Report into Workplace Culture at Rio Tinto

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The Project in Context

Rio Tinto is one of the largest and most successful mining companies in the world, with a significant global profile that reaches well beyond the resources sector. Employing approximately 45,450 personnel, Rio Tinto's people work across 60 operations in 35 countries, often in high pressure environments requiring an emphasis on physical safety. With workplace dynamics shifting across the globe, however - and with recent decisions by the company in the Australian context drawing criticism - Rio Tinto recognised that its responsibilities as a major employer and corporate citizen require an equal emphasis on psychological safety and a workplace culture which aligns with its institutional values.

Accordingly, Rio Tinto engaged Elizabeth Broderick & Co (EB & Co) to conduct an external expert review (the Project) of workplace culture. Conducted as part of the Everyday Respect Taskforce (ERT) already in operation across the company, the Project's purpose was to identify workplace challenges such as bullying, sexual harassment, racism and other forms of discrimination; and to make recommendations which could strengthen Rio Tinto's workplace culture and ensure sustained cultural change.

This report captures the cultural challenges that Rio Tinto recognised may exist across the organisation, bringing transparency to those areas requiring attention. It then proposes a Framework for Action which can help to address these challenges – reflecting the courage of Rio Tinto in making the choice for change and ensuring that it becomes an organisation where all employees are safe and can thrive.

Project Methodology

Rio Tinto's workforce is largely male dominated, with approximately 79% men. In recent times, however, it has strengthened efforts to increase representation of diverse groups across the company. EB & Co sought to capture the multiple and varied experiences of as many employees as possible through a robust methodology involving the collection of both qualitative and quantitative data. This was to identify not only the current cultural challenges, but the drivers which shape them. The data collected across the Project comprised:

- A specific global online Everyday Respect employee survey ('the survey'), available in **10 languages**, completed by **10,303 people** producing a statistically powerful sample size

- **109 group listening sessions** in **7 languages** from nearly **20 different locations** around the globe, supported by appropriate cultural facilitation

- **85 confidential 1:1 listening sessions**

- **138 written submissions** from individual employees, written in any language

- a review of academic literature

- a review of Rio Tinto documents, including the company's annual People Engagement Survey

- product and functional group leadership team briefings and meetings

Participation was voluntary and confidential, with the findings providing compelling insight into people's perceptions and experiences while working at Rio Tinto. The Project did not extend to investigating or making findings about any individual incident or allegation, nor about individual employees. Any employee who disclosed an experience of harmful behaviour and was seeking an investigation was provided with appropriate referrals.

Any reference to Indigenous and First Nations people in this report includes Indigenous and First Nations people from Australia, Canada, and New Zealand. When the report refers specifically to Indigenous and First Nations people in the Australian context, they are referred to as Aboriginal and Torres Strait Islander people.

The Case for Change

The findings emerging from the Project support Rio Tinto's decision to prioritise cultural change across the organisation. These findings include that:

▶ A strong and commendable appetite for cultural change exists across the organisation, including at senior leadership levels and high rates of confidence among employees that Rio Tinto will make a meaningful difference in relation to harmful behaviours over the next two years.

▶ A visible shift has occurred in recent times towards a healthier culture.

▶ Investment in adaptive leadership development for senior leaders provides a strong foundation for accelerated cultural change.

Rio Tinto's commitment to change is already evidenced by the establishment of the ERT and the associated engagement of EB & Co to conduct this Project; the redesign of Rio Tinto's purpose and values to encompass, "Care, Courage and Curiosity"; and the Voyager Leadership Development Program, the change partners training and the Mindset & Behaviour Coach network. These programs work with leaders to increase self-awareness, to have a clear focus on empowering frontline employees and therefore to enhance cultural impact. Acknowledging and modifying mindsets and behaviours both at the frontline and in Rio Tinto's leadership is also at the very core of the Safe Production System.

These initiatives have already sparked crucial conversations. Employees who spoke to EB & Co acknowledged the change that was already apparent, as well as the commitment to a safe and respectful culture which had been signalled by the way in which senior leadership had prioritised listening to their lived experiences. Many suggested, however, that the pace of change varied across the company and was often dependent upon the commitment of their worksite or management.

Reflecting this, EB & Co heard about significant challenges across Rio Tinto's workplace culture, including that:

▶ Bullying is systemic, experienced by almost half of the survey respondents.

▶ Sexual harassment and everyday sexism occur at unacceptable rates.

▶ Racism is common across a number of areas.

▶ Employees do not believe that the organisation is psychologically safe which impacts on their trust in the reporting systems.

▶ Harmful behaviour occurs by and between employees, managers, and leaders, including senior leaders.

▶ Unique workplace features, such as the hierarchical, male dominated culture, create risk factors.

▶ A capability gap in leading and managing people exists across many levels of the organisation particularly on the frontline.

▶ People, policies and systems are not properly embedded or "lived" across the organisation.

▶ Harmful behaviour is often tolerated or normalised.

▶ Harmful behaviour by serial perpetrators is often an open secret.

▶ Employees believe that there is little accountability, particularly for senior leaders and so called "high performers", who are perceived to avoid significant consequences for harmful behaviour.

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The Importance of Caring, Courageous and Curious Leadership

These findings highlight, the importance of caring, courageous and curious leadership – values which Rio Tinto has identified as priorities across the organisation. Leaders must model these values in a way which drives genuine reform. As one Rio Tinto employee commented,

> *Leaders need to be the shining examples of everyday respect.*

Leaders in middle management have the most day-to-day interaction with employees, but EB & Co found that not all in these positions are modelling these values, creating a disjuncture between organisational messaging and the lived experience for employees. It is therefore crucial for middle management to commit to their role in creating an inclusive workplace.

The Project found very encouraging levels of confidence among employees that Rio Tinto will make a meaningful difference in relation to bullying, sexual harassment and racism over the next two years. Approximately 1 in 2 people are 'extremely confident' or 'very confident' a meaningful difference will be made in relation to sexual harassment and racism, and over 1 in 3 are 'extremely confident' or 'very confident' a meaningful difference will be made in relation to bullying. This paints an optimistic picture, suggesting Rio Tinto employees will support and respond to courageous leadership in these areas.

Harmful Behaviour and Reporting

EB & Co's brief was to identify the extent of inappropriate and harmful behaviours across Rio Tinto, including bullying, sexual harassment, racism and other forms of discrimination, as well as the extent to which the issues were reported.

◆ *Bullying*

As identified above, the Project found that bullying was systemic across Rio Tinto worksites. Employees described expectations that they should 'toughen up' for 'life in a global miner' – and the Project's survey results indicated an overall prevalence rate for bullying experiences of 48.4%, with women more likely to experience bullying (53%, compared with 47% of men).

Respondents in Iron Ore (52%), Commercial (50%) and Aluminium (49%) reported the highest levels of bullying, with women working on Fly In, Fly Out/Drive in, Drive Out (FIFO/DIDO) (56%) or residential operating assets (58%) more likely to experience bullying than their male colleagues (45% and 51% at FIFO/DIDO and residential sites respectively).

In terms of location, employees in Australia (52%) and South Africa (56%) were the most likely to experience this damaging pattern of behaviour. Among all subgroupings analysed, however, the highest rates of bullying were reported by a small group of respondents who preferred not to disclose other specific demographic information – perhaps indicating the potential for bullying to occur in smaller, and therefore identifiable locations.

Supporting the survey findings, reflections from Rio Tinto employees were that, in many workplace settings, bullying is normalised. EB & Co heard about the nature and impact of bullying behaviours, including the distress and trauma which results. Participants spoke of lost confidence, decline in performance, anxiety, panic attacks and depression, and of taking leave because of these impacts. Employees also spoke about the detrimental impacts of reporting and the fact that bullies often appeared to progress at Rio Tinto, rather than experience consequences for their behaviour.

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◆ *Experiences for women – everyday sexism, sexual harassment and sexual assault*

Just as bullying is counter to a workplace safety culture, so is the experience of many women who spoke to EB & Co as part of this project. While some women spoke of a positive and inclusive culture, the majority described experiences of everyday sexism which took a toll on their self-esteem, personal relationships and general health, as well as on their capacity to progress in the organisation. Women spoke of colleagues and managers commenting on their appearance; expressing overtly gendered assumptions about their ability; and that women were only present in the organisation as a result of positive discrimination.

Women also spoke of fears about letting management know that they were pregnant; of obstacles in obtaining flexible work arrangements; of being denied gender specific facilities such as bathrooms; of being left out of decisions and overlooked for progression; and of being asked to take notes, get coffee, or even do a colleague's washing. One simply said that she

> *would not recommend Rio Tinto as a place to work for female friends or colleagues.*

Damaging in its own right, everyday sexism also creates fertile ground for more serious misconduct, such as sexual harassment and sexual assault. EB & Co found that sexual harassment was a significant organisational challenge, with survey respondents indicating an overall prevalence of 11.2%, and women significantly more likely to experience sexual harassment (28%, compared with 7% of males). Women in younger age groups (34 years and younger) experience a significantly higher incidence of sexual harassment than women 35 years and older. For example, 34.4% of women under 25 and 38.7% of women 25-34 years-old experienced sexual harassment in the last 5 years. Overall, respondents in Iron Ore (14%), Strategy, Sustainability & Development (14%), and Copper (13%) reported the highest levels of sexual harassment and employees working in Australia were more likely to have experienced sexual harassment (12.9%). Women on FIFO/DIDO (43%) and residential (31%) worksites experienced

higher rates of sexual harassment, with high rates also experienced by a small group of women who preferred not to disclose other specific demographic information. Twenty-one women reported experiencing actual or attempted rape or sexual assault in the last five years.

Women who spoke to EB & Co described some of their colleagues or managers making sexual advances and/or sexually explicit comments to them. Women at FIFO worksites spoke of eating alone in their room to avoid harassment in the dining hall and the gym; of avoiding being out after dark; of bad lighting and poor security; and of harassing and even threatening behaviour from male colleagues when they were walking to their accommodation after work.

Women also spoke of the lack of consequences when they reported these incidents; and of having to carry the burden of managing the situation themselves, rather than receiving support from management or human resources. While it is important to acknowledge the initiatives of Rio Tinto in this area - including a substantial review of relevant policies and a prioritisation of sexual harassment under the ERT - this area continues to require strong and immediate intervention, including a robust prevention and response approach.

◆ *Racism*

Like the pervasive impacts of everyday sexism, racism emerged as a significant challenge for employees across many Rio Tinto locations. Recognising that a number of employees from diverse backgrounds stated that they had neither experienced nor witnessed racism in their workplace, many others spoke of negative and persistent experiences.

Employees spoke of the frequency of racism and its impacts on their confidence, self-esteem and work performance. There was a strong view that, in some parts of Rio Tinto, racism is 'normalised', with one employee stating, 'I have copped racism in every single corner of this company.' Racism was described by employees across a wide range of Rio Tinto worksites, including intersectional experiences of racism and sexism which made it particularly hard for women from Asian, Black North American, African, Aboriginal and Torres Strait Islander, Indigenous and First Nations backgrounds to progress.

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Responses from the Project survey support these qualitative insights. Although survey data indicates that 11.7% of Rio Tinto employees overall experienced racism in the last 5 years, this rate is significantly higher among specific populations. Employees working in a country different to that of their birth experience much higher rates of racism than their colleagues working in the country of their birth.

Male and female employees in South Africa experienced the highest rates of racism (34.5% and 33.8% respectively). Among Australian employees, 39.8% of men who identify as Aboriginal and Torres Strait Islander experienced racism in the last 5 years, compared with just 12.4% of men who don't identify as Aboriginal and Torres Strait Islander. As one employee commented, 'Rio is a Caucasian oriented company'. As with bullying and sexual harassment, however, some of the highest rates of racism across all sub-groupings were experienced by a small group of men and women who preferred not to disclose other specific demographic information.

Across different product groups, the highest rates of racism were experienced by male employees in Legal/External Affairs (17.2%), Iron Ore (14.4%), and Strategy/Sustainability/Development (12.1%), and by men and women working in Minerals (13.1% and 15.4% respectively). Men and women working on FIFO/DIDO worksites experienced relatively higher rates of racism (13.1% and 12.4% respectively).

◆ Experiences of LGBTIQ+ employees

In addition to the concerning prevalence of bullying, sexual harassment and racism more broadly, the Project survey revealed that LGBTIQ+ employees at Rio Tinto experience significantly elevated rates of bullying, sexual harassment and racism compared with those who do not identify as LGBTIQ+. Notably, those employees who 'prefer not to say' if they identify as LGBTIQ+ also experience significantly elevated rates of these behaviours. Comments from employees indicated that they did not feel safe to come out to their colleagues, or were excluded and often targeted where this had occurred.

Overall, their comments suggest that the same hyper-masculine norms and culture that can fuel everyday sexism and sexual harassment can also fuel heterosexism, making the inclusion and safety of employees who identify as LGBTIQ+ a priority in any cultural reform.

◆ Reporting

Rio's best practice approach to workplace health and safety recognises that workplaces cannot be free from injury or critical incidents if employees do not feel confident to report unsafe practices or risks. Cultural reform which values psychological safety must similarly ensure that employees can feel confident in reporting behaviour which creates risks to, or injures, their psychosocial health. Employees must also feel confident that their concerns will be treated seriously and that they will receive support.

The Project revealed that this confidence is not common amongst Rio Tinto employees for complex and sensitive interpersonal issues such as sexual harassment, racism and bullying. Across survey respondents, very few reported those incidents through formal internal reporting channels although some raised these issues through informal channels. Among those who reported their experience of bullying, only 6.9% of men and 7.9% of women made a formal complaint through Talk to Peggy and myVoice; while just 1.9% of men and 4.7% of women reporting their experience of sexual harassment and 7.3% of men and 4.1% of women reporting their experience of racism used those channels. Reasons for not reporting included that employees did not feel confident their concerns would be taken seriously; they would experience repercussions; and, in some cases, that they were not aware of the appropriate reporting mechanism.

Similarly, employees participating in the listening sessions described a 'culture of silence' and negative impacts from reporting; of a lack of confidentiality; and of the subject of complaints being protected and even rewarded. Women spoke about the ramifications of reporting sexual harassment, while Aboriginal and Torres Strait Islander, First Nations and Indigenous employees highlighted a lack of cultural safety in reporting mechanisms.

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Framework for Action

EB & Co commends the moves towards cultural change that have occurred at Rio Tinto over the last 12 months, with the establishment of the ERT driving a significant change agenda and the engagement of EB & Co supporting a deep dive into organisational culture. While Rio Tinto has begun a reform journey, however, stories from hundreds of people across the organisation indicate that it is only at an early stage along this path. Though confronting, these findings are not exclusive to Rio Tinto, nor reason for reduced confidence in the organisation. Rather, the findings provide a foundation for a stronger organisation in which all employees feel safe and able to thrive. Accordingly, the Framework for Action contained within this report sets out a number of recommendations that focus on the following five key areas.

◆ *Caring, courageous and curious leadership*

EB & Co's findings highlight the significant positive influence of Rio Tinto leaders who model safe and respectful cultures but, equally, show that leadership capability needs strengthening, particularly regarding effective people management skills. The findings indicate that leaders at middle management levels are key to ensuring that the organisation lives its values. Just as crucial is that Rio Tinto's senior leadership owns, champions and implements the recommendations emanating from this Project in visible ways.

Just as vitally, the Framework recommends that for all recruitment and promotion processes successful candidates should demonstrate strong people management ability as well as subject matter expertise required for the role.

◆ *Creating a positive onus to prevent harmful behaviour*

The Project findings signalled that Rio Tinto should adopt a greater focus on the prevention of harmful behaviour. With bullying, sexual harassment, racism and other forms of discrimination at concerning levels, the organisation should ensure that it embeds a positive onus on all employees to prevent harmful behaviours.

The Framework recommends that Rio Tinto develop an everyday respect global policy and principles based on best practice, aligned with Rio Tinto's values and code of conduct. This should be easily accessible to all employees and include an employee guidebook contextualised to local requirements and assistance.

To raise awareness across the organisation about the nature and impact of harmful behaviours and about appropriate prevention strategies and responses, Rio Tinto should provide global specialist training and education programs which include a strong focus on the role of the active bystander/upstander.

Rio Tinto places considerable and critical importance on safety and risk minimisation. It is considered that this should extend to the prevention of harmful behaviours. In this regard, it is recommended that Rio Tinto's risk assessment, management and controls processes be utilised to capture hazards and risks associated with harmful behaviour as safety risks, including risks to psychological safety.

◆ *Caring and human-centred response to disrespect and harmful behaviour*

While prevention is key, comprehensive and effective responses are just as crucial to ensuring that employees feel heard and supported and, equally, to preventing harmful behaviour from occurring again.

For this reason, the Framework recommends the establishment of an independent, confidential and accessible discrete unit unit which can accept and respond appropriately to reports of harmful behaviour across the company; support leaders, managers and human resources personnel in providing advice and triage for employees experiencing harmful behaviour; and offer early intervention strategies and guidance. Significantly the discrete unit will adopt a trauma-informed approach to support people reporting harmful behaviours.

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The discrete unit should enable employees to make confidential disclosures and reports without having to proceed to an investigation; enable employees to elect to have their matter investigated at a later date; offer end-to-end support and case management; and be managed by trauma-informed specialists with expertise in responding to bullying, sexual harassment, racism, discrimination and more complex interpersonal trauma. Relevant features should also be co-designed with Indigenous and First Nations employees.

The discrete unit should have the ability to capture data from all types of advice or early intervention options into a central data-store. This will enable the analysis of all harmful behaviour reports from across the organisation and the identification of and action in relation to trends and gaps from de-identified data.

A key purpose of the discrete unit is to encourage reporting at a greater rate than currently exists. An initial rise in reports will be a measure of success, and not necessarily an indication of a rise in incidents.

◆ *Ensuring appropriate facilities for all as a precursor to dignity and safety at work*

Highlighted across the Project's findings, the settings in which may many Rio Tinto employees work contribute to and exacerbate their experiences of harmful behaviour. EB & Co heard about a lack of privacy, lighting and security, and about women's fear of safety in the gyms, wet mess and when being out of their room after work hours. Many women at sites also spoke about poor and limited hygiene facilities - an issue that they stated had been ongoing. The Framework recommends that Rio Tinto ensures that all sites have appropriate facilities to increase safety and inclusion for all employees, with leaders trained to identify, prevent and report harmful behaviour.

Camp Councils made up of diverse members should be established at each site and regular listening and yarning circles should be convened to ensure the lived experience of those working on sites is well understood.

◆ *Embedding, sustaining, monitoring and evaluating progress of cultural reform*

Finally, the Framework acknowledges that cultural reform will not only take time, but require continuous monitoring and evaluation to be sustained and embedded.

Accordingly, the Framework recommends re-administering the Everyday Respect survey developed for this Project every two to three years through an independent provider; and tracking of key indicators of progress. The Framework also recommends an independent review of progress in relation to the implementation of these recommendations within two years.

Conclusion

Whilst progress is occurring at Rio Tinto, the challenge now is to ensure that this cultural shift - embedding everyday respect, eradicating harmful behaviours and ensuring consequences for those who use them – is replicated at all levels of the organisation. The momentum for engagement and change must continue, with this Project simply an inception, rather than a culmination, of the valuable work ahead.

EB & Co has felt privileged to be engaged on these early steps and, in particular, to experience the candour and courage of so many Rio Tinto employees. The real task now is for the organisation to make safety and respect the lived reality for each one of these employees – whoever they are and wherever they work across Rio Tinto - each and every day.

Chapter 1: Introduction

1.1 The Project in Context

Rio Tinto is one of the world's largest mining companies. It produces iron ore for steel; aluminium for cars and smart phones; copper for wind turbines; diamonds; titanium for household products; and borates for crops. It employs approximately 45,450 people across 35 countries. It has 60 operations and 2000 customers. Rio Tinto's people work in many locations, including mines, smelters, refineries, remote exploration sites, closure sites, distribution points and offices. Overall, Rio Tinto is one of the largest and most successful mining companies in the world, with a significant global profile, not just in the resources sector, but across many nations and communities around the world.

In 2021, Elizabeth Broderick & Co (EB & Co) was engaged by Rio Tinto to conduct an external expert review (the Project) of workplace culture. This work was conducted as part of the Everyday Respect Taskforce (ERT) already in operation across the company. The purpose of the Project was to identify the strengths and opportunities for Rio Tinto to enhance workplace culture. In particular, EB & Co was asked to identify and suggest solutions to address bullying, sexual harassment, racism and other forms of discrimination that can impact institutional culture in a range of detrimental ways.

This Project is occurring at a pivotal time for Rio Tinto. Workplace dynamics are shifting against the backdrop of #MeToo, Black Lives Matter and other global movements. These movements are shining a spotlight on women's experiences of sexual harassment and discrimination; on experiences of racial inequality for people of colour; and on experiences of exclusion and/or discrimination for people from a range of marginalised communities.

Concurrently, recent decisions by Rio Tinto in the Australian context have attracted close public scrutiny. A state Parliamentary inquiry is examining sexual harassment against women in the Fly In, Fly Out (FIFO) mining industry more broadly. The Australian Parliament is also conducting an inquiry into the destruction of Juukan Gorge, a site of immense cultural significance to the traditional owners, the Puutu Kunti Kurrama and Pinikura (PKKP) people, in the course of Rio Tinto's mining operations in the Pilbara, Western Australia, in May 2020. Juukan Gorge comprised 46,000 year old rock shelters and its destruction caused great anguish for Rio Tinto's Aboriginal and Torres Strait Islander employees in Australia, as well as for its corporate reputation within the wider community.

In acknowledging responsibility for this act, Rio Tinto publicly stated:

> *In allowing the destruction of Juukan Gorge to occur, we fell far short of our values as a company and breached the trust placed in us by the Traditional Owners of the lands on which we operate.[1]*

Rio Tinto continues to reflect on the institutional culture that enabled this destruction to occur and recognises the need to reset workplace culture so that actions taken by the organisation more closely align with its global institutional values.

As one employee contributing to this Project commented:

> *…There is a greater focus on putting people at the centre… There is greater trust. More flexibility in working times, more virtual meetings… It's changed a lot in the last year. Juukan Gorge had a huge impact on what this company stands for and what its values are.*

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[1] Rio Tinto Juukan Gorge: A breach of our values at https://www.riotinto.com/en/news/inquiry-into-juukan-gorge

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In addition to the challenges listed above, the mining and resources industry has also confronted the economic impacts of the COVID-19 global pandemic and a changing geopolitical environment. Rio Tinto has implemented a number of strategies to support its workforce, and to ensure its employees' safety against the backdrop of this rapidly changing environment. This rapid adaptation demonstrates that the organisation can transform culture, while also ensuring safety and minimising impacts to operational continuity.

Building on Rio Tinto's positive response to these specific challenges, as well as its best practice approach to occupational health and safety, the establishment of the ERT and the commissioning of this Project represents a proactive shift in Rio Tinto's approach to improving organisational culture. It demonstrates an emerging recognition that the safety of employees is about more than physical safety, and also includes psychological safety and wellbeing. Just as importantly, it indicates a willingness to examine and implement considered, long term strategies, rather than acting in an ad hoc, and reactive way. This is essential for ensuring sustained cultural change.

Whilst this report is important, the process that has led to its development is equally crucial. EB & Co's previous experience suggests that the process underpinning this Project will have already resulted in many conversations about culture. This, together with strong employee engagement, has built momentum for change and will accelerate cultural reform.

From the outset, CEO Jakob Stausholm and the Executive Team have been supportive of this Project and have understood its importance to reforms which can place Rio Tinto's people first and foremost. Recognising the importance of "impeccable ESG credentials" in strengthening track record and transparency, Mr. Stausholm recently stated:

> "Key to success will be our people. We have learnt that focussing solely on top-down process and system solutions will not deliver the right sustainable outcome. **We must lead in a different way, that is more supportive, inclusive and people-focused.**[2]"

Just as importantly, one employee told EB & Co:

> "I am excited and inspired by this shift at Rio. The [Everyday Respect] Taskforce has been a long overdue initiative. So are these [listening] sessions. I am glad this change is happening across the business as I want to be a part of that change. I guess it's about being on the right side of history."

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[2] Stausholm, J. Address to Bank of America Global Metals, Mining and Steel Conference 18 May 2021 at https://www.riotinto.com/-/media/Content/Documents/Invest/Presentations/2021/RT-BoA-Conference-2021-script.pdf?rev=5d3a9230d3b54c07adb0778c057d9c47

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1.2 The Importance of a Healthy Workplace Culture

A suite of international mechanisms recognises the importance of organisations respecting and supporting their workforce. The International Labour Organisation (ILO) Treaty, which came into force on 25th June 2020, recognises the right of all employees to work free from violence and harassment. Similarly, the UN Guiding Principles on Business and Human Rights set out guidance for nation states and companies to prevent, address and remedy human rights abuses committed in business operations.

Organisational culture sets the context for everything that an enterprise does. Culture provides an informal control mechanism; a strong sense of identification with the organisation and shared priorities among employees. Organisational culture transforms over time, shaped by the organisation's leadership and by actions and values perceived to have contributed to earlier successes. To this end, organisational leaders play an instrumental role in changing, shaping and sustaining organisational culture. Indeed, without visible, concrete commitments led from the top, any meaningful change agenda will soon be undermined.

Corporate reputation, or the way in which external stakeholders see a business, is also intrinsically linked to good organisational culture.[3] The impact of harmful behaviour on corporate reputation can be significant and long-lasting, with shareholders frequently reacting negatively to news of misconduct.[4]

A study conducted by the Harvard Business Review found that, of the companies in their sample (n: 38 incidents), share prices declined by a market-adjusted 3.1% (1.1% median) over the three-day trading period around the publication of poor corporate behaviour. For example, Hewlett-Packard stock fell almost 9% following reports that the former CEO had a personal relationship with a female contractor.[5]

Research by Helm similarly observes that corporate reputation serves not only as a performance signal:

> but can become a choice criterion itself as individual investors are not exclusively interested in high dividends or share appreciation. Although return is the prime factor in investment decisions corporate reputation climbs up the scale of importance. The more stockholders there are, the more people will be sensitive to the reputations of the companies in which they are investing.[6]

Helm further observes that:

> shareholders may be interested in profit but they will also share the shame and declining profits associated with a deteriorating corporate reputation which is now increasingly the subject of media and public scrutiny.[7]

Organisational culture can therefore be a powerful asset that attracts new customers and talent to Rio Tinto or, conversely, drives them away. It should be a priority to strive for and sustain a healthy culture, as well as to accept and understand the role of culture in achieving a positive corporate reputation.

