

Corporate Human Rights Benchmark 2018 Company Scoresheet



Company Name Rio Tinto
Industry Extractives
Overall Score (*) 76.3 out of 100

| Theme Score | Out of | For Theme |
|-------------|--------|---|
| 7.7 | 10 | A. Governance and Policies |
| 21.6 | 25 | B. Embedding Respect and Human Rights Due Diligence |
| 10.8 | 15 | C. Remedies and Grievance Mechanisms |
| 13.1 | 20 | D. Performance: Company Human Rights Practices |
| 15.6 | 20 | E. Performance: Responses to Serious Allegations |
| 7.4 | 10 | F. Transparency |

(*) Please note that any small differences between the Overall Score and the added total of Measurement Theme scores are due to rounding the numbers at different stages of the score calculation process.

Please note also that the "Not met" labels in the Explanation boxes below do not necessarily mean that the company does not meet the requirements as they are described in the bullet point short text. Rather, it means that the analysts could not find information *in public sources* that met the requirements *as described in full* in the CHRB 2018 Methodology document. For example, a "Not met" under "General HRs Commitment", which is the first bullet point for indicator A.1.1, does not necessarily mean that the company does not have a general commitment to human rights. Rather, it means that the CHRB could not identify a public statement of policy in which the company commits to respecting human rights.

Detailed assessment

A. Governance and Policies (10% of Total)

A.1 Policy Commitments (5% of Total)

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
|----------------|---|------------------|---|
| A.1.1 | Commitment to respect human rights | 2 | The individual elements of the assessment are met or not as follows: Score 1 • Met: General HRs commitment: The Company states in its Human rights policy 'Rio Tinto respects and supports the dignity, well being and human rights of our employees, the communities in which we live and those affected by our operations'. [Human rights policy, 2015: riotinto.com] Score 2 • Met: OECD: The Company states that it has 'made voluntary commitments to leading international standards and initiatives such as the OECD Guidelines for Multinational Enterprises' [Human rights on website: riotinto.com] |
| A.1.2 | Commitment to respect the human rights of workers | 2 | The individual elements of the assessment are met or not as follows: Score 1 • Met: ILO Core: As indicated below the Company has explicit commitment to the human rights that the ILO has declared to be fundamental rights at work. [The way we work, 2017: riotinto.com & Human rights policy, 2015: riotinto.com] • Met: All four ILO apply to EX BPs: The supplier code of conduct contains explicit commitments to each ILO core area. The code includes business partners. 'The Way we work' also contains commitments to all ILO core and applies to consultants, agents, contractors and suppliers. 'We also want these principles to be respected by our joint venture partners and non-controlled companies'. [Supplier code of conduct, 2016: riotinto.com & The way we work, 2017: riotinto.com] |

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
|----------------|---|------------------|---|
| | | | <p>Score 2</p> <ul style="list-style-type: none"> • Met: All four ILO Core: The 'way we work' document contains the code of conduct which includes explicit commitment to diversity (non-discrimination), Freedom of Association and collective bargaining. The Human rights policy contains explicit commitment against forced and child labour. [The way we work, 2017: riotinto.com & Human rights policy, 2015: riotinto.com] • Met: Respect H&S of workers: The 'way we work' document contains the Company's position in relation health and safety: 'we make the safety and wellbeing of our employees, contractors and communities our priority number one'. [The way we work, 2017: riotinto.com] • Met: H&S applies to Ex BPs: Health and safety performance is included within the supplier code. [Supplier code of conduct, 2016: riotinto.com] |
| A.1.3.EX | Commitment to respect human rights particularly relevant to the industry (EX) | 1.5 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: VPs participant: The Company is participant in the Voluntary Principles and its human rights policy states that 'we support and implement the Voluntary Principles on Security and Human Rights and ensure relevant employees and contractors are trained in accordance with these principles'. [Human rights policy, 2015: riotinto.com] • Met: ILO 169: The Human rights matters guide indicates that 'Rio Tinto has also publicly expressed support for the 'International Labour Organization Convention 169: Concerning indigenous and Tribal Peoples in Independent Countries'. [Why human rights matter guide, 2013: riotinto.com] • Met: Expects BPs to respect these rights: The Human rights policy contains a commitment to the Voluntary principles as stated above. In relation to this policy's scope, it says that 'through appropriate contractual arrangements and procurement principles, we make our consultants, agents, contractors and suppliers aware of and expect their compliance with our human rights commitments. We strive to ensure our joint venture partners and non-controlled companies in which we participate also to respect our commitments to uphold human rights. In relation to indigenous rights, 'the way we work' document, which also applies to business partners, the Company states that 'we operate in a manner consistent with the UN Declaration on the Rights of Indigenous Peoples in those jurisdictions that have signed the Declaration, and elsewhere in accordance with the Declaration's principles'. [The way we work, 2017: riotinto.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: FPIC commitment: The 'way we work' document states that 'we strive to achieve free, prior and informed consent of Indigenous communities as described in the 2012 International Finance Corporation Performance Standard 7 and supporting guidance, and consistent with the law'. [The way we work, 2017: riotinto.com & Sustainable development report, 2015: riotinto.com] • Met: IFC performance standards: The 'Approach to communities and social performance' policy states that 'Ensuring that resettlement is avoided where possible, and where unavoidable proceeds in compliance with the IFC Performance Standard 5 on "Land Acquisition and involuntary Resettlement" so that resettled people and communities have their standard of living and livelihood sustainable restored or improved over the long term as a result of the resettlement'. [Approach to communities and social performance: riotinto.com] • Not met: Respecting the right to water: In the 'why gender matters' document water is treated in the context of women, however no evidence is found of a formal commitment to respecting the right to water company-wide. [Why gender matters: riotinto.com] • Not met: Expects BPs to respect all these rights: 'The way we work' document applies to business partners and contains a commitment to FPIC, no evidence found on commitments. In relation to water, although the Company assesses this risk and implements preventive and corrective action plans, no evidence found of a formal commitment to respect the right to water. [The way we work, 2017: riotinto.com & Sustainable development report, 2017: riotinto.com] |
| A.1.4 | Commitment to engage with stakeholders | 2 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Commits to stakeholder engagement: The Company states in the human rights policy that 'wherever we operate, we engage with communities to understand the social, cultural, environmental and economic implications of our activities. We provide communities with easily accessible complaints mechanisms and we listen to and take actions to address complaints'. [Human rights policy, 2015: riotinto.com] |

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
|----------------|--|------------------|---|
| | | | Score 2 <ul style="list-style-type: none"> Met: Commits to engage stakeholders in design: On pages 16-17 of Why human rights matter, the company describes how it engages with affected stakeholders in its human rights due diligence process. [Why human rights matter guide, 2013: riotinto.com] |
| A.1.5 | Commitment to remedy | 1.5 | The individual elements of the assessment are met or not as follows: Score 1 <ul style="list-style-type: none"> Met: Commits to remedy: The Company states in its 'why human rights matter' guide that 'as part of our responsibility to respect human rights we actively engage and cooperate in remediating any adverse impacts that we have caused or contributed to. Rio Tinto may do this alone or in conjunction with others'. [Why human rights matter guide, 2013: riotinto.com] Score 2 <ul style="list-style-type: none"> Met: Not obstructing access to other remedies: The 'why human rights matter' referencing the Guiding principles indicates that 'a site-level process must not inhibit any individual or group's access to judicial recourse, nor put them at undue risk'. [Why human rights matter guide, 2013: riotinto.com] Not met: Collaborating with other remedy initiatives Not met: Work with EX BPs to remedy impacts |
| A.1.6 | Commitment to respect the rights of human rights defenders | 0 | The individual elements of the assessment are met or not as follows: Score 1 <ul style="list-style-type: none"> Not met: Zero tolerance attacks on HRs Defenders (HRDs) Score 2 <ul style="list-style-type: none"> Not met: Expects EX BPs to reflect company HRD commitments |

A.2 Policy Commitments (5% of Total)

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
|----------------|---------------------------------------|------------------|--|
| A.2.1 | Commitment from the top | 2 | The individual elements of the assessment are met or not as follows: Score 1 <ul style="list-style-type: none"> Met: CEO or Board approves policy: The Human rights policy has been approved by Rio Tinto Executive Committee. [Human rights policy, 2015: riotinto.com] Met: Board level responsibility for HRs: The Company indicates in the 'slavery and human trafficking statement' that 'our board Sustainability Committee monitors compliance with our human rights-related policies and standards'. [Slavery and human trafficking statement, 2017: riotinto.com] Score 2 <ul style="list-style-type: none"> Met: Speeches/letters by Board members or CEO: In 2015 the CEO spoke publicly about security and human rights. |
| A.2.2 | Board discussions | 2 | The individual elements of the assessment are met or not as follows: Score 1 <ul style="list-style-type: none"> Met: Board/Committee review of salient HRs: The Sustainability Committee terms of reference indicates that this Committee has oversight on human rights, safety and relationships with communities. The committee meets at least four times a year. The document details the responsibilities of the Committee which include whistleblowing, risk management, management report reviews, oversee management processes designed to ensure compliance with policies, etc. [Sustainability Committee terms of reference, 2017: riotinto.com] Met: Examples or trends re HR discussion: The Company discloses in the Annual report the activities carried out by the Sustainability Committee, which include reviewing programmes for managing HSEC matters (which include human rights), reviewing lessons learnt and actions taken following findings on fatalities, reviewing health and safety programmes at some sites, safety targets, etc. [Annual report, 2017: riotinto.com] Score 2 <ul style="list-style-type: none"> Met: Both examples and process: See above |
| A.2.3 | Incentives and performance management | 0.5 | The individual elements of the assessment are met or not as follows: Score 1 <ul style="list-style-type: none"> Met: Incentives for at least one board member: The executive team has a safety component in the short-term incentive plans (following recommendations provided by the Sustainability Committee on the metrics). Indicators include all injury frequency rate [Sustainability Committee terms of reference, 2017: riotinto.com & Annual report, 2017: riotinto.com] Not met: At least one key EX RH risk, beyond employee H&S: The indicator mentioned above 'includes medical treatment cases, restricted work-day and lost-day injuries for employees and contractors at Rio Tinto-managed operations'. No evidence found in relation to health and safety of local communities. [Annual report, 2017: riotinto.com] |

