

UN Global Compact

Communication on Progress 2019

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Chief executive's statement of support for the UN Global Compact

We have participated in the UN Global Compact (UNGC) since its inception in 2000, and have been supporting and promoting its important work ever since. We value the UNGC's leadership in encouraging respect for human rights, transparency and private sector contribution to the United Nations Sustainable Development Goals (UN SDGs) and to climate action. We continue to examine our approach to the UN SDGs in line with our integrated sustainability strategy.

In 2018, we became the only major mining company to have a portfolio free of fossil fuel production. Today, our portfolio comprises commodities critical for the transition to a low-carbon economy. In 2019, we looked at our operations in detail to identify emission reduction opportunities. This comprehensive work informed our 2030 targets for our managed and non-managed operations: to reach net zero emissions by 2050, to reduce our emissions intensity by 30% and absolute emissions by 15% compared to our 2018 baseline (equity basis). This is underpinned by approximately \$1 billion spend over five years on climate-related projects, research and development, and activities to enhance the climate resilience of our business.

With the aim of enhancing trust, we also progressed our commitment to transparency in 2019, not only by disclosing our mineral contracts and beneficial ownership, but also by disclosing additional information about the construction, management and monitoring of our tailings storage facilities.

2020 was an extraordinary year – for our company, and the world at large – and one in which we saw the best of Rio Tinto, as well as areas in which we must, and will, improve. I am exceptionally proud of the way we responded to the global COVID-19 pandemic. However, our destruction of the 46,000-year old rockshelters at Juukan Gorge, in Western Australia, was a breach of our values. Alongside our Board, management team and employees, I have apologised to the Puutu Kunturrakujarrri and Pinikura (PKKP) people. We are determined to listen, learn and change, and to ensure that cultural heritage sites of exceptional significance are never again destroyed.

We are also working to strengthen other aspects of our work – from biodiversity to human rights, communities to water. This too, is a priority of mine; we plan to report on our progress regularly and transparently. We know we have more to do. And we remain committed to playing our part.

As Chief executive of Rio Tinto, I am pleased to confirm our continued participation and ongoing commitment to the Global Compact and its local networks across many countries.

Jakob Stausholm

Chief executive, Rio Tinto



UN Global Compact Communication on Progress 2019 and GC Advanced COP self-assessment

Below is our self-assessment on how we have met the GC Advanced Level criteria and links to our implementation of best practices, followed by our report on the Ten Principles. We consider a criterion is met when we communicated its implementation or planned implementation. We have referenced and included links to a number of publicly available documents that explain our work in more detail, including our 2019 Sustainable Development report.

The Ten Principles

The UN Global Compact asks companies to embrace, support and enact, within their sphere of influence, a set of core values in the areas of human rights, labour standards, the environment, and anti-corruption. The principles enjoy universal consensus and are derived from:

- The Universal Declaration of Human Rights
- The International Labour Organization's Declaration on Fundamental Principles and Rights at Work
- The Rio Declaration on Environment and Development
- The United Nations Convention Against Corruption

Human Rights

Principle 1: Businesses should support and respect the protection of internationally proclaimed human rights; and

Principle 2: Make sure that they are not complicit in human rights abuses.

Labour

Principle 3: Businesses should uphold the freedom of association and the effective recognition of the right to collective bargaining;

Principle 4: The elimination of all forms of forced and compulsory labour;

Principle 5: The effective abolition of child labour; and

Principle 6: The elimination of discrimination in respect of employment and occupation.

Environment

Principle 7: Businesses should support a precautionary approach to environmental challenges;

Principle 8: Undertake initiatives to promote greater environmental responsibility; and

Principle 9: Encourage the development and diffusion of environmentally friendly technologies.

Anti-Corruption

Principle 10: Businesses should work against corruption in all its forms, including extortion and bribery.