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[3] Rudolph, M. Culture Drives Reputation in Corporate Compliance Insights 16 December 2014 at https://www.corporatecomplianceinsights.com/culture-drives-reputation/

[4] Larcker, D. and Tayan, B. "We Studied 38 Incidents of CEO Bad Behavior and Measured Their Consequences" in *Harvard Business Review* 9 June 2016 at https://hbr.org/2016/06/we-studied-38-incidents-of-ceo-bad-behavior-and-measured-their-consequences
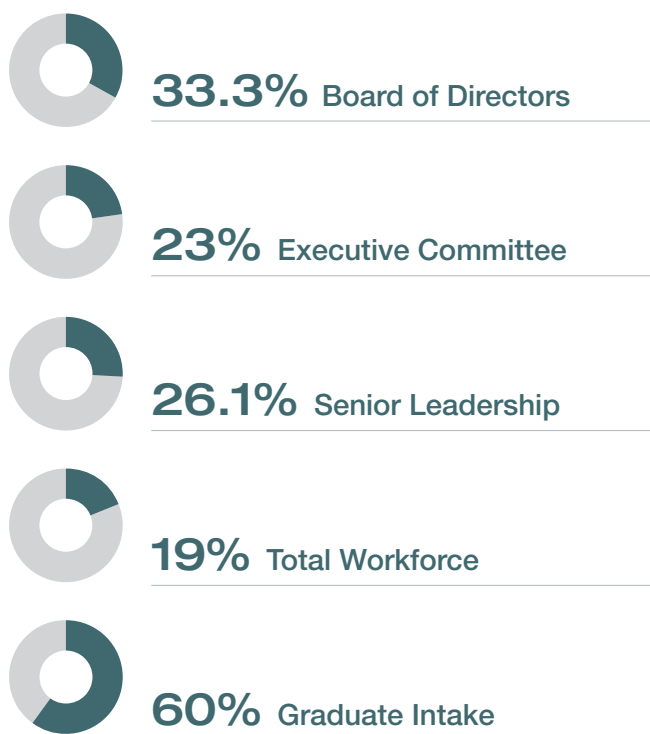
[5] ibid

[6] Helm, S. The Role of Corporate Reputation in Determining Investor Satisfaction and Loyalty. *Corp Reputation Rev* 10, 22–37 (2007). https://doi.org/10.1057/palgrave.crr.1550036

[7] ibid

1.3 Rio Tinto's People

Rio Tinto's workforce is largely male dominated, with approximately 79% men. In recent times, however, it has strengthened efforts to increase the number of women, Indigenous and First Nations people and other diverse groups entering the company. In 2020, the proportion of female graduates was 60%, an increase of 6% from 2019, making the total percentage of female employees 19%, a rise of 0.6%.[8] Rio Tinto's focus on women in leadership has increased the proportion of women in senior management roles by 3.5% to 26.1% and women in management by 2% to 29.4% from 2019-2020. Over five years, the increase was from 19% - 26%.

Key statistics on the representation of women at Rio Tinto as at 2020[9] include:

33.3% Board of Directors

23% Executive Committee

26.1% Senior Leadership

19% Total Workforce

60% Graduate Intake

In relation to diversity more broadly, Rio Tinto has stated:

> *The dual challenge of increasing diversity and evolving our work environment to welcome diverse voices and perspectives will require significant and sustained effort across the organisation.*[10]

Rio Tinto advises that it sets "stretch" targets to achieve an inclusive and diverse workplace and complies with international, national and local regulatory requirements in reporting its performance and progress. For example, in Australia in 2020, 8% of Rio's graduate intake and 9% of its vacation student programme were Indigenous and First Nations.

Further, Rio Tinto has local employment targets set site by site as part of the Communities and Social Performance. Performance against the targets is reported in the Sustainability and Annual Reports.

However, Rio Tinto does not collect comprehensive data on cultural and racial diversity. EB & Co understands that Rio Tinto is currently developing a diversity data plan which, among other things, will be designed to improve how demographic information can be sensitively collected in a way that allows people to safely self-disclose. The data will be used, among other things, to identify the skills and talents of diverse populations groups and provide them with opportunities, including for promotion.

There is limited data that tracks LGBTIQ+ status, although Rio Tinto's employee reference group "Thrive" has an anonymous map where people can disclose.

Whilst some progress is being made in the collection of diversity data, there is more Rio Tinto can do in this area. Having diversity data will allow the organisation to identify any gaps and opportunities and strengthen efforts to ensure that people from diverse backgrounds and with diverse lived experiences have equal opportunity to thrive, including for access to leadership positions.

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[8] Rio Tinto, Sustainability: People, Our Values at https://www.riotinto.com/en/sustainability/people

[9] ibid

[10] ibid

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1.4 Methodology

The findings and recommendations in this report are supported by robust evidence obtained from both qualitative and quantitative data comprising:

- A specific global online Everyday Respect employee survey ('the survey'), **available in 10 languages**, which was **completed by 10,303 people**

- **109 group listening sessions in 7 languages**

- **85 confidential 1:1 listening sessions**

- **138 confidential written submissions** from individual Rio Tinto employees which could be written in any language

- review of academic literature

- review of Rio Tinto documents including their annual People Engagement Survey

- product group leadership team briefings and meetings

- functional group leadership team briefings and meetings.

All participation in the Project was voluntary and informed consent was obtained prior to participation. Participants were able to choose if, when and how they engaged with the Project. This ensured that all participants could be involved on a confidential basis.

The following section describes the detailed methodology adopted for the Project.

1.4.1 Group listening sessions

Listening sessions (109 overall) were held with Rio Tinto employees, including four sessions with contractors. Of these, 31 were conducted by specialist staff from the Employees Assistance Scheme (EAP) in languages other than English including French, Icelandic, Malagasy, Mongolian, Serbian and Zulu. EAP specialists also conducted three sessions in English. The remainder of the group listening sessions were conducted by EB & Co.

Employees joined the listening sessions from the following locations:

Quebec	London	Perth
Madagascar	New Zealand	The Pilbara
Mongolia	Iceland	Gove
South Africa	Serbia	Weipa
Salt Lake City	Tokyo	Diavik
Chicago	Brisbane	New Delhi

A sub-group of EB & Co, led by widely respected Australian Aboriginal leader Mick Gooda, visited sites in the Pilbara in October 2021. The full EB & Co team were prevented from participating due to COVID-19 travel restrictions. However, team members of EB & Co unable to travel conducted some of the Pilbara listening sessions via video conferencing.

EB & Co also conducted four listening sessions with contractors in Australia, two men-only and two women-only. These sessions included transport contractors, cleaners, cooks, administration staff and hospitality workers.

In total 791 people participated in the listening sessions.

10,303	109	85	138	10
people completed the survey	group listening sessions	confidential 1:1 listening sessions	confidential written submissions	languages

Most listening sessions were conducted as either men-only or women-only groups. This created a safe space for participants to share experiences and observations more freely. EB & Co conducted 13 listening sessions with First Nations employees in Australia and five in Canada, the latter being led by local First Nations facilitators. A session was also conducted with Maori employees in New Zealand. Specialist support and formal reporting options were provided to participants including through myVoice, the Employment Assistance Program and other local services.

Notes of listening session discussions were taken by EB & Co, while respecting the participant confidentiality through an appropriate process of de-identification. Quotes used throughout this Report were taken directly from listening sessions and individual interview sessions, as well as from the written submissions. Participants were made aware that any statements made by them and used in this Report would be de-identified. Notes made by EB & Co have not been shared with Rio Tinto, so as to preserve the anonymity and confidentiality.

1.4.2 Confidential 1:1 listening sessions

Eighty- five individual interviews were conducted with the EB & Co Team. These interviews included employees who preferred a 1:1 confidential discussion and leaders who were seeking advice from EB & Co. They also included interviews with site managers and supervisors at Rio Tinto camps.

1.4.3 Written submissions

One hundred and thirty-eight written submissions were received from Rio Tinto employees at company locations across the globe in multiple languages.

1.4.4 Online survey

An online survey (the survey) was made available to all Rio Tinto employees for a period of 6 weeks from 2 August -12 September 2021. The survey was administered by the Social Research Centre (SRC), a leading research institution affiliated with the Australian National University. The SRC analysed the survey data on behalf of EB & Co. The survey data was only accessed by EB & Co and the SRC, with findings throughout this report.

The survey was also an intervention in itself, helping respondents to see that some of the behaviours that had become normalised were actually unsafe, discriminatory and harmful.

Staff were invited to complete the online survey through channels, such as an open link in an email and QR codes. A detailed engagement and communication strategy was deployed to increase survey participation across the data collection period. This involved continued messaging; transparency of survey completion by product group and function; and visible commitment to the survey and broader project by leadership. Engagement built gradually throughout the survey period, with notable spikes at various stages corresponding to specific communication and engagement efforts.

Participants were asked for demographic information and survey responses were weighted to the employment profile of Rio Tinto. This accounted for differences between those who completed and the entire employee group, with percentages quoted reflecting the estimated weighted prevalence among the total Rio Tinto employee cohort. Subgroups with a small sample size (<30) are not shown in this report, so as to minimise risks to the privacy of individual respondents. A relatively small, but significant, population of respondents (2-4% of total respondents, or 255-425 people) were hesitant to disclose specific demographic details (i.e. chose "Prefer not to say" in response to specific demographic questions). This group experienced higher rates of harmful behaviours (bullying, sexual, harassment and racism), underlining a lack of perceived psychological safety among some Rio Tinto employees.

With respect to Indigenous or First Nations status, we used terms consistent with Rio Tinto's Human Rights Policy, which itself draws on the UN Convention on the rights of Indigenous People. The Project uses Aboriginal and Torres Strait Islander when referring to Indigenous people from Australia.

Of note, analysis of aspects of racism prevalence other than those referring to Indigenous, First Nations or Aboriginal and Torres Strait Islander identity in a global survey such as this is challenging, as national/local context is a key factor.

In total, responses from 10,303 employees represents a response rate of 21.67%. This is one of the largest independently administered prevalence surveys in a global resources company and provides a statistically powerful sample size.

Overall, the survey questions reflected the issues identified in the listening groups, 1:1 listening sessions and written submissions and provided an alternative avenue for Rio Tinto staff to engage with the Project and express their views and experiences in a confidential way. Analysis of potential selection bias (i.e. the possibility that those experiencing harmful behaviours are more likely to complete the survey) showed no relationship between response rate and prevalence, strongly suggesting the absence of any significant selection bias. EB & Co caution against direct comparisons between data in this survey and others because of differences in methodology (e.g. framing of questions, definitions, timeframes, etc) and statistical limitations in other surveys (e.g. small sample sizes, selection biases etc). The most important and meaningful comparative data for Rio will be to compare future longitudinal data against the baseline data presented in this report.

1.4.5 Rio Tinto documentation and other literature

EB & Co reviewed documentation and information from Rio Tinto including policies, strategies, frameworks, previous employee survey data, and other key metrics and information. The EB & Co also undertook relevant literature reviews to support its recommendations.

1.4.6 Briefings and meetings

Regular briefings and meetings were held with the ERT, senior leaders within Rio Tinto, members of the Executive Committee (ExCo), including the Chief Executive Officer. A meeting was also held with the Chair of the Board.

1.5 Findings in a Nutshell

This report reflects the individual views and perspectives of Rio Tinto people who participated in the Project. They provide compelling insight into people's perceptions and experiences while working at Rio Tinto. The Project did not extend to investigating or making any findings about any individual incident or allegation, nor about any individual employees. Any employee who disclosed an experience of harmful behaviour and was seeking an investigation was provided with appropriate referrals.

EB & Co sincerely thanks everyone who contributed to this Project. Their candour and suggestions for positive change have greatly enriched the work. Further, the Project itself has been a catalyst for transformation within the organisation, with Rio Tinto to be commended not only for commissioning this Project, but for taking action on cultural reform in advance of the delivery of this report. The case for this cultural reform is underscored by the key themes and findings emerging from the Project, being that:

▶ There is a strong appetite for cultural change across the organisation including at senior leadership levels.

▶ There has been a visible shift towards a more healthy culture over the past 12 months.

1 Introduction

- There are high levels of confidence among employees that Rio Tinto will make a meaningful difference in relation to addressing harmful behaviours over the next two years.

- Investment in adaptive leadership development for senior leaders provides a strong foundation for accelerated cultural change.

But EB & Co also found that:

- Bullying is systemic.

- Sexual harassment and everyday sexism occur at unacceptable rates.

- Racism is common across a number of areas.

- Employees do not believe the organisation is psychologically safe.

- Harmful behaviour occurs by and between employees, managers, and leaders, including senior leaders.

- There are unique features of the workplace that create risk factors including a hierarchical and male dominated culture.

- A capability gap in leading and managing people exists across many levels of the organisation, particularly on the frontline.

- People policies and systems are not properly embedded or "lived" across the organisation.

- Harmful behaviour is often tolerated or normalised.

- Harmful behaviour by serial perpetrators is often an open secret.

- Employees believe that there is little accountability, particularly for senior leaders and so called "high performers" who are perceived to avoid significant consequences for harmful behaviour.

These themes and findings provide an opportunity for Rio Tinto to learn from some uncomfortable truths inherent in the current culture and, most importantly, to make the choice for change. It takes courage and commitment for any organisation to bring transparency to those areas requiring attention, but transparency generates confidence in an organisation living its values. Similarly, making the choice for change will ensure that Rio Tinto is an organisation where all employees can be safe and thrive.

Chapter 2: The Case for Change

2.1 Introduction

In recent times, Rio Tinto has placed a high priority on cultural change. This is evidenced by the redesign of Rio Tinto's purpose and values to encompass, "Care, Courage and Curiosity"; and the Voyager Leadership Development Program, the change partners training and the Mindset & Behaviour Coach network. These programs work with leaders to increase self-awareness, to have a clear focus on empowering frontline employees and therefore to enhance cultural impact. Acknowledging and modifying mindsets and behaviours both at the frontline and in Rio Tinto's leadership is also at the very heart of the Safe Production System.

During the course of the Project, many employees spoke about their deep loyalty for Rio Tinto, their commitment to their roles and, importantly, their enthusiasm for cultural change, as well as ensuring that their workplaces are respectful and safe. Employees also spoke of their strong support for the ERT. Most were keen to be part of a process designed to strengthen the culture, observing:

> *I want to help make the company the best it can be, in terms of how it treats and values its people.*

> *I want to be a part of changing and influencing the direction of Rio.*

> *It helps to know that more platforms… are now created and this makes people realise that little things or changes are happening.*

" Rio is a good company. I want to contribute to it being even better, particularly in the way it supports and respects the employees – its greatest asset. "

Whilst many employees identified positive aspects of the culture and acknowledged positive changes in recent times, others painted a different picture of harmful rates and instances of bullying, sexual harassment, racism and other forms of discrimination. EB & Co also heard from employees of psychologically unsafe workplaces and a distrust of the reporting systems; issues explored in more detail in Chapter 4.

These contrasting experiences are common across any organisation, but particularly across large ones. Certainly, in many large, complex, geographically diverse organisations, there is no single, homogenous organisational culture. Often there are many different cultures operating within the one institution and, specifically in Rio Tinto, employees are strongly aligned to their particular product group or functional area. This can have a different culture, based on the product, the work location or site and the work type, contributing to real and perceived power imbalances, with some areas within an organisation sometimes considered to have more influence than others, particularly where these areas are perceived as driving the organisation's core business or bottom line.

Work type will also have an impact on workplace culture. For example, mine operators work in a different culture to transport employees. FIFO workers work in a different culture from those in the commercial division. Sometimes groupings such as this are referred to as 'tribes', in that these groupings have a sense of hyper-alignment with a particular component of the organisation. In contrast to notions of team, identity and loyalty, which can encourage and support organisational success, tribalism in this sense is a cultural view of the world that sees the team to which someone belongs as better than the other teams in the same organisation. There are those who belong, and those who do not. As the discussion throughout the remainder of this report explores, this sense of belonging, or not belonging, of being 'same' or 'other', underpins much of the experience of women, people of colour, Indigenous and First Nations people and other diverse groups in Rio Tinto.

2.2 In Their Own Words

Employees of Rio Tinto spoke of the many positive aspects of workplace culture in Rio Tinto. They welcomed the changes that Rio Tinto had made to strengthen its culture and its many and varied workplaces as safe, respectful and inclusive. Chief amongst these initiatives was the establishment of the ERT. The ERT was approved by ExCo in December 2020 and formally launched in March 2021 to improve how Rio Tinto prevents and responds to disrespectful behaviours in the workplace. Since that time, the ERT has undertaken important work, including listening to impacted people; seeking advice from experts; and helping to shift outdated and problematic norms and attitudes.

A critical function of the ERT is listening to employees' experiences. It uses employee insights to develop and implement solutions to prevent and address sexual harassment, racism and bullying, as well as to strengthen reporting processes so that people feel safe to report poor behaviour that they have experienced or that they have observed in others. [11]

Employees told EB & Co about the positive and strong aspects of Rio Tinto's culture:

> One of the company's great strengths has been its collaborative behaviour, intolerance of bullying and genuine reflection about action towards meeting its own written standards and goals.

> Let me start by saying that I truly believe Rio Tinto as a business has its employees' best interests at heart and is probably the best business to be a part of.

> I have worked with Rio Tinto for over twenty years and I am immensely proud of this business.

> At Rio there is a clear message and well thought through examples of what's acceptable and what's not. Not just talking about it but leading by example.

> [In the culture where I am] people respect each other and there is an environment where staff can [have a] ... voice. In many organisations, if there is any difference of opinion, there is no room for staff to express their voices and managers tend to treat things subjectively. For us, there is no such environment, and we are relatively open.

> There is a culture of inclusion in my sector. More and more women are taking on leadership positions. There is a great culture of trust. Senior management is very involved.

> A good part of the Rio Tinto culture is teamwork. A lot of people are included in things upfront. We also have a very strong female leader. It helps.

There was also significant support for the prioritising of a strong and respectful culture in Rio Tinto. This was seen to be exemplified in the establishment of the ERT. Comments heard by the Project Team include:

> I am proud of what Rio is doing to change. This is important.

> I'm really excited to be part of the [ERT]. It's not about me. It's about us.

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[11] Rio Tinto, Sustainability: People, Everyday Respect Taskforce at https://www.riotinto.com/en/sustainability/people

2 The Case for Change

It feels good to know that Rio is doing something for its people. Its people are its biggest asset and we should be valued and respected.

With the [ERT], the business is making an effort to improve the culture – to make it more respectful and inclusive and to say, "we will not tolerate poor behaviours."

> " **I want Rio to be a safe, inclusive and respectful organisation.** "

There seems to be self-awareness about these problems [by Rio Tinto] and ample support for people to speak up about these issues.

> " **I've only been here for 8 months and I think Rio has been progressive in talking about these kinds of things [bullying, sexual harassment, racism and discrimination]. Much more than I ever would have expected.** "

Everyone is supported and encouraged to express their opinion. Whether it's related to the job or not, we can express it to the line manager or team leader. [We are] always reminded [of this], which I find very nice.

The leadership is progressive and understanding and supportive. But from my experience we are still early in the stages in our journey below the band of leaders.

As the comment directly above indicates, other employees were more critical of the current culture, or simply of the pace of change. There was also a sense that the culture is different across the company and often dependent on the quality of leadership. In relation to organisational culture more broadly, EB & Co heard:

There are human beings sitting in those leadership chairs and it depends on the character of that particular human being as to whether things are good.

> " **Rio Tinto is very polite but not nice.** "

I was told if I am not happy with the Rio culture, I should leave.

The culture is really variable. It changes with where you are in the business and who is leading you. This indicates that the overall culture isn't strong.

You can work years at Rio and have nothing but a positive experience, but then you get a bad manager and your world completely changes.

We have good principles but there are not enough means to implement them. There is not the support behind the listening. And it is discouraging for managers, because you believe in it and it falls by the wayside.

We were told that the priority was work-life balance, but no concrete action was taken so nothing changed. This objective (like others) was set at the beginning of the year, but it didn't hold up. This makes me lose confidence.

Rio has a blame culture. It should have a learning culture, but it is one of blame.

In our culture … there is a tolerance for unacceptable language. I have never heard a manager intervene to say that it is not acceptable. So, you can have inappropriate behaviour and comments and no one will intervene.

There is a culture of competitiveness, cut-throat, political game playing every day all day. This is a systemic problem. Everyone has paid the price for it. We are overworked, stressed, constantly being criticized.

There are very different cultures, behaviours and expectations across divisions and regions.

[This country] has a different culture and system so you are scared to speak up as you don't know what the repercussions will be.

> The top-level intentions are good, the action plans, values and goals are clear – but when it comes to putting into practice, there is much variability.

> We know the problems and we know the solutions. So, we should really just make the effort to fix them, to fix them for good and fix them for the long term.

The culture is all about deliverables. This is an anathema to cultural change. When you can't deliver they move onto the next person… The culture means that people are working at a rate which is not sustainable or healthy. We are not living our values.

These comments point to the need for strong and sustainable reforms being implemented as a priority and for the long term. As part of this process, the ERT has established four workstreams to strengthen aspects of workplace culture at Rio Tinto. This work is categorized as follows:

▸ **Workstream 1:** Leadership, including how we shift leadership mindsets and awareness on disrespect, how we select, promote and reward leaders

▸ **Workstream 2:** Treating disrespectful behaviours as we do health and safety, including leveraging safety shares to build awareness, updating our risk approach to further highlight disrespectful behaviours, understanding how we can better return employees to work, guidelines for respectful accommodation, and transparent reporting and escalation

▸ **Workstream 3:** Empathy Mapping; Simplified Global Guidance; Early Intervention Model; Review investigation processes to align with people centric best practices

▸ **Workstream 4:** Develop common language framework; Awareness campaign; Workforce Education and Empowerment; Leader's development (specific); First responder support; and compliance training.

This work is operating alongside initiatives currently underway in leadership development, such as the Safe Production System, the Voyager Leadership Development Program and Developing Leaders as Coaches initiative.

EB & Co commends this work and encourages Rio Tinto to continue to resource the ERT adequately, so that its important work can be developed, implemented and drive impact to ensure a respectful culture.

2.3 Culture and Safety Go Hand In Hand

Rio Tinto has a strong and visible commitment to physical safety. Rio Tinto states that:

> Safety is our first value. It is how we start every shift and every meeting. We believe that all injuries can be prevented. We continue to make the safety of our colleagues and communities our first priority.[12]

The strong operational safety culture is captured in the following data provided by Rio Tinto:

> *In 2020, we marked a second year in a row of zero fatalities, aligning with our top safety objective. Over the past ten years, both the severity of injuries and our all-injury frequency rate (AIFR) have fallen significantly, from 0.69 in 2010 to 0.37 in 2020. Compared to 2019, our AIFR has improved by almost 12%. But we need to do even better in our overall safety performance and will not be satisfied until we have eliminated all work-related injuries.[13]*

In 2019, Rio Tinto introduced the safety maturity model and safety coaching framework.These programmes focus on building a strong safety culture and leadership capability. As noted in the introduction, Rio Tinto's facilities also developed improvement plans and improved their safety

maturity, despite the pandemic-related challenges faced during 2020. This is supported by fewer injuries and serious incidents in 2020, compared with previous years.[14]

Given the overriding priority that Rio Tinto places on safety, EB & Co identifies an opportunity for the organisation to build on its safety framework and make inclusion and respect central to its safety culture. This involves a shift in mindset which acknowledges power imbalances and recognises that those who speak out about cultural deficiencies are actually bringing valuable information about risk to the organisation in an attempt to minimise risk, rather than being seen as 'troublemakers'. Indeed, by undertaking this Project, Rio Tinto has demonstrated its commitment to continuous improvement of its safety culture.

2.4 Psychological Safety

Just as Rio Tinto holds itself to the highest possible standard regarding physical safety, an opportunity exists for the organisation to mirror this in terms of the psychological safety of its employees.

Leading organisational behavioural scientist Amy Edmondson describes psychological safety as a shared belief across a team that the team is a safe environment in which members can take interpersonal risks. Psychological safety is a well-established driver of high-quality decision making; healthy group dynamics and interpersonal relationships; greater innovation and more effective execution in organizations.[15] Significantly, according to Edmonsdon:

> *Organisations are more at risk of preventable business failures or human safety failures when psychological safety is low.[16]*

Psychological safely is one of the most significant factors of success underpinning high-performance teams.[17]

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[12] Rio Tinto Health, Safety and Wellbeing at https://www.riotinto.com/en/sustainability/health-safety-wellbeing

[13] ibid

[14] ibid

[15] Edmondson, A. and Mortensen, M. "What psychological safety looks like in a hybrid workplace" *Harvard Business Review* 19 April 2021 at https://hbr.org/2021/04/what-psychological-safety-looks-like-in-a-hybrid-workplace

[16] Neilson, K. " 3 steps to foster psychological safety, according to the leading researcher on the topic" *HRM* 27 July 2021, citing A. Edmondson at https://www.hrmonline.com.au/section/strategic-hr/psychological-safety-amy-edmondson/

[17] Delizonna, L. 2017, High-performing teams need psychological safety. Here's how to create It. *Harvard Business Review*, p. 8.

A psychologically safe environment is one where people are safe to call out inappropriate behaviour, challenge hierarchy and provide feedback – all without fear of being victimised or penalised. It follows that psychologically safe environments are based on inclusion, trust and respect, where people are comfortable being themselves, rather than feeling concerned about 'fitting in'[18] or not 'rocking the boat'.