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
|----------------|----------------|------------------|--|
| | | | Score 2 <ul style="list-style-type: none"> Met: Performance criteria made public: Indicators included in the short-term incentive plan are described, and the level of compliance determined by the Sustainability Committee. The remuneration report discloses the specific results obtained. [Annual report, 2017: riotinto.com] |

B. Embedding Respect and Human Rights Due Diligence (25% of Total)

B.1 Embedding Respect for Human Rights in Company Culture and Management Systems (10% of Total)

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
|----------------|--|------------------|---|
| B.1.1 | Responsibility and resources for day-to-day human rights functions | 1.5 | The individual elements of the assessment are met or not as follows: Score 1 <ul style="list-style-type: none"> Met: Senior responsibility for HR (inc ILO): The 'slavery and human trafficking statement' indicates that 'Executive Committee accountability for the area is cross-functional and includes leaders responsible for our human rights approach (Group executive, Corporate Relations), third party due diligence and broader business integrity work (Groups executive, Group General Counsel) and procurement (chief commercial officer). [Slavery and human trafficking statement, 2017: riotinto.com] Score 2 <ul style="list-style-type: none"> Met: Day-to-day responsibility: The 'slavery and human trafficking statement' indicates that a cross-functional human rights working group helps implement a coordinated human rights approach at an operational level. The Sustainable development report (2016) indicates that it includes human rights considerations in processes like social risk analysis, environmental and social impact assessments, incident reporting procedures and studies and programmes at high-risk sites when required. [Slavery and human trafficking statement, 2017: riotinto.com] Not met: Day-to-day responsibility for EX BRs: Although the Company discloses that it has personnel present in Joint Ventures, and in the 'slavery and human trafficking statement' indicates how it works on suppliers' awareness and procurement practices, is not clear how day to day responsibility for managing human rights for extractive business partners is allocated [Sustainable development report, 2017: riotinto.com & Slavery and human trafficking statement, 2017: riotinto.com] |
| B.1.2 | Incentives and performance management | 0.5 | The individual elements of the assessment are met or not as follows: Score 1 <ul style="list-style-type: none"> Met: Senior manager incentives for human rights: Following indicator A.1.3, other executive directors and Group executives besides the CEO and board are covered by the same incentives related to safety performance. [Annual report, 2017: riotinto.com] Not met: At least one key EX HR risk, beyond employee H&S: The indicator monitored 'includes medical treatment cases, restricted work-day and lost-day injuries for employees and contractors at Rio Tinto-managed operations'. No evidence found in relation to health and safety of local communities. [Annual report, 2017: riotinto.com] Score 2 <ul style="list-style-type: none"> Met: Performance criteria made public: As noted above, indicator A.1.3 indicates the performance criteria, which covers short term incentives for other group executives. [Annual report, 2017: riotinto.com] |
| B.1.3 | Integration with enterprise risk management | 2 | The individual elements of the assessment are met or not as follows: Score 1 <ul style="list-style-type: none"> Met: HR part of enterprise risk system: The Company explains in the annual report its risk management framework and the risks that it faces. Among these there are risks related to health, safety, environment, communities (maintain access to land, resources, people and capital), and stakeholders risks (engagement with communities and other stakeholders and comply with group policies and standards including human rights). [Annual report, 2017: riotinto.com] Score 2 <ul style="list-style-type: none"> Met: Audit Committee or independent risk assessment: The Sustainability Committee terms of reference indicates that the responsibilities of the committee include 'assess the adequacy of the Group's Health, Safety, Security, Environment and Communities framework'. Also, in the Company indicates in previous sustainability report that 2015 'In 2015, our Group Audit & Assurance team completed a Group-level review of security and human rights. The review considered the design and effectiveness of governance and internal controls supporting the Group security and human rights framework. Overall, the findings indicate that most elements of the security and human rights framework were operating effectively. The report noted minor control weaknesses existed in certain areas'. [Sustainability |

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
|----------------|--|------------------|--|
| | | | Committee terms of reference, 2017: riotinto.com & Sustainable development report, 2015: riotinto.com] |
| B.1.4.a | Communication /dissemination of policy commitment(s) within Company's own operations | 2 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Communicates its policy to all workers in own operations: The Company indicates in the Sustainable development report that in 2017 'we rolled out our human rights training for all employees. The introductory module is compulsory for all employees'. Function specific modules around communities, procurement, security and inclusion and diversity are also available'. [Sustainable development report, 2017: riotinto.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Communication of policy commitments to stakeholder: In the 'inclusive engagement' section, explaining the context of engagement in agreement negotiation, the document 'Why agreements matter' states that 'it's important to understand appropriate ways to acknowledge and express commitment to non-negotiable principles, policies or standards of the parties – notably in Rio Tinto's case, The way we work Principles [Company's code containing human rights] should be kept to a minimum and be high level so they are not mistaken for an articulation of non-negotiable positions'. [Why agreements matter, 03/2016: riotinto.com] • Met: How policy commitments are made accessible to audience: In the 'inclusive engagement' section of the 'Why agreements matter document', the Company states that 'tailoring engagement processes for different groups can reduce the risk of reinforcing existing barriers to participation, or creating new ones. Working with other parties on the agreement [as noted above, agreements should include as non-negotiable part the document 'The way we work', containing company's commitments on human rights], Rio Tinto aims to explore various ways to improve opportunities for different community groups to engage with agreement processes. This might include, for example, holding multiple and diverse forums, using participatory approaches and making information available through diverse media and in multiple languages, where necessary'. [Why agreements matter, 03/2016: riotinto.com] |
| B.1.4.b | Communication /dissemination of policy commitment(s) to business relationships | 1.5 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Steps to communicate policy commitments to BRs: The Company states that 'in 2017 we continued to raise suppliers' awareness of our Supplier code of conduct, including through information on our website, bilateral discussions and contractual terms'. 'Rio Tinto has also updated its standard contractual terms to include a requirement to comply with the Supplier code of conduct for new or renewed supply agreements'. In addition, the Human rights policy states that 'through appropriate contractual arrangements and procurement principles, we make our consultants, agents, contractors and suppliers aware of and expect their compliance with our human rights commitments. We strive to ensure joint venture partners and non-controlled companies in which we participate also respect our commitments to uphold human rights'. [Slavery and human trafficking statement, 2017: riotinto.com & Human rights policy, 2015: riotinto.com] • Met: Including to EX BPs: The supplier code states that 'This supplier code of conduct, which draws upon internationally recognised standards and Rio Tinto's The way we work, sets our expectations of you, your subsidiaries and subcontractors. We may not elect to not work with or cease to work with suppliers who do not meet our expectations'. In addition, in the Sustainable development report it indicates that 'we endeavour to ensure that the principles in The way we work [company policy] are applied and we encourage our partners to embed a strong safety, security and human rights culture in their workforces'. [Supplier code of conduct, 2016: riotinto.com & Sustainable development report, 2017: riotinto.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: How HR commitments made binding/contractual: As indicated above, 'Rio Tinto has also updated its standard contractual terms to include a requirement to comply with the Supplier code of conduct for new or renewed supply agreements'. Also, Human rights policy states that 'through appropriate contractual arrangements and procurement principles, we make our consultants, agents, contractors and suppliers aware of and expect their compliance with our human rights commitments. [Slavery and human trafficking statement, 2017: riotinto.com] • Not met: Including on EX BPs: The Human rights policy describes the contractual arrangements, however, it is not clear whether binding arrangements are applied (in general, not only examples) in joint-ventures and all business relationships: 'Through appropriate contractual arrangements and procurement principles, we |

