery. A third party is subject to a more rigorous human rights assessment if certain risk criteria are met. In cases where risks are identified, a third-party due diligence report is issued by our TPRM team, identifying the risks and applying a risk rating based on our defined risk rating methodology. This may include escalation to our Human Rights team for specialist review. Where risks are identified that cannot be mitigated, the third party may not be engaged.

Third parties that do not meet the inherent risk criteria for due diligence undergo our baseline screening<sup>2</sup> using a global third-party risk screening platform. In 2023, we completed more than 10,000 baseline screenings on new or renewed business engagements. The baseline screening looks for critical risks, including sanctions, internal watch lists, bribery and corruption, politically exposed persons, regulatory action, and human rights and trafficking. And if a risk is identified through baseline screening, we undertake further due diligence on the third party as described above.

Across all human rights reviews, particularly high-risk reviews, we seek to understand the full context of the identified risk or allegation through engagement with the third party. Depending on the third party, our approach to addressing a heightened human rights review includes:

- Asking the third party for further details about its workforce, country of operations, type of goods and services being delivered, and its management approach (as per the risk profiles in Section 2).
- Reviewing publicly available information and indices on the typical country and category profile risks.
- Where applicable, requesting the third party formally responds to the allegation(s), and reviewing any public responses to the allegations.
- Recommending mitigation actions such as contractual controls, third party training, providing suggestions to improve supplier management processes, verification or review of risk profiles using independent third-party experts, and ongoing monitoring and evaluation.

We may choose to proceed with a third party either because our due diligence did not substantiate the allegations, or it found the third party appeared to have or had agreed to implement appropriate mitigation actions to manage the risks. Mitigation actions may include, but are not limited to, contractual controls, ongoing monitoring, improvements to governance documents, review of grievance mechanisms, ongoing assessments and training.

### 2023 performance

Key performance updates include:

- Completed 5,759 third party due diligence reviews (see page 13).
- Approved a decision-making framework for high-risk goods and services in the renewables sector, and expanded this to include cobalt (read more on page 12).
- Identified 96 high-risk third party engagements, of which 10 related to labour and human rights (the third highest occurring risk theme).
- Assessed, via a Group Internal Audit our readiness to comply with the European Union Corporate Sustainability Due Diligence Directive (EU CS3D) (read more on page 28).

### 2024 priorities

Our key priorities to continue to enhance our TPRM approach relevant to human rights, include:

- Finding ways to continue to simplify our processes including introducing automated workflows and further risk-based refinements to operating procedures such as the current human rights question set issued to third parties.
- Maturing TPRM governance and assessment practices in the renewable energy sector.
- Systematic program enhancements to sanctions compliance.
- Ongoing monitoring of regulatory developments impacting TPRM, such as the proposed EU CS3D, sanctions and certain trade controls.
- Maintaining a greater focus on TPRM practices tailored to needs of specific countries or regions.

1. The KYTP procedure is mandatory for all business functions and managed operations within the Rio Tinto Group. Where contractually agreed, we also support our business partners for non-managed operations. Highly limited exemptions apply, such as non-contestable legally required tax or statutory payments to government authorities, expense payments to employees and credit card payments.

2. We recorded 10,252 baseline screenings during 2023. The way we report on our baseline screening number has changed since our 2022 *Modern Slavery Statement*. We now exclude one-off batch screening reviews for third parties that have previously been onboarded by Rio Tinto, this number now represents the number of baseline screenings performed on new or renewed business engagements. Mandatory baseline screening for all Rio Tinto third parties commenced in 2021 under our *Sanctions Standard* and *KYTP procedure*.

## Identifying, assessing and addressing risks in our operations

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



**Read more** about our Group-wide approach to risk management on pages 78-88 of our 2023 Annual Report.

### Managing 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 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 or any personal identification documents<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.

### Managing 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. We continue to strengthen our social performance capacity and capability to be better operators and partners.

The *Communities and Social Performance (CSP) Standard*, which applies to all managed operations, requires every asset to conduct regular human rights and social assessments and to address potential and actual adverse impacts. High-risk assets must also complete an independent human rights impact assessment at least every five years. 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.



**Read more** about our CSP work on pages 66-70 of our 2023 Annual Report.

### Managing 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 our TPRM approach (see page 15).

Our governance of managed and non-managed joint ventures requires an 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, supporting human rights assessments, discussing human rights issues at joint management meetings and making our human rights specialists available to build capacity and deliver training.

### 2023 commitment in action

Key performance updates include:

- Supported human rights risk assessments for two non-managed joint ventures (Sohar Aluminium and La Compagnie des Bauxites de Guinee), with both assets receiving provisional Aluminium Stewardship Certification status in December 2023 (read more on page 24).
- Increased the use of "Purple Banners" which are an internal awareness raising tool used to highlight concerns around human rights issues, such as bullying or harassment, and the steps taken to prevent these risks reoccurring.
- Provided learning opportunities for CSP practitioners via communities of practice and face-to-face cross-functional workshops.
- Added roles to the CSP team in key areas such as heritage, agreements and human rights.
- Trialled a group-wide community perceptions monitoring program, to help us more effectively engage with and understand host communities' perceptions. "Local Voices" supports improved data-driven social performance and will be implemented in 2024 and 2025.

### 2024 and 2025 priorities

Our priorities include:

- Implementing "Local Voices", our Group-wide community perceptions monitoring program, which will also provide insight into potential human rights risks where we operate.
- Continuing to increase awareness of human rights and modern slavery through campaigns and programs to improve capability.
- Continuing to improve and simplify human resources processes to drive efficiency and effective risk management.

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



## Assessing and addressing risks in our supply chains

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

### Our Buy approach

Our Global Procurement Category Management Cycle encompasses five phases of strategic sourcing (see Diagram 6). 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.

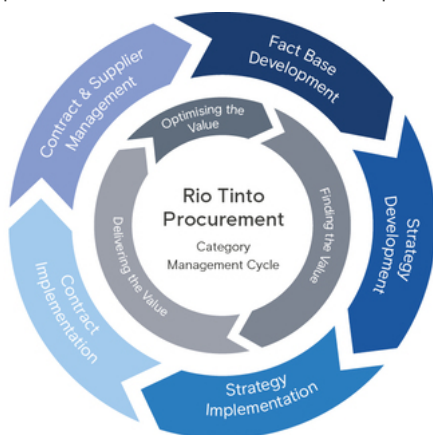


Diagram 6: Our five-phase global procurement process.



**Read more**  
about how we work with suppliers at [riotinto.com/suppliers](https://riotinto.com/suppliers).

### Supplier Code of Conduct

Our *Supplier Code of Conduct* (SCOC) is available on our website in multiple languages and sets out our human rights expectations of suppliers, their subsidiaries and subcontractors, which include them 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 is regularly referenced in discussions with existing suppliers. In 2023, a cross-functional review of the SCOC was undertaken by TPRM, Global Procurement with full input and review by our human rights specialists. An updated version of this document will be released in 2024, as part of a broader review of our external and internal procurement policies.

### Contract 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.

We updated our standard suite of contracts for use in major capital projects in 2022. The suite 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 audit rights.

We may discuss our modern slavery provisions with suppliers during contract negotiation. 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. In 2023, our Human Rights team supported multiple contractual negotiations for higher-risk contracts across our construction and shipping categories for the Simandou Project.

In 2023, our in-house human rights specialists conducted second line assurance over solar-related agreements to review risks of deviations from our standard form human rights requirements. No critical issues were identified, and we will continue to monitor the inclusion of these clauses in relevant agreements.

### 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 outline ongoing monitoring requirements.

### Mapping category risks

In 2023, we commenced a project to help identify risks within each category, across the procurement lifecycle stages (including where goods or services are sourced, made or used). We developed an inherent category risk matrix (ICRM) incorporating internal and external considerations, that maps environmental, human rights, health and safety, compliance, cyber and supply chain risks connected to categories.

Human rights risk indicators consider the vulnerability of workers, including vulnerability to child labour, forced labour, trafficking, risks of discrimination, and country risk indicators.

Our Global Procurement team will use the ICRM to support the identification of sustainability risks that inform core procurement activities such as category strategies and sourcing events. This will be supplemented by our entity-based TPDD human rights review process.

## Responding to incidents in our supply chains

Our suppliers 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.