Edmonson notes that hierarchical cultures can present challenges if leaders with higher status do not have a visible, genuine interest in what their team members are bringing to the table:

> *The team hierarchy needs to be managed in a learner-orientated way from the top down, … otherwise it's a huge barrier to candour [and] psychological safety.*[19]

In this way, the fear associated with a lack of psychological safety creates an environment where it may not always be safe to speak. Everyday interactions, based on power differentials and exclusion, can serve to undermine the interpersonal collaboration and respectful communication that is necessary for a strong safety culture. According to one employee:

> *The company is more focused on safety aspects and has accomplished a lot because it's easy to see and report it … However, on the emotional side... there are things that are hidden and people are afraid to report. There is still a long way to go.*

Against this background, Rio Tinto should build on its safety culture to integrate a clear focus on inclusion, respect and psychological safety. This requires courageous leadership at all levels, where leaders model respectful and inclusive behaviours to encourage individuals to speak; where people are empowered and enabled to challenge power and hierarchy; where there is swift and visible accountability for inappropriate and disrespectful behaviour; and where human decency guides all personal interactions.

2.5 Conclusion

A healthy culture is good for the overall effectiveness and capability of an organisation. It enhances positive emotions and well-being and, in so doing, improves employees' relationships with each other. It increases their abilities and innovation and guards against negative experiences, such as stress. It attracts talent and enhances loyalty to leaders and to the organisation. It brings out employees' best strengths and talents:

> When organizations develop positive, virtuous cultures they achieve significantly higher levels of organizational effectiveness — including financial performance, customer satisfaction, productivity, and employee engagement.[20]

There are many positive aspects of the culture at Rio Tinto, particularly evidenced through the work of the ERT. For most people, their experience in the organisation is rewarding and respectful. This is particularly the case in teams where the leader is supportive of staff and makes the creation of a positive and healthy culture a priority.

This is not the lived experience, however, for everyone, everywhere. An unwavering and visible commitment by leaders to preserve those aspects of culture that are positive and to reform those areas requiring strengthening is a crucial step towards ensuring that Rio Tinto is a world leader in ensuring that its workplaces around the globe are not just physically, but psychologically, safe.

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[18] Edmondson, A.C. 2018 *The Fearless Organization: Creating Psychological Safety in the Workplace for Learning, Innovation, and Growth*. Wiley

[19] ibid

[20] Seppälä, E. and Cameron, K. 2015 "Proof That Positive Work Cultures Are More Productive" in *Harvard Business Review* 1 December at https://hbr.org/2015/12/proof-that-positive-work-cultures-are-more-productive

Chapter 3: The Importance of Caring, Courageous and Curious Leadership

Leadership is critical to ensure that workplaces have a healthy culture. Leaders have a responsibility to confront and address harmful behaviours and create a safe environment that supports high performance and operational effectiveness.

While leadership at the most senior levels is critical, leaders right across the organisation must visibly champion and demonstrate the imperative for a healthy workplace culture. This requires them to model in conscious and active ways the values and behaviours that create a caring, courageous and curious culture. Committed, visible and courageous leadership underpins any successful cultural reform process.

According to one Rio Tinto employee:

> Leaders need to be the shining examples of everyday respect.

3.1 Courageous Leadership Drives Reform

3.1.1 In their own words

EB & Co met leaders of varying seniority across Rio Tinto who expressed a strong commitment to contributing to cultural change within the organisation and to modelling strong, caring and inclusive leadership. These leaders acknowledged their role, and their responsibility, in creating a healthy culture within Rio Tinto. There was much support for the direction being taken by CEO, Jakob Stausholm. As one employee stated:

> It's the leadership who sets the culture ... Change needs to happen from the top and I think that is what Jakob has enabled. Without strong leadership from the CEO nothing will happen. It's changed. We are moving in the right direction. We will get there. We will have cycles – it will go down and it will go up – but we will get there.

3 The Importance of Caring, Courageous and Curious Leadership

I really support the journey we are on, with Jakob leading it. We can only grow as a company if we practice a culture of respect for all and are diverse and inclusive.

It is great having a leader at the top who gets this. I hope he and ExCo takes on board the work of the Everyday Respect Taskforce and this inquiry.

Participants in the Project commented on a number of leaders, from those in senior positions to those in middle management, who are working to create positive cultures in product areas and teams. Empowering women, as well as Indigenous and First Nations employees; creating safe and respectful environments; and dealing swiftly with harmful behaviour were just some of the examples provided of the actions such leaders are taking to enhance their workplaces' culture:

Since [this leader] has taken over, the place has changed so much.

The morale in my shift is really good. There are good supervisors and bosses and they listen to you and hear you.

It's a family friendly company, either if you work shifts or not. The shifts of course make family life trickier, but [the managers] are very understanding… I don't find it difficult to say, "my situation is like this today" or "my child is sick". Especially in the pandemic [the managers] meet you in the middle.

As a manager, I know the significance of a safe environment for work.

EB & Co also heard about a number of leaders who are role models for inclusive, authentic leadership. Rio Tinto has the opportunity to leverage the skills of these leaders to help drive the organisation towards a more positive and inclusive culture.

> " My leader is someone who actively supports her team. She provides opportunities and really practices the value of the business. "

> " There was a big change at [this site] when my superintendent changed. [He] was a godsend. He was really affected by [the destruction of] Juukan caves and wanted to make a difference. He actually supported people's careers – and whatever he says trickles down to supervisors. They could see that we [Indigenous workers] could actually do the job really well. "

I know of many senior leaders who are walking the talk and give me hope.

[As a leader] I have been leading a charge around our behaviours and our values. I want to reinvigorate this within our team.

Good senior leaders want to create flexibility/work from home/fit in with school hours. It's a huge change.

The Importance of Caring, Courageous and Curious Leadership

You must rely on managers. If we have managers who do not have an open and inclusive mentality, we will not move forward. Those who are the best plant managers: they have a vision and everyone works in the same direction.

I feel lucky to work with the leader I have. He genuinely cares about the well-being of his team and will always have our backs.

Leaders embrace the 3 'C's curiosity, care, courage but there is still the old boys crew who don't want change.

As indicated by the comment directly above, some employees expressed scepticism about the depth of commitment by organisational leaders to cultural change, despite a range of recent initiatives. They also noted that the culture of their workplace is dependent on the leader in charge at any one time. They told the Project Team:

The way employees are treated is not the same. There are different mentalities. Nobody cares for small employees or listens to them. It's just like command from the top.

> "
> I think there are a number of leaders who want change. But there are others who don't and they can create work environments that are hostile and unpleasant for employees.
> "

I have been in this company for 5 years and in that time I had three different managers to whom I responded and I had three different general managers. Those changes have an effect because the culture changes with each person and I have to adjust my behaviour to my current boss.

> "
> My supervisor does not believe in the direction Rio is taking in relation to women and minority groups. He thinks it's just political correctness and will be bad for the company.
> "

Rio Tinto wishes to ensure our workforce is respectful, safe and inclusive. In every organisation, this starts at the top, with clear messaging, visible positive behaviours highlighted, and negative behaviours called out publicly and with consequence for the perpetrator. This simply is not happening at any level yet.

Bullying and discrimination still are a thing in Rio. I guess it will never really go away as long as people who really shouldn't be given supervisory positions, still get them.

The larger issue at Rio Tinto is the everyday disrespect, poor behaviours and leader tolerances and endorsement of such behaviours.

Across leadership teams we still cannot see enough females. As a female Manager, who works with an all male Manager team … this is really confronting in finding confidence and inclusion. Whilst I feel respected for the technical capabilities I have, there is an element at times [when] you simply feel alone or stereotyped that others do not have similar views.

3 The Importance of Caring, Courageous and Curious Leadership

We unfortunately still have too many senior leaders that simply cannot see the shadow they cast. Their comments in isolation are not profoundly an issue, but [they] cast a shadow of predictability that you always feel on edge. This leads to high anxiety.

Our senior leaders…are…not willing to be challenged … As a result if anyone questions, challenges or raises counter views, they are at minimum disregarded and at worst receive hostile counter attacks...and not just attacking the suggestion but attacking the person.

This [particular site] was becoming toxic with each supervisor trying to run their shift as best they could. They demonstrated limited leadership skills and had only one priority, meet the daily target. The superintendent was new in role and appeared to have limited leadership skills and hence unable to support the supervisors or provide some form of clear direction. Management was virtually invisible on that site.

> **For me, it was not the people on the floor who behaved inappropriately but my superiors and managers, people with power.**

The behaviours of some of the leaders has such a negative impact that it can affect the productivity of a team – and not in a positive way.

> **We need leaders who make humanity a priority, a core value to be practiced in every aspect of their management of people.**

In addition to comments about abuse of power against trainees by trainers – who have considerable influence over a trainee's potential progression through an organisation - these comments highlight the need for every leader to model change through leading by example, calling out harmful behaviour, holding others to account, and ensuring a safe, respectful and inclusive workplace culture for all.

In particular, the role of middle management leaders – supervisors and superintendents - in championing and implementing cultural change is critical. As the 'cultural ambassadors' of Rio Tinto and those who have the most day-to-day interaction with employees, what these leaders say and do matters. To ensure that cultural change has a significant impact across the entire organisation, it is important to assist those in middle management to develop greater understanding of their role in creating an inclusive workplace that fosters higher levels of trust, collaboration, teamwork and productivity.

The Importance of Caring, Courageous and Curious Leadership

3.2 Expectations of Change

Respondents to the survey were asked their level of confidence that Rio Tinto will make a meaningful difference in each of the three harmful behaviour areas. The Project found very encouraging levels of confidence among employees that Rio Tinto will make a meaningful difference in relation to bullying, sexual harassment and racism over the next two years. Approximately 1 in 2 people are 'extremely confident' or 'very confident' a meaningful difference will be made in relation to sexual harassment and racism, and over 1 in 3 are 'extremely confident' or 'very confident' a meaningful difference will be made in relation to bullying.
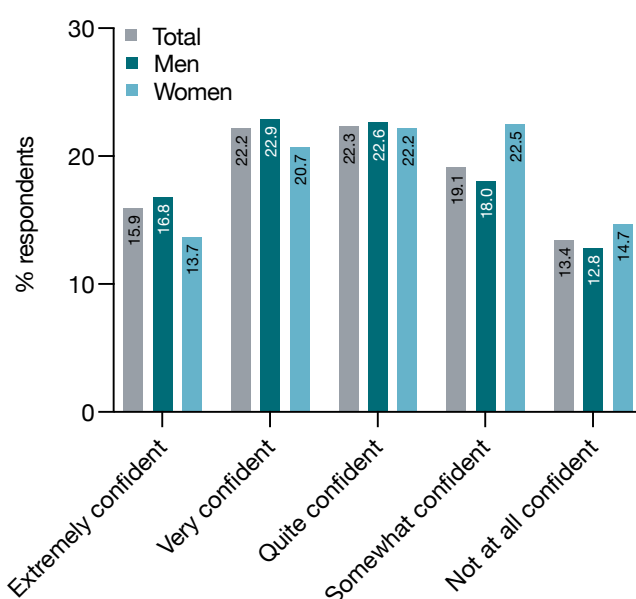

Figure 1: Confidence that Rio Tinto will make a meaningful difference in relation to bullying (% by gender). Base: all respondents (*n*=10,303); men (*n*=6,535); women (*n*=3,420).
Question: what is your level of confidence that Rio Tinto will make a meaningful difference in each of the following areas in the next two years?

3.2.1 Bullying

Almost 1 in 6 people (16%) were 'Extremely confident' a meaningful difference would be made by Rio Tinto in relation to bullying, while 13 per cent were 'Not at all confident' (Figure 1). Respondents in Minerals (20%), Human Resources (23%), and Other (22%) were more likely to advise they were 'Extremely confident', while those in Iron Ore were more likely (16%) to advise they were 'Not at all confident' about meaningful change being made around bullying (Figure 2). Respondents more likely to advise they were 'Extremely confident' were working in Canada (22%), South Africa (20%), India (40%), and Serbia (29%), while those working in Australia (17%) and New Zealand (23%) were more likely to advise they were 'Not at all confident' about meaningful change being made around bullying (Figure 3).
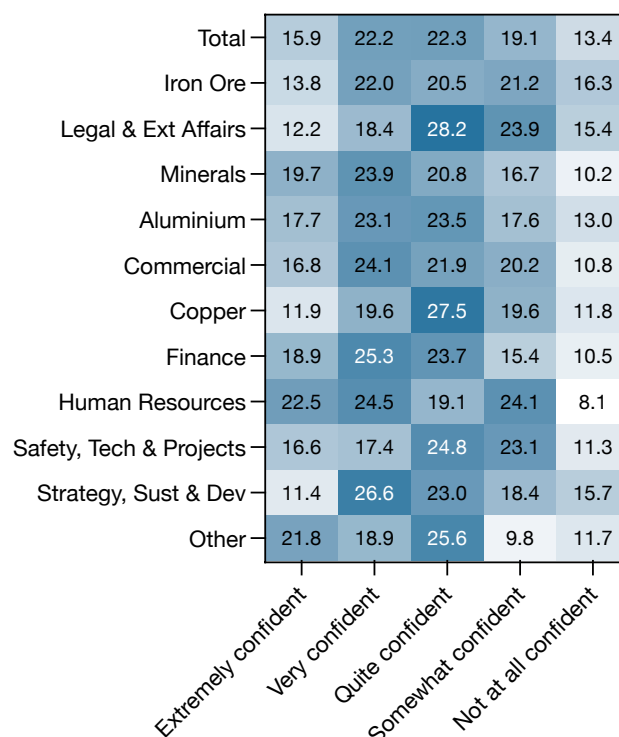
	Extremely confident	Very confident	Quite confident	Somewhat confident	Not at all confident
Total	15.9	22.2	22.3	19.1	13.4
Iron Ore	13.8	22.0	20.5	21.2	16.3
Legal & Ext Affairs	12.2	18.4	28.2	23.9	15.4
Minerals	19.7	23.9	20.8	16.7	10.2
Aluminium	17.7	23.1	23.5	17.6	13.0
Commercial	16.8	24.1	21.9	20.2	10.8
Copper	11.9	19.6	27.5	19.6	11.8
Finance	18.9	25.3	23.7	15.4	10.5
Human Resources	22.5	24.5	19.1	24.1	8.1
Safety, Tech & Projects	16.6	17.4	24.8	23.1	11.3
Strategy, Sust & Dev	11.4	26.6	23.0	18.4	15.7
Other	21.8	18.9	25.6	9.8	11.7

Figure 2: Confidence that Rio Tinto will make a meaningful difference in relation to bullying (% by product group). Base: all respondents (n=10,303); men (n=6,535); women (n=3,420).
Question: what is your level of confidence that Rio Tinto will make a meaningful difference in each of the following areas in the next two years?

3

The Importance of Caring,Courageous and Curious Leadership

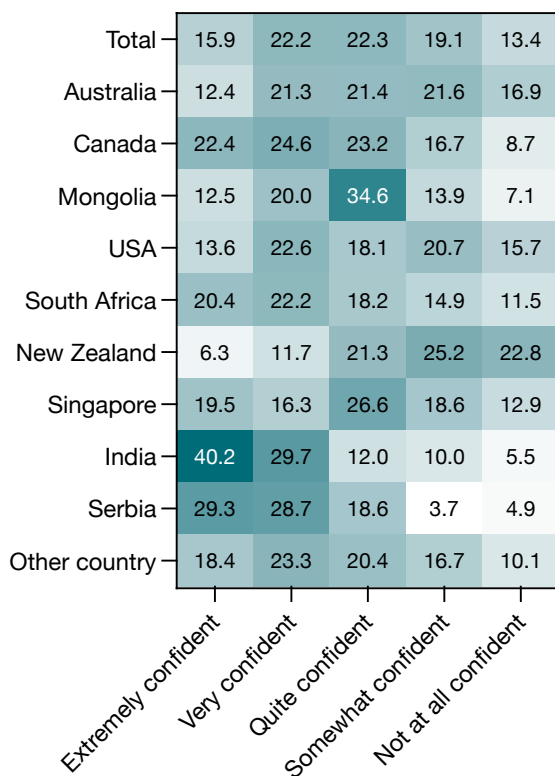|	Extremely confident	Very confident	Quite confident	Somewhat confident	Not at all confident
Total	15.9	22.2	22.3	19.1	13.4
Australia	12.4	21.3	21.4	21.6	16.9
Canada	22.4	24.6	23.2	16.7	8.7
Mongolia	12.5	20.0	34.6	13.9	7.1
USA	13.6	22.6	18.1	20.7	15.7
South Africa	20.4	22.2	18.2	14.9	11.5
New Zealand	6.3	11.7	21.3	25.2	22.8
Singapore	19.5	16.3	26.6	18.6	12.9
India	40.2	29.7	12.0	10.0	5.5
Serbia	29.3	28.7	18.6	3.7	4.9
Other country	18.4	23.3	20.4	16.7	10.1

Figure 3: Confidence that Rio Tinto will make a meaningful difference in relation to bullying (% by country). Base: all respondents (n=10,303); men (n=6,535); women (n=3,420). Question: what is your level of confidence that Rio Tinto will make a meaningful difference in each of the following areas in the next two years?

3.2.2 Sexual harassment

When looking at sexual harassment, overall people were more confident about a meaningful change being made by Rio Tinto when compared to bullying. Over 1 in 4 people (26%) were 'Extremely confident' a meaningful difference would be made by Rio Tinto in relation to sexual harassment, while only 6% were 'Not at all confident' (Figure 4). Respondents in Aluminium (32%) and Human Resources (35%) were more likely to advise they were 'Extremely confident' about meaningful change being made around sexual harassment (Figure 5), as were those working in Canada (38%) and India (57%) (Figure 6).
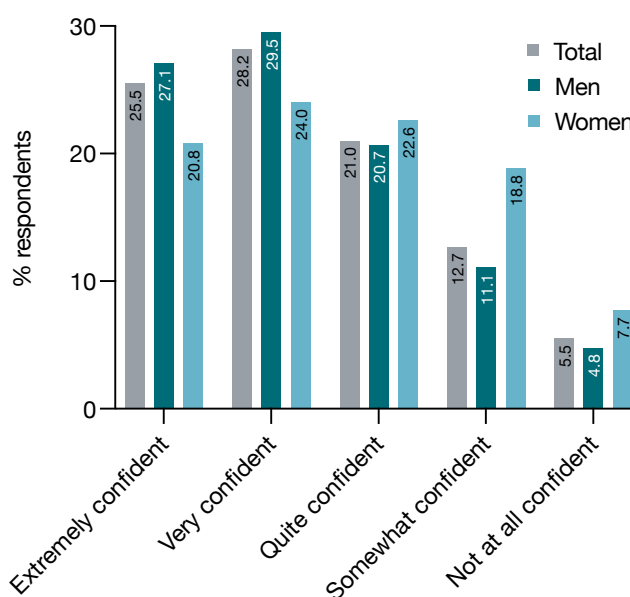

Figure 4: Confidence that Rio Tinto will make a meaningful difference in relation to sexual harassment (% by gender). Base: all respondents (n=10,303); men (n=6,535); women (n=3,420). Question: what is your level of confidence that Rio Tinto will make a meaningful difference in each of the following areas in the next two years?
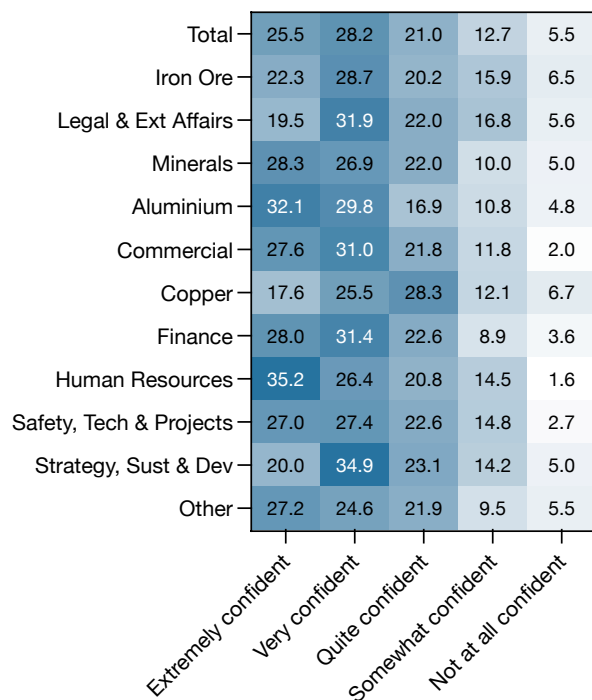
The Importance of Caring,Courageous and Curious Leadership

	Extremely confident	Very confident	Quite confident	Somewhat confident	Not at all confident
Total	25.5	28.2	21.0	12.7	5.5
Iron Ore	22.3	28.7	20.2	15.9	6.5
Legal & Ext Affairs	19.5	31.9	22.0	16.8	5.6
Minerals	28.3	26.9	22.0	10.0	5.0
Aluminium	32.1	29.8	16.9	10.8	4.8
Commercial	27.6	31.0	21.8	11.8	2.0
Copper	17.6	25.5	28.3	12.1	6.7
Finance	28.0	31.4	22.6	8.9	3.6
Human Resources	35.2	26.4	20.8	14.5	1.6
Safety, Tech & Projects	27.0	27.4	22.6	14.8	2.7
Strategy, Sust & Dev	20.0	34.9	23.1	14.2	5.0
Other	27.2	24.6	21.9	9.5	5.5

Figure 5: Confidence that Rio Tinto will make a meaningful difference in relation to sexual harassment (% by product group). Base: all respondents (n=10,303); men (n=6,535); women (n=3,420). Question: what is your level of confidence that Rio Tinto will make a meaningful difference in each of the following areas in the next two years?
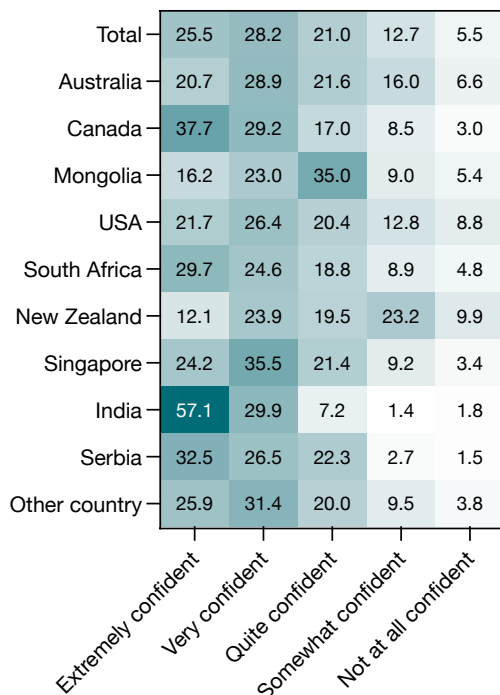
	Extremely confident	Very confident	Quite confident	Somewhat confident	Not at all confident
Total	25.5	28.2	21.0	12.7	5.5
Australia	20.7	28.9	21.6	16.0	6.6
Canada	37.7	29.2	17.0	8.5	3.0
Mongolia	16.2	23.0	35.0	9.0	5.4
USA	21.7	26.4	20.4	12.8	8.8
South Africa	29.7	24.6	18.8	8.9	4.8
New Zealand	12.1	23.9	19.5	23.2	9.9
Singapore	24.2	35.5	21.4	9.2	3.4
India	57.1	29.9	7.2	1.4	1.8
Serbia	32.5	26.5	22.3	2.7	1.5
Other country	25.9	31.4	20.0	9.5	3.8

Figure 6: Confidence that Rio Tinto will make a meaningful difference in relation to sexual harassment (% by country). Base: all respondents (n=10,303); men (n=6,535); women (n=3,420). Question: what is your level of confidence that Rio Tinto will make a meaningful difference in each of the following areas in the next two years?