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
|----------------|-----------------------------------|------------------|--|
| | | | make our consultants, agents, contractors and suppliers aware of and expect their compliance with our human rights commitments. We strive to ensure joint venture partners and non-controlled companies in which we participate also respect our commitments to uphold human rights'. The Sustainable development report indicates that 'we endeavour to ensure that the principles in 'The way we work' are applied and we encourage our partners to embed a strong safety, security and human rights culture in their workforces'. However, not clear if contractual or other binding arrangements are applied. [Human rights policy, 2015: riotinto.com & Slavery and human trafficking statement, 2017: riotinto.com] |
| B.1.5 | Training on Human Rights | 2 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Trains all workers on HR policy commitments: The Sustainable development report indicates that in 2017 'we rolled out our human rights training for all employees. The introductory module is compulsory for all employees. Function-specific modules around communities, procurement, security and inclusion and diversity are also available. Training sessions on modern slavery were also conducted on a targeted basis with our procurement, ethics and compliance teams'. [Sustainable development report, 2017: riotinto.com] • Met: Trains relevant managers including security personnel: The Company indicates that 'we provide training for security personnel and conduct human rights analysis in support of our security arrangements. Our online VPSHR training is mandatory for all security personnel at high risk sites and elsewhere it is strongly recommended'. 'During the year we conducted VPSHR and use-of-force training at five of our locations. As a participant in the Voluntary Principles Initiative, we also contributed to the design of a VPSHR training package for private security personnel and public security forces'. [Sustainable development report, 2017: riotinto.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Both requirements under score 1 met |
| B.1.6 | Monitoring and corrective actions | 0.5 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Monitoring implementation of HR policy commitments: The Company indicates has a business integrity compliance programme: 'The programme meets Group-wide and business specific requirements and aims to address concerns in our host communities. We conduct quarterly audit forums to monitor and oversee the implementation and effectiveness of the business integrity compliance programmes across our business'. The Company also indicates that part of its due diligence activities include prevent and mitigate human rights impacts for its operations. [Sustainable development report, 2017: riotinto.com] • Not met: Monitoring EX BP's: Regarding non-managed operations and joint arrangements, the Company indicates (supplier code of conduct) that 'we endeavour to ensure that the principles in The way we work [Company policy] are applied and we encourage our partners to embed a strong safety, security and human rights culture in their workforces'. The Modern slavery statement indicates that supplier due diligence applies a range of steps including, if appropriate, ongoing monitoring. The 'Know your supplier' procedure requires the implementation and monitoring of mitigation actions arising from due diligence reviews (including actions related to modern slavery). However, it is not clear if this includes extractive business partners. Also, the Sustainable Development report indicates that the incident management framework, for a specific development project includes a 'human rights annex in the construction tender and human rights information in the project's social and environmental impact assessment. We made changes [...] such that employees are now asked if a health, safety, environment, communities or security incident had human rights implications'. However, it is not clear if this framework is implemented across extractive business partners generally and includes active monitoring of compliance with Rio's human rights-related policies. [Sustainable development report, 2017: riotinto.com & Slavery and human trafficking statement, 2017: riotinto.com] <p>Score 2</p> <ul style="list-style-type: none"> • Not met: Describes corrective action process: Although the Company describes its grievance mechanisms, no evidence found of the corrective action process that the Company implements following breaches found during monitoring process. • Not met: Example of corrective action • Not met: Discloses % of supply chain monitored |
| B.1.7 | Engaging business relationships | 2 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: HR affects selection extractives business partners: The Company indicates that 'when conducting due diligence into suppliers, we apply a range of steps. |

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
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| | | | <p>These include pre-qualification checks, contractual arrangements and on-going monitoring, as appropriate. Suppliers in China, India and South East Asia must complete a pre-qualification questionnaire explicitly asking about the suppliers' policies and practices on preventing child, forced and bonded labour'. [Slavery and human trafficking statement, 2017: riotinto.com]</p> <ul style="list-style-type: none"> • Met: HR affects on-going business partner relationships: The Company has implemented the 'know your supplier procedure'. It is designed 'to identify the potential legal, ethical or reputational risks of engaging or renewing a supplier, including around human rights'. The procedure has been conducted on 2,050 suppliers and 'is now being applied to all new suppliers as is undergoing a staged rollout relating to renewing suppliers, to be completed in 2018'. [Slavery and human trafficking statement, 2017: riotinto.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Both requirement under score 1 met • Met: Working with business partners to improve performance: The Company indicates in that it engages with partners in larger joint ventures 'through formal governance structures and technical exchanges to learn and improve performance. We endeavour to ensure that the principles in 'The way we work' are applied and we encourage our partners to embed strong safety, security and human rights culture in their workforces'. The annual report states that 'we continue to work with our partners to share fatality prevention initiatives, including CRM and learning critical lessons, to ensures the circumstances leading to incidents are not repeated. The Company provides some examples of work carried out, such as in PT Freeport Indonesia, where the 'multidisciplinary Technical Committee' enables discussion on worker health and safety and communities among other topics. A Rio Tinto senior safety professional based in Indonesia works with PTFI on issues such as fatality prevention programs. [Slavery and human trafficking statement, 2017: riotinto.com] |
| B.1.8 | Approach to engagement with potentially affected stakeholders | 1 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Stakeholder process or systems: The Company indicates that 'Using our local knowledge, we engage with communities and develop programmes that reflect mutually agreed priorities. Our CSP Standard [Approach to communities and social performance], and framework enables us to identify and manage social risks, and thus build relationships to secure community support for our operations'. The Company also has a guide to follow to reach formal agreements with local communities: 'we collaborate with local communities to develop clear and transparent agreements, which are essential to providing access to land we require and for directing benefits to those affected by our activities'. The Company reports on different work carried out in 2017 with different communities, and indicates that 'we have 40 comprehensive participation agreements and over 120 global exploration access agreements in place across the business'. 'Agreements typically include commitments on land use, cultural heritage, environment, employment and procurement'. [Sustainable development report, 2017: riotinto.com] • Met: Frequency and triggers for engagement: 'We work with all communities to understand and protect cultural places, objects and practices and respect their diverse cultures, lifestyles, heritage and preferences. All our operations maintain and implement a cultural heritage management system. This requires undertaking cultural heritage risk assessments, to identify and understand cultural heritage values, their significance and management plan options'. In addition, it indicates that 'all our sites must have a complaints, disputes and grievance mechanism that meets the UN Guiding Principles on Business and Human Rights criteria'. In addition, as mentioned above, the company develops formal agreements with communities in which it operates'. [Sustainable development report, 2017: riotinto.com] • Met: communities in the SC engaged: In addition to the evidence above, the Company's continuous engagement with communities is made through the framework described in 'why agreements matter' which describes the approach that the Company follows to engage with communities in its operations. [Sustainable development report, 2017: riotinto.com & Why agreements matter, 03/2016: riotinto.com] <p>Score 2</p> <ul style="list-style-type: none"> • Not met: Analysis of stakeholder views and company's actions on them: Although the Company discloses information on stakeholder engagement through case studies, no evidence found of analysis and inputs on specific input provided by stakeholders on human rights issues and how it took those views into account within the last reporting years. [Sustainable development report, 2017: riotinto.com & Why agreements matter, 03/2016: riotinto.com] |

B.2 Human Rights Due Diligence (15% of Total)

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
|----------------|---|------------------|---|
| B.2.1 | Identifying: Processes and triggers for identifying human rights risks and impacts | 2 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Identifying risks in own operations: The Company states that ‘we use integrated Group-wide processes and standalone studies to consider human rights risks in our operations. Internal guidance states that both approaches should explore all relevant human rights risks’. Additional details can be found in sub indicators below. [Slavery and human trafficking statement, 2017: riotinto.com] • Met: Identifying risks in EX business partners: The Company has a procedure called ‘know your supplier’: ‘This is our standardised integrity due diligence process designed to identify the potential legal, ethical or reputational risks of engaging or renewing a supplier, including around human rights’. It takes a risk based approach, considering factors such as the goods or services, country of origin, vendor and spend level’. [Slavery and human trafficking statement, 2017: riotinto.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Ongoing global risk identification: The Company indicates that it integrates ‘human rights considerations, including modern slavery, into our own operations’ risk management processes’. ‘These include site-based social risk analysis and impact assessment’. ‘This work forms part of our commitment to carry out human rights due diligence in line with the UN Guiding Principles on Business and Human rights’. Rio Tinto’s ‘why human rights matter’ document provides guidance to employees on how to undertake human rights due diligence. [Slavery and human trafficking statement, 2017: riotinto.com & Why human rights matter guide, 2013: riotinto.com] • Met: In consultation with stakeholders: As part of the Communities and social performance approach, the Company states that it ‘describes how we maintain our community relationships. It covers how we monitor and manage day-to-day impacts and concerns, identify and manage social risks, form long-term community agreements and close operational sites’. [Sustainable development report, 2017: riotinto.com] • Met: In consultation with HR experts: The Company indicates that ‘to improve our understanding of local human rights contexts, as well as exposure to related issues such as corruption, we use tools including [...] Global sSlavery Index and Verisk Maplecroft Human Rights Index. When we are seeking in-depth information on identified risks, country industry and company-specific resources such as the US State Department’s Trafficking persons report, and country narratives’. On its website, it also indicates that it has worked with the Danish Institute for Human rights to co-created the Human rights and business country guide, a tool for international business to better understand human rights risks in different contexts. [Slavery and human trafficking statement, 2017: riotinto.com & Human rights on website: riotinto.com] • Met: Triggered by new circumstances: The processes described are required for the company’s operations generally: ‘we undertake due diligence activities in line with the UNGPs to identify, prevent and mitigate adverse human rights impacts of our operations. Human Rights considerations are included in our social risk analysis and impact assessment processes. We conduct human rights studies and programmes at high-risk sites when required’. The ‘why human rights matter’ guide indicates that there is a ‘new country entry’ procedure. [Sustainable development report, 2017: riotinto.com & Why human rights matter guide, 2013: riotinto.com] • Met: Explains use of HRIAs or ESIA (inc HR): The Company states that ‘we undertake social and economic impact assessments to understand the implications of our activities and reduce any negative impacts throughout the life cycle of our operations’. In the ‘why human rights matter’ guide the Company indicates that it ‘expects its business to undertake social risk analysis (SRA) and social impact assessments (SIA)’. ‘SIA focuses on the risk to communities arising from the activities of the proposed project and is generally carried out at feasibility stage, often as a regulatory requirement’. ‘Human rights considerations should be integrated in both SRA and SIA’. [Sustainable development report, 2017: riotinto.com & Why human rights matter guide, 2013: riotinto.com] |
| B.2.2 | Assessing: Assessment of risks and impacts identified (salient risks) | 2 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Salient risk assessment (and context): The Company has human rights considerations through the life of the projects, including risk assessments in the first stages: When it enters in a new country or identifies terrains with geological potential it takes the following considerations: ‘identify key human rights exposures based on the political, cultural and social context. Identify vulnerable and ‘at risk’ groups. Engage with them inclusively at all stages’. Then, it develops |