MyVoice is Rio Tinto's confidential whistleblowing program operated by the Business Conduct Office within the Legal, Governance and Corporate Affairs function. See page 26 for more information.

Where a risk or incident has been identified, our human rights specialists work with the TPDD team and the supplier relationship owner to agree an appropriate response, including any mitigation actions.

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.

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.

### Supplier Relationship Management

Our Supplier Relationship Management (SRM) engagements include regular meetings with key suppliers to collaboratively drive value as part of a two-way relationship. SRM meetings are embedded for the life of the contract, and are a key mechanism to initiate human rights and modern slavery discussions with our suppliers, including:

- Encouraging two-way dialogue on modern slavery and human rights risks.
- Communicating our human rights due diligence expectations.
- Highlighting and sharing best practice.
- Discussing opportunities for further supply chain transparency.

Our human rights and procurement teams continue to equip supplier relationship owners to lead these conversations, so that we can better understand our supplier risk profiles and leverage industry best practice with our key suppliers. While we acknowledge spend does not determine where risks of modern slavery are in our supply chain, these SRM engagements provide an important opportunity to influence broader respect for human rights in our supply chains.



## Deepening our visibility into the supply chain

In 2023, we piloted an artificial intelligence-powered platform to enable a more data-driven, real-time understanding of financial and non-financial risks within the direct and indirect tiers of our supply chain, including human rights.

This platform offers the ability to review human rights-restricted lists, country and location-based risks and adverse media screening of direct and indirect suppliers. The platform also enables a scan of media allegations and flags instances of human rights-related risks.

In the pilot, we mapped a targeted segment of our supply chain based on high-spend. Demonstrating the complexity of mapping risks in multi-tiered supply chains like ours, the platform identified more than 470,000 interconnected legal entities among tier 1 to tier 3 suppliers within this high-spend segment.

While we continue to reflect on the learnings from this pilot, this process has led to increased visibility of the complexity of our supply chain. We will continue trialling the platform in 2024 to identify opportunities to integrate a more data-driven approach to embedding respect for human rights in our broader supplier risk management frameworks.

## Our Sustainable Sourcing Plan

In 2023, we matured our Responsible Sourcing Action Plan to a broader Sustainable Sourcing Plan (SSP), moving us towards an integrated approach to ESG management in the supply chain. In 2024, the two SSP priorities are decarbonisation and human rights.

### 2023 performance

Key performance updates include:

- Provided enhanced responsible sourcing support to higher-risk assets.
- Hosted quarterly Sustainable Procurement Forum sessions with representatives from Global Procurement, Product Stewardship, Sustainability, Human Rights, Environment, and Ethics and Compliance teams.
- Completed enhanced due diligence on our renewable supply chains (see our case study on page 12).
- Continued to implement our SRM plan, completing 14 engagements on human rights and modern slavery with our top spend suppliers across 10 countries, with a focus on our top sourcing countries, including Australia, Canada and the United States.
- Updated the SCOC, which will be released in 2024.
- Supported human rights contractual negotiations for the Simandou project.

### 2024 priorities

Our priorities include:

- Developing non-financial risk management capability by implementing the ICRM (see page 17), which will help to improve identification of modern slavery risks at a procurement category level.
- Strengthening governance by reviewing procurement processes, policies and procedures, including evaluation criteria, contract clauses and request for tender processes to communicate consistent expectations for all stakeholders and support quality decision making.
- Developing our supplier audit program by establishing supplier selection criteria for audits, focusing on categories with heightened risks and leveraging the ICRM and appointing a social auditor panel with supplier audits to commence in 2024.

### Responding to child labour risks in our supply chain

Media reports<sup>1</sup> and research by children’s rights groups such as Save the Children<sup>2</sup>, continue to show the prevalence of child labour in both developing and developed countries. Factors driving this include sectors operating in conflict regions, artisanal mining activity, vulnerabilities faced by migrant workers and their families, and sectors facing skill shortages. We are educating our teams and raising awareness of modern slavery, including child labour through training, awareness campaigns and engagement.

In 2023, several concerns were raised with our Human Rights team about potential child labour risks. These are summarised in the table below, together with the actions we have taken. Additional steps taken include the following:

- Our Human Rights team prepared a guidance note and checklist for our teams to effectively identify potential child labour-related risks, which will be promoted during 2024.
- Regional economic development (RED) programs have been introduced to strengthen the livelihoods and economic opportunities in the broader regions where we work, and lift the overall socio-economic wellbeing. For example, in rural and remote areas, programs may identify ways to increase household income and reduce household vulnerability including, where applicable, vulnerability to issues of child labour and human rights.
- As part of our Social Investment Framework, our CSP teams review local risk profiles of communities, which may include vulnerability of children and consider how to integrate relevant human rights considerations into social investment programs.

The fact our teams are raising these concerns demonstrates that our human rights and modern slavery training and awareness programs are being effectively communicated and understood. It also shows employee comfort in speaking up and raising concerns about things that do not seem right or do not align with our values. This supports our continued efforts to create a better culture within our business after the release of our *Everyday Respect Report* in 2022.

Description of risk	Region	Action taken
Concerns that an individual working for a local technical services company was involving teenagers to assist with work after school hours	West Africa	Upon investigation, it was confirmed our supplier had subcontracted technical services to a local entity. The investigation found one worker’s children and friends had returned from school and wanted to help their father. The children were not doing excessively dangerous or unsafe work and it was after school hours. We were subsequently informed that the subcontractor’s services were terminated by our supplier.  Actions taken included: <ul style="list-style-type: none"> <li>– Reiterating our SCOC and <i>Human Rights Policy</i> expectations with the supplier including on the rights of children.</li> <li>– Explaining that while this was not an example of the worst forms of child labour, this was not aligned with our standards.</li> <li>– Emphasising to the supplier that termination of the subcontractor was not required and may risk unintended and negative consequences for that worker’s family.</li> </ul>
Concerns of children doing potentially hazardous work in the local community	West Africa	Upon investigation, it was determined that the children were connected to a third party company not related to Rio Tinto or its suppliers. While this was not a risk connected to our operations or value chains, we took the opportunity to reiterate and promote awareness within our teams of the risks of child labour and encouraged our teams to continue to speak up if they had concerns.
Concerns of children being involved in local artisanal mining activity	East Africa	During human rights due diligence for a TPDD process to source local stone, our Procurement team raised concerns regarding reports of children working at a local stone quarry. The team worked with the supplier to confirm that any local stone was being sourced responsibly and not from the local quarry of concern. The supplier provided assurances, and the team monitored the working conditions and supply of goods and services.
Concerns of work experience students and apprentices doing unsafe work	Australia	During a social risk workshop, participants discussed concerns that due to local skills shortages, there was a risk of work experience students or under age apprentices potentially doing unsafe work or work that they had not been properly trained to undertake. Action was taken to review the risk with our Human Rights and Human Resources teams who reviewed and confirmed measures were in place to prevent any young worker performing out of scope work, including potentially hazardous tasks.

### The 2023 Global Child Forum Benchmark

In 2023, we participated in the World Benchmarking Alliance’s Child Forum Benchmark. We scored in the top 9% of companies assessed, receiving a “Leadership” ranking, due to our governance and collaboration approach and for respecting the rights of children within our own operations. Recommended areas for improvement included:

- demonstrating greater support for partnerships focusing on children’s rights and improving disclosure on any initiatives delivering positive contribution to communities with a focus on children’s rights (eg scholarships, supporting health or education initiatives)
- making specific commitments on the impact on children in communities
- making greater disclosure on actual or potential impacts on children.

We will consider these recommendations as we seek to improve our transparency and approach to identifying at risk, vulnerable or marginalised rights-holders (including children).

1. *“Alone and Exploited, Migrant Children Work Brutal Jobs Across the US”*, New York Times online, dated 25 February 2023

2. *Child Rights Risks in Global Supply Chains: Why a Zero Tolerance approach is not enough*, Save the Children Report published 2023



## Our Move approach – Marine and logistics risk assessments

### Our teams work to assess and address modern slavery risks in the marine and logistics supply chain, with our goal being to provide safe, rewarding and decent work for seafarers<sup>1</sup> and transportation and warehouse workers.

This section sets out our approach to managing human rights and related modern slavery risks in our maritime and logistics supply chain. Please see page 23 for a summary of key performance highlights for our Move approach during 2023.