Implementing the Ten Principles into strategies & operations

Criterion 1: The COP describes mainstreaming into corporate functions and business units

Best practices	Our Implementation
Place responsibility for execution of sustainability strategy in relevant corporate functions (procurement, government affairs, human resources, legal etc) ensuring no function conflicts with company's sustainability commitments and objectives	'Sustainability Committee report' in Annual Report 2019 'Message from the chair of the Sustainability Committee' in Sustainable Development (SD) Report 2019 The way we work
Align strategies, goals and incentive structures of all business units and subsidiaries with corporate sustainability strategy	'Sustainability Committee report' in Annual Report 2019 Overview in SD Report 2018
Assign responsibility for corporate sustainability implementation to an individual or group within each business unit and subsidiary	'Sustainability Committee report' in Annual Report 2019 'Message from the chair of the Sustainability Committee' in Sustainable Development (SD) Report 2019 Rio Tinto Sustainability Committee Terms of Reference
Design corporate sustainability strategy to leverage synergies between and among issue areas and to deal adequately with trade-offs	'Sustainability Committee report' in Annual Report 2019
Ensure that different corporate functions coordinate closely to maximize performance and avoid unintended negative impacts	'Sustainability Committee report' in Annual Report 2019 Rio Tinto 2019 Sustainability Report

Criterion 2: The COP describes value chain implementation

Best practices	Our Implementation
Analyze each segment of the value chain carefully, both upstream and downstream, when mapping risks, opportunities and impacts	<u>‘Value chain’ in 2019 SD report</u> <u>Our 2019 statement on Modern Slavery</u> <u>Report on implementation of the Voluntary Principles on Security and Human Rights 2019</u>
Communicate policies and expectations to suppliers and other relevant business partners	<u>Supplier code of conduct</u> <u>‘Knowing our suppliers’ in 2019 Sustainability Report</u> <u>‘Human rights’ in 2019 Sustainability Report</u> <u>Report on implementation of the Voluntary Principles on Security and Human Rights 2019</u>
Implement monitoring and assurance mechanisms (e.g. audits/screenings) for compliance within the company’s sphere of influence	<u>‘Governance report’ in Annual Report 2019</u> <u>‘Value chain’ in 2019 Sustainability Report</u> <u>‘Human rights’ in 2019 Sustainability Report</u> <u>Report on implementation of the Voluntary Principles on Security and Human Rights 2019</u>
Undertake awareness-raising, training and other types of capacity building with suppliers and other business partners	<u>‘Human rights’ in 2019 Sustainability Report</u> <u>Report on implementation of the Voluntary Principles on Security and Human Rights 2019</u>

Robust human rights management policies & procedures

Criterion 3: The COP describes robust *commitments, strategies or policies* in the area of human rights

Best practices	Our implementation
Commitment to comply with all applicable laws and respect internationally recognized human rights, wherever the company operates (e.g., the Universal Declaration of Human Rights, UN Guiding Principles on Business and Human Rights) (BRE1 + ARE1)	<u>The way we work</u> <u>Human rights policy</u> <u>Why human rights matter</u> <u>Statement on the role of civil society organizations</u> <u>Employment policy</u>
Integrated or stand-alone statement of policy expressing commitment to respect and support human rights approved at the most senior level of the company (BRE 1 + BRE5 + ARE 1 + ARE 5)	<u>Human rights policy</u> Human rights policy <u>'Human rights' in 2019 Sustainability Report</u>
Statement of policy stipulating human rights expectations of personnel, business partners and other parties directly linked to operations, products or services (BRE 1)	<u>Supplier code of conduct</u> <u>Human rights policy</u> <u>'Human rights' in SD Report 2019</u> <u>Rio Tinto Procurement</u> <u>Report on implementation of the Voluntary Principles on Security and Human Rights 2019</u>
Statement of policy publicly available and communicated internally and externally to all personnel, business partners and other relevant parties (BRE 1 + BRE 5 + ARE 1 + ARE 5)	<u>The way we work</u> <u>Human rights policy</u> <u>Our approach to communities and social performance</u> <u>'Human rights' in 2019 Sustainability Report</u>

Criterion 4: The COP describes effective *management systems* to integrate the human rights principles