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
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| | and key industry risks) | | <p>and 'early stage business case' including the following considerations: 'review knowledge base on human rights-related country risk and apply recommendations. In carrying out the analysis, consider the need for a dedicated human rights risk analysis. [...] Ensure the project is compliant with the VPSHR and other relevant voluntary commitments including those related to resettlement plans and free, prior and informed consent of Indigenous peoples'. Assessments also included in the other stages of the project. [Why human rights matter guide, 2013: riotinto.com]</p> <ul style="list-style-type: none"> • Met: Public disclosure of salient risks: The Company states that 'our most salient human rights issues include those relating to security, land access and resettlement, Indigenous people's rights including cultural heritage, environment including access to water, labour rights and in-migration-related impacts on local communities such as access to health services'. It also indicates in the 'slavery and human trafficking statement' that some type of goods and services procured may be high risk for modern slavery. [Sustainable development report, 2017: riotinto.com & Slavery and human trafficking statement, 2017: riotinto.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Both requirements under score 1 met |
| B.2.3 | Integrating and Acting: Integrating assessment findings internally and taking appropriate action | 2 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Action Plans to mitigate risks: In the 'sustainable development report', the Company indicates that it undertakes due diligence in line with the UNGPs to 'identify, prevent and mitigate adverse human rights impacts of our operations'. The 'Communities and Social Performance Standard' (CSP standard) explains human rights requirements in the Company's business and managed operations, including human rights risk concerns in social risk analyses and impact assessments. The social risk analysis must be maintained at operations and the CSP plan must integrate with business planning processes and must have targets and performance indicators and be developed in collaboration across the business departments. It also must be reviewed and updated consistent with the business planning cycle. The Social risk analysis guidance note indicates that some issues will be seen and categorised as human rights risks because the very nature of the risk is our potential involvement in human rights and issues in other areas may have implications for human rights if expected or required outcomes are not secured. [Further CHRB Disclosure, 24/08/2018: business-humanrights.org & Sustainable development report, 2017: riotinto.com] • Met: Example of Actions decided: For issues related with communities and impacts on its territories and rights the Company carries out formal processes to reach formal agreements: 'Stable, life-of-mine access to land is fundamental to the success of our business. However, many of our operations are located on land that holds particular significance for local communities and land-connected peoples, including indigenous peoples. To manage these issues and to help with approvals and permits, we form community agreements. Agreements are the basis of many of our relationships'. 'Agreements typically include commitments on land use, cultural heritage, environment, employment and procurement'. It indicates that it has 40 comprehensive participation agreements and over 120 global exploration access agreements. One example is provided for the "Oyu Tolgoi" operation. [Sustainable development report, 2017: riotinto.com & Oyu Tolgoi website - cooperation agreement: ot.mn] • Met: Including amongst EX BRs: The Company has a due diligence process to identify and assess human rights risks in its supply chain. It describes how has specific measures for some operations: 'Some operations have initiated their own supplier risk assessment and mitigation processes alongside Group procedures': 'Rio Tinto Marine is implementing chartering and due diligence processes to respond to third party risks. These help to ensure that all vessels arriving at Rio Tinto ports can provide assurance that they are compliant with the Maritime Labour Convention'. Also, procurement team covering India, China and South-East Asia has instituted supplier self-assessment on issues including modern slavery: 'Suppliers are asked questions around several potential indicators of modern slavery, including use of prison labour, retention of identity documents and payment of recruitment fees'. This assessment occurs alongside with the standard due diligence procedures for suppliers. The procurement team requested training to be able to better identify modern slavery. [Slavery and human trafficking statement, 2017: riotinto.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Both requirements under score 1 met: See above. |

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
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| B.2.4 | Tracking: Monitoring and evaluating the effectiveness of actions to respond to human rights risks and impacts | 2 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> Met: System to check if Actions are effective: In the 'why human rights matter' guide the Company devotes a section to monitoring and evaluation of actions. It indicates that evaluation is essential in order to identify whether plans are achieving objectives, whether risk mitigation measures are effective and determine cause and provide basis for corrective actions if procedures and plans are ineffective. The Company does this through 'Speak-OUT, the Rio Tinto business solution (RTBS) Incident reporting system [...] technical Evaluation Group reviews and the monitoring undertaking through annual compliance reports and compliance audit forums'. Also, CSP site managed assessments have a diagnostic with a specific key performance area on human rights. 'The findings of each SMA [site managed assessments] are owned by the business unit concerned and the recommendations go to the CEO of that business. Aggregate results are shared throughout Rio Tinto to ensure all business and divisions are aware and learn from them'. The Company also discloses its management system documents which includes the specific rules for 'performance assessment and auditing' of the risk management system (including health, safety, environment and communities), and incident and action management procedure with the intent to ensure that all incidents and lessons learnt are recorded and corrective and preventive actions are identified and communicated. [Why human rights matter guide, 2013: riotinto.com & Rio Tinto management system standard, 04/2015: riotinto.com] Met: Lessons learnt from checking effectiveness: The Company describes the learnings from the implementation of the 'Know your supplier' procedure in how to best identify and act on modern slavery risks. Challenges included lack of publicly available information on suppliers' commercial backgrounds; Reluctance of suppliers to share relevant policies and processes (or lack of awareness of which information should be shared); and deciding which mitigation options may be the most effective in the operating context. The Company addressed these challenges through: targeted training for the Due Diligence team about the types of adverse findings, based on publicly available information that may suggest a risk of modern slavery; engagement with procurement staff to facilitate more effective discussions with suppliers about their approach to modern slavery and cross-functional coordination to discuss mitigation options. [Slavery and human trafficking statement, 2017: riotinto.com] <p>Score 2</p> <ul style="list-style-type: none"> Met: Both requirement under score 1 met: See above. |
| B.2.5 | Communicating : Accounting for how human rights impacts are addressed | 1.5 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> Met: Comms plan re identifying risks: The Company discloses in its public reports the process to identify human rights risks. Its guides also disclose the process by which affected stakeholders are included in the process and participate. More details can be found in B.2.1 [Slavery and human trafficking statement, 2017: riotinto.com & Why human rights matter guide, 2013: riotinto.com] Met: Comms plan re assessing risks: The Company indicates in 'why human rights matter' and in the 'modern slavery and human trafficking statement' how it assesses different risks that it faces in its operations and communicates in its public reports which are the risks that it faces both for own operations and business partners. [Why human rights matter guide, 2013: riotinto.com & Sustainable development report, 2017: riotinto.com] Met: Comms plan re action plans for risks: The Company discloses the process to engage and enter in formal agreements with communities in order to have a stable and mutually beneficial relationship in relation to community, indigenous and land issues, and discloses some examples of agreements. Also, it has disclosed how the 'Communities and social performance standard' establishes procedures to carry out impact assessments including social risk and human rights and integrates plans in the communities and social plans in the business planning process. [Further CHRB Disclosure, 24/08/2018: business-humanrights.org & Oyu Tolgoi website - cooperation agreement: ot.mn] Met: Comms plan re reviewing action plans: The Company reports having a system to reviewing action in 'why human rights matter' guide and its 'management system standard'. In addition, the 'slavery and human trafficking statement provides an example' of lessons learn and how it addressed challenges found in implementing a procedure to identify and act on modern slavery risks relating to new and existing suppliers. [Why human rights matter guide, 2013: riotinto.com & Slavery and human trafficking statement, 2017: riotinto.com] Met: Including EX BRs: In the 'slavery and human trafficking statement' the Company describes the due diligence process it follows with suppliers, including |