#### Our three welfare priorities are:

1. Ensuring human rights are respected.
2. Supporting seafarer mental wellbeing.
3. Creating inclusive environments.

#### All vessels

For both owned vessels and our chartered fleet, controls to manage human rights and modern slavery risks include:

- **Fair terms of employment** – All crew must be employed under agreements acceptable to the International Transport Workers' Federation (ITWF), unions or equivalent representative body. Each ship management company must demonstrate an agreement outlining fair terms of employment with the crew which incorporates collective bargaining agreements covering (among other things) pay, working hours and other entitlements. These agreements are verified during vessel vetting and inspections.
- **Access to internet** – Free and reliable internet connectivity is made available to seafarers when vessels call at our managed facilities.
- **Shore leave** – We encourage recreational rest time for seafarers during a port stay (known as shore leave). We provide financial support to seafarer centres including for crew welfare initiatives and arranging bus transportation from the port to these centres (see page 29 for more information).
- **RightShip vetted** – To qualify for nomination to call at our terminals, vessels must fulfil our minimum safety criteria, including predefined RightShip safety scores for both the vessel and its operator. Qualifying vessels will undergo thorough RightShip vetting for final selection. This includes verifying the Sustainable Shipping Initiative (SSI) Code of Conduct, reviewing whether the vessels have historical human rights abuses, poor living or working standards and employment terms, and any identified International Labour Organisation abandonment cases.
- **Digital risk profiling tool** – Our digital risk profiling tool, known as Safety Assessment by Intelligent Learning (SAIL), is designed to integrate datasets and insights and provide safety data analytics on vessels. SAIL further enhances and supports RightShip vetting protocols and allows us to strengthen communication with operators and owners on incident trends and risk mitigation.
- **Onboard vessel inspections** – We conduct regular health, safety and environmental (HSE) inspections, which include reviewing human rights (including modern slavery) risk indicators on crew welfare and living conditions. We adopt a risk-based approach, supported by digital analytical tools, to select vessels for inspection (and the frequency of the inspections), considering factors such as the trading area and performance history of the vessel and operators. Please see page 23 for details of inspections completed in 2023.

#### Chartered vessels fleet

We recognise the challenges of monitoring living and working conditions on chartered vessels to encourage meaningful human rights due diligence. Key steps to assessing risks relating to our chartered vessels fleet include:

- **Pre-vetting questionnaire** – This includes specific checks around employment conditions, whether the vessel has an ITWF Agreement (or equivalent), crew changes and the contract term length for seafarers.
- **Third-party risk management (TPRM) approach** – Our contracted shipping counterparties are assessed in line with our TPRM approach and KYTP procedure (see page 15) and they are required to comply with our policies and standards.
- **Designated Owners and Operators (DOO) Program** – Launched in February 2023, our DOO Program outlines requirements for our commercial partners, which can be adopted on a voluntary basis to obtain Designated Owner or Operator status. The DOO Program is designed to incentivise commercial partners to adopt this status to work with Rio Tinto and like-minded partners, to improve overall safety and crew welfare performance. Requirements are aligned with industry best practice and human rights standards (such as the industry's *Dry Bulk Management Standard* and SSI Crew Welfare Toolkit). Partners are required to uplift practices and standards, share and learn from incidents, and conduct auditing, training and reporting. Verification of these requirements is undertaken through self-assessments, coaching sessions for ship masters, vessel visits, office audits and desktop reviews. Recommendations are then agreed and implemented in partnership with commercial partners.
- **Training** – Our shipping agents and Marine teams must complete annual ethics and compliance training that focuses on business integrity and refers to our SCOC and Code of Conduct, *The Way We Work*.
- **Incident management** – In addition to contractual requirements for owners to report incidents as per an agreed incident escalation matrix, we have a management and restriction process to respond to any incidence of non-conforming vessels. This includes monitoring for risks such as crew members' contract length on board, crew welfare, and living and working conditions.
- **Engagement** – We encourage owners, operators and our team members to share safety concerns and work to enhance our safety performance. We do this through face-to-face or online sessions, external bulletins shared via email and internal circulars ("Banners"). Trending safety concerns are discussed, and industry speakers are invited to share learnings and feedback.

1. The seafarers who transport our products around the globe play a vital role in our supply chains. The title "seafarer" refers to a range of roles onboard a vessel. Their responsibilities may include navigating, maintenance, engineering, cooking and cleaning, to making sure that our cargo is loaded safely and efficiently.

### Owned vessels

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

- **Wellness sessions** – We provide monthly wellness sessions with a psychologist for those on board and on shore leave (along with their families) to understand and discuss strategies to self-assess wellbeing, recognise concerns and learn about tools to self-manage or seek support.
- **Everyday Respect** – We monitor and review facilities onboard our vessels to foster a safe, inclusive and positive working and living environment. This includes private rooms and bathrooms, culturally and religious safe spaces, provision of hygiene products, separate locker facilities, gender appropriate personal protective equipment and personal laundry bags. We are a member of the All Aboard Alliance to promote gender equality (see page 23).
- **Ship management contracts** – We outline our expectations in our ship management contracts and conduct regular audits of management offices to verify compliance.
- **Quarterly vessel inspections** – Alongside annual HSE inspections, our ship managers, third-party inspectors and port captains conduct broader safety and operational inspections at least once per quarter as permitted by vessel schedules.
- **Training** – We provide training and support (including awareness raising on human rights and modern slavery issues) to officers and crew members, to help our shipping managers understand our expectations (see Section 5 for performance in 2023).

### Shipyards

We recognise there are broader risks in the marine value chain, in particular in shipyards. To maintain our vessels, which is a critical regulatory requirement, we need to dry dock vessels in shipyards from time to time. We recognise there may be a range of labour rights risks, including modern slavery, associated with shipyard work. 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 shipyard has appropriate policies and processes on key risk areas such as forced labour, child labour, recruitment processes, anti-discrimination and harassment processes, and access to grievance mechanisms. The shipyard's responses are reviewed by our Human Rights team for specialist review.

Engagement with shipyards has enabled us to set expectations around modern slavery risk management.

### Logistics, container shipping and other marine assessments

We also manage a small proportion of carriers for other shipping requirements, alongside a range of third parties for truck and rail requirements. The TPRM approach and SCOC (described in Section 2 and Appendix 2) apply to all logistics vendors.

Recognising we have a different commercial relationship with carriers and our owned vessels or chartered fleet, we conduct human rights due diligence appropriate to our leverage, aligned with the UNGPs. This includes:

- **Engagement** – Through regular engagements with carriers, we review our carriers' commitments to modern slavery reporting obligations and how they manage these risks. We also have a supply chain assurance (SCA) program that creates in field opportunities to review critical controls. During 2024, the SCA program plans to deliver field verifications on more than 30 logistics suppliers.
- **Commercial evaluation** – In 2023, we introduced a new bidding requirement when selecting our preferred carriers to ensure that any bidders review our Modern Slavery Statement and agree to our human rights requirements as set out in the SCOC. In addition, we evaluated the modern slavery statements of carriers (where published) to understand their maturity and approach towards managing risks, and to identify any opportunities for collaboration to address risks within the container shipping supply chain.



## Integrating human rights into safety maturity model assessments

Introduced in 2019, the safety maturity model (SMM) is our blueprint for safety, integrating best practices in leadership, engagement, learning, risk management and work planning, as well as operational ownership of health and environmental risks across our operations and our value chains. This includes best practices to improve physical and psychological safety at work.

Since 2022, our Commercial team has reviewed the maturity of our top 30 to 40 higher risk logistics providers<sup>1</sup> against our SMM requirements (risk being assessed on inherent risk of the category, prior health safety and environmental performance and criticality of the provider for business requirements). Recognising the importance of showing an integrated approach to health, safety and human rights, a cross functional team piloted a way to integrate human rights and modern slavery considerations into the existing SMM assessments. The pilot included the following three stages:

- **Stage 1: Desktop survey** – A survey is issued to the supplier. The survey requests the supplier’s self certification of their maturity with respect to human rights governance, grievance mechanisms, supply chain transparency, employment conditions and to ask them to provide details on the composition of their workforce. The survey was translated into English, French, German, Dutch, Korean and Mandarin.