Best practices

Our implementation

Process to ensure that internationally recognized human rights are respected	‘Human rights’ in 2019 Sustainability Report Why human rights matter Why agreements matter ‘Respecting human rights: Our statement on modern slavery’ Report on implementation of the Voluntary Principles on Security and Human Rights 2019 Extra disclosures to Corporate Human Rights Benchmark detailing Communities Standard and relevant Communities Guidance Notes
On-going due diligence process that includes an assessment of actual and potential human rights impacts (BRE 2 + BRE 3 + ARE 2 + ARE 3)	‘Human rights’ in 2019 Sustainability Report ‘Respecting human rights: Our statement on modern slavery’ Why human rights matter Report on implementation of the Voluntary Principles on Security and Human Rights 2019
Internal awareness-raising and training on human rights for management and employees	‘Human rights’ in 2019 Sustainability Report Why human rights matter Report on implementation of the Voluntary Principles on Security and Human Rights 2019 ‘Respecting human rights: Our statement on modern slavery’
Operational-level grievance mechanisms for those potentially impacted by the company’s activities (BRE 4 + ARE 4)	‘Human rights’ in 2019 Sustainability Report Our approach to communities and social performance Why human rights matter Why gender matters Why cultural heritage matters ‘Respecting human rights: Our statement on modern slavery’ “Ethics & Integrity” in 2019 Sustainability Report

Allocation of responsibilities and accountability for 'Human rights' in 2019 Sustainability Report addressing human rights impacts

[Why human rights matter](#)

[Why gender matters](#)

[Why cultural heritage matters](#)

[Why agreements matter](#)

['Respecting human rights: Our statement on modern slavery'](#)

[Report on implementation of the Voluntary Principles on Security and Human Rights 2019](#)

Internal decision-making, budget and oversight for effective responses to human rights impacts

['Human rights' in 2019 Sustainability Report](#)

[Rio Tinto Sustainability Committee Terms of Reference](#)

['Respecting human rights: Our statement on modern slavery'](#)

[Why human rights matter](#)

[Why gender matters](#)

[Why cultural heritage matters](#)

[Report on implementation of the Voluntary Principles on Security and Human Rights 2019](#)

Processes to provide for or cooperate in the remediation of adverse human rights impacts that the company has caused or contributed to (BRE 3+ BRE 4 + ARE3 + ARE 4)

[Our approach to communities and social performance](#)

[Why human rights matter](#)

['Respecting human rights: Our statement on modern slavery'](#)

['Ethics & Integrity' in 2019 Sustainability Report](#)

Process and programs in place to support human rights through: core business; strategic philanthropic/social investment; public policy engagement/advocacy; partnerships and/or other forms of collective action (BRE 6 + ARE 6)

['Human rights' in 2019 Sustainability Report](#)

[Why human rights matter](#)

[Why gender matters](#)

[Why cultural heritage matters](#)

[Why agreements matter](#)

[Report on implementation of the Voluntary Principles on Security and Human Rights 2019](#)

['Respecting human rights: Our statement on modern slavery'](#)

Criterion 5: The COP describes effective *monitoring and evaluation mechanisms* of human rights integration

Best practices

Our implementation

System to monitor the effectiveness of human rights policies and implementation with quantitative and qualitative metrics, including in the supply chain (BRE3 + ARE3)	‘Human rights’ in 2019 Sustainability Report Why human rights matter ‘Respecting human rights: Our statement on modern slavery’
Monitoring drawn from internal and external feedback, including affected stakeholders	Why human rights matter Our approach to communities and social performance Why agreements matter ‘Respecting human rights: Our statement on modern slavery’
Leadership review of monitoring and improvement results	Why human rights matter ‘Respecting human rights: Our statement on modern slavery’
Process to deal with incidents the company has caused or contributed to for internal and external stakeholders (BRE 4 + ARE 4)	‘Human rights’ in 2019 Sustainability Report Our approach to communities and social performance Why human rights matter ‘Respecting human rights: Our statement on modern slavery’ ‘Ethics & Integrity’ in 2019 Sustainability Report
Grievance mechanisms that are legitimate, accessible, predictable, equitable, transparent, rights-compatible, a source of continuous learning, and based on engagement and dialogue (BRE4 + ARE4)	‘Human rights’ in 2019 Sustainability Report Why human rights matter Our approach to communities and social performance ‘Respecting human rights: Our statement on modern slavery’ ‘Ethics & Integrity’ in 2019 Sustainability Report