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
|----------------|----------------|------------------|--|
| | | | <p>how it implements the 'know your supplier' procedure (taking into consideration risk-based approach) to identify risks, the challenges it has faced while implementing it and how these are being addressed, the assessment of these risks, indicating which are the risks identified, like modern slavery, including alleged use of trafficked and illegal migrants, poor living conditions and delayed payment of wages. It also indicates in which parts of its value chain this is produced (construction, shipping, cleaning and catering and travel services), and how it faces these risks, including extra due diligence in China, India and South-East Asia alongside with the 'know your supplier procedure' and in Rio Tinto Marine (vessels arriving at Rio Tinto ports have to be compliant with the Maritime Labour Convention). The Company indicates that the know your supplier procedure and training provided around it in 2017 is showing results: 'Inquiries and decisions by the Third Party Due Diligence team and Procurement specialist have become more informed, particularly in relation to assessing, mitigating and managing risk relating to new suppliers'. [Slavery and human trafficking statement, 2017: riotinto.com]</p> <p>Score 2</p> <ul style="list-style-type: none"> • Not met: Responding to affected stakeholders concerns: Although the Company discloses a business partner response in relation to a report made by SOMO in relation to mining taxes in Oyu Tolgoi operation in Mongolia. [Turquoise Hill Resources response to SOMO report: somo.nl] • Met: Ensuring affected stakeholders can access communications: The 'why human rights matter' guide contains guidelines on this: 'Our reporting needs to be clear and easily accessible to local communities, our workforce and other interested stakeholders'. 'For human right issues and allegations at site-level, the focus should be on a local-level communication with stakeholders. Human rights performance can be reported through the 'social management and performance' section of our local, business unit and corporate sustainable development reports. It may also be appropriate to include it in newsletter or at community meetings. Reporting on human rights risk management as well as incidents and performance is important for transparent communication with our stakeholders and to build trust'. 'Where we are reporting on our performance at a specific project or site, efforts should be made to write documents in local languages and communicate them through various means to ensure all stakeholders have equal access to the information. For instance, plain language summaries or oral presentations can be used in communities where there is limited literacy'. Also, the 'approach to communities and social performance' standards establishes the framework for engagement and the priorities for effective performance with communities. [Why human rights matter guide, 2013: riotinto.com & Approach to communities and social performance: riotinto.com] |

C. Remedies and Grievance Mechanisms (15% of Total)

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
|----------------|--|------------------|--|
| C.1 | Grievance channel(s)/mechanism(s) to receive complaints or concerns from workers | 1.5 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Channel accessible to all workers: The Company states in the Annual report that 'Speak-OUT, the Group's confidential and independently operated whistleblowing programme, enables employees, suppliers, contractors and community members to report anonymously, subject to local law, any significant concerns about the business, or behaviour of individuals'. In addition to these, there are other ways for employees to report concerns (through their management and human resources). [Annual report, 2017: riotinto.com & Speak-Out on website: riotinto.com] <p>Score 2</p> <ul style="list-style-type: none"> • Not met: Number grievances filed, addressed or resolved: The Company indicates in the Annual report that 'in 2017, 712 incidents were reported'. 'Thirty-three per cent of cases raised this year were substantiated, resulting in corrective and preventive actions, representing an increase of seven points on 2016. These include business integrity issues in general, but also issues relating to safety violations, environmental procedures, human rights, financial reporting, harassment and bullying, and retaliation for reporting'. In addition, the sustainable development report provides the percentages of complaints related to some topics, and describes some cases related to communities (five significant community incidents were reported), but it is not clear the number of grievances about human right issues filed, addressed or resolved. [Annual report, 2017: riotinto.com & Sustainable development report, 2017: riotinto.com] |

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
|----------------|---|------------------|--|
| | | | <ul style="list-style-type: none"> • Met: Channel is available in all appropriate languages: The speak-out website indicates that the line is confidential 'confidential and independently operated multilingual whistleblowing service', It discloses on this website a document with all countries and languages available. Also, in the 'approach to communities and social performance' document, the Company states that it establishes a 'complaints, disputes and grievance process that local communities can understand and access easily, so as to resolve complaints and disputes proactively before they escalate into grievances'. [Approach to communities and social performance: riotinto.com & Speak-Out on website: riotinto.com] • Met: Opens own system to EX BP workers: The Company's system is 'available to employees, contractors, suppliers and customers of Rio Tinto'. |
| C.2 | Grievance channel(s)/mechanism(s) to receive complaints or concerns from external individuals and communities | 2 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Grievance mechanism for community: The Sustainable development report indicates, in the context of community relationships that 'All our sites must have a complaints, disputes and grievance mechanism that meets the UN Guiding Principles on Business and Human Rights criteria'. The 'speak-out line 'enables employees, suppliers, contractors, community members and anyone in the public to report anonymously, subject to local law, any concerns about the business, or behaviour of individuals'. Finally, the 'Approach to communities and social performance' document specifies that it establishes a 'complaints, disputes and grievance process that local communities can understand and access easily, so as to resolve complaints and disputes proactively before they can escalate into grievances'. [Sustainable development report, 2017: riotinto.com & Approach to communities and social performance: riotinto.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Describes accessibility and local languages: In addition to the requirements for the mechanism for communities mentioned above, the speak-out line is available on website. It indicates that the line is confidential 'confidential and independently operated multilingual whistleblowing service', and discloses a document with all countries and languages available in each country. [Approach to communities and social performance: riotinto.com & Speak-Out on website: riotinto.com] • Met: EX BP communities use global system: As indicated in the sustainable development report, the 'speak-out line 'enables employees, suppliers, contractors, community members and anyone in the public to report anonymously, subject to local law, any concerns about the business, or behaviour of individuals. This could include business integrity issues in general or issues relating to safety violations, environmental procedures, human rights, financial reporting, harassment and bullying, or retaliation for reporting'. [Sustainable development report, 2017: riotinto.com] |
| C.3 | Users are involved in the design and performance of the channel(s)/mechanism(s) | 1.5 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Engages users to create or assess system: In the 'why human rights matter' guide the Company indicates that 'Complaints, disputes and grievance processes provide data for management decision-making. The scope and scale of the process will vary according to the community context; nevertheless, they should all include consultation with stakeholder groups to ensure that it meets their needs and that they will use it in practice'. The 'why agreements matter' guide includes description of elements for complaints, disputes and grievance process and also how the agreement should include agreement-related complaints. [Why human rights matter guide, 2013: riotinto.com & Why agreements matter, 03/2016: riotinto.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Engages with users on system performance: In addition to the mentioned above, the guide indicates that consultation to stakeholders to ensure that channel meets their needs includes 'facilitating community participation in resolution process, where appropriate'. [Why human rights matter guide, 2013: riotinto.com] • Met: Provides user engagement example on performance: The Company discloses how in Richard Bay Minerals shares with the Community the Grievance Handling Protocol, a procedure that 'determines how each complaint is dealt with: how it is recorded, evaluated, investigated and auctioned, and how feedback is made to the community. Ultimately it offers an opportunity for the company and the community to work together to find solutions to community problems and resolve community grievances'. [RBM News, 10/2015: riotinto.com] • Not met: EX BPs in creation or assessment |

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
|----------------|--|------------------|--|
| C.4 | Procedures related to the mechanism(s)/channel(s) are publicly available and explained | 0.5 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Response timescales: In the 'why agreements matter' guide the Company discloses a chart indicating 'essential elements for an effective complaints, disputes and grievance process'. It includes a column with the 'typical level of business accountability and time for resolution', which can vary from 1-2 days if its an 'officer' level, to 6/12 months if it reaches the President. [Why agreements matter, 03/2016: riotinto.com] • Not met: How complainants will be informed <p>Score 2</p> <ul style="list-style-type: none"> • Not met: Escalation to senior/independent level: Although the Audit Committee is responsible for overseeing and reviewing the integrity and compliance programme including the Group's Speak-Out whistleblowing programme, and that in the context of community complaints it is not clear whether particular complaints can be escalated to the Committee to decide or participate, or to independent parties. In the context of community grievances, if disputes are not resolved at managerial level, it can be escalated to General Managers/VP level or independent experts, and if not, to the President and independent tribunal. [Annual report, 2017: riotinto.com & Further CHRB Disclosure, 24/08/2018: business-humanrights.org] |
| C.5 | Commitment to non-retaliation over complaints or concerns made | 1.5 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Public statement prohibiting retaliation: The way we work document states that 'any form of retaliation against a person using Speak-OUT in good faith will not be tolerated'. A similar statement is present also on the Speak-out website. As indicated in the sustainable development report, speak-OUT is available for 'employees, suppliers, contractors, community members and anyone in the public to report anonymously'. [The way we work, 2017: riotinto.com & Sustainable development report, 2017: riotinto.com] • Met: Practical measures to prevent retaliation: The Speak-OUT is a 'confidential and independently-operated whistleblowing programme'. Also, it allow to report anonymously. [Sustainable development report, 2017: riotinto.com & Speak-Out reporting: riotintospeakout.tnwreports.co.uk] <p>Score 2</p> <ul style="list-style-type: none"> • Not met: Has not retaliated in practice • Met: Expects EX BRs to prohibit retaliation: Although the Code for suppliers only requires policies and practices to allow workers report grievances without fear of retaliation, it does not cover external stakeholders. Anyone can, however, report through the Company's mechanisms. [Supplier code of conduct, 2016: riotinto.com & Sustainable development report, 2017: riotinto.com] |
| C.6 | Company involvement with State-based judicial and non-judicial grievance mechanisms | 0.5 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Won't impede state based mechanisms: The 'why human rights matter' guide states that 'The Company's internal processes should not undermine legal processes nor attempt to supplant criminal law, labour law or commercial matters'. 'A site-level process must not inhibit any individual or group's access to judicial recourse, nor put them at undue risk'. It also indicates that, 'in addition to project-level procedures, external non-judicial and/or customary processes are also available, such as national human rights commissions, national ombudsman offices and/or a council of elders (or similar) in indigenous communities'. [Why human rights matter guide, 2013: riotinto.com] • Not met: Complainants not asked to waive rights: The Company explains the requirements for the community complaints, disputes and grievance mechanisms must be, including to meet the intent of the UNGPs. However, no evidence found of the Company communicating that complainants that it does not require to waive their legal rights to bring a claim through a judicial process as a condition of participating in the grievance process. [Further CHRB Disclosure, 24/08/2018: business-humanrights.org] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Will work with state based or non judicial mechanisms: The 'why human rights matter' guide states that 'Rio Tinto is committed to a number of international conventions that provide for or require formal complaints, disputes and grievance processes [...] The Guidelines [OECD Guidelines] are supported by national contact points (NCPs) which provide a mediation and conciliation platform for resolving practical issues or 'specific instances' that may arise'. It also states that 'we should not impede or discourage stakeholders from accessing other judicial and non-judicial processes, if so they wish. If this occurs, the legal |