- **Stage 2: Site observations** – A checklist is provided to the SMM auditor attending a supplier’s site to review and record any site-based observations. This includes facility conditions (such as noise levels, lighting, ventilation, personal protective equipment), and any observable promotion of grievance mechanisms.
- **Stage 3: Interviews** – A sample of workers and management on site is interviewed by the SMM auditor. A list of human rights questions focusing on pay practices, employee relations and working and living conditions are used to assist verification of data provided by the supplier in Stage 1 and data observed during Stage 2.

During the pilot, books or records were not reviewed to further verify responses. We recognise this is an important opportunity for continued development.

### Observations

Since the pilot was launched in July 2023:

- Thirteen suppliers completed Stage 1 across seven countries.
- Two suppliers completed Stages 2 and 3 (based in Australia and India).
- More than 50 recommendations were issued for mid- to long-term development plans for suppliers.

Key observations from the pilot included:

- No risks of modern slavery, including child labour, have been identified to date.
- The majority of suppliers were assessed as being at the “basic” or “evolving” stages of human rights maturity, with one supplier demonstrating an “advanced” approach.

- Several of these suppliers will be required to comply with the new *Fighting Against Forced Labour and Child Labour in Supply Chains Act* in Canada. These suppliers appreciated the pilot which identified areas to strengthen their approach.
- Suppliers were collaborative and appreciated the approach to integrate human rights into the SMM assessment process.
- There are clear terms of employment and good pay practices. Workers were covered by award/national minimum wage rates.
- No evidence of recruitment fees being charged.
- There was good commitment in policies respecting the rights to collective bargaining and freedom of association.
- Many suppliers didn’t have a grievance mechanism available for their workers.
- Many suppliers do not have a human rights policy or express commitment to prevent risks of modern slavery, and do not provide human rights training.

Our focus in 2024, will be to partner with our suppliers to support the implementation of learnings from the SMM. These assessments have significantly deepened our understanding of the safety culture at each site and given us actionable insights that will guide us towards creating an even safer, and rights-respecting work environment.

1. Transport, logistics and warehousing have been identified as a higher risk category in relation to human rights and modern slavery risks. This is due to the activities that may rely on large, low-skilled workforces, and the frequent use of recruitment companies in the category.



### Reported risks during 2023

We achieved a 50% reduction in critical shipboard operational incidents at our facilities in 2023, when compared to 2022, as a result of welfare and safety improvements during the year. Overall, we achieved zero fatalities, zero permanent disabilities, and a 70% reduction in reported personal injuries onboard our chartered vessels in 2023.

While we did not identify any modern slavery allegations or incidents within our marine and logistics value chain, we were aware of the following human rights issues.

#### Marine

In 2023, we were aware of four low-to-moderate alleged breaches of the Maritime Labor Convention (MLC) on chartered vessels, reported by the Australian Maritime Safety Authority (AMSA). These allegations relate to reports of:

- Inadequate supply of fresh provisions.
- Inoperative air conditioning systems.
- Crew wages lower than stated employment agreements.

We investigated each allegation with AMSA, ship owners and operators. Any reported allegation concerning crew wages triggers AMSA to detain the vessel until the issue is resolved to their satisfaction.

Every MLC-related allegation captured by AMSA is also followed up by RightShip. This provides us the opportunity to engage with the operators to prevent reoccurrences of harmful behaviours and practices. Examples of how we engage include:

- Reviewing investigation outcomes and root causes. For example in 2023 we reviewed planned maintenance schedules to ensure air conditioning was regularly maintained and worked with the ship owners to review the effectiveness of complaint procedures.
- Conducting office audits to verify that steps were taken to close out agreed actions. In severe cases, we may choose to discontinue the relationship with the ship owner or operator, or restrict the vessel or owner for a period of time. We did not take such action in 2023.

#### Logistics

In 2023, we closely followed reports of migrants illegally using cargo trains (rail box cars) to travel across the US border. We occasionally use rail box cars to carry product from our Saguenay operations in Canada to customers based in Mexico. We identified two rail box cars that had evidence of human occupancy, such as water bottles, food wrappers and nappies.

Our Logistics team, with support from our Human Rights team, implemented several actions to help prevent and mitigate potential human rights harm (relating to people smuggling) to migrants travelling in our rail box cars, including:

- Eliminating (where possible) our use of rail box cars travelling to Mexico during this period of heightened rail box use.
- Alerting our customers about the evidence we found of human occupancy and requesting rail box cars be sealed to avoid entry.
- Advising rail owners of the incidents, sharing our human rights requirements, and sending a survey to understand their approach to preventing human rights harm.
- Issuing an internal “green banner” communication (an internal awareness raising tool) to help our Commercial team identify the issues and how to respond to concerns about people smuggling or trafficking in a rights-respecting way. This included sharing details of key civil society organisations that could offer support if people were found in a rail box car.

## 2023 performance

Key performance updates include:

- Achieved zero fatalities, zero permanent disabilities, and 70% reduction of reported personal injuries onboard chartered vessels.
- Reduced critical shipboard incidents at our terminal facilities by 50% compared to 2022. We achieved this through increased vessel inspections and safety maturity assessments implementing the Designated Owners and Operators (DOO) Program and improved partnerships.
- Onboarded 16 owners and operators to our DOO Program, representing 36% shipped volume for commercial partners.
- Delivered three safety engagement sessions with owners and operators reaching a total of 156 in-person and 260 online participants.
- Rolled out the Everyday Respect guidance and expectations of required behaviours on our owned vessels.
- Joined the All Aboard Alliance, a Global Maritime Forum initiative, which aims to bring together industry leaders to promote gender equality at sea.
- Trained 200 seafarers on our owned vessel fleet (read more on page 27).
- Completed 489 inspections, representing 98% of our 2023 target. This included inspecting 100% of our time-chartered fleet (157 inspections) and 30% of our voyage-chartered fleet (332 inspections). In addition, we inspected 100% of our owned fleet (17 vessels). While we didn't identify any modern slavery-related risks during these inspections, they allowed us to continue to monitor and drive commitment to improve our safety and crew welfare standards.
- Continued to expand and strengthen the capabilities of our Marine Safety and Vetting function, including management of risks and exposures to human rights and modern slavery risks for our owned vessels and chartered fleet portfolio.
- Integrated human rights into the safety maturity assessments of 13 logistics suppliers.
- Introduced a new modern slavery bidding requirement when selecting our preferred carriers and evaluating the modern slavery statements of carriers.

## 2024 priorities

Our priorities include:

- Continuing to monitor the number and severity of MLC-related incidents of vessels calling at our facilities.
- Continuing to work towards our target for all ship owners and operators to meet our DOO Program expectations by 2027. We leverage the DOO Program to drive our commitment to respect human rights and address risks of modern slavery.
- Continuing to implement the learnings from the SMM across our logistics partners and owned vessels.
- Completing at least 400 inspections, representing 100% of our time-chartered fleet (based on fleet predictions), and an additional 30% of our voyage-chartered fleet (not already inspected in 2023). We will continue to inspect 100% of our owned fleet.
- Enhancing safety maturity across our owned fleet.
- Continuing to introduce mandatory human rights training for all officers and crew.
- Delivering field verifications for 30 logistics suppliers as part of our ongoing SCA Program.

## 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 human rights, including freedom from modern slavery.

In 2023, we continued to respond to customer requests regarding our modern slavery risk management and broader human rights performance. Our Human Rights team reviewed 14 in-depth requests from customers, mainly from the aluminium automobile industry and those based in Japan.

In 2023, we commenced a Group Internal Audit readiness assessment to implement the proposed European Union Corporate Sustainability Due Diligence Directive (see page 28). The assessment proactively assesses the readiness of our TPRM program to meet the proposed due diligence requirements which aim to reduce the risk of adverse human rights and environmental impacts arising within the value chain. Once finalised, the key findings will be used to identify potential improvement opportunities for our processes and approaches.

Through our product stewardship teams, we are actively involved in value chain initiatives, including participating in working groups and broader assurance and certification work against key standards such as the Aluminium Stewardship Initiative (ASI), the Copper Mark, ICMM and the Responsible Jewellery Council.

This gives us the opportunity to engage with our customers on key and emerging human rights topics, including modern slavery. Standards set by these organisations include human rights requirements and involve independent audits at least every three years. For example, the ASI and ICMM initiatives contain indicators on preventing involvement in forced and child labour.

### 2023 performance

Key performance updates include:

- Completed third-party due diligence reviews on customers as part of our TPRM approach (see page 15).
- Completed asset level certifications and standards.
- Responded to stakeholder enquiries (customers, investors, benchmarking initiatives) on our human rights performance.