Outcomes of integration of the human rights principles

[‘Human rights’ in 2019 Sustainability Report](#)

[Why human rights matter](#)

[Why agreements matter](#)

[‘Respecting human rights: Our statement on modern slavery’](#)

[Report on implementation of the Voluntary Principles on Security and Human Rights 2019](#)

[Statement on the role of civil society organisations](#)

Robust labour management policies & procedures

Criterion 6: The COP describes robust *commitments, strategies or policies* in the area of labour

Best practices	Our implementation
Reference to principles of relevant international labour standards (ILO Conventions) and other normative international instruments in company policies	<u>The way we work</u> <u>Human rights policy</u> <u>Employment policy</u>
Reflection on the relevance of the labour principles for the company	<u>The way we work</u> <u>Employment policy</u> <u>Inclusion and diversity policy</u> <u>Human rights policy</u> <u>'Ethics & integrity' in the 2019 Sustainability Report</u> <u>'Respecting human rights: Our statement on modern slavery'</u>
Written company policy to obey national labour law, respect principles of the relevant international labour standards in company operations worldwide, and engage in dialogue with representative organization of the workers (international, sectoral, national).	<u>'Ethics & integrity' in the 2019 Sustainability Report</u> <u>The way we work</u> <u>Employment policy</u> <u>Inclusion and diversity policy</u> <u>Human rights policy</u>
Inclusion of reference to the principles contained in the relevant international labour standards in contracts with suppliers and other relevant business partners	<u>'Human rights' in SD Report 2019</u> <u>'Ethics & integrity' in the 2019 Sustainability Report</u> <u>Supplier code of conduct</u> <u>The way we work</u> <u>'Value Chain' in 2019 Sustainability Report</u>
Specific commitments and Human Resources policies, in line with national development priorities or decent work priorities in the country of operation	<u>Employment policy</u> <u>Inclusion and diversity policy</u> <u>'Ethics & Integrity' in the 2019 Sustainability Report</u>

Criterion 7: The COP describes effective *management systems* to integrate the labour principles

Best practices	Our implementation
Risk and impact assessments in the area of labour	‘Risk management’ in 2019 Annual Report ‘Respecting human rights: Our statement on modern slavery’
Allocation of responsibilities and accountability within the organization	Employment policy Inclusion & Diversity policy ‘Governance report’ in 2019 Annual Report
Internal awareness-raising and training on the labour principles for management and employees	‘Human rights’ in 2019 Sustainability Report ‘Respecting human rights: Our statement on modern slavery’
Active engagement with suppliers to address labour-related challenges	‘Human rights’ in 2019 Sustainability Report ‘Respecting human rights: Our statement on modern slavery’ ‘Value Chain’ in 2019 Sustainability Report
Grievance mechanisms, communication channels and other procedures (e.g., whistle-blower mechanisms) available for workers to report concerns, make suggestions or seek advice, designed and operated in agreement with the representative organization of workers	‘Human rights’ in 2019 Sustainability Report ‘Ethics & Integrity’ in 2019 Sustainability Report

Criterion 8: The COP describes effective monitoring and evaluation mechanisms of labour principles integration

Best practices

Our implementation

System to track and measure performance based on standardized performance metrics	'Ethics & Integrity' in 2019 Sustainability Report Employment policy Inclusion and diversity policy
Audits or other steps to monitor and improve the working conditions of companies in the supply chain, in line with principles of international labour standards	'Respecting human rights: Our statement on modern slavery' 'Value Chain' in 2019 Sustainability Report 'Human rights' in 2019 Sustainability Report
Process to positively engage with the suppliers to address the challenges (i.e., partnership approach instead of corrective approach) through schemes to improve workplace practices	'Value Chain' in 2019 Sustainability Report Why gender matters 'Respecting human rights: Our statement on modern slavery'
Outcomes of integration of the Labour principles	'Value Chain' in 2019 Sustainability Report 'Respecting human rights: Our statement on modern slavery' Why gender matters