3.2.3 Racism

Almost 1 in 4 people (22%) were 'Extremely confident' a meaningful difference would be made by Rio Tinto in relation to racism while 9% were 'Not at all confident' (Figure 7). Respondents in Aluminium (27%), Human Resources (27%) and Finance (25%) were more likely to advise they were 'Extremely confident' about meaningful change being made around racism (Figure 8), as were those working in Canada (32%), India (49%), and Serbia (37%) (Figure 9). Respondents in Iron Ore (10%), Legal and External Affairs (12%) and Strategy, Sustainability and Development (11%) were more likely to advise they were 'Not at all confident' about meaningful change being made around racism (Figure 8), as were those working in Australia (10%), New Zealand (12.7%), and South Africa (15%) (Figure 9).
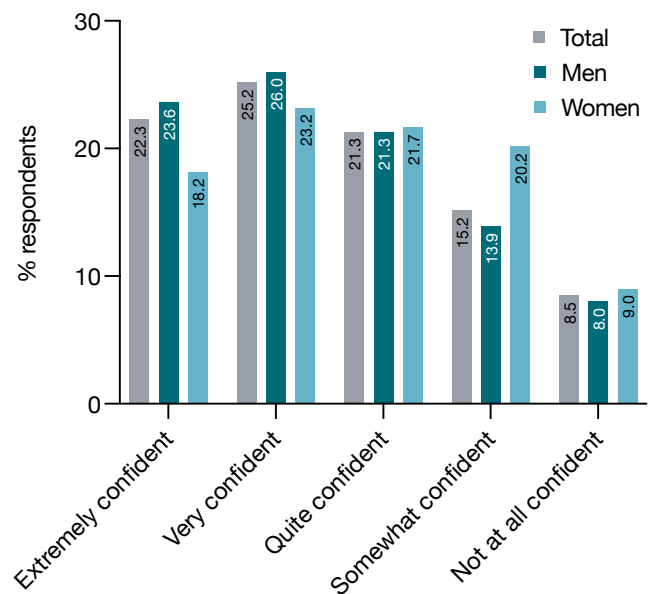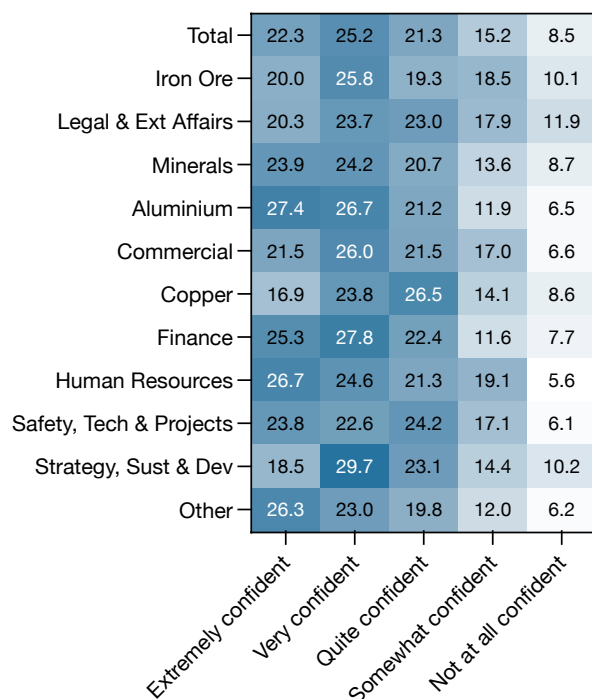

Figure 7: Confidence that Rio Tinto will make a meaningful difference in relation to racism (% by gender). Base: all respondents (n=10,303); men (n=6,535); women (n=3,420). Question: what is your level of confidence that Rio Tinto will make a meaningful difference in each of the following areas in the next two years?
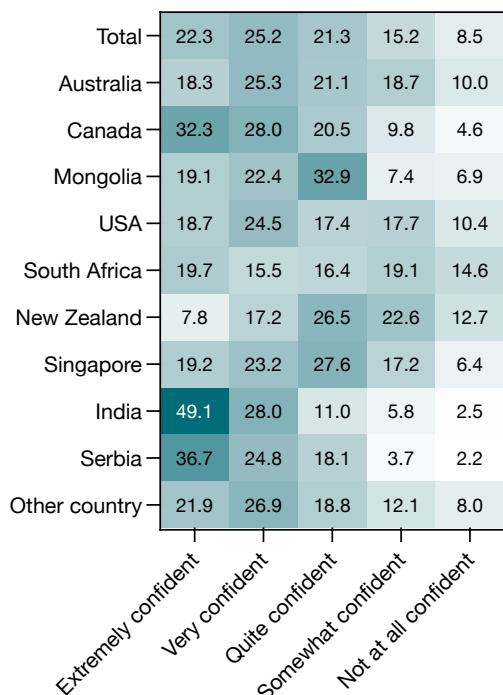
	Extremely confident	Very confident	Quite confident	Somewhat confident	Not at all confident
Total	22.3	25.2	21.3	15.2	8.5
Iron Ore	20.0	25.8	19.3	18.5	10.1
Legal & Ext Affairs	20.3	23.7	23.0	17.9	11.9
Minerals	23.9	24.2	20.7	13.6	8.7
Aluminium	27.4	26.7	21.2	11.9	6.5
Commercial	21.5	26.0	21.5	17.0	6.6
Copper	16.9	23.8	26.5	14.1	8.6
Finance	25.3	27.8	22.4	11.6	7.7
Human Resources	26.7	24.6	21.3	19.1	5.6
Safety, Tech & Projects	23.8	22.6	24.2	17.1	6.1
Strategy, Sust & Dev	18.5	29.7	23.1	14.4	10.2
Other	26.3	23.0	19.8	12.0	6.2

Figure 8: Confidence that Rio Tinto will make a meaningful difference in relation to racism (% by product group). Base: all respondents (n=10,303); men (n=6,535); women (n=3,420). Question: what is your level of confidence that Rio Tinto will make a meaningful difference in each of the following areas in the next two years?

	Extremely confident	Very confident	Quite confident	Somewhat confident	Not at all confident
Total	22.3	25.2	21.3	15.2	8.5
Australia	18.3	25.3	21.1	18.7	10.0
Canada	32.3	28.0	20.5	9.8	4.6
Mongolia	19.1	22.4	32.9	7.4	6.9
USA	18.7	24.5	17.4	17.7	10.4
South Africa	19.7	15.5	16.4	19.1	14.6
New Zealand	7.8	17.2	26.5	22.6	12.7
Singapore	19.2	23.2	27.6	17.2	6.4
India	49.1	28.0	11.0	5.8	2.5
Serbia	36.7	24.8	18.1	3.7	2.2
Other country	21.9	26.9	18.8	12.1	8.0

Figure 9: Confidence that Rio Tinto will make a meaningful difference in relation to racism (% by country). Base: all respondents (n=10,303); men (n=6,535); women (n=3,420). Question: what is your level of confidence that Rio Tinto will make a meaningful difference in each of the following areas in the next two years?

These data paint an optimistic picture, suggesting Rio Tinto employees will support and respond to courageous leadership in this space. However, there are areas that may require careful attention. In general, women were less confident than men about the prospects for meaningful change across the three harmful behaviour areas. Other specific groups more likely to be 'Not at all confident' about meaningful change being made were:

▶ Respondents who have a long-term health condition or injury.

▶ Respondents who identify as somebody of diverse sexuality or gender.

▶ People who identify as an Indigenous or First Nations person.

3.3 Conclusion

Inclusive leadership is critical for both employee and organisational success. The limitations in leadership capability at Rio Tinto undermine this opportunity. Leadership requires more than technical and operational prowess. Other essential qualities include courage, humility, care, integrity and vision.

Suggestions for strengthening Rio Tinto's leadership capability and increasing the number of courageous leaders are provided in the Framework for Action in Chapter 5.

Chapter 4: Harmful Behaviour and Reporting

4.1 Introduction

An integral aspect of the Project's terms of reference was to examine bullying, sexual harassment, racism and discrimination, as well as people's readiness to report these behaviours. The online survey results reflect the prevalence of these issues, and the qualitative data explores them through the lived experience of Rio Tinto's people. EB & Co found that harmful behaviours are occurring at a significant and unacceptable rate and are having a deleterious impact on Rio Tinto's employees. Interventions to prevent these behaviours and to address them when they occur are required as a matter of urgency.

4.2 Bullying

4.2.1 Background

Workplace bullying is a phenomenon that exists across the globe and in a range of industries and organisations. The International Labour Organisation states that workplace bullying has become so widespread that it represents the greatest threat to success in the workplace.[21] Research has found that bullying affects at least one-third of workers through direct exposure or indirect witness exposure, both of which lead to compromised health, subsequent absenteeism and reduced organisational effectiveness or productivity.[22]

Workplace bullying differs from ordinary workplace conflict, in that it consists of unwelcome conduct[23] that has an intimidating, punishing or frightening effect and infringes upon an employee's personal dignity, self-esteem and life opportunities.[24] When they occur in isolation, these acts can be characterised as uncivil or disrespectful workplace behaviour.

Uncivil and disrespectful behaviour evolves into workplace bullying, however, when it becomes a pattern and occurs consistently over a prolonged period of time.[25]

An integral aspect of workplace bullying also involves an imbalance of power between the perpetrator and the target, where this power imbalance leaves the target unable to protect or defend themselves against further negative behaviours. The hierarchical nature of Rio Tinto and consequent power imbalances mean that risks of abuses of power are very real.

Bullying can include a range of behaviours and manifest verbally, physically, and/or through body language and can be characterised by direct action or a lack of action, for example:

▶ Repeated hurtful remarks or attacks, or making fun of someone's work or someone as a person (including any aspect of their identity).

▶ Excluding someone or stopping them from working with people or taking part in activities that relate to their work.

▶ Psychological harassment including intimidation, belittling or humiliating comments.

▶ Holding back information which someone needs in order to do their work properly.

▶ Pushing, shoving, tripping or grabbing someone.

▶ Initiation or hazing - making someone do humiliating or inappropriate things in order to be accepted.

▶ Physical, verbal or written abuse, including via email or social media.

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21   cited in Australian and New Zealand Mental Health Association, *The Effects on Mind and Body of Bullying in the Workplace* 30 January 2018 at https://anzmh.asn.au/blog/mental-health/workplace-bullying-effects

22   Hodgins, M. MacCurtain, S. and Mannix-McNamara, P. (2020), "Power and inaction: why organizations fail to address workplace bullying", *International Journal of Workplace Health Management*, Vol. 13 No. 3, pp. 265-290. at https://doi.org/10.1108/IJWHM-10-2019-0125

23   Rycroft, A. 2009. "Workplace Bullying: unfair discrimination, dignity of violence or unfair labour practice?" *22nd Annual Labour Law Conference*.

24   Randall, P. 2001. *Bullying in adulthood: Assessing the bullies and their victims*. New York: Brunner-Rouledge.

25   Miller, P. Brook, L. Stomski, N. Ditchburn, G. Morrison, P. 2020, "Bullying in Fly-In-Fly-Out employees in the Australian resources sector: A cross-sectional study" *Public Library of Science 15*(3) at https://www.researchgate.net/publication/340152154_Bullying_in_Fly-In-Fly-Out_employees_in_the_Australian_resources_sector_A_cross-sectional_study

- Continued dismissal of someone's contributions.

- Limiting someone's career progression, despite strong work performance.

- Making of allegations against someone

- Spreading offensive and/or inaccurate rumours about someone.

- Aggressive conduct towards someone, including threats or attacks.

- Victimisation, including for making reports about wider bullying behaviour.

The literature notes that the impact of bullying on the individual includes depression, anxiety, post-traumatic stress disorder, suicidal ideation, chronic pain, sleep difficulties, mental ill-health, headaches, sleep disorders, neck pain, fibromyalgia,[26] and decreased general physical health.[27] Witnesses or bystanders can also be negatively affected by bullying. The organisational outcomes associated with workplace bullying include higher levels of occupational stress, sick leave, absenteeism and job dissatisfaction.[28]

A number of studies have been undertaken in relation to bullying behaviour in the mining and resources industry. Miller et al's 2020 study, *Bullying in Fly-In-Fly-Out employees in the Australian resources sector* found that "the incidence of bullying in Australian FIFO workers has reached alarming proportions."[29] The authors found an elevated level of clinical depression and suicide risk, the prevalence for both of which was substantially higher than in the Australian general population.

Further, they found that supervisors can contribute significantly to the mitigation of bullying, with workers whose supervisors did not promote collaboration almost three times more likely to experience bullying.

Visagie et al's study similarly found high rates of bullying behaviour in a South African mining company. They found that managers or persons in formal positions were reported as perpetrators in the majority of incidents.[30] They also found that, if bullying is left unacknowledged and unaddressed, it can "severely affect efficiency, productivity and profitability through increased absenteeism, staff turnover and poor morale."[31]

4.2.2 What the survey revealed

Respondents to the survey were asked about their experience of workplace bullying in the last 5 years, first with a simple yes/no question and then subsequently by asking about specific inappropriate behaviours that are considered to be workplace bullying. A summary of these results is presented in Figure 10.

Overall, 5311 survey respondents (from a total of 10,303) reported direct experience of bullying in the last 5 years, indicating an overall prevalence of 48.4% among Rio Tinto employees. Female employees were more likely to experience bullying (53.2%, compared with 46.5% of males) (Figure 10), and employees aged 25 years and younger were slightly less likely to experience bullying (Figure 11).

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[26] Fibromyalgia is often accompanied by fatigue and altered sleep, memory and mood.

[27] See eg. Niedhammer, I. David, S. and Degioanni, S. 2006, "Association between workplace bullying and depressive symptoms in the French working population" in *Journal of psychosomatic research*, March vol.61 at https://www.researchgate.net/publication/6906705_Association_between_workplace_bullying_and_depressive_symptoms_in_the_French_working_population; Quine, L. 1999 "Workplace bullying in NHS community trust: staff questionnaire survey" in *BMJ* 1999;318:228 at https://www.bmj.com/content/318/7178/228; Balducci, C. Fraccaroli, F. & Wilmar, B. Schaufeli, B. 2011 "Workplace bullying and its relation with work characteristics, personality, and post-traumatic stress symptoms: an integrated model" in, *Anxiety, Stress & Coping*, 24:5, 499-513 at https://www.tandfonline.com/doi/abs/10.1080/10615806.2011.555533; Nielsen, M. & S.

Einarsen, 2018 " What we know, what we do not know, and what we should and could have known about workplace bullying: An overview of the literature and agenda for future research" in *Aggression and Violent Behaviour* July 42 at https://www.researchgate.net/publication/326193463_What_we_know_what_we_do_not_know_and_what_we_should_and_could_have_known_about_workplace_bullying_An_overview_of_the_literature_and_agenda_for_future_research; Mayhew, C. McCarthy, P. Chappell, D. Quinlan, M. Barker, M. Sheehan, M. 2004 " Measuring the Extent of Impact from Occupational Violence and Bullying on Traumatised Workers" in *Employee Responsibilities and Rights Journal*; September vo. 6, 3 at https://www.researchgate.net/publication/29456758_Measuring_the_Extent_of_Impact_from_Occupational_Violence_and_Bullying_on_Traumatised_Workers.

[28] De Wet, C. 2014 "Educators' understanding of workplace bullying" in *South African Journal of Education*, Vol 4:1 1 February at https://hdl.handle.net/10520/EJC148679

[29] Miller, P. Brook, L. Stomski, N. Ditchburn, G. Morrison, P. 2020. *Bullying in Fly-In-Fly-Out employees in the Australian resources sector: A cross-sectional study*. PLoS Mar 24, Vol: 15(3) at https://pubmed.ncbi.nlm.nih.gov/32208425/

[30] ibid

[31] ibid

Men - 46.5%   Women - 53.2%

Figure 10: Prevalence of Bullying at Rio Tinto by gender (% total employee cohort experiencing at least one of the behaviours). Base: all respondents (n=10,303); men (n=6,535); women (n=3,420). Question: In the last 5 years, have you personally experienced bullying by somebody at Rio Tinto / the business? In the last 5 years have you experienced any of the following [behaviours] at Rio Tinto / the business?
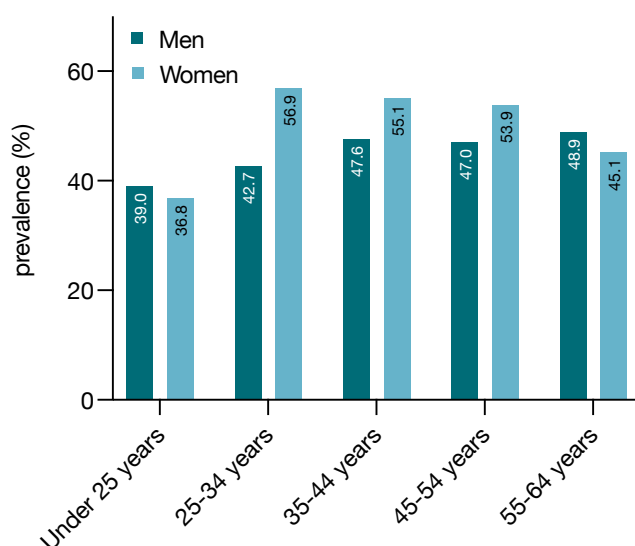
Respondents in Iron Ore (52%), Commercial (50.1%) and Aluminium (49%) reported the highest levels of bullying. Of those, however, only Iron Ore was significantly higher than the average (Figure 3). A similar pattern of increased experience of bullying by female employees was observed across Product Groups, with the exception of Commercial – where men reported higher rates of bullying (51.7%) than women (45%) (Figure 12). Employees in Australia (51.6%) and South Africa (56.3%) were the most likely to experience bullying, with women again experiencing higher rates of bullying than men (Figure 13).

Figure 11: Prevalence of Bullying at Rio Tinto by age (% employee cohort in each group experiencing bullying). Base: all respondents (n=10,303); men (n=6,535); women (n=3,420)
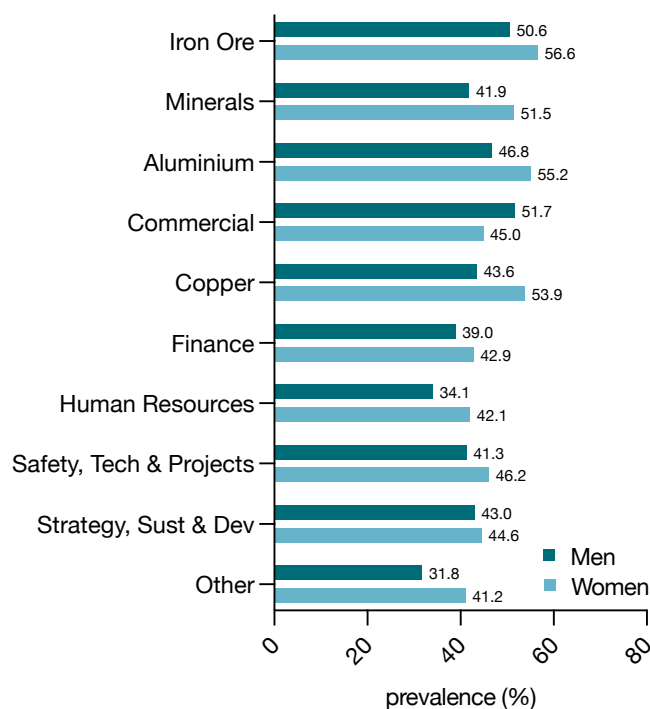
Figure 12: Prevalence of Bullying at Rio Tinto by Product Group (% employee cohort in each group experiencing bullying). Base: all respondents (n=10,303); men (n=6,535); women (n=3,420)

Harmful Behaviour and Reporting
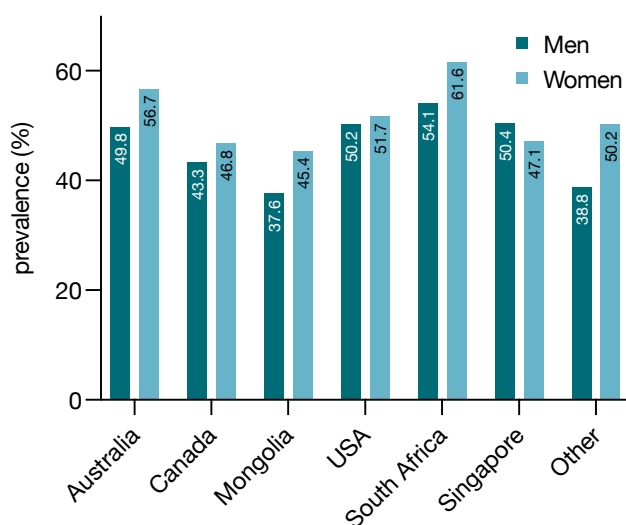
Figure 13: Prevalence of Bullying at Rio Tinto by Country (% employee cohort in each group experiencing bullying). Base: all respondents (n=10,303); men (n=6,535); women (n=3,420)

For both men and women, a man or multiple men were the most common perpetrators of bullying (Figure 14). However, men were likely to have experienced bullying from a man or multiple men (62.3%) while women were more likely to have experienced bullying from a woman or multiple women (26.1%).
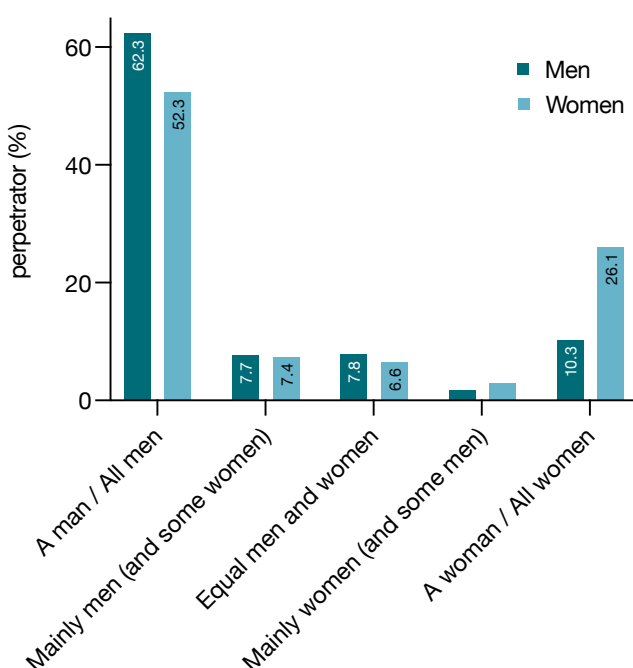

Figure 14: Gender(s) of the perpetrator of bullying by gender (% participants that had experienced bullying in the last 5 years). Base: (n=5,311); men (n=3,194); women (n=1,878).
Question: Thinking about the person(s) involved in the bullying, what was / were their gender(s)?

4.2.3 In their own words

The stories and quotes regarding bullying reflect the findings evident in the wider research. EB & Co heard about a range of bullying behaviours that had been experienced by workers across the different areas of Rio Tinto's business. A consistent theme was that, in many workplaces across Rio Tinto, bullying is normalised. EB & Co heard about the nature and impact of bullying behaviours, including the stark distress and often trauma, that these behaviours caused. Participants spoke of losing confidence, declining performance, suffering anxiety and panic attacks, suffering depression, and having to take leave because of stress from the bullying, as well as the negative impact the experience had on their families.

Comments from participants included:

> This is extremely difficult to write… I was humiliated and then backed into a corner by more than 1 member of this team. I found it hard to go to work ... I cried most nights and I had to start professional help ... The bullying continued for… months... I asked to move teams and now … I have a great team. I wanted to raise this as I do hope things change [as] everyone deserves to be happy and safe in their workplace.

> I've been the subject of bullying and harassment at Rio Tinto, and also since speaking out have found myself in a situation where I cannot progress in my development. I now struggle with self-confidence because I was told I was incompetent... It has taken … months and a new leader to help build me back up to feeling confident in my own abilities once again.

I have personally witnessed bullying behaviours [from] very senior people, and have had other people share their same experiences [in relation to] very senior people. I am not confident that anything will change until we see some changes in the known bullies in our organisation. I have struggled over my time in Rio to be able to talk about this - without feeling like I will be told to "toughen up" and "that's just life in a global miner". If we are really serious about this, we need to look more deeply at some of the individuals.

"

The worst part of… [being bullied]… in the workplace is you don't get over it straight away. You carry part of it with you.

"

After I took part in the bullying, sexual harassment & racism survey I realized that at some stage at work, I had been bullied and experienced sexual harassment, even though at the time it happened, I was not aware….

At work I have observed a high level of disrespect by those who are superiors. The manner they speak to employees can make you feel like you are not a person. It can totally crush you.

I am having issues with bullying from a 2IC, He is often rude, dismissive, abrupt, and talks at me or down to me, will not listen to any concerns I have, and he always finds creative ways to delegate unpleasant tasks for me. My immediate supervisor is ... addressing it, but is not there all the time. I am going to be transferred ...to get away from him. I think this is the only best option.

It saddens me that people are still being subject to inappropriate behaviour to the point of people leaving the business and wanting to leave the business. It also confuses me why people like this are promoted in our business.

I genuinely feel excluded, othered and discriminated based purely on my immutable characteristics. There are leadership programs, professional pathways and job opportunities that are unavailable to me because of my sex and ethnicity.

[The manager] constantly demeans her team members' skills and experience, ignores feedback and undermines team cohesion. I consider myself most fortunate not to have to work for, or with her - but my team members are clearly impacted. Measurable outcomes of her behaviours include very high staff turnover, difficulty in recruiting replacement resources and the actions of her own team to avoid interacting with her... I have raised this ... but the feedback is that as a permanent member of staff, there is little that can be done.

I have seen… a senior manager in my team have numerous people complain about him. I have seen him bully and harass others, and yet Rio Tinto continues to push his career. I don't think he is an outlier for the business either. For some managers of Rio Tinto, being driven and bullying their subordinates as a result of this drive is all too common and [Rio Tinto] seems to reward those who do it, putting them on the right career path.

When [bullying] comes from an employee to employee… one can speak up, but mostly it comes from the top (managers/supervisor). It becomes difficult to stand up because of abuse of power.

My partner experienced many bullying incidents from the same person, which impacted both of our lives …. [It] impacted my partner mentally to the point where she didn't want to go to work and her mental health suffered as a result… She didn't want to report the bullying as she thought it might look negatively against her.

4 Harmful Behaviour and Reporting

One form of bullying within Rio Tinto I have witnessed is the ostracization and lack of respect shown towards employees who have had to take time off work due to serious mental health issues. Such people were viewed as lazy, weak, and emotionally manipulative. This compounded the challenge of any return-to-work efforts by affected personnel. It also acted as a deterrent to anyone else from seeking mental health assistance before their problems became really serious. This bullying was not usually displayed in an explicit aggressive or direct manner towards the affected person, but via indirect ostracization and insults behind the person's back.

> " I experienced some appalling bullying behaviour…The psychological abuse was really bad. I felt so unsafe being in a room with my direct male manager. I discussed it with HR but did not make a formal complaint. I was having anxiety attacks, some of them made me suicidal. "

I am still fearful of the person who bullied me even though he doesn't work in the organization anymore. The culture of the team was really rotten to the core while he was leader…Once that person starts firing your colleagues for speaking out, they have a level of power over you ... These bullies are very good at managing up.

Comments about employees' experiences of exclusion included:

There is a culture of exclusion – I don't feel included. I don't have a place.

When I first started, I was keen to contribute in meetings, and then you just get shut down and ignored so now I just stay quiet.

It really depends on the manager – some I have felt included and free to be myself, others I just try to fly under the radar so I don't get notice.

It is such a masculine environment, it's actually hard not to take on some of that behaviour, because it's the only way you can get by and be included.

> " When you are a graduate, you really are at the bottom of the food chain, and even worse when you're a woman in a male-dominated environment. I've had to seek external support just to survive. "

Exclusion and lack of respect is really creeping in. It affects me badly; it's taken me from high performer to low/no performer.

Combined with the survey data, which shows almost 1 in 2 people have experienced bullying in the last 5 years, the comments from participants suggest that bullying, including exclusion, is a significant and pervasive issue at Rio Tinto, causing significant harm and distress to employees. Bullying is counter to a safety culture. This report makes a range of recommendations on workplace bullying in the Framework for Action in Chapter 5.