### 2024 priorities

We will continue to engage external verification service providers to conduct independent assurance of the applicable sustainability performance standards for our operating assets, aligning with our audit schedule for 2023 to 2025.

### 2023 certifications and accreditations

Copper Mark	2 assets
ASI	20 assets
Responsible Jewellery Council	3 assets
London Bullion Market Association	1 asset
Towards Sustainable Mining	3 assets
ICMM	29 assets



**For more information** about the full list of asset certifications and accreditations, see our **2023 Sustainability Fact Book** at [riotinto.com/sustainabilityreport](https://riotinto.com/sustainabilityreport).



Shanghai by night, Shanghai, China.



# 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.

## Grievance mechanisms

We are committed to providing our people and those affected by our business, access to effective grievance mechanisms. These are publicly available for any individual to use to raise complaints relating to our operations and our supply chains, including any concerns about modern slavery. myVoice is our global, confidential reporting program and can also be used to raise concerns (see page 26).

Our *Communities and Social Performance (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. We promote these mechanisms locally in a number of ways, including via community newsletters, asset signage and posters. Concerns can be raised with us via email or telephone, a third party trusted by the complainant or other means. Recourse or appeals mechanisms are also available 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 local 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 own grievance mechanisms. This helps establish multiple reporting channels for someone who may observe or be in a situation of modern slavery.

Our Complaints and Grievance Management Guidance helps improve the way teams 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 impacts (including modern slavery) to the Business Conduct Office (BCO) and myVoice.

## Responding to modern slavery

We may learn about a human rights allegation in different ways. For example this may occur 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 we may need to involve law enforcement. We will provide, or cooperate in, remediation and use our leverage with business partners based on our level of involvement in the allegation (caused, contributed or directly linked) in line with the UNGPs. This work would entail a cross-functional response, escalated to senior leadership as required.

Where we identify we have caused or contributed to forced labour or child labour, we are committed to providing for, or cooperating in, its remediation through legitimate processes. We may play a role in remediating harm that we are directly linked to through our products, services or operations. As we did not identify incidents of modern slavery during 2023, we have not had to take steps to remediate forced or child labour, or the loss of income to vulnerable families resulting from measures taken to eliminate the use of forced or child labour connected to our business activities or our value chains.

We continue to use the Walk Free and Human Rights Resources and Energy Collaborative (HRREC) Response and Remedy Framework to inform the ongoing development and improvement of our remediation policies and procedures, and reference this guidance in our training initiatives. This is a practical guide for companies on how to respond to modern slavery in their operations and supply chains.

## 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.

## Reports in 2023

In 2023, there were two incidents and two complaints with human rights recorded as the primary impact, none of which were related to modern slavery or labour rights. A further 15 communities and social performance incidents had potential human rights implications, none of which were related to modern slavery, with one related to a labour rights issue concerning access to facilities. 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 potential human rights impacts.

## 2023 performance

Key performance updates include:

- Launched Care Hub (see page 26).
- Implemented a new people-centric and trauma-informed global investigation process, and trained our team in the new approach.
- Continued to re-categorise the "issue type" classification of allegations to improve modern slavery reporting.
- Strengthened escalation processes of the most serious matters, including modern slavery incidents, to the Chief Legal and Ethics Compliance Officer.
- Strengthened partnerships between BCO and human rights subject matter experts, for both matters that require an investigation and reports that require local resolution.
- Provided human rights training to the senior leadership team, including BCO senior executives.
- Delivered capacity-building initiatives with CSP team members on complaints and grievance management.

## 2024 priorities

Our priorities include:

- Refining and updating the myVoice procedure to reflect enhancements to our framework and processes.
- Continuing to expand our data analytics capability and providing the business with insights that enable our people to strengthen processes and culture, locally and globally.
- Expanding the channels of reporting to services, and the support available through Care Hub.
- Continuing to improve information sharing between BCO and Human Rights team to improve identification and consideration of modern slavery risks.
- Hosting global roadshows to educate leaders about myVoice and Care Hub and setting up a campaign to improve employee awareness.
- Tracking the impact of the BCO's interventions through data analytics.



## myVoice

We want to create a safe, respectful and inclusive workplace, with a strong ethical culture that reflects our values; we encourage and support our people to speak up if they have concerns about potential misconduct or harmful behaviour. A strong culture of speaking up, with protections against reprisal, enables us to identify and address potential issues early, respond appropriately, minimise risk, and care for our people and the communities in which we operate.

The myVoice program enables confidential and anonymous reporting<sup>1</sup>, including protected whistleblower disclosures. myVoice is operated by the BCO, which reports to our Chief Legal, Governance and Corporate Affairs Officer, and provides regular program insights to the Board and the Group Ethics and Compliance Committee.

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 BCO assesses concerns and selects the appropriate grievance category, which includes categories for unfair labour practices, as well as child labour-related complaints.

Our SCOC and Code of Conduct, *The Way We Work*, 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 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.

## Care Hub

In 2023, the BCO launched Care Hub, which provides additional and more accessible channels to raise concerns, access wellbeing support and explore resolution options. Care Hub provides options to resolve reports of harmful and disrespectful behaviour via alternative resolution and early intervention where appropriate, rather than investigation. Our support partners facilitate specialised care, guidance and resolution options for our people for matters involving racism, sexual harm, bullying and harassment or discrimination. They also support leaders, Human Resources team, respondents and witnesses to those behaviours. Care Hub is underpinned by regionally appropriate support services and resolution options, informed by diverse voices throughout the organisation. Since launching, Care Hub has supported more than 276 people, and feedback has been positive: people report feeling safe and supported. We established a BCO reporting and governance function to help us capture and communicate early insights.

## Reports in 2023

In 2023, we saw an increase in the number of concerns raised through myVoice to 1,613 (2022: 1,459). The rate of reporting per 1,000 employees was 29.1 in 2023 (2022: 28.1). We continue to see an increase in reporting, and believe this means more people feel comfortable to share their concerns. Anonymous reporting in 2023 (40%) remained consistent to 2022 (38%). Of the cases investigated by the BCO, 61% were substantiated in 2023 (2022: 65%). Of the cases closed in 2023 (for matters reported into myVoice, both in 2023 and prior periods), the average days to close a case reduced to 38 days from 52 days in 2022. Issues raised through myVoice mainly related to discrimination, bullying, harassment, sexual misconduct and sexual harassment, employee relations and benefits and compensation.

In 2023, the BCO received 17 reports classified as unfair labour practices that, upon initial review by the Human Rights team, may have had indicators of forced labour or broader modern slavery risks<sup>2</sup> (primarily around pay practices and worker benefits). All reports related to third parties, suppliers or contracting companies. While most cases have been either closed out or referred locally for resolution, seven cases remain open while we work with the third parties, suppliers or contracting companies to resolve the reports. Incidents of modern slavery have not been identified through this process to date. The BCO continues to consult our Human Rights team regarding reports received through our confidential reporting program, myVoice, which may indicate modern slavery risks.

## myVoice<sup>3</sup> case activity

	2023		2022		2021	2020	2019	
Case rate	29		28		26	15	16	
Reports received <sup>4</sup>	1,613		1,459		1,246	748	804	
	Reports received	Reports substantiated <sup>4</sup>	Reports received	Reports substantiated	Reports received	Reports substantiated	Reports received	Reports substantiated
Business integrity	254	48 %	211	52 %	154	36 %	102	51 %
Personnel	1,196	55 %	1,034	65 %	819	57 %	421	38 %
Health, safety, environment <sup>5</sup>	109	61 %	120	47 %	186	22 %	68	35 %
Communities	4	– %	10	– %	6	– %	25	– %
Information security	22	– %	16	67 %	18	36 %	99	47 %
Finance	2	50 %	1	– %	0	– %	2	68 %
Other	26	– %	67	33 %	63	14 %	31	50 %

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

2. We align with the International Labour Organisation (ILO) indicators of forced labour guidance (forced labour is a form of modern slavery).

3. Includes multiple reports relating to same allegations, where applicable.

4. Based on all cases investigated and closed during 2023, including cases reported in previous years. Where percentages slightly differ from previous reports, this can be due to a number of factors, including re-opening of cases, internal reviews or quality assurance processes.

5. Contained community concerns pre-2020, community cases are now split into a separate category.

# 5. Training

Respect for human rights is everyone’s responsibility. Our training strategy focuses on demystifying, integrating and personalising human rights across the business.