Robust environmental management policies & procedures

Criterion 9: The COP describes robust *commitments, strategies or policies* in the area of environmental stewardship

Best practices	Our implementation
Reference to relevant international conventions and other international instruments (e.g. Rio Declaration on Environment and Development)	'2019 Sustainability Reporting Glossary' 'Sustainability' in 2019 Annual Report
Reflection on the relevance of environmental stewardship for the company	'2019 Sustainability Reporting Glossary' 'Sustainability' in 2019 Annual Report Rio Tinto Climate change report
Written company policy on environmental stewardship	Health, Safety, Environment and Communities policy
Inclusion of minimum environmental standards in contracts with suppliers and other relevant business partners	Supplier code of conduct Rio Tinto Climate change report
Specific commitments and goals for specified years	'2019 Sustainability Reporting Glossary' 'Sustainability' in 2019 Annual Report Rio Tinto Climate change report

Criterion 10: The COP describes effective *management systems* to integrate the environmental principles

Best practices	Our implementation
Environmental risk and impact assessments	‘Our Sustainability Approach’ in ‘2019 Sustainability Report ‘Sustainability’ in 2019 Annual Report Rio Tinto Climate change report
Assessments of lifecycle impact of products, ensuring environmentally sound management policies	‘Value Chain’ in 2019 Sustainability Report Rio Tinto Climate change report
Allocation of responsibilities and accountability within the organisation	‘Governance report’ in 2019 Annual Report Rio Tinto Climate change report
Internal awareness-raising and training on environmental stewardship for management and employees	‘Sustainability’ in 2019 Annual Report
Grievance mechanisms, communication channels and other procedures (e.g. whistleblower mechanisms) for reporting concerns or seeking advice regarding environmental impacts	‘Sustainability’ in 2019 Annual Report ‘Ethics & Integrity’ in 2019 Sustainability Report

Criterion 11: The COP describes effective *monitoring and evaluation mechanisms* for environmental stewardship

Best practices	Our implementation
System to track and measure performance based on standardized performance metrics	‘2019 Sustainability Reporting Glossary’ Rio Tinto Climate change report
Leadership review of monitoring and improvement results	‘Governance report’ in 2019 Annual Report Rio Tinto Climate change position statement
Process to deal with incidents	‘Sustainability’ in 2019 Annual Report Rio Tinto management system
Audits or other steps to monitor and improve the environmental performance of companies in the supply chain	‘Value chain’ in 2019 Sustainability Report
Outcomes of integration of the environmental principles	‘2019 Sustainability Reporting Glossary’ ‘Sustainability’ in 2019 Annual Report Rio Tinto Climate change report

Robust anti-corruption management policies & procedures

Criterion 12: The COP describes robust *commitments, strategies or policies* in the area of anti-corruption

Best practices	Our implementation
Publicly stated formal policy of zero-tolerance of corruption (D1)	‘Governance report’ in 2019 Annual Report The way we work Business integrity standard
Commitment to be in compliance with all relevant anti-corruption laws, including the implementation of procedures to know the law and monitor changes(B2)	The way we work Business integrity standard ‘Ethics & Integrity’ in 2019 Sustainability Report
Statement of support for international and regional legal frameworks, such as the UN Convention against Corruption (D2)	Business integrity standard ‘Ethics & Integrity’ in 2019 Sustainability Report
Detailed policies for high-risk areas of corruption (D4)	‘Ethics & Integrity’ in 2019 Annual Report ‘Ethics & Integrity’ in 2019 Sustainability Report
Policy on anti-corruption regarding business partners (D5)	The way we work Business integrity standard

Criterion 13: The COP describes effective *management systems* to integrate the anti-corruption principle