4.3 Women's Experiences

4.3.1 Introduction

This section explores the experiences of women at Rio Tinto, as told by female employees. Drawing on these experiences, this section discusses issues relating to everyday sexism and gender inequality – the precursors to sexual misconduct, including sexual assault.

More than one third of all women employed globally at Rio Tinto participated in the Project, either through listening sessions, 1:1 listening sessions, written submissions or the survey instrument. Some spoke of the rewarding experiences they have had at Rio Tinto, in respectful, safe and inclusive environments. They spoke of supportive leaders, cohesive and collaborative teams and the ability to access opportunities, including training and promotion. They described the workplace as "equal", "respectful" and free from discrimination. Comments included:

I have worked at a number of organisations in my time, including mining companies and Rio is by far the best in how it treats women. I have always found people here to be respectful and I don't believe I have suffered in any way because I am a woman.

I have always found Rio Tinto to ensure that everyone gets a fair go, whether they are male or female.

Rio today is a far different organisation than it was when I first started. [At that time] there was a lot of sexism and sexual harassment. I don't see any of that today and I believe that if it occurred it would be dealt with swiftly.

I think the organisation has moved ahead enormously in terms of how women are viewed and treated. I do believe there is equality between men and women at Rio. There may be instances of sexual harassment, but I think that happens in most organisations and is a societal issue. It is not just an issue at Rio.

32 Nevilles-Sorell, J. 2012 *Understanding the Continuum of Sexual Violence* at https://mshoop.org/wp-lib/wp-content/uploads/2016/07/Understanding-the-Continuum-of-Sexual-Violence.pdf

33 Champions of Change 2021 *Disrupting the System: Preventing and responding to sexual harassment in the workplace* at https://championsofchangecoalition.org/wp-content/uploads/2020/09/Disrupting-the-System_Preventing-and-responding-to-sexual-harassment-in-the-workplace_CCI_web-FINAL.pdf The Champions of Change Coalition is a globally recognised, innovative strategy for achieving gender equality, advancing more and diverse women in leadership, and building respectful and inclusive workplaces. In the strategy, men of power and influence step up beside women leaders. They form a high-profile Coalition to lead and be accountable for change on gender equality issues in their organisations and communities – be they local, national or global.

4.3.2 Everyday sexism

For the majority of women, however, their lived experiences in the organisation were very different to those of men and these experiences impacted their ability to thrive. They spoke of everyday sexism, a corrosive and demeaning phenomenon which, when allowed to flourish, can be fertile ground for more serious sexual misconduct to occur. Further, the harm that everyday sexism causes can be both significant and lasting, taking a personal toll on women's self-esteem, their personal relationships and general health. It also perpetuates unhelpful and outdated gender stereotypes and can be an obstacle to women's career progression. Everyday sexism also has organisational impacts.

Sexual harassment occurs across a continuum of behaviours that can begin with everyday sexism. Researcher Nevilles-Sorell writes that:

sexual violence [of which sexual harassment is a form] is an outgrowth of the larger issue of sexism. In order to have an impact on sexual violence a community must take steps that address smaller issues as they relate to the larger issue.[32]

Further, the Champions of Change Coalition states that:

> Sexual harassment sits on a continuum of behaviours and norms that reflect unequal gender power dynamics in the workplace. These behaviours can vary in how they manifest and can occur in isolation or concurrently. Workplace cultures that normalise, tolerate and excuse disrespectful behaviour at oneend of the continuum may lead to more serious issues at the other.[33]

Research notes that everyday sexism can take many forms, including:

▶ Insults masquerading as jokes

▶ Devaluing women's views or voice

▶ Role stereotyping

▶ Preoccupation with physical appearance

▶ Assumptions that caring and careers don't mix

▶ Unwarranted gender labelling

Whilst everyday sexism was not the universal experience of women with whom EB & Co spoke, it featured frequently in many of the discussions with female employees. It was clear that everyday sexism was a key barrier to women's progression and inclusion.

4.3.3 In their own words

EB & Co spoke to Rio Tinto women across the globe about everyday sexism. Men also spoke on the topic. The Team heard, for example, the following comments from male employees:

> There's such a thing as healthy sexism.

> I've only had 2 senior female leaders in 28 years.

> Having women on the team ruined the work environment.

By contrast, the following comments were made by female employees:

> I felt I had to behave in a certain way to meet the men at the table. At what point can we be ourselves and be respected?

> I am the only woman [in my team]. [The men] do not take me seriously. My decisions must go through my bosses and their bosses. If I am the one doing the technical findings, they do not believe me. They do not invite me to meetings or they lie to me.

> Decisions are made informally – say over a beer – and we are not a part of that [informal networking].

"
One man said to me – "It's a biological fact that women are not as good at maths as men. That's why there aren't as many women engineers."
"

It takes a male leader to support you for you to succeed.

I cried myself to sleep for weeks because I was so excluded because of my gender and as a foreigner.

There is a deep-rooted culture that if you are not an alpha male you won't go anywhere.

I am a female operational manager... I do believe Rio Tinto has made much progress, however there is still more to be done. There are some key areas: 1: Belief that women in senior roles are only there due to positive discrimination. 2: Perceived (perhaps) actual discrimination against mothers and expectant mothers…Despite my credentials, I have been called a token woman, and treated that way as well. I have had my opinions negated, and I have many experiences challenged.

[In my location] there is no drive for excellence because women are labelled as under-performers. As a result, it leads to poor performance.

Apparently the majority of women in operations are ball breakers, bitches and pieces of work...There is a sense that women who have children are discounted from promotion, particularly in operations. Rio Tinto has seen a raft of female leaders leave for differing reasons, and this is speculated to be at the crux of it. Women have a glass ceiling hovering [over them], even more so if you are a woman with children. I know of women who have anguished over having to tell their leader that they are pregnant, even if only seeking to take the minimal permitted leave. There is fear that there may not be a job to come back to, or it will be a lesser job.

4 Harmful Behaviour and Reporting

[I have had] a lot of comments about my appearance, motherhood, marital status, gender, competency in relation to my gender, it goes on.

I was only hired because I am a woman, and am not competent in my job. This is the general sentiment, despite my ... degrees.

We have contractors walking in on us in our bathrooms. We have been demanding locks. We could not get a secure toilet. We don't have female bathrooms because we can't lock the doors We've raised the issue and we keep being told there is no money to do this: "Walk across the site to use a different bathroom". The walk can be 20 mins because the site is 2km long. There are [a number of] women on site and no women's only bathroom. No investigations is needed. It just needs to be fixed. The men have two bathrooms..

Comments are made when a female is promoted. You hear the comments and the assumptions that they were only appointed to meet a gender target. It's seen as a token appointment.

> "[Some of the men here say]: "They are shoving women down our throats." "They are less qualified." "I will not hire women. I don't even want to look at their resumes.""

Women often don't get the career progression that they want or deserve or the project they want.

I've seen so much discrimination based on women taking parental leave and having care responsibilities. Some leaders make it incredibly difficult – like deliberately scheduling meetings at 8am, when you are dropping kids at school or childcare, and excluding women from projects.

> "There are older employees known or labelled as "shouters". They often use words such as "shut up woman" to put you off in front of other employees. Why is it that such behaviour is acceptable in a workplace? Why are those individuals labelled as that's "who they are" and nothing is done afterwards."

> "I have been told by a man "you give a woman a job, you take a job from a man, and this is not good for families.""

It is a boy's club. The woman is going to be pushed aside because she is not part of this boy's club. The impact of women's work is minimized. It is hard enough to make it as a woman in a man's factory. If I were a man, I would have moved up faster.

There are micro-behaviours in meetings where I am asked to get the coffee or tea, to take the notes. They target females to do those tasks.

I was informed about a meeting where only the men were invited, and all the women stayed in the office. I felt discriminated against by the manager promoting this practice.

I had another colleague in management who would constantly bring up that I had extra weight, would ask me if I ran, if I was on a diet and so on.

We are doing things backwards. We want to give the impression that we are inclusive, but as far as I know, there are no women's washrooms in this plant.

When I went to my work area, there was an employee who was known for his [harmful] behavior. I was told, "Don't mind him. That is just the way he is".

I would not recommend Rio Tinto as a place to work for female friends or colleagues.

The Champions of Change Coalition has conducted extensive research on everyday sexism. Their report, *We Set the Tone: Eliminating Everyday Sexism* observes that everyday sexism is:

the little things, said or done in a moment, that play into stereotypes of gender. Perceived as too small to make a fuss about, we let it pass. At other times there is no question that it oversteps the mark. In our contexts, everyday sexism also comes into play at critical decision points affecting the progress and careers of women and men, influencing who to appoint, develop, sponsor, reward or promote. Everyday sexism is frequently invisible, and often accepted. Because it is hard to speak up when it occurs, it continues unchecked.[34]

Tackling everyday sexism and disrespectful behaviour when it occurs will minimise the risk of sexual harassment occurring in the first place. Further eliminating everyday sexism enables organisations to:

▶ Break down the barriers to different career pathways and opportunities for leadership for women.

▶ Tap into the full pool of talent available.

▶ Include diverse voices, thinking, perspectives and experience in workplaces to create optimal performance.

4.3.4 Sexual harassment

Statutes and laws around the world describe sexual harassment as conduct of a sexual nature which is unwanted or unwelcome and which has the purpose or effect of being intimidating, hostile, degrading, humiliating or offensive.[35] At an international level, sexual harassment has been recognised and addressed by the International Labour Office, the International Confederation of Free Trade Unions, the European Union and the United Nations Committee on the Elimination of Discrimination Against Women. Under the Convention on the Elimination of all forms of Discrimination against Women (CEDAW), sexual harassment has been described as:

unwelcome sexually determined behaviour [such] as physical contact and advances, sexually coloured remarks, showing pornography and sexual demand, whether by words or actions. Such conduct can be humiliating and may constitute a health and safety problem; it is discriminatory when the woman has reasonable grounds to believe that her objection would disadvantage her in connection with her employment, including recruitment or promotion, or when it creates a hostile working environment.[36]

In terms of who experiences and perpetrates sexual harassment, studies have overwhelmingly demonstrated that most reports of victimisation are by women and concern experiences of harassment from men. Around 85% of complaints are filed by women and around 15% by men (where most perpetrators are male).

The targets of sexual harassment are often vulnerable people: young women, women with irregular or precarious employment contracts, women in non-traditional jobs, divorced or separated women, Indigenous and First Nations women, women with disabilities, lesbian women and women from culturally and linguistically diverse communities, gay men and young men.

Sexual harassment is more common in some organisational contexts than others. Studies consistently show that sexual harassment is more prevalent in male-dominated occupations and work contexts, than in gender-balanced or female-dominated workplaces.

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[34]   ibid

[35]   The Australian Human Rights Commission, *Sexual Harassment: An overview* at https://humanrights.gov.au/our-work/part-1-sexual-harassment-overview

[36]   Committee on the Elimination of all forms of Discrimination Against Women, *General Recommendation 19* (1992), para 18 at http://www.un.org/womenwatch/daw/cedaw/recommendations/recomm.htm

This is compounded by organisational environments that are hierarchical, and where cultural norms are associated with sexual bravado and posturing, as well as denigration of feminine behaviours. Research demonstrates that sexual harassment is more pervasive in organisations where there is low acceptance of the challenges of balancing work and family and where the culture is job or performance-oriented, rather than employee-oriented.[37] Research also records a low level of reporting and a prevailing narrative that women bring false claims.[38]

Over the last few years, sexual harassment and sexist behaviours have dominated headlines around the globe. Galvanised by movements such as #MeToo, #LetHerSpeak, #TimesUp, #BalanceTonPorc, #NotYourHabibti, #Teknisktfel, #QuellaVoltaChe, #YoTambien, and the exposure of high-profile perpetrators, women around the world are speaking up about the unacceptability of all forms of sexual misconduct. Further, as the Harvard Business Review, observes:

> The recent tsunami of media stories about sexual harassment signals the deep need for a cultural reset in the workplace, one that will require all organizations to put in place new processes and new training. Leaders and managers simply cannot afford to maintain the status quo.[39]

In Australia the report, *Respect@Work: Sexual Harassment National Inquiry Report* (2020) prepared by the Australian Human Rights Commission, laid bare the prevalence and impact of sexual harassment and the failure of many organisations to minimise risks and respond to survivors in effective and meaningful ways.

Similar research on sexual harassment and sexual misconduct more broadly has been conducted to varying degrees in Canada[40], the USA[41], Iceland[42], Serbia[43], New Zealand[44], the United Kingdom[45], South Africa[46], Mongolia[47] and Madagascar.[48] The findings emanating from this research are common: sexual harassment is pervasive in workplaces; it primarily impacts women; men are primarily the perpetrators; and the survivors rarely report the behaviours.

The impacts of sexual harassment can be profound and long-lasting. They include significant psychological effects, including anxiety, depression, fear, shame, headaches, sleep disorders, weight loss or gain, nausea, lowered self-esteem and sexual dysfunction. There are also job-related costs, included job loss, decreased morale, decreased job satisfaction, decline in performance, increased absenteeism and damage to interpersonal relationships at work.

Drawing on the Project's qualitative and survey data, the following discussion indicates that sexual harassment occurs at unacceptably high levels at Rio Tinto and that its impacts are significant. Of concern, were the experiences of sexual assault disclosed anonymously through written submissions to the Project Team. EB & Co acknowledges that initiatives are underway to prevent and respond to sexual harassment and sexual assault and EB & Co urges Rio Tinto to implement these, as well as the recommendations contained in this report, as a matter of urgency.

37 Gruber, J. 'The impact of male work environments and organizational policies on women's experiences of sexual harassment' (1998) 12(3) *Gender and Society*, pp. 301-320; Illies, R. Hauserman, N. Schwochau, S. and Stibal, J. 'Reported incidence rates of work-related sexual harassment in the United States: using meta-analysis to explain reported rate disparities' (2003) 56(3) *Personnel Psychology*, pp. 607-618; McCabe, M. and Hardman, L. 'Attitudes and perceptions of workers to sexual harassment' (2005) 145(6) *The Journal of Social Psychology*, pp. 719–740; Willness, C. Steel, P. and Lee, K. 'A meta-analysis of the antecedents and consequences of workplace sexual harassment' (2007) 60(1) *Personnel Psychology*, pp 127-162. [68] Chamberlain, L. Crowley, M. Tope, D. and Hodson, R. 'Sexual harassment in organizational context.' (2008) 35(3) *Work and Occupations*, pp. 262-295; De Haas, S. and Timmerman, G. 'Sexual harassment in the context of double male dominance' (2010) *European Journal of Work and Organizational Psychology*, 1st March. [70] Handy, J. 'Sexual harassment in small-town New Zealand: a qualitative study of three contrasting organizations' (2006) 13(1) *Gender, Work & Organization*, pp. 1-24; Timmerman, G. and Bajema, C. 'Incidence and methodology in sexual harassment research in northwest Europe' (1999) 22(6) *Women's Studies International Forum*, pp. 673–681.

38 Australian Institute of Family Studies 2017 *Challenging misconceptions about sexual of ending: Creating an evidence-based resource for police and legal practitioners* at https://apo.org.au/sites/default/files/resource-files/2017-09/apo-nid107216_1.pdf

39 Quick, J.C. and McFadyen, M.A. 2018. *Bad Behavior Is Preventable: Manage high-risk employees and stop problems before they happen. Harvard Business Review*. 2 February at https://hbr.org/2018/02/bad-behavior-is-preventable.

40 Eg. https://www.canada.ca/content/dam/canada/employment-social-development/services/health-safety/reports/workplace-harassment-sexual-violence-EN.pdf

41 Eg. https://timesupfoundation.org/work/times-up-impact-lab/times-up-measure-up/publications/

42 Eg. https://english.hi.is/news/one_in_four_women_has_been_raped_or_sexually_assaulted

43 Eg. https://www.osce.org/files/f/documents/2/6/473253.pdf

44 Williams, C. 2003 "Sexual harassment and human rights law in New Zealand'' in *Journal of Human Rights* Vol 2:4, 573-584 at https://www.tandfonline.com/doi/abs/10.1080/1475483032000137147?journalCode=cjhr20

45 Eg. https://yougov.co.uk/topics/politics/explore/issue/Sexual_assault_Sexual_harrassment?content=articles

46 Steele, S.J. Abrahams, N. Duncan, K. Woollett, N. Hwang, B. O'Connell, L. et al. 2019 "The epidemiology of rape and sexual violence in the platinum mining district of Rustenburg, South Africa: Prevalence, and factors associated with sexual violence." *PLoS ONE* 14:7 at https://journals.plos.org/plosone/article?id=10.1371/journal.pone.0216449

47 Duin, J. 2020 "Living While Female in Mongolia" in *FP (Foreign Policy)* at https://foreignpolicy.com

48 Eg. IndustriALL Global Union. 2020 *Fighting gender inequality and violence in Madagascar* at http://www.industriall-union.org/who-we-are

4.3.5 What the survey revealed

Survey participants were asked about their experience of workplace sexual harassment in the last 5 years, first with a simple yes/no question and then by asking about specific inappropriate behaviours that are considered to be workplace sexual harassment. A summary of these results is presented in Figure 15. Overall, 1,444 respondents (from a total of 10,303) reported direct experience of sexual harassment in the last 5 years, indicating an overall prevalence of 11.2% among Rio Tinto employees, with women significantly more likely to experience sexual harassment than men (28.2% of female employees, compared with 6.7% of males) (Figure 15). Women in younger age groups (34 years and younger) experience significantly higher incidence of sexual harassment than women 35 years and older (Figure 16).

Figure 16: Prevalence of Sexual Harassment at Rio Tinto by age. (% employee cohort in each group experiencing sexual harassment). Base: all respondents (n=10,303); men (n=6,535); women (n=3,420).

Overall, respondents in Iron Ore (13.8%), Strategy, Sustainability & Development (13.5%), and Copper (12.9%) reported the highest levels of sexual harassment, with women in all groups more likely to experience sexual harassment than men (Figure 17). Women in each country were more likely to experience sexual harassment but, overall, employees working in Australia were more likely to have experienced sexual harassment in the last five years (12.9%) (Figure 18) compared to the overall prevalence of 11.2% among all employees.

Men - 6.7%   Women - 28.2%

Figure 15: Prevalence of Sexual Harassment at Rio Tinto by gender. (% total employee cohort experiencing at least one of the behaviours). Base: all respondents (n=10,303); men (n=6,535); women (n=3,420). Question: In the last 5 years, have you personally experienced sexual harassment by somebody at Rio Tinto / the business? In the last 5 years have you experienced any of the following [behaviours] at Rio Tinto / the business?
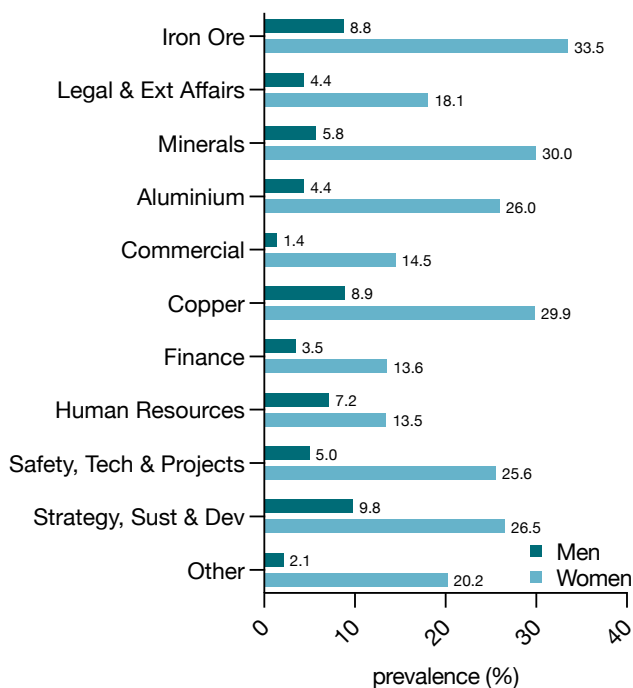
Figure 17: Prevalence of Sexual Harassment at Rio Tinto by Product Group. (% employee cohort in each group experiencing sexual harassment). Base: all respondents (n=10,303); men (n=6,535); women (n=3,420).
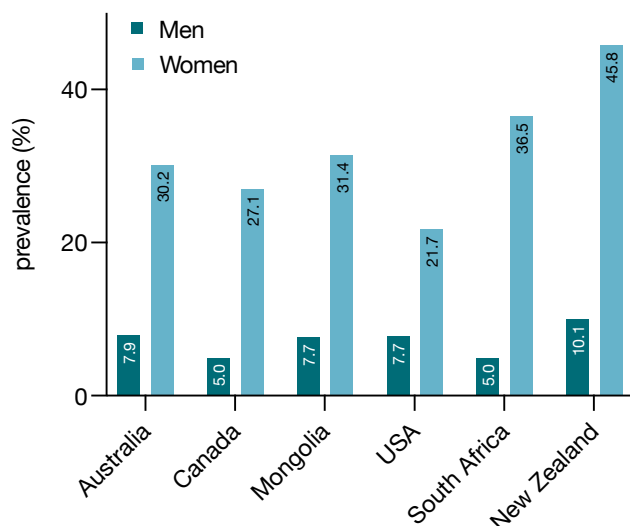
For both men and women, a man or multiple men were the most common perpetrators of sexual harassment (Figure 19). Men were likely to have experienced sexual harassment from a woman or multiple women (20%) while women were more likely to have experienced sexual harassment from a man or multiple men (90.3%).
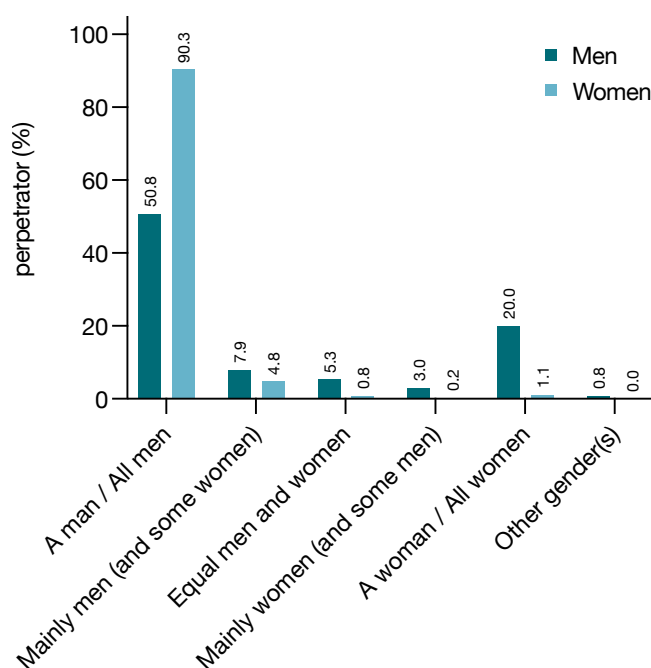
Figure 19: Gender(s) of the perpetrator of sexual harassment by gender (% participants that had experienced sexual harassment in the last 5 years). Base: (n=1,444); men (n=462); women (n=928). Question: Thinking about the person(s) involved in the sexual harassment, what was / were their gender(s)?

Figure 18: Prevalence of Sexual Harassment at Rio Tinto by Country (% employee cohort in each group experiencing sexual harassment). Base: all respondents (n=10,303); men (n=6,535); women (n=3,420).

4.3.6 In their own words

Some employees told EB & Co that they had neither experienced nor witnessed sexual harassment. For men, in particular, this was the case. Through listening sessions, 1:1 interviews and written submissions, however, EB & Co heard about experiences of sexual harassment from women across all levels of the organisation. The vast majority of these women had never reported their experience. Whilst some of the experiences were historic, others were relatively recent (i.e. over the last 3 years). Both men and women were concerned that sexual harassment still existed in the organisation and were very supportive of Rio Tinto's efforts to address the issue.

The following quotes provide a snapshot of employees' comments:

When I first started [here], one of the men ... asked me for a blow job. I told his direct report and leader who said "I'm sure he was just joking. We'll make sure you're not alone with him".

Rio's culture towards women has come a long way - from overt sexual harassment to sincere well-intentioned yet immature policy. We can do better.

As a senior woman, I complained about sexually harassing behaviours being inflicted on younger women. Nothing happened. The harasser was promoted and the women left.

Five years ago, we had an unofficial list of individuals – certain leaders – that we shouldn't have early morning or late night meetings with. They would say you should make an excuse – it's an informal protection for women. Some of these leaders are still in the organization. The way you responded could be detrimental to your career.

> There is a high prevalence of sexual harassment and we just have to suck it up.

In [this place] there is a lot of sexual harassment and sexism. There are a lot of older men and younger women.

> As soon as you walk through the door of the company, you are stressed by the idea of meeting the perpetrator of sexual harassment. This stress creates anxiety, fear of going to work, and all our concentration is drained by this fear. We can no longer concentrate on our work because we feel in danger. We get tired, and the lack of concentration prevents us from carrying out our tasks, and this can cause us psychological [problems], tensions, worries and fatigue.

4 Harmful Behaviour and Reporting

A supervisor came in and said a female employee distracted him because of her button-up shirt. Her shirt was not even low cut.

> [Sexual harassment] impacts women every day. It sticks with you. You have to look at what you are going to wear so you don't get those comments.

A number of male employees believed that allegations of sexual harassment can be detrimental to the alleged perpetrator. For example, EB & Co heard:

We can't hang, draw and quarter some men just over misunderstandings.

Everyone is innocent until proven guilty. We can have a situation where a bloke might not realise he is out of line and then make accusations at him and assume he is guilty of some heinous crime.

At the same time, the EB & Co heard particularly distressing experiences of sexual harassment from women in FIFO camps:

[I have a] fear of violence. [There are] catcalls, advances made in camp when you are alone. The initial reaction is politeness, then men can get verbally abusive. Comments from senior males such as, "she was asking for it", "she shouldn't go to the wet mess", "why is she wearing that". Walking to room in camp … men calling to me to join them for drinks. Me politely declining. Then being called a frigid bitch etc. Aggression is scary, there were 5 of them, big, strong males, and they were just outside my door. I felt intimated and unsafe.