Our people are the 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 more likely to be exposed to modern slavery 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. We develop models of training that are sustainable and scalable, such as online e-modules and train-the-trainer formats.

### Our Group-wide human rights training targets

Tailored training:

- By the end of 2024, 100% of employees in high-risk human rights roles 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.

The following initiatives helped us advance progress on our training targets during 2023. See our 2023 Sustainability Fact Book for a summary of human rights training completions.

Initiative	2023 update
<b>Bespoke face-to-face or virtual training</b>	We delivered 35 human rights workshops, webinars and conferences globally, including on modern slavery, and involving a range of asset and functional teams.
<b>Security training</b>	We recorded more than 2,100 completions of our Voluntary Principles on Security and Human Rights training e-module. These are mandatory for all our security employees and private security personnel. The training may also be provided to public security providers.
<b>Marine training</b>	We delivered modern slavery, ethics and integrity and Everyday Respect training to approximately 200 crew members on our owned vessel fleet. This represents approximately 29% of crew. We will continue to work towards reaching 100% of crew.
<b>Modern slavery e-module</b>	More than 2,400 completions of the modern slavery e-module were recorded, representing over 60% of employees and contractors in modern slavery high-risk roles. Survey results upon completion of the e-module found that almost 90% of participants say they: <ul style="list-style-type: none"> <li>- Know what human rights are.</li> <li>- Know how to identify modern slavery risks.</li> <li>- Know how to report a concern about modern slavery.</li> <li>- Understand how Rio Tinto is committed to identifying and preventing modern slavery.</li> <li>- Were very or somewhat satisfied with the training content.</li> </ul> Reflecting user feedback, we have started working on refreshing the e-module with updated case studies and information on the new Canadian modern slavery law. This updated e-module will be delivered in 2024.
<b>Ethics and Compliance training</b>	Our online business integrity induction training provides all employees with an introduction to ethics and compliance as well as tools to recognise and understand human rights risks. Refresher training is required to be completed annually. 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 2023, we trained 25,187 people in how to recognise and manage business integrity dilemmas.



### Our human rights learning strategy

In 2021, Rio Tinto’s Executive Committee approved a suite of five-year Communities and Social Performance targets, including that 100% of employees in high-risk human rights roles would complete annual human rights training by 2024, and 100% of all employees by 2026. Through collaboration with internal stakeholders and technical experts, the Human Rights team has developed a three-year learning strategy to meet these training targets with the following aims:

- Reduce adverse human rights impacts.
- Improve our people’s ability to navigate challenging human rights jurisdictions and human rights risks within our value chains.
- Improve business decision making that considers human rights impacts linked to strategic priorities (for example, human rights considerations connected to decarbonisation).
- Enable a stronger speak up culture on human rights.
- Improve collaboration with our key business partners (including suppliers).

A mix of learning methods will be used, including interactive live and virtual workshops and scenario-based self-guided online learning toolkits.

# 6. Assessing effectiveness

An effective response to modern slavery seeks to put the interests of survivors of modern slavery and related exploitation first.

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

- Internal tracking, including of due diligence and training activities.
- Internal assurance.
- Monitoring asset and Group-level grievance mechanisms.
- Engaging with business partners and external stakeholders for input and feedback.
- Applying an impact measurement evaluation framework to our modern slavery approach (see page 2).

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

## Monitoring our due diligence activities

Monitoring the implementation of our *Know Your Third Party (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 implementing the actions and for the ongoing monitoring of the related risks. The ongoing dialogue between our Human Rights team and relevant functions and operations 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 TPRM team and procurement specialists are continuing to evolve, particularly in relation to modern slavery risks for new suppliers. We track third-party responses to our labour rights questionnaire, including the emerging risk themes, to develop proactive approaches to risk mitigation.

## Internal assurance

We have three lines of defence in place across the business to help improve assurance coverage and effective human rights (including modern slavery) risk management. Please see further details in the table above.

## Monitoring via our grievance mechanisms

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

### 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 2023

- Completed 24 human rights risk assessments.
- Application of human rights self assessment tool developed by 2nd line technical experts.

#### 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.

- Human rights was included in the scope of 13 health, safety, environment and community business conformance audits.
- Guidance and support provided to the 1st line on use of human rights self-assessment tools and processes.

#### 3<sup>rd</sup> – Group Internal Audit

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

- See case study below for Group Internal Audit assurance

## Engaging with business partners and external stakeholders - learning from certifications and benchmarking

We engage with a range of business partners and external stakeholders for input and feedback. See Section 7 for details.

We actively participate in certification schemes and other voluntary initiatives to help us and others assess our performance on human rights (see page 24). 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 Churches, Charities and Local Authorities (CCLA) Modern Slavery UK Benchmark, Monash University Benchmark, EcoVadis, Corporate Human Rights Benchmark, ACSI ASX200 Benchmark, Dow Jones Sustainability Index and Workforce Disclosure Initiative. Our score for the Monash University Benchmark has remained at “A” for our 2022 statement, and scored as “evolving good practice” in the inaugural CCLA 2023 benchmark.

In 2023, through engagement with these benchmarks and certification schemes, we have identified and taken action to address several potential areas for improvement, including to:

- Disclose suspected cases of modern slavery and steps taken to provide remedy for victims.
- Increase disclosure on monitoring effectiveness of efforts.

## Impact measurement approach

We use a theory of change model to evaluate the impact of our modern slavery approach. This informs our priorities, so we focus efforts on where we may have the greatest impact. See page 2 for our 2023 evaluation.

## Human Rights Group Internal Audit

In consultation with our Human Rights team, Group Internal Audit has continued its multi-year approach to provide greater assurance over 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.

**2023** – Review of human rights risk identification, assessment and documentation.

**2023** – Readiness review regarding the European Union Corporate Sustainability Due Diligence Directive (CS3D) to reduce the risk of adverse human rights and environmental impacts arising within the value chain. We expect to complete the CS3D readiness review in 2024, which will help us identify potential improvement opportunities.

In 2023 Group Internal Audit identified the need to increase awareness and understanding of human rights and consequences across the business (including regarding modern slavery risks).

We continue to implement actions from the 2023 audit, including monitoring the business’s progress in identifying and documenting human rights risks, and using this information to determine further training requirements.


This multi-year approach to assurance is one way to leverage internal 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 engage with peers, investors, civil society organisations, workers' organisations and business partners on issues related to human rights, including in some cases, modern slavery. We encourage government efforts to help businesses prevent and address their involvement in modern slavery.

 **For more information about our broader engagement with stakeholders in 2023, see pages 12-13 of our 2023 Annual Report at [riotinto.com/annualreport](https://riotinto.com/annualreport).**

## Key engagement with stakeholders on human rights and modern slavery in 2023

<b>Multi-stakeholder forums</b>	<p>We engaged in the following key forums:</p> <ul style="list-style-type: none"> <li>– ICMM as co-chair of the human rights working group and related events including attending the human rights practitioners workshop in Brazil and the civil society roundtable at the UN Business and Human Rights Forum, with a focus on human rights defenders.</li> <li>– UN Global Compact and 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 2023, 28 organisations participated in our roundtable discussions, held in person in London, Sydney and Washington D.C. A wide range of topics were discussed, including free, prior and informed consent; community support; our operations in Madagascar and Resolution Copper. For more information, see pages 96 to 97 of our 2023 Annual Report. 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 continue to engage in constructive dialogue with workers' organisations at local and global levels. This includes:</p> <ul style="list-style-type: none"> <li>– Working sessions with our main union stakeholders.</li> <li>– Traditional industrial relations steering committee meetings involving our workers' organisations at global level and IndustriALL.</li> <li>– Initiating dialogue with ILO representatives to explore joint initiatives.</li> </ul> <p>ILO attended our January 2024 industrial relations steering committee plenary meeting. During those sessions, the agenda included broader discussion on the <i>Everyday Respect Report</i> and how to support ESG priorities for Rio Tinto projects.</p>
<b>Engaging with investors</b>	<p>We engage with investors and respond to their queries about our modern slavery approach. In 2023, we met with ten investors and analysts on human rights.</p>



### Respecting the rights of seafarers through partnerships

We continue to expand and invest in strategic partnerships with regulatory bodies and non-profit organisations dedicated to supporting seafarers' welfare onboard and onshore. Examples of our support for the Mission to Seafarers in 2023 included:

- Becoming a member of the Mission to Seafarer Global Ambassador Program.
- Entering into a three year funding agreement to provide transportation and premises for seafarers to enjoy recreation and relaxation during their time onshore. This includes the opening of a new temporary seafarer centre to support seafarers calling at Port Walcott facilities in Western Australia, and working towards building a permanent fit for purpose facility in Wickham, Western Australia.
- Continuing to provide wi-fi at all berths across Western Australia and Queensland, partnering with seafarer centres globally to provide a range of services, including transport into town, or for the provision of goods. In 2023, we received a commendation from the Mission to Seafarers for support and volunteer efforts relating to these services, including in Singapore.