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
|----------------|---|------------------|--|
| | | | department or Rio Tinto Global External Affairs can work with the team concerned on a response'. [Why human rights matter guide, 2013: riotinto.com] • Not met: Example of issue resolved (if applicable) |
| C.7 | Remedying adverse impacts and incorporating lessons learned | 2 | The individual elements of the assessment are met or not as follows: Score 1 • Met: Describes how remedy has been provided: The Company states on its website 'In July 2015 it was alleged that the crew of a ship, chartered by Rio Tinto from a commercial operator, were underpaid and forced to live and work in poor conditions [...] Once the allegation was confirmed, we requested the ship's head owner address the incident with immediate and adequate remedy. Rio Tinto also provided funds to immediately improve the poor work conditions. Rio Tinto has taken a number of measures to mitigate the risk of future incidents. In addition to blacklisting the head owner and commercial operator, Rio Tinto Marine has reviewed its time chartering and due diligence processes leading to an improved approach to time charter vessels'. [Case study: Managing human rights risks in our maritime supply chain, 2015: riotinto.com] Score 2 • Met: Changes introduced to stop repetition: The Company indicates that 'responding to identified risks around payment of wages and working conditions on chartered ships, in 2016 Rio Tinto Marine (RTM) implemented initiatives to help ensure all vessels arriving at Rio Tinto ports provided a Maritime Labour Certificate and/or associated declaration of maritime labour compliance. [Slavery and human trafficking statement, 2016: riotinto.com & Case study: Managing human rights risks in our maritime supply chain, 2015: riotinto.com] • Met: Evaluation of the channel/mechanism: The Company indicates that 'we are aware of one incident in 2016 of failure to pay wages on a ship chartered by a subsidiary. When concerns were raised RTM immediately asked the ship owner and manager to resolve any wages and working conditions matters. RTM will continue to review its chartering and due diligence processes to further respond to third-party risks, including non-payment of wages'. [Slavery and human trafficking statement, 2016: riotinto.com] |

D. Performance: Company Human Rights Practices (20% of Total)

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
|----------------|--|------------------|--|
| D.3.1 | Living wage (in own extractive operations, which includes JVs) | 0 | The individual elements of the assessment are met or not as follows: Score 1 • Not met: Living wage target timeframe • Not met: Describes how living wage determined Score 2 • Not met: Pays living wages • Not met: Reviews living wages definition with unions |
| D.3.2 | Transparency and accountability (in own extractive operations, which includes JVs) | 2 | The individual elements of the assessment are met or not as follows: Score 1 • Met: Member of EITI: The Company states in the Sustainable Development report that 'Rio Tinto is a founding member of the EITI and has played an active role in this global standard since 2003'. We're transparent about the taxes and royalties we pay – publishing an annual Taxes paid report since 2010'. [Sustainable development report, 2017: riotinto.com] Score 2 • Met: Reports taxes and revenue by country: In its tax report the Company discloses a table with all tax payments. The table 'shows the total of all tax payments for each of the main countries where the Rio Tinto Group has revenue-generating operations or projects. The Group does not earn any significant amount of profit in countries not listed in this table. Within each country, total tax payments are reported by the national, regional or local government to which they are paid. The table includes 25 countries. [Taxes paid in 2017, 2017: riotinto.com] |

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
|----------------|---|------------------|---|
| D.3.3 | Freedom of association and collective bargaining (in own extractive operations, which includes JVs) | 1 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Not met: Commits not to interfere with union rights and collective bargaining and prohibits intimidation and retaliation: The Company indicates in 'The way we work' that 'we are committed to meeting local laws and international agreements about workforce labour. We recognise that people have the right to choose whether to belong to a union and to seek to bargain collectively'. The employment policy recognises everyone's right to choose whether or not they wish to be represented collectively. The Supplier code of conduct also requires commitment to respect the workers' rights to 'lawfully and peacefully form or join trade unions of their choosing and to bargain collectively'. However, no evidence found in public sources of a specific commitment to not interfere with this right and put in place measures to prohibit any form of retaliation (including own operations and joint ventures). [The way we work, 2017: riotinto.com & Employment policy: riotinto.com] • Met: Discloses % covered by collective bargaining: The Company indicates that in 2017 approximately 45% of Rio Tinto employees 'are covered by collective bargaining agreements'. [Sustainable development report, 2017: riotinto.com] <p>Score 2</p> <ul style="list-style-type: none"> • Not met: Both requirement under score 1 met |
| D.3.4 | Health and safety: Fatalities, lost days, injury rates (in own extractive operations, which includes JVs) | 2 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Injury Rate disclosures: The Company discloses ratios for the last five years on 'all injury frequency rate'. [Sustainable development report, 2017: riotinto.com] • Met: Fatalities disclosures: The Company discloses figures on fatalities for the last five years. [Sustainable development report, 2017: riotinto.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Set targets for H&S performance: The Company has the following H&S targets: 'a year-on-year improvement in the rate of new cases of occupational illness per 10,000 employees annually' and 'our goal is zero harm, including above all, the elimination of workplace fatalities. Performance against this goal is measured by the number of fatalities and a year-on-year improvement in our all injury frequency rate (AIFR) per 200,000 hours worked'. [Sustainable development report, 2017: riotinto.com] • Met: Met targets or explains why not: In relation to the occupational illness target, the Company states that in 2017 there was a '43 per cent decrease in the rate of new cases of occupational illness compared with 2016'. Regarding the fatalities and AIFR target, the Company states indicates that in 2017 there was 'one safety fatality and one healthy fatality at managed operations in 2017. AIFR of 0.42, representing a five per cent improvement from 2016. AIFR has improved 37 per cent over the last five years'. [Sustainable development report, 2017: riotinto.com] |
| D.3.5 | Indigenous peoples rights and free prior and informed consent (FPIC) (in own extractive operations, which includes JVs) | 2 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Process to identify indigenous rights holders: In the 'why agreements matter' guide the Company describes how to identify communities to engage with (including indigenous communities with customary land connections and historic connections) representative institutions. It indicates that identifying the primary parties requires an understanding of the local community and context, and that agreement-makers need to consider all people with land-use interests in the impact area and recognise the diverse socioeconomic and socio-political situations of these groups (In India for instance lower castes may not be recognised since they do not gave formalised legal land titles). [Why agreements matter, 03/2016: riotinto.com] |