Best practices

Our implementation

Support by the organization's leadership for anti-corruption (B4)	'Ethics & Integrity' in 2019 Annual Report
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Carrying out risk assessment of potential areas of corruption	'Ethics & Integrity' in 2019 Annual Report
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Human Resources procedures supporting the anti-corruption commitment or policy, including communication to and training for all employees (B5 + D8)	'Ethics & Integrity' in 2019 Annual Report
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Internal checks and balances to ensure consistency with the anti-corruption commitment (B6)	'Ethics & Integrity' in 2019 Annual Report
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Actions taken to encourage business partners to implement anti-corruption commitments (D6)	Supplier code of conduct The way we work
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Management responsibility and accountability for implementation of the anti-corruption commitment or policy (D7)	'Governance report' in 2019 Annual Report
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Communications (whistleblowing) channels and follow-up mechanisms for reporting concerns or seeking advice (D9)	'Ethics & Integrity' in 2019 Annual Report 'Ethics & Integrity' in 2019 Sustainability Report
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Internal accounting and auditing procedures related to anticorruption	'Ethics & Integrity' in 2019 Annual Report
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Criterion 14: The COP describes effective *monitoring and evaluation mechanisms* for the integration of anti-corruption

Best practices	Our implementation
Leadership review of monitoring and improvement results (D12)	<u>'Governance report' in 2019 Annual Report</u> <u>'2019 Taxes Paid Report'</u>
Process to deal with incidents (D13)	<u>'Director's report' in 2019 Annual Report</u>
Public legal cases regarding corruption	<u>'Chairman's statement' in Annual Report</u> <u>'Director's report' in 2019 Annual Report</u>
Use of independent external assurance of anti-corruption programmes	<u>'Governance report' in 2019 Annual Report</u>
Outcomes of integration of the anti-corruption principle	<u>'Governance report' in 2019 Annual Report</u> <u>'2019 Taxes Paid Report'</u>

Taking action in support of broader UN goals and issues

Criterion 15: The COP describes core business contributions to *UN goals and issues*

Best practices	Our implementation
Align core business strategy with one or more relevant UN goals/issues	<u>The way we work</u> <u>Human Rights policy</u> <u>Health, Safety, Environment and Communities policy</u> <u>2019 Sustainability Report</u>
Develop relevant products and services or design business models that contribute to UN goals/issues	<u>‘Strategic report’ in 2019 Annual Report</u> <u>The way we work</u> <u>Our approach to communities and social performance</u> <u>Human Rights policy</u>
Adopt and modify operating procedures to maximize contribution to UN goals/issues	<u>The way we work</u> <u>Our approach to communities and social performance</u> <u>https://www.riotinto.com/sustainability/sustainability-reporting</u> <u>Statement on the role of civil society organisations</u>

Criterion 16: The COP describes strategic social investments and philanthropy

Best practices	Our implementation
Pursue social investments and philanthropic contributions that tie in with the core competencies or operating context of the company as an integrated part of its sustainability strategy	‘Communities’ in 2019 Sustainability Report
‘Coordinate efforts with other organizations and initiatives to amplify and not negate or unnecessarily duplicate the efforts of other contributors	‘Human rights’ in SD Report 2019 ‘Our stakeholders’ in 2019 Sustainability Report Appendix
Take responsibility for the intentional and unintentional effects of funding and have due regard for local customs, traditions, religions, and priorities of pertinent individuals and groups	‘Communities’ in 2019 Sustainability Report

Criterion 17: The COP describes advocacy and public policy engagement

Best practices	Our implementation
Publicly advocate the importance of action in relation to one or more UN goals/issues	‘Sustainability’ in 2019 Annual Report ‘Human Rights’ in 2019 Sustainability Report The way we work Human Rights policy Report on implementation of the Voluntary Principles on Security and Human Rights 2019 ‘Respecting human rights: Our statement on modern slavery’ Joint letter to Australian Government on Modern Slavery Act ‘Industry association disclosure’ in 2019 Sustainability Report ‘Industry associations & Climate change’ in 2019 Sustainability Report

Commit company leaders to participate in key summits, conferences, and other important public policy interactions in relation to one or more UN goals/issues

Rio Tinto participated in a number of key events in 2019 including: the [2019 BSR Conference](#); [2019 LME Week](#); [Mining Indaba 2019](#). Rio Tinto is also a lead to the UN Climate Action Summit.