I had to walk past the bar, literally 1m from the bar on a path approx 50m long to get to my room. The men would sit on the stools and watch every single female that walked past. Some made comments. Some just stared … "what's a hottie like you doing here" and "do you come here often?" and "god damn!"… I would pretend I was on my phone and… would call my husband and say 'I'm walking past the bar please stay on the phone'. I ended up feeling so uncomfortable that I started making sure I had a buddy to walk to dinner and back with every single night - even when it wasn't dark. …... I love my job and I love being on site, but something as simple as the lay out of the camp could have made my time on site more bearable.

> [As] a victim of sexual harassment in the workplace, I was left to not only solve and manage … the problem myself, but was also left in a hostile work environment with zero support from my management team to assist me in the situation leaving me feeling unsafe and vulnerable … I was never asked for a statement, was never reached out to by HR, and was never given any formal information of the discussions had…

> "The incident ultimately led to me changing roles entirely in order to not only get away from the individual, but also to get out from beneath management that clearly didn't have my wellbeing as top priority for them."

> "I'm not surprised women feel unsafe. Guys go into women's rooms. There is bad lighting. Why can't we have security cameras? I think it's pretty piss poor for our women here. Are we willing to put our people first or just put locks on our doors?"

There is no way I will go the mess or the gym when it's full [of men]… I often bring my dinner back to my room and eat in here, or just skip it altogether.

[Where I am] the sexual harassment…is very subtle - the comments, the jokes, the sexualized environment.

I have been approached [in a sexual way] by leaders a number of times and never reported it.

Rio Tinto is undertaking a number of strategies to address sexual harassment and sexual assault. These reflect a strengthened commitment from senior leadership to stamp out these behaviours. Of note is the establishment of the ERT, which has the prevention and response to sexual harassment as a priority. Leadership commitment to addressing sexual harassment was articulated by the Chief Executive of Iron Ore in the submission to the Western Australian Inquiry into *Sexual Harassment Against Women in the FIFO Mining Industry*:

Being a leader requires a disruptive shift in this area. With this aspiration in mind:

1. *We are rethinking our approach to the prevention of sexual harassment, through the lens of safety and health, and in particular creating a positive onus to prevent such conduct. We are working to strengthen preventative strategies.*

2. *We acknowledge that all of us have a duty to prevent and respond to sexual harassment. We are engaging leaders across our global business to help them understand the nature and drivers of sexual harassment.*

3. *We support implementing respectful transparency to help drive foundational change.*

4. *We are working to empower our people (those directly impacted as well as bystanders) to speak up and take action.*

5. *We are listening to our people and thinking of new ways to provide support for anyone who has been impacted.*[49]

As well as these commitments, Rio Tinto is reviewing its policies, including in relation to sexual harassment and sexual misconduct. It is understood that the intent of this review is to, among other things, reduce the number of policies and ensure that they are people-centric, as well as accessible to all. The policies will be based on global principles and they will include a positive onus to prevent harm to Rio Tinto employees.

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[49] Rio Tinto Submission to *Western Australian Parliamentary Inquiry into Sexual Harassment Against Women in the Fifo Mining Industry* 13 August 2021

Significantly, Rio Tinto supports the approach that work health and safety legislation can be utilized to drive meaningful change on sexual harassment in the workplace. In this regard, it believes that sexual harassment should be treated as a safety issue. In its submission to the *Inquiry into Sexual Harassment Against Women in the FIFO Mining Industry*, Rio Tinto stated:

> *From a cultural perspective, health and safety is a concept with which mining companies and workers have a high level of familiarity. For example, safety risk management processes are clearly defined, and workplace discussion about safety is normalised. Positioning sexual harassment as a safety matter can assist in making it "everyone's business" rather than it being perceived as a Human Resources issue which needs to be addressed between individuals.*

Sexual harassment is an issue that requires strong and immediate intervention, including a robust prevention and response approach. Sexual harassment – and, indeed all forms of sexual misconduct - harms individuals, divides teams and undermines operational effectiveness and capability. It is also imperative that survivors are provided with appropriate support. Recommendations regarding addressing sexual harassment are included in the *Framework for Action* in Chapter 5.

4.4 Racism

4.4.1 Introduction

According to the United Nations Convention on the Elimination of All Forms of Racial Discrimination, "racial discrimination shall mean any distinction, exclusion, restriction or preference based on race, colour, descent, or national or ethnic origin which has the purpose or effect of nullifying or impairing the recognition, enjoyment or exercise, on an equal footing, of human rights and fundamental freedoms in the political, economic, social, cultural or any other field of public life.[51]

Racism takes many forms and can happen in many places. It includes prejudice, discrimination or hatred directed at someone because of their colour, ethnicity or national origin. Racism can be revealed through people's actions, as well as their attitudes. It can also be reflected in systems and institutions. Racism is more than just words, beliefs and actions. It includes barriers that prevent people from enjoying dignity and equality because of their race.

Racism can be intentional or unintentional, conscious or unconscious. Sometimes well-intentioned people can do or say something racist, even though they do not realise. Everyday racism reinforces negative stereotypes or prejudices about people based on their race, colour or ethnicity. Like everyday sexism, it is often expressed through off-hand jokes or comments. Everyday racism can relate to and be expressed as:

▶ racism about someone's appearance (such as noting that an Indigenous or First Nations person has fair skin)

▶ racist slurs and jokes

▶ assumptions and stereotypes (such as assumptions about work ethic; assumptions that a person only has a job because of their race; assumptions that a person is not assertive or ambitious because of their race or ethnicity)

▶ not being taken seriously (such as someone being treated as less capable)

▶ someone being seen as a threat or dishonest

▶ someone being looked down on (including their performance being more highly scrutinized)

For Aboriginal and Torres Strait Islander, Indigenous and First Nations people and people from racially diverse backgrounds, racism manifests in two primary ways: institutional (or systemic) racism and interpersonal racism.

Racism was a topic that emerged during the Project from employees across many Rio Tinto locations. Whilst a number of employees stated that they had neither experienced nor witnessed racism in their workplace, many others spoke of different and negative experiences. The survey data and the direct quotes, both of which are presented below, reveal the experiences of racism as told by employees.

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[51] ibid

[51] Office of the High Commissioner for Human Rights (UN Human Rights) *International Convention on the Elimination of All Forms of Racial Discrimination* https://www.ohchr.org/en/professionalinterest/pages/cerd.aspx 21 December 1965 entry into force 4 January 1969

4.4.2 *What the survey revealed*

Survey participants were asked about their experience of workplace racism in the last 5 years, first with a simple yes/no question and then by asking about specific inappropriate behaviours that are considered to be workplace racism. A summary of these results is presented in Figure 20. Overall, 1300 respondents (from a total of 10,303) reported direct experience of racism in the last 5 years, indicating an overall prevalence of 11.7% among Rio Tinto employees. Female employees experience slightly lower rates of racism (10.1% of female employees compared with 11.6% of males) (Figure 20).

Analysis of racism prevalence in a global survey is challenging as important local nuances and national context are difficult to capture. However, racism is clearly being experienced at significantly higher rates among key specific groups of Rio Tinto employees. For example, employees working in a country different to that of their birth experience much higher rates of racism than their colleagues working in the country of their birth (Figure 21). In Australia, 15.1% of foreign-born employees experienced racism in the last 5 years, compared with 10.9% of Australian-born employees. Similar patterns were observed in Canada, where 14.7% of employees born elsewhere experienced racism compared with just 4.3% of employees born in Canada, and the USA where 18.3% of foreign-born employees experienced racism compared with 8.4% of employees born in the USA.
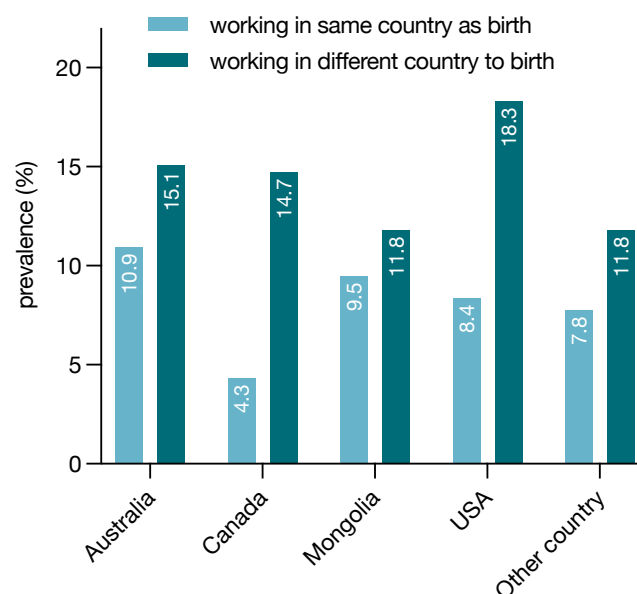

Men - 11.6%   Women - 10.1%

Figure 20: Prevalence of Racism at Rio Tinto by gender. (% total respondents experiencing at least one of the behaviours). Base: all respondents (n=10,303); men (n=6,535); women (n=3,420). Question: In the last 5 years, have you personally experienced racism by somebody at Rio Tinto / the business? In the last 5 years have you experienced any of the following [behaviours] at Rio Tinto / the business?

Figure 21: Prevalence of Racism at Rio Tinto among employees working outside their country of birth. (% total respondents experiencing at least one of the behaviours). Base: all respondents (n=10,303).

Australian Aboriginal and Torres Strait Islander employees of Rio Tinto experienced significant rates of racism over the last 5 years, with both Aboriginal and Torres Strait Islander men (39.8%) and women (31.8%), reporting higher rates compared to non-Aboriginal and Torres Strait Islander men (12.4%) and women (8%) (Figure 22).
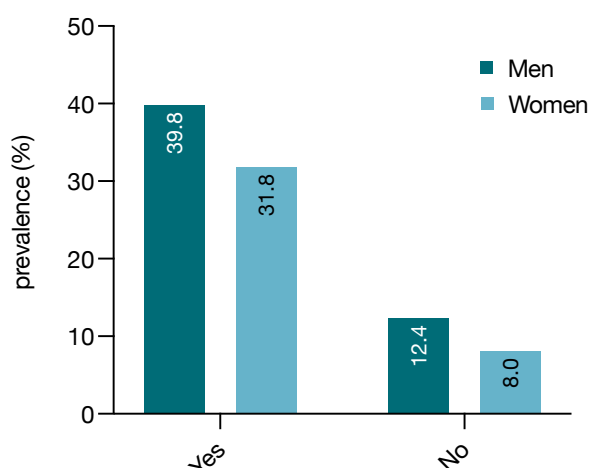
Broadly similar rates of racism were experienced across age groups (Figure 23).

Across Product Groups and functions, the highest rates of racism were experienced by male employees in Iron Ore (14.4%), Legal/External Affairs (17.2%) and Strategy/Sustainability/Development (12.1%), and by men and women working in Minerals (13.1% and 15.4% respectively) (Figure 24). Male and female employees in South Africa experienced the highest rates of racism (34.5% and 33.8% respectively), and male employees in Australia were more likely to experience racism (13.6%). Women in Mongolia were more likely than men to experience racism (12.2% vs 9.1% prevalence). (Figure 25).
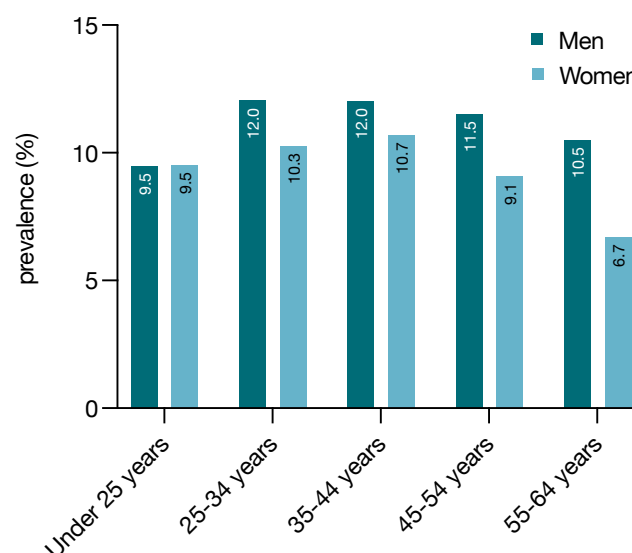
Figure 22: Prevalence of Racism at Rio Tinto in Australia by Aboriginal and Torres Strait Islander status (in the last 5 years). (% employees in each group experiencing at least one of the behaviours). Base: Australian respondents (n=5458); men (n= 3466); women (n= 1849). Question: Do you identify as somebody who is an Indigenous or First Nations person in the country or place where you work?

Figure 23: Prevalence of Racism at Rio Tinto by age. (% total respondents experiencing at least one of the behaviours). Base: all respondents (n=10,303); men (n=6,535); women (n=3,420).
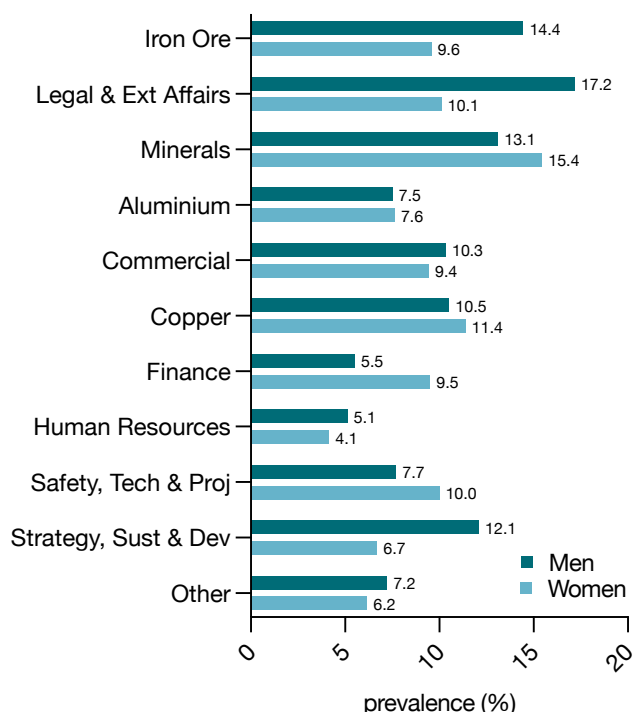
4 Harmful Behaviour and Reporting

Figure 24: Prevalence of Racism at Rio Tinto by Product Group. (% total respondents experiencing at least one of the behaviours). Base: all respondents (n=10,303); men (n=6,535); women (n=3,420).
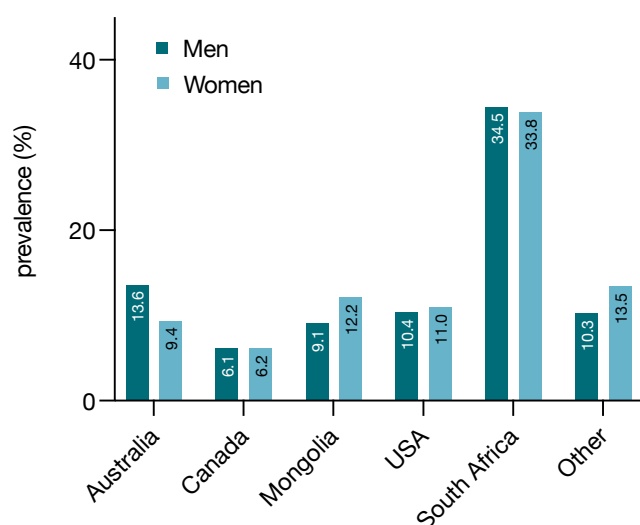
For both men and women, a man or multiple men were the most common perpetrators of racism (Figure 26). However, women were more likely to have experienced racism from equally men and women (23.4%). Other notable differences, those working in Finance (34%) and Canada (28%) were more likely to experience racism from equally men and women.
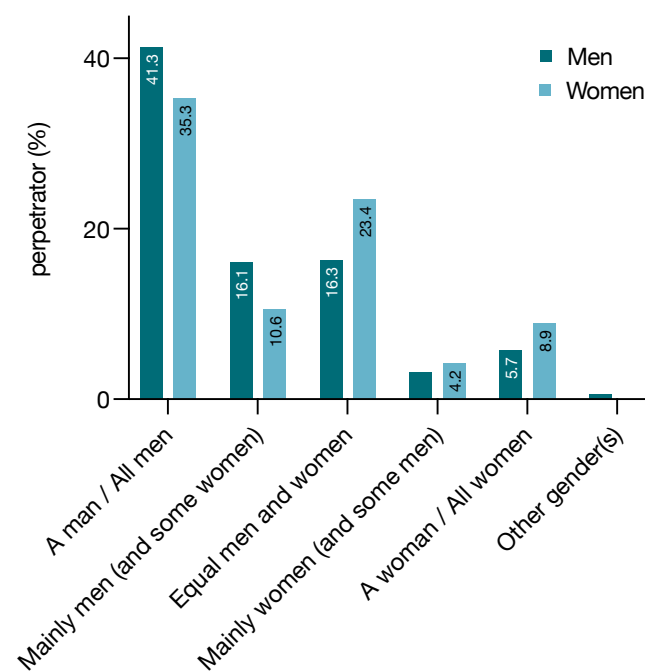

Figure 26: Gender(s) of the perpetrator of racism by gender (% participants that had experienced racism in the last 5 years). Base: (n=1,300); men (n=462); women (n=928). Question: Thinking about the person(s) involved in the racism, what was / were their gender(s)?

Figure 25: Prevalence of Racism at Rio Tinto by Country. (% total respondents experiencing at least one of the behaviours). Base: all respondents (n=10,303); men (n=6,535); women (n=3,420).

4.4.3 In their own words

Some employees told EB & Co that racism was not part of their workplace experience at Rio Tinto. They spoke of collaborative and generally harmonious workplaces, where everyone was treated equally and with respect. Among the comments made to the Project Team:

I haven't encountered racism here. I have never felt I was treated any differently because of my race.

I think Rio has come a long way in terms of addressing racism. When I first started there were subtle comments and I often felt left out and overlooked. But I do believe that has changed now.

Rio is a company of racial and cultural diversity. I think we are all treated the same and have the same opportunities to succeed here.

> "
> We have a good workplace where everyone works well together and gets on. We have people from many backgrounds in the team and we all treat each other with respect.
> "

Others, however, related different experiences. They spoke of the frequency and impacts of racism, including impacts on their confidence, self-esteem and work performance. There was a strong view that, in some parts of Rio Tinto, racism is "normalised" and "not acted upon." It was also suggested that cultural awareness training can often be delivered in a general way, presenting the myriad of races and cultures represented at Rio Tinto as homogenous, rather than accounting for diversity and differences. To that end, the training was not considered to be representative of the experiences of each race or culture.

Employees told the Project Team:

> "
> I've copped racism in every single corner of this company.
> "

> "
> We see racism everyday but no action is ever taken against those perpetrating it.
> "

> "
> I hear regular derogatory comments to our face like "let's get the coons to do a rain dance". They say it straight to us and don't even blink an eye
> "

I've heard so many times "He only got the job because he's Indigenous"

We tolerate far more racism than we should.

A lot of people don't even know they're being racist.

There are indirect comments made as small as "your food smells a lot" but when it keeps happening its problematic.

> "
> I was told "your English is not perfect enough to run the meeting.
> "

> Some people try to make a big thing about my language. They try not to understand me. I speak 5 languages but sometimes I don't know how to make them understand. I really don't think they want to speak to me.

Constant everyday racism - it's never ending, and it's disgusting.

Racism happens here every day, every week, and it's not just one person.

Racism does not always target a specific person and is often not intended to cause any offence or harm. The lack of intent, however, does not minimise the impact of racism. There are significant and serious impacts of racism, including anxiety, depression, and low self-esteem. EB & Co heard from employees about low self-worth, regularly feeling shame and hopelessness as a direct result of racism and racist exclusionary behaviour.

> [As an Indigenous person] the supervisors make you feel hopeless, like you can't do anything.

> I feel so proud to work for Rio, but it doesn't feel like they're proud I work for them.

It's continuous, it affects your work, it damages people.

They make you feel like you're nothing, really small.

You're always questioning yourself, are you good enough?

It's hard to know how to seek help or get attention when there's a problem. It's not in our nature to speak up.

Most incidents are subtle or covert, not enough to report through proper channels, but enough to impair one's self-confidence, self-worth and mental well-being over the long term. Most days I try to find ways to cope – it is hard and psychologically draining.

I was victimised because of my skin colour. I suffered a lot.

4.4.4 Mongolian, Asian heritage, Black North American and Black South African employees - in their own words

EB & Co heard specific stories of racism against Mongolian employees, employees of Asian heritage, Black South African and Black North American employees.

Key themes included being overlooked for career opportunities and training/development; a feeling from many employees that they had to prove themselves to a greater extent than their Caucasian colleagues; and several stories of jokes, comments and everyday racism, along with an unwillingness to speak up for fear of making the situation worse, or no action being taken:

As an Asian employee, I've experienced racism, age discrimination and bullying a few times, most from my leader, and everyone pretended not to see or hear it.

My manager was giving out stationary to everyone in the team and said to me "now don't sell this in the market".

Managers will condescend [to] employees and tell them that they won't get any promotions because they are illiterate.

I'm expected to act as a subordinate, both as a woman but also as a woman from a non-Caucasian background.

Racism is evident because the treatment is not the same amongst blacks/white employees. We blacks are not trained on how to execute the job but other ladies of different colour are shown how to perform the job and learn better than the rest.

> "This bunch of monkeys have no idea what they are doing" (said to an Indian employee about an outsourced Indian team).

[As an Asian woman] I've experienced lack of respect for me as an individual, lack of acceptance as an employee, lack of opportunities as a professional.

There is a bigger glass ceiling for Asian women, even though I'm based in Asia. At a more junior level, opportunities are open to everyone, but the more senior you get, there is definitely a bias against Asian women.

I've hidden my food when eating with others because they usually make racist comments.

Rio is definitely a boy's club, but it's also a white women's club as well.

There is a lack of respect among those in leadership positions, especially for blacks. It is worse [for them] than in other racial groups.

I do have a personal experience where racism is concerned. I was victimised because of my skin colour. I suffered a lot.

Racism still exists at [this location]. As a result of it some people have lost motivation to come to work. They come to work just to gain an income.

Once I've said something they [fellow employees and managers] repeat it much slower and louder. It undermines my confidence.

> As a black woman, there are subtle limitations for career progression – we have to fight for promotion.

> The white people are far more progressed in their career. All of the black people from my cohort have left Rio.

As a black young graduate, I have experienced racism/age discrimination, disrespect & bullying from whites & [other groups]. When someone is being assertive and standing up for themselves they are then oppressed whether they are qualified for the position or not. As a result, a person prefers to ignore the treatment and remain silent for fear of not getting a promotion by the manager concerned or getting a [poor] recommendation by the instigator should promotion becomes available.

Rio is a Caucasian oriented company.

4.4.5 Australian Aboriginal and Torres Strait Islander Peoples, Māori, Indigenous and First Nation Canadians

Through the 21 listening sessions with Aboriginal and Torres Strait Islander Australians, New Zealand Māori peoples and Indigenous and First Nations Canadian Peoples, the issue of racism was frequently raised. In most cases, employees told EB & Co of extremely challenging experiences of racism and discrimination, impacting on their ability to thrive and succeed at Rio Tinto. A common thread was that they felt that they did not have a voice and that their experiences were not validated. Further, the experiences described by employees identifies that racism excludes, marginalises, and disadvantages employees.

In addition, employees spoke of having few leaders who were Aboriginal and Torres Strait Islander, Indigenous, First Nations or Maori, and in the words of one employee:

> *When there is no-one like us in a leadership role, no role model, it limits your sense of having something to work towards.*

Another observed:

> *There is a lack of understanding and respect from management [towards Indigenous employees], which filters down into the crew. This makes poor behaviour socially acceptable.*

Racism was reported as often being indirect, for example being overlooked for training and development opportunities and limited career progression, or more obvious forms of abuse such as verbal abuse, exclusion from conversation and activities, bullying, racial slurs and jokes.

EB & Co is aware of a number of initiatives that Rio Tinto has implemented specifically in relation to Indigenous Australian employees and in relation to supporting local communities.

These include:

▶ The 2018 – 2022 Australian Indigenous Strategy, which outlines Rio Tinto's vision of equal opportunities for current and future generations of Indigenous and First Nations Australians. The strategy is based upon five strategic themes: land use agreements; talent, education and training; economic development and wealth creation; land and cultural heritage stewardship; and recognition, advocacy and industry leadership.

▶ Rio Tinto Iron Ore Indigenous employment strategy. This strategy focuses on the sustainable growth of Rio Tinto's Indigenous and First Nations workforce, particularly people from Aboriginal communities in the Pilbara, and the development of an inclusive workplace that supports attraction, development and retention of Indigenous employees.

The strategy outcomes include:

– Meeting employment goals set out within land use agreements.

– Reduction in turnover of Indigenous and First Nations employees.

– Increased representation of Indigenous and First Nations employees in leadership roles.

– Year-on-year increase of Indigenous and First Nations employees.

– Meeting the automation challenge, by preparing Indigenous employees for post-automation roles.

▶ Weipa Indigenous employment and training strategy. Rio Tinto's Weipa operations are the region's largest employer, with 25% Aboriginal and Torres Strait Islander representation across their workforce. The Weipa Indigenous employment and training strategy defines long-term sustainable commitment to increasing the participation, retention and advancement of local Aboriginal people, and includes:

– Development.

– Inclusion.

– Diversity.

– School to work pathways.

Weipa operations have a 15 year partnership with the local Western Cape College, which supports an Indigenous employment focus and boosts employability for local students through school-to-work pathways.

▶ RTIO Aboriginal training and support programme, which supports the development of Aboriginal employees, with a focus on transitioning Traditional Owners into non-skilled, semi-skilled and skilled roles, and provides a pathway for further employee development.

▶ Indigenous Talent Review, which operates across sites in the Pilbara, and is a program which identifies high potential people for coaching, mentoring and upskilling them for leadership roles.