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
|----------------|--|------------------|--|
| | | | <ul style="list-style-type: none"> • Met: How engages with communities in assessment: The Company indicates in the 'why agreements matter' document that it seeks broad-based community support based on principles that include 'community participation in social and environmental assessment'. The Company states that 'communities themselves are valuable sources of knowledge and strong community involvement in knowledge base studies are essential. Social and economic impact assessments and anthropological studies benefit from communities having significant input into design and the content'. 'Specific techniques can be used to tap into the wealth and diversity of community knowledge. These include a Participatory Rural Appraisal or Rapid Rural Appraisal, which can be used to collect and analyse data in close cooperation with local people'. Agreement-related activities across life cycle include 'environmental and social knowledge base and impact assessments'. The 'why cultural heritage matters' document indicates that 'we work hard to manage cultural heritage by engaging with relevant communities and stakeholders. This includes working with communities to identify, assess and manage places, objects and practices of cultural significance. Information on cultural heritage 'feed into our Social Impact Assessment'. [Why agreements matter, 03/2016: riotinto.com & Why cultural heritage matters: riotinto.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Commits to FPIC (or ICMM): The 'why human rights matter' guide states that 'Rio Tinto seeks to operate in a manner that is consistent with the UNDRIP. In particular, we strive to achieve the Free, Prior, and Informed Consent (FPIC) of affected Indigenous communities as defined in International Finance Corporation Performance Standard 7 (IFC PS 7) and its supporting guidance'. Also, the Company states in the Annual report that 'we have incorporated the requirements of the ten principles of the ICMM and the mandatory requirements set out in the ICMM position statements into our own policies, strategies and standards'. [Why human rights matter guide, 2013: riotinto.com & Annual report, 2017: riotinto.com] • Met: Gives recent example FPIC or dropping deal: The Company indicates in the Sustainable development report that 'Indigenous peoples are impacted by 20 Rio Tinto business units (excluding exploration and evaluation projects). Of these, 13 business units have reached agreements with affected Indigenous Peoples. As a number of business units have more than one agreement, there are a total of 30 Indigenous agreements in place'. In the 'why agreements matter' the Company discloses the case of Eagle mine in the United States, where the Company had disputes with local communities and tribes. Although the Company had the permits, it sold 100% of its interest in July 2013. [Sustainable development report, 2017: riotinto.com & Why agreements matter, 03/2016: riotinto.com] |
| D.3.6 | Land rights (in own extractive operations, which includes JVs) | 2 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Approach to identification of land tenure rights holders: The 'why agreements matter' guide states that 'Agreement-makers need to consider all people with land-use interests in the impact area, and recognise the diverse socioeconomic and socio-political situations of these different groups'. 'Identifying relevant parties for agreement-making is more than a social mapping exercise. It involves engaging with land-connected groups and their chosen representatives. These include: Indigenous peoples with customary land connections in the area, Indigenous peoples with historic connections to the area; [...] all land owners and claimants, especially those who are likely to be affected by activities; those whose land rights, interests and formal claims may be impacted'. It also mentions how some people might be excluded of the process (are more vulnerable). The guide provides an example on how it identified the relevant parties in the past. In the sustainable development report it states that 'we are currently monitoring the outcomes for the resettlement of communities at our Oyu Tolgoi operations and are nearing the completion of resettling community members at our Richard Bay Minerals operation'. [Why agreements matter, 03/2016: riotinto.com & Sustainable development report, 2017: riotinto.com] |

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
|----------------|---|------------------|---|
| | | | <p>Score 2</p> <ul style="list-style-type: none"> • Not met: How valuation and compensation works: The Sustainable development report states that ‘when resettlement is necessary, we work hard to ensure resettled people maintain their social harmony and have their standard of living and livelihood sustainably restored or improved over the long term. This is undertaken in accordance with the IFC’s Land Acquisition and Involuntary Resettlement Performance Standard and our CSP Standard. Also, in ‘why agreements matter’ guide the Company explains how obligations, compensation and benefits work. However, no details found in relation to how it plans to, or provides compensation, including its valuation methods, and how right holders are involved, for any new or on-going land resettlements. [Why agreements matter, 03/2016: riotinto.com & Sustainable development report, 2017: riotinto.com] • Met: Steps to meet IFC PS 5 in state deals: The Company states that it should consider itself responsible for the resettlement process, even when it is government-run. ‘Working alongside the relevant government authorities and highlighting Rio Tinto’s approach and expectations regarding resettlement outcomes is a particularly important when government capacity is limited and/or the national resettlement legislation lags behind International best practice (as captured within IFC PS 5). It has a resettlement and guidance note which includes description of key principles such as resettlement action plan, legibility, compensation framework, etc. [Further CHRB Disclosure, 24/08/2018: business-humanrights.org] |
| D.3.7 | Security (in own extractive operations, which includes JVs) | 0.5 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: How implements security (inc VPs or ICOC): The Sustainable Development report indicates that ‘we provide training for security personnel and conduct security and human rights analysis in support of our security arrangements. Our online VPSHR training is mandatory for all security personnel at high risk sites and elsewhere is strongly recommended’. In the human rights matters guide the Company indicates that ‘Global Security conducts security and human rights assistance visits in critical and high-risk locations to ensure our security measures respect human rights’. [Sustainable development report, 2017: riotinto.com & Why human rights matter guide, 2013: riotinto.com] • Met: Example of respecting HRs in security: The ‘why human rights matters’ guide states that ‘the Security Group selects preferred security providers with appropriate due diligence, such as background checks on management and personnel including past human rights performance. ‘New security contractors working with Rio Tinto are required to comply with a code of conduct for private security companies, which draws on the voluntary principles, on European and wider international best practice, and on the relevant UN Codes and principles’. The Company indicates that during the year ‘we conducted VPSHR and use-of-force training at five of our locations in South Africa, Madagascar, Namibia and Jamaica. As participant in the Voluntary Principles Initiative we also contributed to the design of a VPSHR training package for private security personnel and public security forces’. [Sustainable development report, 2017: riotinto.com & Why human rights matter guide, 2013: riotinto.com] • Not met: Ensures Business Partners follow security approach: The Human rights policy states that ‘we support and implement the Voluntary Principles on Security and Human Rights and ensure relevant employees and contractors are trained with these principles’. The ‘Way we work’ indicates that the Company works with security providers to avoid security arrangements that harm human rights. Both policies apply to business partners and the company expects to be respected by joint venture and non-controlled companies. However, it is not clear how it ensures these business partners implement an equivalent approach. [Human rights policy, 2015: riotinto.com & The way we work, 2017: riotinto.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Assesses and involves communities: The Communities and social performance (CSP) standard, in its human rights clauses states that business must ensure site security and CSP functions collaborate to implement the Voluntary Principles as they relate to local communities, relevant to local and operational context. Being security and use of force one of the risks, the social risk analysis should be explicit and cover community and stakeholders considerations. The group procedures to conduct security and human rights assessments includes interviews with key external stakeholders such as local government officials, local police and military commanders, local community leaders, NGOs and others. [Further CHRB Disclosure, 24/08/2018: business-humanrights.org] |

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
|----------------|---|------------------|--|
| | | | <ul style="list-style-type: none"> Not met: Working with local community: Although the Company discloses training in sustainable development reports, and provides evidence of procedures to include inputs from local community in relation to security, no evidence found of specific examples of working with community members to improve security or prevent or address tensions related to its operations (for the last three years). [Sustainable development report, 2017: riotinto.com & Further CHRB Disclosure, 24/08/2018: business-humanrights.org] |
| D.3.8 | Water and sanitation (in own extractive operations, which includes JVs) | 1 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> Met: Action to prevent water and sanitation risks: The Sustainable development report states that ‘our water resource programme focuses on site-specific risks and impacts, such as security of water supply and managing the quality of water returned to the environment. We balance operational needs with those of local communities, traditional owners, and ecological and regulatory requirements’. The Company discloses the example of Oyu Tolgoi in Mongolia ‘the mine is located in the South Gobi, an arid region that receives little rainfall. Local herders rely on shallow sources of groundwater from springs and wells for their animals. We needed a sustainable water supply that didn’t conflict with the local population’s needs’. The Company surveyed the area and uncovered an aquifer that holds 6.8 billion litres of non-drinkable saline water. ‘Oyu Tolgoi is allowed to use 20 per cent of this, sufficient for 40 years’. [Sustainable development report, 2017: riotinto.com & Water on website: riotinto.com] <p>Score 2</p> <ul style="list-style-type: none"> Not met: Water targets considering local factors: The Company has the following target in relation to water: ‘all managed operations with material water risk will have achieved their approved local water performance targets by 2018’. In the 2015 ‘sustainable development’ report the Company indicates that target for 2014 to 2018 ‘is that managed operations with material risk will achieve a tailored, locally relevant water target by 2018’. In the context of local water performance targets, the only evidence found relating to communities refers to changes in local targets may be considered when a substantial change in production, compliance, reputation community or environment circumstances occur that was not planned. However no clear was evidence found that specific targets take into consideration water use by local communities and other users in the vicinity. [Sustainable development report, 2017: riotinto.com & Sustainable development report, 2015: riotinto.com] Not met: Reports progress in meeting targets and shows trends in progress made: In relation to water target, the Company states that ‘77 per cent of managed operations are on track to meet their approved local water performance targets. Operations will continue to focus on material water risk and improving performance against their water targets during 2018’. However, as indicated above, it is not clear to what extent do these targets take into consideration water use by local communities and other users in the vicinity of its operations. [Sustainable development report, 2017: riotinto.com] |

E. Performance: Responses to Serious Allegations (20% of Total)

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
|----------------|--|------------------|---|
| E(1).0 | Serious allegation No 1 | | <ul style="list-style-type: none"> Area: Forced labour Headline: How a group of Mongolian herders took on a mining giant — and won Sources: Cronkite News, 09/08/2017 - devex.com BHRRC website: business-humanrights.org and cao-ombudsman.org Allegation: Mongolian herders have complained that the Oyu Tolgoi copper mine has limited their access to water and that they have been forced to relocate to inferior land. The mine project is led by Rio Tinto. According to herders, river diversions have caused wells and springs to dry up damaging the water supply. They also claim 11 herding families were pressured into signing unfair compensation agreements. <p>In May 2015, the herders won a landmark agreement that saw Oyu Tolgoi LLC and the Mongolian government, a co-owner of the mine, commit to improving the lives of the herders and their families, their animals and their environment. It was the culmination of four years of negotiations mediated by the World Bank’s Compliance Advisor Ombudsman which the company actively engaged in.</p> |
| E(1).1 | The Company has responded publicly to the allegation | 2 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> Met: Public response available |