['Presentations & Webcasts'](#)

Criterion 18: The COP describes partnerships and collective action

Best practices

Our implementation

Develop and implement partnership projects with public or private organizations (UN entities, government, NGOs, or other groups) on core business, social investments and/or advocacy

['Communities' in 2019 Sustainability Report](#)
['Our Stakeholders' in 2019 Sustainability Report Appendix](#)
['Our Sustainability Approach' in 2019 Sustainability Report](#)
['Human rights' in SD Report 2019](#)
['Governance report' in 2019 Annual Report](#)
['Value Chain' in 2019 Sustainability Report](#)
['Respecting human rights: Our statement on modern slavery'](#)

Join industry peers, UN entities and/or other stakeholders in initiatives contributing to solving common challenges and dilemmas at the global and/or local levels with an emphasis on initiatives extending the company's positive impact on its value chain

['Communities' in 2019 Sustainability Report](#)
['Our Stakeholders' in 2019 Sustainability Report Appendix](#)
['Our Sustainability Approach' in 2019 Sustainability Report](#)
['Human rights' in SD Report 2019](#)
['Governance report' in 2019 Annual Report](#)
['Value Chain' in 2019 Sustainability Report](#)
['Respecting human rights: Our statement on modern slavery'](#)

Corporate sustainability governance and leadership

Criterion 19: The COP describes CEO commitment and leadership

Best practices	Our implementation
CEO publicly delivers explicit statements and demonstrates personal leadership on sustainability and commitment to the UN Global Compact	‘Chief executive’s statement’ in 2019 Annual Report
CEO promotes initiatives to enhance sustainability of the company’s sector and leads development of industry standards	‘Chief executive’s statement’ in 2019 Annual Report ‘Respecting human rights: Our statement on modern slavery’
CEO leads executive management team in development of corporate sustainability strategy, defining goals and overseeing implementation	‘Chief executive’s statement’ in 2019 Annual Report ‘Our Approach’ in 2019 Sustainability Report
Make sustainability criteria and UN Global Compact principles part of goals and incentive schemes for CEO and executive management team	‘Chief executive’s statement’ in 2019 Annual Report

Criterion 20: The COP describes Board adoption and oversight

Best practices	Our implementation
Board of Directors (or equivalent) assumes responsibility and oversight for long-term corporate sustainability strategy and performance	‘Governance report’ in 2019 Annual Report
Board establishes, where permissible, a committee or assigns an individual board member with responsibility for corporate sustainability.	‘Governance report’ in 2019 Annual Report ‘Sustainability Committee report’ in 2019 Annual Report Rio Tinto Sustainability Committee Terms of Reference
Board (or committee), where permissible, approves formal reporting on corporate sustainability (Communication on Progress)	‘Governance report’ in 2019 Annual Report ‘Respecting human rights: Our statement on modern slavery’

Criterion 21: The COP describes stakeholder engagement

Best practices	Our implementation
Publicly recognize responsibility for the company's impacts on internal and external stakeholders	Human Rights Policy Role of Civil Society Organisations
Define sustainability strategies, goals and policies in consultation with key stakeholders	'Our Stakeholders' in 2019 Sustainability Report - Appendix 'Communities' in 2019 Sustainability Report Why human rights matter 'Human rights' in SD Report 2019
Consult stakeholders in dealing with implementation dilemmas and challenges and invite them to take active part in reviewing performance	'Our Stakeholders' in 2019 Sustainability Report - Appendix 'Communities' in 2019 Sustainability Report Our approach to communities and social performance Why human rights matter Statement on the role of civil society organisations
Establish channels to engage with employees and other stakeholders to hear their ideas and address their concerns, and protect 'whistle-blowers'	'Our Stakeholders' in 2019 Sustainability Report - Appendix 'Human rights' in SD Report 2019 'People' in 2019 Sustainability Report 'Governance report' in 2019 Annual Report Our approach to communities and social performance Why human rights matter Why agreements matter Statement on the role of civil society organisations Speak Up Procedure