We will continue to identify ways to support of seafarers at the ship to shore interface globally.

# 8. Consultation across our business

We work to improve consultation to embed our approach to combat modern slavery across product groups, assets, functions and reporting entities.

## Ongoing consultation

We consult and engage with product groups, assets and functions when identifying, assessing and managing human rights risks (including modern slavery), including through:

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

These activities help embed our human rights approach across our business.

## Consultation to develop this Statement

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.

All managed reporting entities (listed in Appendix 4) were given an opportunity to review the draft Statement and to attend information briefing sessions on the Statement (providing updates on external trends, assurance and forward commitments for 2024). In addition owned and controlled entities were consulted and provided a copy of the draft Statement, inviting comment and questions.

## Non-managed reporting entities

This Statement is also made on behalf of Queensland Alumina Limited (QAL), which is a reporting entity under the *Australian Modern Slavery Act* (Australian MSA). The consultation process also included specific engagements with key employees at QAL on its modern slavery risks, and relevant policies and procedures, 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 where QAL follows key Rio Tinto policies and procedures, and any key differences in approach.

### Queensland Alumina Limited (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 around 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 2023, 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 in 2023, Rio Tinto was funding 100% of QAL and taking 100% of the alumina production.

QAL's operations include a wharf and storage facility on South Trees Island, and the operation employs approximately 1,000 people. In addition, QAL engages between 400 to 600 contractors each day who are based on site. During the reporting period, QAL's total spend was approximately A\$1 billion with 842 suppliers located in 10 countries. The main categories of spend related to the 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.

QAL has its own supplier code of conduct which 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.
- Ensure fair remuneration and work conditions for all workers.

QAL is focused on high quality supplier due diligence and incorporate a number of Rio Tinto standards and procedures into work practices. In relation to supplier due diligence, selected new suppliers are screened by Rio Tinto's TPRM team under the KYTP procedure. Use of the procedure is based on a threshold value and risk assessment. 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.

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. QAL has a whistleblower service which incorporates access to myVoice and is available to employees, suppliers and contractors of QAL. No modern slavery concerns were raised via the whistleblower service during the reporting period.

Visit the QAL website to learn more.

### 2023 performance

During 2023, QAL worked to embed modern slavery risk management into everyday practices. A cross-functional steering committee was established with representatives from procurement, legal, human resources and communities and social performance, with the objective of driving QAL's modern slavery program of work. Key activities completed by the steering committee in 2023 included:

- Conducting a focused risk assessment to identify modern slavery risks in the QAL supply chain and operations.
- Reviewing and endorsing the QAL Human Rights Policy.
- Developing training for both employees and contractors. Focused training was delivered for high-risk roles including human resources, procurement and communities.
- Developing an awareness campaign for employees, contractors and suppliers to improve awareness and use of QAL's community grievance and whistleblower mechanisms.
- Human rights surveys were completed by 16 of QAL's top 20 suppliers. The supplier responses did not identify any indicators of modern slavery.
- Incorporating modern slavery clauses into contract templates and where possible, into existing contracts.

In 2024, QAL will focus on the gaps identified in the 2023 risk assessment, including training and working with suppliers on improvement initiatives identified through supplier questionnaires.

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 2021 and 2022 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>		
Continue to embed our Responsible Sourcing Action Plan (RSP Plan), including risk-based due diligence within our third-party risk management governance structures.	Broadened the RSP Plan to a Sustainable Sourcing Plan and included greater disclosure on our 2024 commitments (see Section 3, page 18).	●
Cross-functional review of the SCOC led by Global Procurement with full input and review by our Human Rights team.	Updated the SCOC to launch in 2024 (see Section 3, page 17).	●
Our Human Rights and TPRM teams will continue to work together to refine the risk conditions leading to human rights risk reviews.	Continued to mature our governance approach over third-party risks (including human rights) and refine our approach in particular in respect of renewables-related goods and services (see Section 2, page 12).	●
<b>Managing risks</b>		
Complete human rights risk assessments with a focus on assets identified as operating in higher-risk contexts.	Completed 24 human rights risk assessments which focused on salient human rights issues (including labour rights and modern slavery) (see Section 2, page 10).	●
Achieve our target of undertaking 500 vessel inspections.	Completed 489 inspections across our portfolio (see Section 3, page 23).	●
Focus on the uplift of crew safety and welfare initiatives as part of the Designated Owners and Operators Program (DOO Program),	Onboarded 16 ship owners and operators to the DOO Program, representing around 36% of shipped volumes. We are aiming for 100% by 2027 (see Section 3, page 23).	●
Continue to implement the Marine Safety and Welfare strategy, including Logistics.	Achieved a 50% reduction in critical shipboard incidents at our terminal facilities as compared to 2022, and achieved zero fatality, zero permanent disabilities and 70% reduction of reported personal injuries on board our chartered vessels. We integrated human rights into the safety maturity model assessments for higher risk logistics providers (see Section 3, page 22 and 23).	●
<b>Building capability</b>		
Update our Group human rights training strategy, guidance and online programme to deliver on Group training targets; including approaches to supplier training.	Completed 35 human rights workshops, webinars, and other training initiatives globally. Logged more than 2,400 completions of our new e-module on modern slavery and labour rights and trained 200 crew, officers, and shore team on our marine owned fleet of vessels (see Section 5, page 27).	●
	Developed a three-year learning strategy. This strategy includes how we can improve collaboration with key business partners, including suppliers (still under development and consultation, see Section 5, page 27).	●
Influence and work with our top 20 suppliers to promote respect for human rights through our supplier relationship management engagements.	14 supplier relationship management meetings were completed with strategic suppliers, focusing on human rights and modern slavery (see Section 3, page 18).	●
Develop non-financial risk management capability within Global Procurement.	Developed the inherent category risk matrix which will be implemented in 2024 (see Section 3, page 17).	●
Continuation of training and capability-building initiatives on complaints and grievance management.	Delivered capacity-building initiatives with CSP team members on complaints and grievance management (see Section 4, page 25).	●
BCO focus on projects to continue to strengthen its framework and performance, including the review and deployment of issue type classifications of allegations to improve modern slavery reporting and the implementation of a new trauma-informed, people-centric investigation approach.	Launched the Care Hub, reclassified "issue type" classifications, defined accountabilities, strengthened escalation procedures and provided human rights training to Senior Leadership (see Section 4, page 25).	●
<b>Assessing effectiveness</b>		
Conduct Group Internal Audit of human rights policies and processes.	Continued to implement actions from the 2023 audit, including monitoring progress in identifying and documenting human rights risks. Commenced a review regarding the EU Corporate Sustainability Due Diligence Directive, which we will complete in 2024 (see Section 6, page 28).	●
Continue to refine and improve our approach to impact measurement.	Updated our modern slavery impact measurement evaluation framework (see page 2).	●
<b>Other</b>		
Use the Walk Free HRREC Response and Remedy 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.	Continued to use the Walk Free HRREC Response and Remedy Framework, including as part of reviewing child labour risks in our supply chain (see Section 3, page 19; and Section 4 page 25).	●
Further engage with reporting entities in relation to their modern slavery approach, risk management and reporting.	Engaged with all Australian and UK reporting entities, and new Canadian reporting entities, in relation to their modern slavery risks and related approaches, risk management and reporting (see Section 8, page 30).	●
Ongoing collaboration with stakeholders on human rights and modern slavery.	Collaborated with a number of stakeholders in 2023, including HRREC and ICMM, and via civil society and investor engagements (see Section 7, page 29).	●