EB & Co commends these initiatives but nonetheless found that racism, disrespect and a lack of opportunities for Aboriginal and Torres Strait Islander, Indigenous and First Nations employees continues to exist in a number of locations across Rio Tinto. EB & Co felt a collective level of distress among Aboriginal and Torres Strait Islander, Indigenous and First Nations employees as a result of these experiences. This was borne out in the survey data and, in particular, the group listening sessions.

4.4.6 In their own words

The comments to EB & Co from Australian Aboriginal and Torres Strait Islander Peoples, Māori, and Canadian First Nations Peoples detailed experiences of racism and consequent impacts of low self-worth, feelings of disrespect, loss of confidence and shame. Lack of opportunities was also a frequent theme. Examples of these comments included:

The minute my boss found out I was Indigenous, all my training stopped.

I'm the lowest paid in the workshop but I've been here the longest, relied on to do all the training.

Being a female in the workplace is a huge factor. Being an Indigenous female is an extra challenge.

Other Māori I work with have learned to accept [racism] and keep quiet.

With training opportunities Indigenous people are down the bottom of the list. When I ask them why, they always have some good comeback.

A lot of Aboriginal guys miss opportunities because they're trying so hard to fit in and not stand out.

Some of the supervisors – how they speak to our young people, how racist they are – causes so much shame. These kids often leave.

People are not aware of how much it impacts us, the mental scars. I'm angry, wound up like a clock.

We need more Indigenous people being developed for leadership - nurturing and fostering them to develop their careers and become leaders.

4 Harmful Behaviour and Reporting

We have mob who have been sitting here for [many years] and they are not looked at for leadership. It's a self-esteem, self-worth thing. We need to get this part right ... We can't keep going with the disrespect, belittling and racism at Rio.

> ## You do things by the book and get nowhere, but if you do speak up or make any noise about racism or discrimination, you're the problem.

If we speak up, we get shot down. So we tend to bottle it up until it comes out in a bad way and reflects badly on all of us.

The bad leadership and bullying from supervisors is causing people to leave, and it's affecting productivity.

The supervisors make you feel dumb and call you idiots.

I was asked in a meeting, "What percentage of you is Indigenous?" I found it embarrassing and demeaning to have to justify who I am in front of a group of people.

I do not fit into the traditional mould of an Indigenous person which means I'm often privy to conversations which are derogatory and disrespectful towards Indigenous people. This has happened countless times in my employment at Rio Tinto, but also lots of times during my career. Hearing people make these types of statements are common in the workplace, when conversation is believed to be outside the presence of a First Nations person.

You're a number at work. Your contribution is not valued. They walk past me in the corridor and only come to me if they need Indigenous advice.

Nothing has changed in 14 years. You raise things above, but nothing changes below.

In 31 years in the mining industry, I've only ever had one superintendent who was an Aboriginal man.

It's good to have these sessions, and it is starting to feel like Rio is more accepting of Aboriginal women, more sought after now than ever before.

We need to empower our mob to speak up. We tolerate too much racism and poor behaviour, especially the younger ones.

We need more Aboriginal leaders.

We need to get together more to provide support for the young ones, and a sense of community for everyone.

Isn't it sad that in 2021, after Juukan, that we have to continue to fight against racism. We are fighting against institutionalized racism here [in this location]. I take my hat off to the mob that have been here over 10 years. To sit with the bull.... over so many years is so hard.

> ## I've been here [a number of] years, and this is the first time I've ever been asked about my experience with racism and discrimination.

In relation to Aboriginal and Torres Strait Islander employees specifically, overwhelmingly they told EB & Co that they felt proud to work for Rio Tinto but, after the destruction of Juukan Gorge, also felt deeply conflicted. They shared stories of having to "justify" to their friends, communities and families as to why they continued to work for Rio Tinto. There was a shared sense that the trauma for Aboriginal people caused by the destruction of Juukan Gorge was going to last multiple generations and that there needed to be a safe place to talk and heal. This trauma was exacerbated by some non-Indigenous employees seeming to lack understanding of why this incident had such a far-reaching and deleterious impact on all Aboriginal employees.

There were a number of comments about the lack of respect, not only for employees, but for the land itself, its history, and connection to Aboriginal and Torres Strait Islander culture:

True Cultural awareness is lacking among leaders.

Rio needs to know a lot more about Culture - a lot of non-Indigenous people don't understand our Culture - what it means, how we connect with the land but also our family, our relationships. It means that they get questioned when they shouldn't.

Leaders break rules around respect for local country, on [their] fishing and camping trips without permission of traditional owners.

There's a lot of anger at Rio in my family because of past and current behaviour.

Sites with bigger numbers of Aboriginal staff handle this stuff better. There is more opportunity for cultural exchange.

There is no understanding of our Culture and things like extended family. We are continually questioned when we have to take leave for funerals for example, because leaders just don't get it, and then they make jokes and bully us about the leave.

Supervisors use the threat of termination - "you've had too much leave. Your attendance is not where it needs to be."

Many of us come from small communities and they just throw us in the deep end.

It can be difficult to wear a Rio Tinto badge in Western Australia, especially in the Pilbara.

EB & Co heard that the inclusive culture of a team, access to training and career development, and employees treatment overall was a" leadership lottery". Many commented on the need for leaders, managers and supervisors to show greater empathy, care and compassion:

I felt like I kept hitting a brick wall, wanted training opportunities and nothing happened for over 5 years. Now I'm at a different site with different leadership and I've already done my CertIV and had the chance to step-up.

It's a total lucky dip as to whether you get a good supervisor or a bad one.

There are no Aboriginal people on interview panels.

There are no Aboriginal supervisors, and that makes a huge difference.

Blackfellas have to work twice as hard to get any recognition. People are here for 2 decades and not in leadership roles. It impacts on all our self-esteem.

I can't see any opportunity for promotion or to move through the company.

Lack of understanding and respect from management, which filters down into the crew - makes poor behaviour socially acceptable.

I'm quite fair, so I've been asked a few times "how Aboriginal are you? Are you a half caste, quarter caste or one sixteenth caste" and if crew don't' know I'm Aboriginal, they will talk negatively about our mob in my presence, even using the n-word.

Many Aboriginal and Torres Strait Islander employees commented that the "only way" into Rio Tinto is through a traineeship, regardless of your level of education:

> There is a stigma that you can't get into Rio other than through a traineeship. This includes people who have degrees and who have worked in other organisations. It's very hard to get direct entry jobs.

> There is a cookie-cutter approach to traineeships, when we all learn differently. It would be better to at least tailor some of the training for different learning styles, especially when for many our first language is not English.

> Our mob who have degrees have to come in on a traineeship whereas whitefellas go through a recruitment process for other entry-level jobs. It's not right.

> The thing that smacked me in face when it comes to racism in the employment space is that we have a lot of skilled people who are applying for a traineeship because they cannot get into Rio unless they come in through a traineeship program. People studying degrees applying for a traineeship? This really upset me. Why should they come through an aboriginal pathway? Our mob have skills.

Combined, this powerful feedback from across the Project signals that work is required to cement a truly safe, respectful and inclusive culture across Rio Tinto. Taking steps to address everyday racism and associated discrimination will not only improve the psychological safety and wellbeing of Rio Tinto's workforce but ensure that the organisation leverages the full range of skills and capabilities across its diverse workforce. Suggestions for building and securing a truly inclusive workforce, free of everyday racism and discrimination, are provided in the Framework for Action in Chapter 5.

4.5 LGBTIQ+ Discrimination

4.5.1 Introduction

Many employees from lesbian, gay, bisexual, transgender, intersex and queer (LGBTIQ+) communities continue to face discrimination, discomfort and exclusion in the workplace.[52] Eighty-one countries prohibit discrimination in employment because of sexual orientation, including Australia, Canada, France, Germany, Mexico, The Netherlands, Switzerland, the UK and the USA.

According to a report by Catalyst, almost half (46%) of LGBTIQ+ workers in the United States are "closeted" in the workplace, and nearly two thirds (59%) of non-LGBTIQ+ employees believe it is "unprofessional" to discuss sexual orientation or gender identity in the workplace.[53] These figures are similar for Australian workplaces, with only 32% of Australian LGBTIQ+ employees "out" to everyone with whom they work.[54]

Similarly, a recent Canadian survey found that one third of gay men (34%) and two-in-five women who identify as lesbian (40%) have experienced some form of discrimination throughout the course of their professional lives. As with many countries in which Rio Tinto operate, the average Canadian workplace has become better and more inclusive for LGBTIQ+ people, with most employers and co-workers regarded as "tolerant" towards the LGBTIQ+ community. A sizeable proportion of LGBTIQ+ people who are not "out" in the workplace are concerned about social exclusion, harassment and being passed over for promotion, in turn affecting a sense of belonging and productivity.[55]

[52] McKinsey and Co. *LGBTQ+ voices: Learning from lived experiences* 25 June 2020 at https://www.mckinsey.com/business-functions/people-and-organizational-performance/our-insights/lgbtq-plus-voices-learning-from-lived-experiences

[53] Fidas, D. and Cooper, L. 2019. *A workplace divided: Understanding the climate for LGBTQ workers nationwide*. Human Rights Campaign Foundation at https://www.hrc.org/resources/a-workplace-divided-understanding-the-climate-for-lgbtq-workers-nationwide

[54] Diversity Council of Australia *Out at Work: From Prejudice to Pride* at https://www.dca.org.au/research/project/out-work-prejudice-pride

[55] Angus Reid Institute. 2011 *Most LGBT Working Canadians Experience Tolerance But Some Discrimination Persists* at https://angusreid.org/most-lgbt-working-canadians-experience-tolerance-but-some-discrimination-persists/

In a recent study, McKinsey reported that coming out is more difficult for people outside Europe and North America. For example, while three-quarters of North American respondents and 78% of European respondents were broadly out at work, only 54% of respondents from other regions reported being out with most of their colleagues.[56]

McKinsey also reported that people who identify as LGBTIQ+ are underrepresented in corporate environments, especially male-dominated environments. Many report being an "only" in their organisation or on their team—such as the only lesbian or the only trans or gender fluid person. Being an "only" can fuel anxiety and isolation and can result in other disadvantages. For example, employees who identify as LGBTQ+ often lack role models who share this.[57]

EB & Co heard of a number of instances of homophobia, particularly from employees stating that they either didn't feel safe being "out" at work; or that their bullying and harassment was made worse because they were "out". It also heard about , the feeling of being "the only one" or, to quote a Rio employee "the only gay in the village", particularly on mine sites/camps. Conversely, EB & Co heard stories of acceptance, particularly in corporate office sites, and the positive impact that the THRIVE network has had for LGBTIQ+ pride and inclusion at Rio.

4.5.2 What the survey revealed

Survey results revealed that LGBTIQ+ employees at Rio Tinto experience significantly elevated rates of bullying (56%), sexual harassment (19%) and racism (17%) compared with those who do not identify as LGBTIQ+ (47%, 11%, and 11% respectively) (Figure 27). Notably, those employees who "prefer not to say" if they identify as LGBTIQ+ also experience significantly elevated rates of bullying, sexual harassment and racism (see methodology).
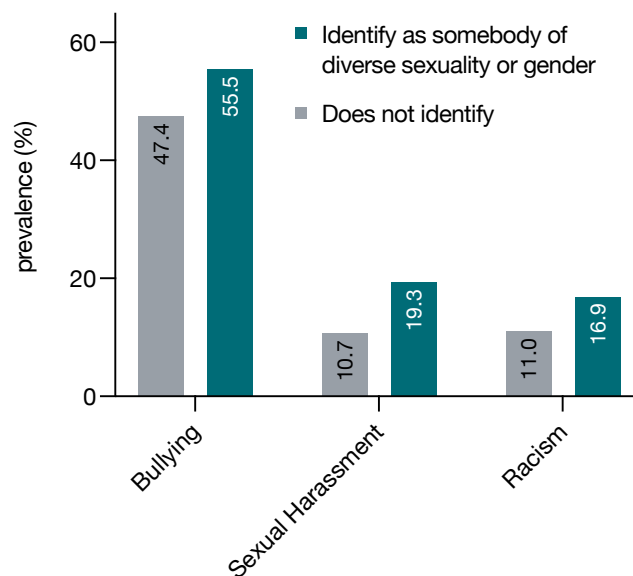

Figure 27: Prevalence of Bullying, Sexual Harassment and Racism at Rio Tinto among LGBTIQ+ employees. (% employees in each group experiencing at least one of the behaviours). Base: all respondents (n=10,303). Question: Do you identify as somebody of diverse sexuality or gender?

4.5.3 In their own words

Listening sessions and 1:1 interviews across the Project reflected a diversity of experiences and observations about inclusion of employees who identify as LGBTIQ+. For example:

When I was at the site, everyone was very accepting of LGBTIQ+ staff. My gay and lesbian friends never complained to me.

The corporate environment is generally accepting of gay men, but it's a totally different story on the mine sites.

As the quote directly above indicates, however, this was not the majority of experiences for Rio Tinto employees who identified as LGBTIQ+.

I was helping someone on the plant and he said over the [phone] loudspeaker to his friend "The girl who looks like the boy is the one helping me".

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[56] ibid
[57] ibid

I was bullied over and over again "you look like a boy" - it made it so much harder to come out.

I wouldn't dare come out here, I know I would be bullied and teased, maybe even physically harmed. I just don't trust these guys.

I've definitely made myself more masculine. There is an unhealthy masculine energy.

I'm out to a few of my colleagues ... but feel like I'm the only gay guy in the building, even though Rio supports Pride month.

As a lesbian, I'm often treated like one of the guys – they share their fantasies with you and are not afraid to make vulgar comments in front of you. Heaps of comments that "you just haven't met the right guy" and instances of men wanting to come back to your room. I didn't feel unsafe though. It was just frustrating.

> "
> It's hard to speak up against jokes because I'm not senior, I'm a person of colour and gay – way too many barriers.
> "

These comments suggest that the same hyper-masculine norms and culture that can fuel everyday sexism and sexual harassment can also fuel heterosexism. In addition to addressing bullying, sexism, sexual harassment and racism across its workforce culture, therefore, an opportunity exists for Rio Tinto to ensure that the inclusion and safety of employees who identify as LGBTIQ+ is also firmly at the centre of this cultural reform.

4.6 FIFO/DIDO Worksites

Survey results revealed different experiences of bullying, sexual harassment and racism by men and women working at different Rio Tinto sites. Female employees working on FIFO/DIDO (56.3%) or residential operating assets (58.4%) were more likely to experience bullying than their male colleagues (44.5% and 51.2% at FIFO/DIDO and residential sites respectively) (Figure 28). Among all subgroupings analysed, the highest rates of bullying were reported by a small group of respondents who preferred not to disclose specific demographic information (see methodology).
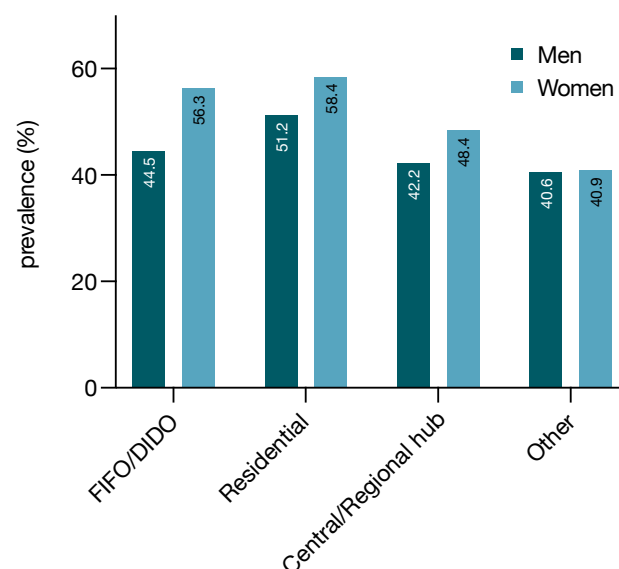

Figure 28: Prevalence of Bullying at Rio Tinto by worksite definition (% employee cohort in each group experiencing bullying). Base: all respondents (n=10,303); men (n=6,535); women (n=3,420. Question: In the last 5 years, have you personally experienced bullying by somebody at Rio Tinto / the business? / In the last 5 years have you experienced any of the following [behaviours] at Rio Tinto / the business?)

Women on FIFO/DIDO (43.1%) and residential (31.4%) worksites experienced significantly higher rates of sexual harassment than men (Figure 29). High rates of sexual harassment were also experienced by a small group of women who preferred not to disclose other specific demographic information (see methodology), potentially indicating more concerning behaviour in smaller or more confined operational locations.
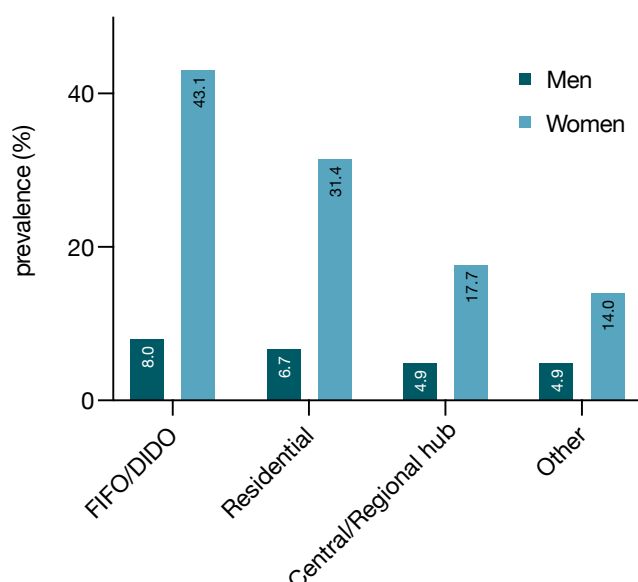

Figure 29: Prevalence of Sexual Harassment at Rio Tinto by worksite. (% employee cohort in each group experiencing sexual harassment). Base: all respondents (n=10,303); men (n=6,535); women (n=3,420). Question: In the last 5 years, have you personally experienced sexual harassment by somebody at Rio Tinto / the business?. In the last 5 years have you experienced any of the following [behaviours] at Rio Tinto / the business?

Men and women working on FIFO/DIDO worksites experienced relatively higher rates of racism (13.1% and 12.4% respectively) (Figure 30). Some of the highest rates of racism across all subgroupings were experienced by a small group of men and women who preferred not to disclose other specific demographic information (see methodology).
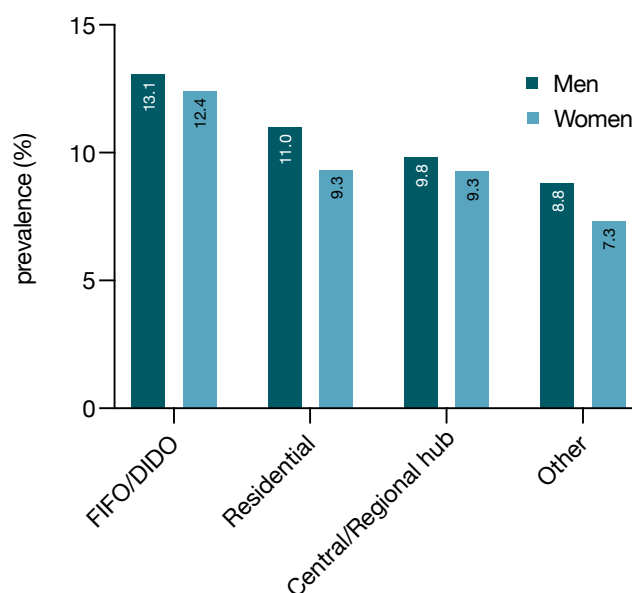

Figure 30: Prevalence of Racism at Rio Tinto by worksite definition. (% total respondents experiencing at least one of the behaviours). Base: all respondents (n=10,303); men (n=6,535); women (n=3,420). Question: In the last 5 years, have you personally experienced racism by somebody at Rio Tinto / the business? / In the last 5 years have you experienced any of the following [behaviours] at Rio Tinto / the business?

The different culture of the Rio Tinto sites was raised in many listening sessions, particularly by FIFO employees. The experiences of FIFO employees in relation to bullying, sexual harassment and racism feature extensively throughout the quotes in this Chapter, but it is important to emphasise people's perceptions of the overall culture. Much of the negative aspect of the culture, as reported by FIFO employees, relates to the treatment of women and people of colour, including Indigenous and First Nations people. Specifically in relation to bullying, however, men and women of all backgrounds told EB & Co that they had experienced this behaviour, observing that:

> *There is a culture of entitlement in the FIFO camps. The demographic is white male. Our culture is closed, we don't want anyone to come in. It's quite toxic. There are some positives around collaboration, wanting to improve and learn and grow but we don't want to let anyone else in.*

The culture that exists on site is a deterrent to women to pursue a technical career because they don't want to be on site. There is a feeling that they're going to have to put up with this stuff… The office environment is a safer environment. We need to change the culture on site so women don't feel threatened.

4.7 Contractors

4.7.1 Introduction

Equally, it is important to highlight the specific experiences of personnel who are not employees of Rio Tinto but who work as contractors on remote worksites. EB & Co conducted four listening sessions with contractors, including housekeeping and cleaners, catering, hospitality and bar staff, administration staff and gym trainers. Whilst EB & Co acknowledges that its examination of the experiences of contractors was limited, it was able to make a number of observations, including that there is a stark difference between the experiences of men and women, much like the difference in experiences in FIFO workers. It also observed that contractors are treated differently to Rio Tinto employees.

4.7.2 In their own words

Comments provided to EB & Co from contractors included:

I manage contractors. I find that a lot of Rio Tinto employees bully contractors…. It's so easy to get another contractor. The power imbalance is so extreme.

What does bullying of a contractor look like? It looks like you are screaming and yelling at them in front of other Rio Tinto employees "You're just a contractor". Don't come into our tearoom it's a Rio tearoom. Go to the substandard one. You're just a contractor.

The treatment of contractors is not good. If I raise the point about contractors I am told no. The people who are Rio Tinto employees are getting money for their jobs but the contractors are doing all the work.

Yes, we do experience bullying more often. Contract workers are victims and in most cases they are scared to voice out their complaints as they fear that their contract would be terminated or not renewed.

Employees feel superior to contractors, there's less accountability around behaviour towards contractors.

In housekeeping we get abused by people all the time.

We are always told to report [sexual harassment] but [if we do] the girl is always removed.

Everyday there is sexual harassment to women bar staff.

We don't feel safe but we are not taken seriously.

The shut crew are groping you as you are taking your trolley around the camp. They bring their own grog in. I'm a cleaner and I clean up so many cartons of beer, bottles.

The satisfaction and experiences of contractors should be evaluated. This could be done by using the Rio Tinto People Engagement survey and adapt it for contractors. To have a full picture of contractors' experiences, every site would need to administer the survey. This would strengthen transparency and lead to better treatment of contractors.

The sessions with contractors revealed that women face considerable challenges during their time at work, including sexism, verbal abuse and sexual harassment. EB & Co considers that a more comprehensive, independent examination of the experiences of contractors should be undertaken to identify whether they are safe and respected in their workplace, particularly in the camps.

4.8 Reporting Incidents

4.8.1 Introduction

As indicated in Chapter 2, Rio Tinto has a strong safety culture. This includes a commitment to creating an organisational climate which ensures that employees can report near misses, incidents and accidents openly and honestly.

Rio Tinto acknowledges that a strong reporting culture is essential in order to monitor safety and to learn in a continuous way. It states:

> *we continue to report, investigate and learn from PFIs [potential fatal incidents]. In 2020, we introduced the PFI rapid sharing and learning system, which ensures lessons from PFIs are shared directly with all leaders – approximately 3,500. Detailed learnings are also shared when each PFI investigation is complete. In addition, the executive leader for each business unit conducts a 'deep dive' on the incident to ensure the underlying causes are well understood and the right follow-up measures are identified and tracked – to completion – to prevent a future occurrence.*[58]

The critical role of leadership is recognised in Rio Tinto's commitment to creating a good reporting culture around safety. When leadership does not create a strong reporting culture, it can present risk. As it has been noted:

> *The role of management in developing and supporting a reporting culture is paramount.*
>
> *The main barriers to reporting accidents, incidents and near-miss[es] include:*
>
> ▶ *the fear of being blamed, disciplined, embarrassed, or found legally liable,*
>
> ▶ *unsupportive management attitudes such as complacency about known deficiencies,*
>
> ▶ *insincerity about addressing safety issues, and*
>
> ▶ *discouragement of reporting of near-misses.*[59]

EB & Co acknowledges Rio Tinto's strong commitment to reporting safety issues and near misses. It considers that this same commitment should extend to creating a safe reporting environment for those who experience harmful behaviour and therefore are at risk of experiencing psychological harm. This includes, for example, those who bring valuable information to the organisation about sexual harassment, bullying, racism and other forms of discrimination. By doing so, they are reducing risk and creating a safer workplace for all.

A good reporting system is one that empowers employees to report their experiences of harmful behaviour; obtain the support that they need; and feel confident that their report will be taken seriously.

Rio Tinto has a number of avenues for an employee (or contractor) to report an incident of harmful behaviour. These include reporting through an immediate supervisor or manager; reporting through Human Resources; and reporting through the newly established myVoice, which has replaced previous models known as Talk to Peggy and Speak Out. myVoice is overseen by the Business Conduct Office. The myVoice procedure states that:

> *Anyone who has concerns or information relating to misconduct or improper circumstances or behaviours connected to Rio Tinto may raise such issues under this Procedure. This includes, just to name a few, current and former employees, contractors, suppliers, service providers, trainees, joint venture partners, members of the communities where we operate, and also their partners, dependents and relatives.*[60]

myVoice is a confidential whistleblower programme. Its scope is broad and includes concerns about behaviours of individuals, including suspicion of violations of Rio Tinto's policies and standards, human rights, safety, environmental, financial reporting, fraud or business integrity issues in general.