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
|----------------|--|------------------|--|
| | | | Score 2 <ul style="list-style-type: none"> Met: Response goes into detail: The company's response which is posted on the BHRRC is detailed and answers the allegations put forward by the herders |
| E(1).2 | The Company has appropriate policies in place | 0.5 | The individual elements of the assessment are met or not as follows: Score 1 <ul style="list-style-type: none"> Met: Company policies address the general issues raised Not met: Policies apply to the type of business relationships involved Score 2 <ul style="list-style-type: none"> Not met: Policies address the specific rights in question: Company documents such as "The Way we Work" does not reference water rights. |
| E(1).3 | The Company has taken appropriate action | 1.5 | The individual elements of the assessment are met or not as follows: Score 1 <ul style="list-style-type: none"> Met: Engages with affected stakeholders: The mediation process, led by Office of the Compliance Advisor Ombudsman, which the company and the herders went through involved engagement with stakeholders. Met: Encourages linked business to engage affected stakeholders Met: Provides remedies to affected stakeholders Not met: Has improved systems and engaged affected stakeholders Score 2 <ul style="list-style-type: none"> Met: Remedies are satisfactory to the victims: in November 2017 an agreement between the company and the herders was reached following the CAO mediation process. The agreement includes compensation to affected stakeholders. Not met: Has improved systems and engaged affected stakeholders |
| E(2).0 | Serious allegation No 2 | | <ul style="list-style-type: none"> Area: Forced labour Headline: International Transport Federation has alleged that the crew of a ship chartered by the Company had their pay withheld, and were forced to live and work in poor conditions Sources: Australian Mining, 07/07/2015 - australianmining.com.au Northern Territory News, 22/07/2015 Allegation: In 2015 the International Transport Federation (ITF) investigated reports the crew of a ship chartered by Rio Tinto have been underpaid and forced to live and work in poor conditions. ITF inspectors board the AOM Milena, which was operating in Australian waters. ITF's national coordinator alleged that workers on the ship were paid very low wages, an estimated AUD 2 per hour, and had not received any pay since April 2015. The workers were reportedly paid as the ship sailed out of Gove on 22 July 2015. <p>According to press articles, the AOM Milena operates under the 'flag of convenience system' (FOC) which allows it to avoid stricter local laws and regulations. The ship is owned by a Japanese company, Hakuto Shipping, registered in Panama, operated out of Portugal by Augustea Ocean Bulk Maritime, and crewed solely by Filipino workers.</p> |
| E(2).1 | The Company has responded publicly to the allegation | 2 | The individual elements of the assessment are met or not as follows: Score 1 <ul style="list-style-type: none"> Met: Public response available Score 2 <ul style="list-style-type: none"> Met: Response goes into detail: Rio Tinto has responded specifically and in detail to the allegations. <p>In public response to the allegations, a spokesman for the Company said it was investigating: 'The wellbeing, terms and conditions of the people serving on vessels chartered to carry Rio Tinto cargo is of the utmost importance to us. We will do everything possible under our contract to ensure the crew receive their full entitlements.'</p> <p>According to the press, the Company's charter contracts include a provision that the vessel must be ITF approved and that the crews' employment terms and conditions are equivalent.</p> <p>Subsequently, a spokesman for the Company said that following negotiations: 'We have done everything possible under our contract to ensure the crew has now received its full entitlements from the operator and extra provisions have been provided at our expense...We will continue our policy of only chartering vessels that are ITF approved, or where the crew's employment terms and conditions are equivalent.'</p> <p>Keymax Maritime, the operator of the AOM Milena, reportedly told the ITF that there had been a mistake made with payment of the crew.</p> |

| Indicator Code | Indicator name | Score (out of 2) | Explanation |
|----------------|---|------------------|--|
| E(2).2 | The Company has appropriate policies in place | 2 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Company policies address the general issues raised • Met: Policies apply to the type of business relationships involved <p>Score 2</p> <ul style="list-style-type: none"> • Met: Policies address the specific rights in question: The Company has a forced labour policy for its supply chain. The Company has published its code of conduct ('the way we work') and Procurement Principles which apply to all suppliers and contractors. The principles state: 'We oppose and prohibit employment of forced, bonded labour or child labour.' Suppliers are required to maintain human rights policies and have a process in place to assure compliance. The Company states that 'prequalification checks, contractual arrangements and ongoing monitoring help us to ensure that suppliers follow these principles.' <p>Its September 2016 Rio Tinto Supplier Code of Conduct also states: 'We work with suppliers who uphold fundamental human rights including: Ensuring all work is freely chosen; without the use of forced or compulsory labour'.</p> |
| E(2).3 | The Company has taken appropriate action | 1.5 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Engages with affected stakeholders: The Company has indicated that it has entered into a dialogue with affected stakeholders right after it was informed of these allegations. • Met: Provides remedies to affected stakeholders: The Company indicated in its 2015 Sustainability report that: 'When Rio Tinto was made aware of the allegation, Rio Tinto Marine boarded immediately to investigate. Once the allegation was confirmed, we requested the ship's head owner address the incident with immediate and adequate remedy. Rio Tinto also provided funds to immediately improve the poor work conditions'. <p>It has not provided evidence that remedy(ies) that are satisfactory to the victims was provided.</p> <p>Score 2</p> <ul style="list-style-type: none"> • Met: Has reviewed management systems to prevent recurrence • Not met: Remedies are satisfactory to the victims • Met: Has improved systems and engaged affected stakeholders: Rio Tinto has made improvements to its management systems in order to prevent a recurrence of the breach. It has also blacklisted the head owner and commercial operator in question. The Company has also indicated that its investigation confirmed the allegations and that it pressed for the ship's head owner to address the incident. |

F. Transparency (10% of Total)

| Indicator Code | Indicator name | Score | Explanation |
|----------------|--|---------------|--|
| F.1 | Company willingness to publish information | 3.79 out of 4 | Out of a total of 38 indicators assessed under sections A-D of the benchmark, Rio Tinto made data public that met one or more elements of the methodology in 36 cases, leading to a disclosure score of 3.79 out of 4 points. |
| F.2 | Recognised Reporting Initiatives | 2 out of 2 | <p>The individual elements of the assessment are met or not as follows:</p> <p>Score 2</p> <ul style="list-style-type: none"> • Met: Company reports on GRI: The Sustainable Development report includes a GRI index [Sustainable development report, 2017: riotinto.com] |
| F.3 | Key, High Quality Disclosures | 1.6 out of 4 | <p>Rio Tinto met 4 of the 10 thresholds listed below and therefore gets 1.6 out of 4 points for the high quality disclosure indicator.</p> <p>Specificity and use of concrete examples</p> <ul style="list-style-type: none"> • Met: Score 2 for A.2.2 : Board discussions • Not met: Score 2 for B.1.6 : Monitoring and corrective actions • Not met: Score 2 for C.1 : Grievance channel(s)/mechanism(s) to receive complaints or concerns from workers • Not met: Score 2 for C.3 : Users are involved in the design and performance of the channel(s)/mechanism(s) <p>Discussing challenges openly</p> <ul style="list-style-type: none"> • Met: Score 2 for B.2.4 : Tracking: Monitoring and evaluating the effectiveness of actions to respond to human rights risks and impacts • Met: Score 2 for C.7 : Remedying adverse impacts and incorporating lessons learned <p>Demonstrating a forward focus</p> |

| Indicator Code | Indicator name | Score | Explanation |
|----------------|----------------|-------|---|
| | | | <ul style="list-style-type: none"> • Not met: Score 2 for A.2.3 : Incentives and performance management • Not met: Score 2 for B.1.2 : Incentives and performance management • Not met: Score 1 for D.3.1 : Living wage (in own extractive operations, which includes JVs) • Met: Score 2 for D.3.4 : Health and safety: Fatalities, lost days, injury rates (in own extractive operations, which includes JVs) |

Disclaimer

A score of zero for a particular indicator does not mean that bad practices are present. Rather it means that we have been unable to identify the required information in public documentation.

See the 2018 Key Findings report for more details of the research process.

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As CHRB Ltd, we want to emphasise that the results will always be a proxy for good human rights management, and not an absolute measure of performance. This is because there are no fundamental units of measurement for human rights. Human rights assessments are therefore necessarily more subjective than objective. The Benchmark also captures only a snap shot in time. We therefore want to encourage companies, investors, civil society and governments to look at the broad performance bands that companies are ranked within rather than their precise score because, as with all measurements, there is a reasonably wide margin of error possible in interpretation. We also want to encourage a greater analytical focus on how scores improve over time rather than upon how a company compares to other companies in the same industry today. The spirit of the exercise is to promote continual improvement via an open assessment process and a common understanding of the importance of the UN Guiding Principles on Business and Human Rights.