# 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
<a href="#">Code of Conduct – <i>The Way We Work</i></a>	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.	Page 14
<a href="#">Supplier Code of Conduct (SCOC)</a>	Our SCOC is based on internationally recognised standards and <i>The Way We Work</i> , and sets out our expectations of suppliers (and their subsidiaries and subcontractors) with respect to key issues, including human rights.	Pages 14, 17 to 21, 26, 31
<a href="#">Human Rights Policy</a>	Our <i>Human Rights Policy</i> 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 <i>Communities and Social Performance Standard</i> primarily describes how the <i>Human Rights Policy</i> should be implemented.	Pages 3, 12, 14, 19
<a href="#">Employment Policy</a>	Our <i>Employment Policy</i> 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 <i>Recruitment Approvals Standard</i> , <i>Talent Acquisition Framework Standard</i> and <i>Assessment and Selection Standard</i> describe how the <i>Employment Policy</i> should be implemented.	Page 16
<a href="#">Joint Venture Policy</a>	Our <i>Joint Venture Policy</i> outlines our expectations for joint venture partners (including non-managed operations) to support our corporate commitments and core principles.	Page 16
<a href="#">Business Integrity Standard</a>	Our <i>Business Integrity Standard</i> outlines the key principles for business decision making, business behaviours and requirements for managing business integrity risks.	Pages 10, 15, 20, 26, 27
<a href="#">Communities and Social Performance (CSP) Standard</a>	Our <i>CSP Standard</i> 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 <i>CSP Standard</i> is incorporated into agreements with major contractors.	Pages 10, 16, 25
<a href="#">Group Procurement Standard</a>	Our <i>Group Procurement Standard</i> requires new and renewing suppliers to be subject to the <i>Know Your Third Party procedure</i> .	Page 17
<a href="#">Designated Operators and Owners Standard</a>	Our <i>Designated Operators and Owners Standard</i> outlines requirements for our commercial partners, which can be adopted on a voluntary basis. It is designed to incentivise Commercial Partners to adopt this status to work with Rio Tinto, and like-minded partners to improve overall safety and crew welfare performance. Requirements are aligned with industry best practice and human rights standards (such as the <i>Dry Bulk Management Standard</i> and Sustainable Shipping Initiative Crew Welfare Toolkit).	Pages 20 and 23
<a href="#">Know Your Third Party (KYTP) procedure</a>	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 15, 17, 18, 20, 21
<a href="#">myVoice procedure</a>	Our myVoice procedure provides guidance about how to voice concerns relating to Rio Tinto using our confidential reporting program, myVoice.	Pages 18 and 26

# Appendix 3

## Reporting criteria and UNGPs

This table is an index to reference where in this Statement we are addressing the reporting criteria in UK, Australia and Canada laws, 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	Canadian Fighting Against Forced Labour and Child Labour in Supply Chains 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.	Entity's structure, activities and supply chain.	N/A	Section 1 (Our structure and business) Appendix 4 (Our 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.	The parts of its business and supply chains that carry a risk of forced labour or child labour being used and the steps it has taken to assess and manage that risk.	Identifying and assessing impacts.	Section 2 (Identifying risks) Section 3 (Assessing and addressing 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.	The entity's policies and due diligence processes in relation to forced labour and child labour.  Any measures taken to remediate any forced labour or child labour.  Any measures taken to remediate the loss of income to the most vulnerable families that results from any measure taken to eliminate the use of forced labour or child labour in its activities and supply chains.  The training provided to employees on forced labour and child labour.	Policy commitment. Acting on findings.	Section 3 (Assessing and addressing risks) Section 4 (Remediation) Section 5 (Training) 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.	How the entity assesses its effectiveness in ensuring that forced labour and child labour are not being used in its business and supply chains.	Tracking responses, processes to enable remediation, including alignment with the effectiveness criteria.	Section 6 (Assessing effectiveness) Appendix 1 (Our performance) Progress and Evaluation Framework (page 2)
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	N/A	Section 8 (Consultation across our business) Appendix 4 (Our 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 2 (Progress and Evaluation framework) Section 6 (Assessing effectiveness)
		Steps taken during the previous financial year to prevent and reduce the risk that forced labour or child labour is used at any step of the production of goods in Canada or elsewhere by the organisation or of goods imported into Canada by the organisation.		CEO Letter (page 1) Progress and Evaluation Framework (page 2) Appendix 1 (Our performance)

# Appendix 4

## Our 2023 reporting entities

This Statement is made on behalf of Rio Tinto Limited, an Australian MSA reporting entity, and Rio Tinto plc, a UK Modern Slavery Act (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 in Australia, UK and Canada:

Entity	Description
<b>Australian MSA reporting entities</b>	
Alcan Holdings Australia Pty Limited (ABN 41 105 326 663)	Conducts financing activities for various Rio Tinto Australian entities.
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).
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).
Hamersley 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.
Hamersley Iron – Yandi Pty Limited (ABN 56 009 181 793)	Holds Yandicoogina mineral leases relating to iron ore operations.
Hamersley 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.
Hamersley 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)	Owns 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)	Dampier Salt Limited Joint Venture participant (68.363% interest) and holding company of Rio Tinto Aluminium (Holdings) 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 Hamersley 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.
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).



# Appendix 4 (cont.)

Entity	Description
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 Limited (ABN 96 004 458 404)	Major holding company for Australian operations.
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 71 008 694 246)	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 Iron Ore Atlantic Limited	The company is involved in the Simandou Project.
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).
<b>Canadian Fighting Against Forced Labour and Child Labour in Supply Chains Act reporting entities</b>	
Davik Diamond Mines (2012) Inc	Diamond mining and processing company. Subsidiary of Rio Tinto Canada Inc.
Iron Ore Company of Canada	Joint venture between Rio Tinto (58.7%), Mitsubishi Corporation (26.2%) and the Labrador Iron Ore Royalty Corporation (15.1%) involved in iron ore mining and iron pellets production. Parent entity to the iron ore business in Canada; ultimate interest is held by Rio Tinto Limited.
Pechiney Reynolds Quebec, Inc	Holds a 50.1% interest in the Aluminerie de Bécancour, Inc. aluminium smelter. Ultimate interest is held by Rio Tinto plc.
Quebec North Shore and Labrador Railway Company Inc	Owns and operates a railway. Subsidiary of Iron Ore Company of Canada.
Rio Tinto Alcan Inc	Bauxite mining, alumina refining and aluminium smelting company. Parent entity to the aluminium business in Canada; ultimate ownership is held by Rio Tinto plc.
Rio Tinto Canada Inc	Holding company and parent entity to the minerals and exploration business in Canada; ultimate ownership is held by Rio Tinto plc.
Rio Tinto Exploration Canada Inc	Mineral exploration, development and production company. Subsidiary of Rio Tinto Canada Inc.
Rio Tinto Fer et Titane inc.	Titanium dioxide feedstock; high purity iron and steel production company. Subsidiary of Rio Tinto Canada Inc.

# About this Statement

The Rio Tinto Group has prepared this Statement to meet the requirements of the Fighting Against Forced Labour and Child Labour in Supply Chains Act (S.C. 2023, c.9) (Canadian MSA), the Australian MSA and the UK MSA. It covers the period 1 January 2023 to 31 December 2023 for the Australian MSA, UK MSA and Canadian 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 to 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.

For the purposes of our reporting under the Australian MSA and the UK MSA, this Statement was approved on 1 May 2024 by the combined Rio Tinto Limited and Rio Tinto plc Board on behalf of all Australian MSA and UK MSA reporting entities in the Rio Tinto Group. The Statement has been signed by the Chief Executive of Rio Tinto (page 1). For the purposes of reporting under the Canadian MSA, this Statement was approved on 4 April 2024 by Rio Tinto Canada Inc, Rio Tinto Alcan Inc and Pechiney Reynolds Quebec Inc, and on 9 April 2024 by Iron Ore Company of Canada, on behalf of all Canadian MSA reporting entities in the Rio Tinto Group.

An attestation, as required by the Canadian MSA, by a director of each of Rio Tinto Canada Inc., Iron Ore Company of Canada, Rio Tinto Alcan Inc. and Pechiney Reynolds Quebec, Inc. is available on our website.

This 2023 Statement is our fourth under the Australian MSA, eighth under the UK MSA, and first under the Canadian MSA. Appendix 3 explains how we have addressed the reporting criteria of each of these Acts.

This Statement has not been externally assured; however, an internal verification process has supported the integrity of our disclosures, alongside external legal reviewers.

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

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