Ways to raise a confidential concern include:

▶ Log a report on the myVoice Hotline website

▶ Call myVoice Hotline on the numbers available on the myVoice Hotline website

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58 op cit

59 Tap Into Safety. *How Do You Develop Your Organisation's Reporting Culture?* at https://tapintosafety.com.au/how-do-you-develop-your-organisations-reporting-culture/

60 Rio Tinto. *Group Procedure: myVoice Procedure* 15 March 2021 at https://www.riotinto.com/-/media/Content/Documents/Sustainability/Corporate-policies/RT-myVoice-procedure.pdf?rev=2cbe8ac252964fc0a78219fcfbee72e0

▶ Email the Business Conduct Office directly at: myvoice@riotinto.com

▶ Talk to any member of Ethics & Compliance or Legal, who will escalate the matter to the Business Conduct Office.

There is also an option for anonymous reports to be made. The myVoice model is designed to provide a confidential, safe reporting option. Its confidentiality and anonymous provisos are designed to create a safe reporting environment and to encourage people to come forward. Investigations are instigated following a review by the Business Conduct Office. Importantly, the Procedure states that myVoice:

> *will endeavour to provide [complainants] with appropriate progress updates, as necessary, subject to legal, privacy, and confidentiality considerations, and you will be informed when the case is ready to close.*

The Procedure also provides that Rio Tinto will protect a complainant from detrimental conduct or retaliation arising from the complainant making a report.

Whilst myVoice has a critical role to play as a confidential reporting system for Rio Tinto, EB & Co considers that it will also be necessary to establish a trauma-informed, more people-centric entry point to rebuild trust in the reporting systems for instances of complex interpersonal harm. The information from the listening sessions, interviews, written submissions and the survey shows that reporting of harmful behaviours through the formal reporting channels is extremely low for these types of issues. This suggests that Rio Tinto does not have a safe reporting culture in relation to highly sensitive interpersonal matters.

In EB & Co's experience, there are often low levels of trust in formal reporting processes across different organisations, a pattern similarly evident at Rio Tinto. This is also not inconsistent with traditional whistleblower programs that are are utilised for dealing with harmful behaviour matters. Disruptive thinking and approaches are needed to provide other options so that people can have more choice and empowerment. There needs to be support for structured, early intervention and human-centred responses.

Creating an environment where people feel confident to come forward is a priority. Feeling safe to speak up is not something that any formal reporting system can fix in isolation. The feeling of safety is the outcome of a respectful and inclusive workplace environment, where employees are confident that they will be supported by the organisation if they choose to speak up. The following discussion explores the issue of reporting incidents of harmful behaviour at Rio Tinto, as told to EB & Co by employees.

4.8.2 *What the survey revealed*

Among Rio Tinto employees who have experienced bullying in the last 5 years, fewer than 1 in 3 (29.1%) of those reported the most recent incidence of bullying, with most reports made though informal channels. Women were more likely to have reported (35.9%) than men (27.1%) (Figure 31). Other subgroups with reporting rates below the total include people working at an operating asset (Fly in Fly out or Drive in Drive out) (26%), and people who identify as an Indigenous or First Nations person (23%).
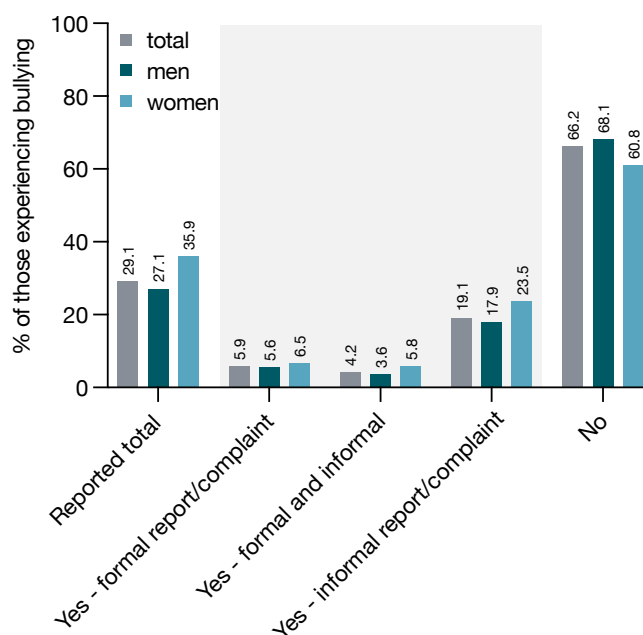

Figure 31: Reporting rates for the most recent incidence of bullying. Base: Participants that had experienced bullying in the last 5 years (Total n=5,311; Men n=3194; Women n=1878) Question: Did you make a formal or informal report / complaint about the most recent incidence of bullying you experienced?

Of those instances where bullying was reported, the most common reporting channels were their own team leader (65.6%), another leader (39.4%), or a Human Resources team member (25.5%). Only 7.5% of those who did report used an internal formal reporting process (i.e. Talk to Peggy, myVoice). Women were more likely to have reported the most recent incidence of bullying to a Human Resource team member (30.6%) (Figure 32).
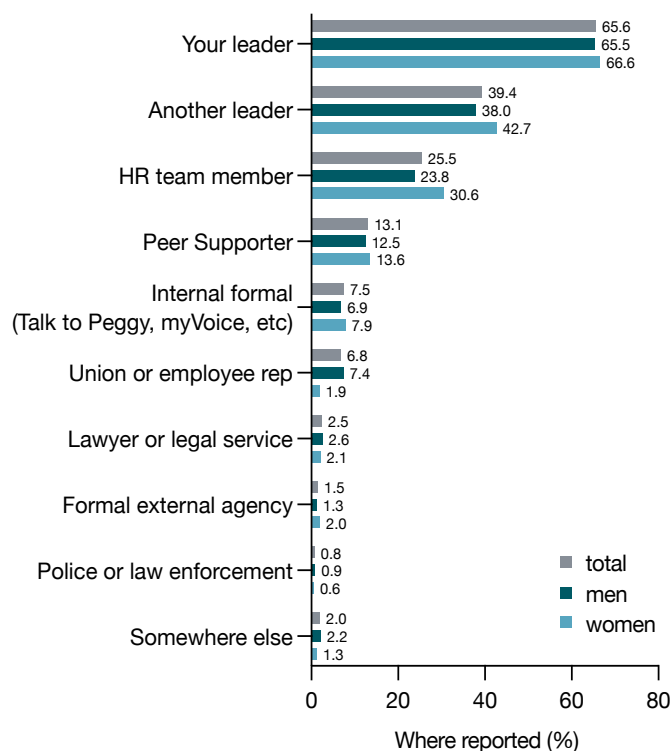
The reporting rate of sexual harassment was substantially lower than for bullying. Only 1 in 8 (12.8%) Rio Tinto employees who have experienced sexual harassment in the last 5 years reported the most recent incident. Women were more likely not to report the most recent incidence of sexual harassment (83%), compared to men (75.9%) (Figure 33)
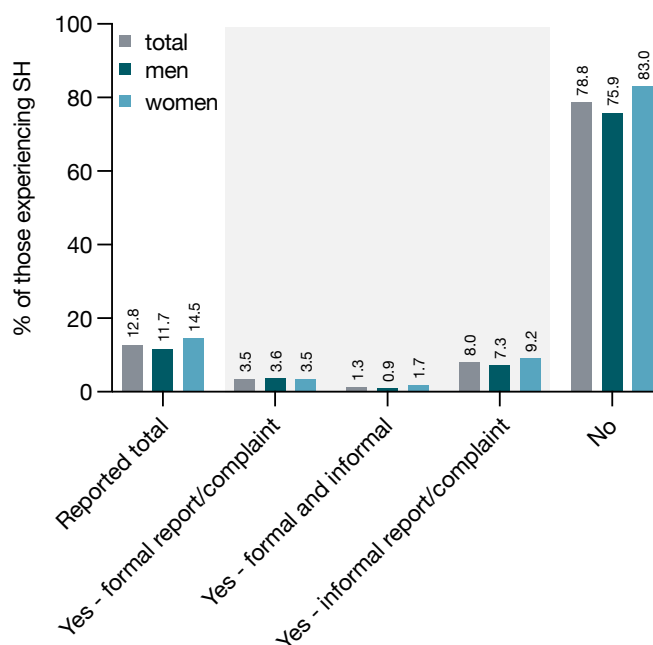

Figure 32: Who the bullying was reported to. Base: Participants that had reported their most recent incidence of bullying (Total n=1617; Men n=871; Women n=685). Question: To which of the following did you report the incident to? NOTE: Multiple responses allowed.

Figure 33: Reporting rates for the most recent incidence of sexual harassment. Base: Participants that had experienced sexual harassment in the last 5 years (Total n=1444; Men n=462; Women n=928) Question: Did you make a formal or informal report / complaint about the most recent incidence of sexual harassment you experienced?

Among those few who did report sexual harassment, the most common reporting channels were their own team leader (58.3%), another leader (32.2%), or a Human Resources team member (24.4%) (Figure 34). Only 4.2% of people who reported used an internal formal reporting process (i.e. Talk to Peggy, myVoice)
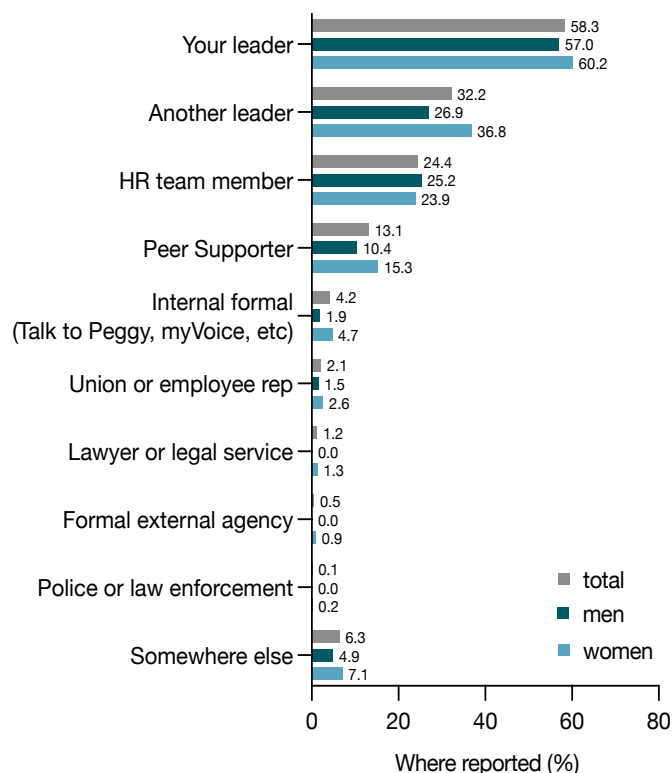
Among Rio Tinto employees who have experienced racism in the last 5 years, less than 1 in 10 (9.5%) of those reported the most recent incidence of racism (Figure 35).
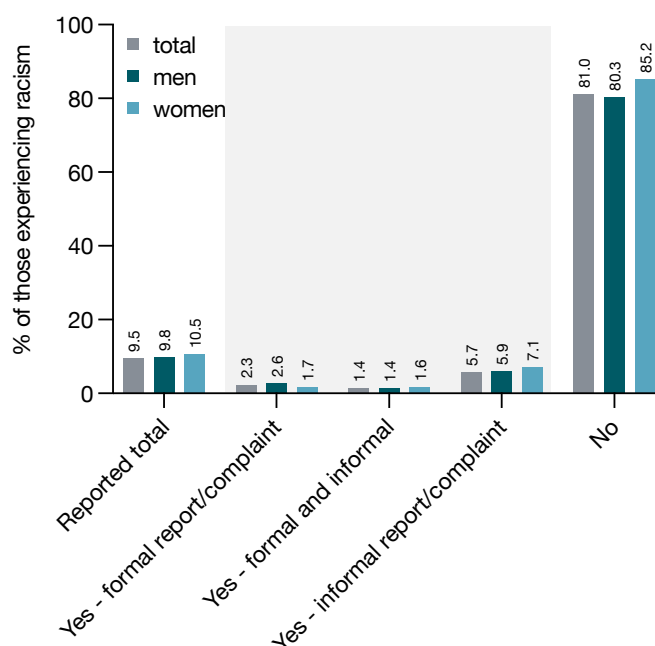
Figure 35: Reporting rates for the most recent incidence of racism. Base: Participants that had experienced racism in the last 5 years (Total n=1300; Men n=845; Women n=366)
Question: Did you make a formal or informal report / complaint about the most recent incidence of racism you experienced?

Figure 34: Who the sexual harassment was reported to. Base: Participants that had reported their most recent incidence of sexual harassment (Total n=199; Men n=58; Women n=137).
Question: To which of the following did you report the incident to? NOTE: Multiple responses allowed.

Among those few who did report racism, the most common reporting channels were their own team leader (53%), another leader (45.1%), or a Human Resources team member (29.7%). Only 7.3% of people who reported used an internal formal reporting process (i.e. Talk to Peggy, myVoice). Women were more likely to report the most recent incidence of racism to their team leader (62%) or a Human Resources team member (38%) (Figure 36).
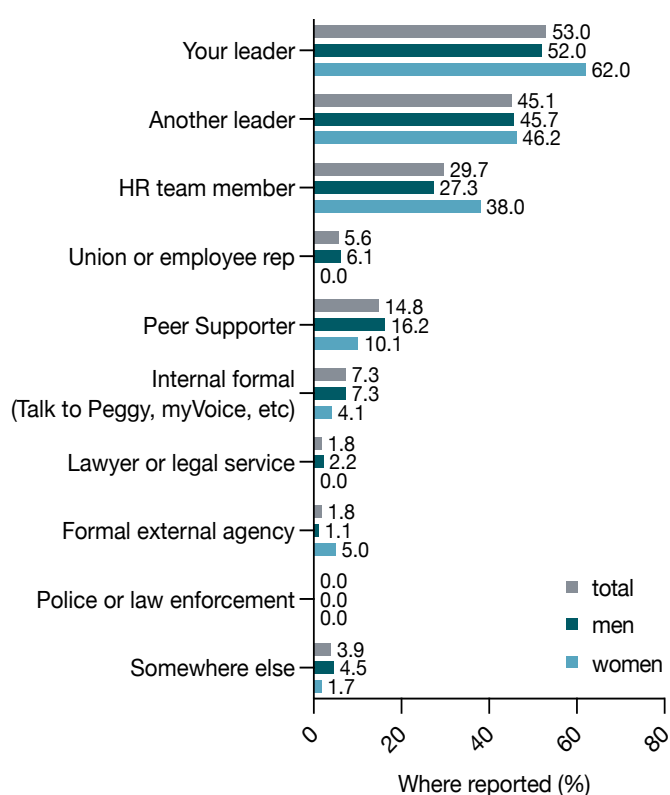
On the background of low overall reporting rates among the Rio Tinto employees who experienced harmful behaviours, very few of those who did report chose to report those incidents through formal internal reporting channels (Talk to Peggy, myVoice). Among those reporting bullying, only 6.9% of men and 7.9% of women made a formal complaint via these channels, while just 1.9% of men and 4.7% of women who reported sexual harassment, and 7.3% of men and 4.1% of women who reported racism used Talk to Peggy or myVoice (Figure 37). These data reflect very low confidence in these formal reporting channels for these types of issues.

Figure 36: Who the racism was reported to. Base: Participants that had reported their most recent incidence of racism (Total n=131; Men n=87; Women n=41). Question: To which of the following did you report the incident to? NOTE: Multiple responses allowed
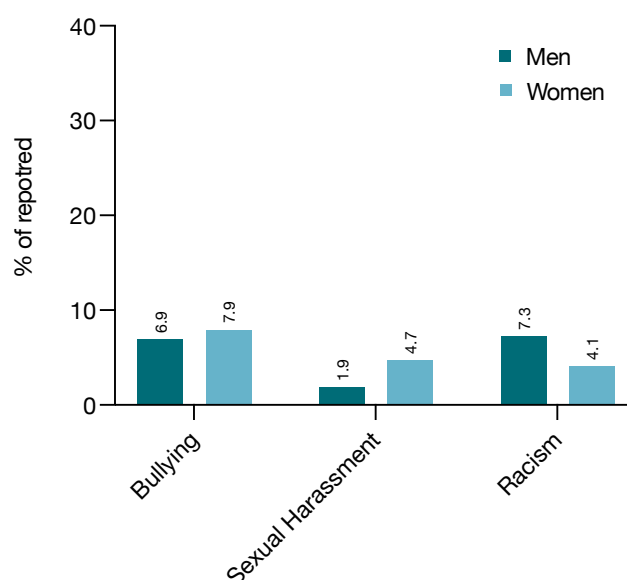

Figure 37: Formal Reporting rates (i.e. via Talk to Peggy or myVoice) for the most recent incidence of bullying, sexual harassment, or racism. Base: Participants that had reported their most recent incidence of bullying, sexual harassment, or racism. Question: To which of the following did you report the incident to?

The most frequent reasons given for not reporting (Figure 38) through the survey include:

▶ *"I believed there would be negative consequences for my career (e.g. opportunities for promotion, acting up opportunities, risk of my employment ending)"*

▶ *"I believed there would be negative consequences for my reputation (e.g. that I would be blamed or not believed or thought to be over-reacting)"*

▶ *"It is normalised where I work and accepted"*

▶ *"I believed I would be ostracised by my colleagues", and "I didn't think it would make a difference"*

	Bullying	Sexual harassment	Racism
I didn't know who to talk to or how to make a complaint	9.1	11.5	10.6
It is normalised where I work and accepted	23.9	27.2	27.4
I was advised not to by family or friend/s	2.0	1.4	3.7
I was advised not to by a colleague or colleagues	4.6	2.6	3.1
I didn't need to because I made the behaviour stop	13.5	19.1	8.7
I didn't need to no longer had contact	11.5	13.7	5.8
I didn't think it would make a difference	37.1	27.6	35.8
I believed there would be negative consequences for my career	41.9	24.4	33.1
I believed there would be negative consequences for my reputation	34.9	30.6	28.3
I believed I would be ostracised by my colleagues	13.7	17.1	15.0
A bystander intervened and the bullying stopped	1.9	1.2	1.0
Some other reason	8.1	8.9	9.4
Unsure	3.5	6.0	6.7
Prefer not to say	3.7	4.9	4.8

Figure 38: Reasons for not reporting via any channel among Rio Tinto employees experiencing Bullying, Sexual Harassment, or Racism. Base: Respondents who did not report experience of bullying (n=3694), sexual harassment (n=1245), or racism (n=1169).

The most common consequences reported by those had negative consequences from reporting the bullying, sexual harassment, or racism were:

▶ Mental health impacts

▶ Employment or career progression impacts

▶ Impacts on professional relationships

▶ General wellbeing impacts

4.8.3 In their own words

Throughout the listening sessions and interviews and from the written submissions, Rio Tinto employees spoke frequently of the reporting process. A small number stated that they would be comfortable reporting, or that they had had positive experiences of the new system. Some participants stated:

I have seen an improvement in the reporting system since it's been myVoice. I think it can be trusted a lot more now.

It took months before a colleague who had been bullied used myVoice. I encouraged her to go that route. My first instinct was …to invite her to communicate with her manager. In the end, it was the best decision for her to use myVoice.

"

[The report] was very well taken care of. [My colleague] felt supported, listened to. They were able to meet with an intermediary. There were sanctions and that reassured her. She was happy especially so that the situation would not happen again.

"

Harmful Behaviour and Reporting

There was a strong view among many, however, that they did not feel safe reporting bullying, sexual harassment, racism or other forms of discrimination. A number of Rio Tinto employees were also not aware of myVoice and the changes that had come with that reporting platform.

Participants commented on a culture of silence which employees perceived as discouraging reporting through repercussions for those who raised concerns.

> People are afraid of reprisals. So, it is better not to speak up and endure. We work in an environment that does not encourage communication.

I feel like reporting it to work would lead to a black mark against my name. The last girl I know who reported sexual harassment lost her job in the transformation.

I don't want to rock the boat so hard that I'll fall out of it.

In my workplace, you don't want to be labeled. You do not want it to backfire. It is like the girl with the short skirt: if there is a problem, it is the woman's fault.

> I have a colleague who reported and he got retaliation. He was moved to another area because he could not take it anymore. It got out, one told the other and now he has a bad reputation in the plant. It scared me.

I had such a poor experience in the past that there no way I would raise another complaint. It just made the bullying worse.

> The minute you raise an issue about a senior leader – you're done. There is an inequity in Rio Tinto between senior leaders and others.

> People know where to go but it takes a lot of courage… You have to be ready to lose your job, to leave Rio Tinto.

Rio is an environment of fear. You don't want to get someone terminated for being racist. Other supervisors remind us of this "why would you say something - you don't want to get him sacked do you?"

> The few times I know people have spoken up, it's just made everything worse, and also the supervisors tell the whole world about your business, there is no confidentiality.

Human Resources is the talent manager, they are the ones who get you ahead. So, if they are the ones putting together your complaint file, that can be penalizing. You do not want to bethe one … causing problems.

People don't report because it gets escalated. They also don't want to be involved in an investigation.

I do not think I would feel safe to report. I wouldn't feel comfortable because I feel it would come back onto me in the future.

There's no point in using the complaints mechanism. I don't trust it. I don't believe it's confidential. I won't use it. All those leaders are still here and still get promoted. The same things go on behind the scenes. They need to rebuild trust in the system.

I am scared to report, I am not confident at all. It becomes a one-sided experience. There is no action seen. This reinforces no reporting as we don't think anything will be done.

Confidential reports are talked about in public between leaders.

We don't have "good HR" that are empathetic and human-centred - they go straight to the leaders.

I would never use any reporting system at Rio because it would come back at me. We need to rescue the credibility of the … system. We need to throw out the reporting system and start again. It's not safe to report.

My manager said: "You want to complain - go ahead because the complaint will just come back to my desk."

Often high performers are protected. The organization rewards for performance. Complaining would end up hurting you rather than helping.

If you report something, you will be victimized by your crew.

I have never submitted a complaint because I'm too afraid.

You get into trouble for not reporting properly. There needs to be recognition that with the reporting comes trauma, fear and doubt. Sometimes it's about reaching out to a colleague. It is often coming from above. Don't punish people for not reporting correctly.

> " I'm in HR and I don't think I'd report. There would be recriminations. "

A report goes nowhere.

It's a career limiting move to speak out.

There's a stigma with reporting, I haven't or wouldn't report.

If you ruffle feathers you're out and replaced.

I wouldn't report for fear of getting sacked.

When you do speak up you get a target on your back.

[I won't report an incident], until the foundation of trust is paved [and it is] visible. There is still groundwork to be done…and still a long way to go.

Mangers/supervisors get very upset if you go above or around them to raise an issue that isn't being addressed.

You get isolated when you speak up.

You come out doing and feeling worse than the person who vilified you.

4 Harmful Behaviour and Reporting

No one is willing to call a GM out publicly, and most people that interact with GMs regularly are ambitious and are unlikely to potentially damage their career prospects by escalating their concerns.

Often with bullying, it is a series of small, ongoing actions that constitute the bullying, which requires exceptional note taking over time and foresight by the victim to adequately document for action to be substantiated.

HR is biased against employees and favours the managers.

HR and managers lack training on how to handle confidential information. They must be informed about the consequences of not adhering to confidentiality and other policies in the workplace and should be held accountable if they don't comply.

Participants also expressed a lack of confidence in, or lack of awareness about, the reporting system itself:

Everyone is too scared to use myVoice as this is seen as not fair or confidential and also will negatively impact their careers. There is no psychological safety for people in our team.

> "We need to do more to humanise the… reporting process. I have had several things I should have reported – but honestly I have no faith in the reporting system. I am not sure that its actually there for people – seems to be more about protecting the business."

I do not know how to access information on how to put through a report.

I think myVoice is just the same system that has been rebranded. Every couple of years they just rebrand the system.

We don't talk about myVoice as an organisation. It's like we keep it a secret. Why can't we talk about good outcomes of myVoice?

Gendered assumptions and prevalence of everyday sexism could mean that men could be afraid to report their concerns:

We're men, we don't use reporting channels, we suck it up.

Female employees, meanwhile, had experienced negative consequences from reporting sexual harassment, with neither Human Resources nor other leaders appearing to know how to approach the matter in a constructive and trauma-informed way:

[After I complained about sexual harassment] I did not hear from HR again, unless I contacted them. When I did they were confused about why I was asking for an update, and eventually told me that I was not going to be told the outcome, and it was the policy that no feedback would be given. This was occurring as the colleague in question was applying for roles within RT. This was so damaging to me... I honestly would not recommend to anyone that they make a complaint if this is how it is handled. I regretted it and I was very upset about it for a long time.

4 Harmful Behaviour and Reporting

Speaking to women I learnt often when they raised an issue [with] their leader, the leader didn't know how to resolve [it]. For example, when a woman had a man following her back to her room and asking for sex, the leader didn't know how to find out who it was, how to protect the lady... and could only make suggestions about her changing her schedule.

I had an incident last year - unacceptable behaviour and an attitude about women from my direct boss. I didn't make any complaint because I was worried about how I would be perceived in the workplace, whether I would lose control. The only reason it ended up being dealt with was because a female colleague reported it. It ended up that I had good experience. I have seen a change and more positive behaviour from this individual.

Aboriginal and Torres Strait Islander, Indigenous and First Nations employees across Rio Tinto locations commented that reporting was not an option for them, as they did not consider it to be culturally safe:

EAP is useless - I'm not going to pick up the phone and talk to a stranger. I need face to face advice. Also it needs to be culturally aware/competent. Supervisors stop us from contacting them in work hours. I have to do it outside of work.

The process of reporting is a barrier for our mob. Confidentiality is a real issue.

> " The reporting system here is not culturally safe. There is no way any of us Indigenous workers would report anything. "

> " As an Indigenous person, your complaints aren't taken seriously. "

The way in which an organisation handles a reported incident of bullying, sexual harassment, racism and discrimination can have significant impacts not only on the victim or person making the report, but also the alleged perpetrator and the organisation as a whole. A timely, fair and appropriate response to reporting these behaviours is therefore essential.

The level of psychological safety in an organisation will have an impact on whether or not someone feels safe to report an incident. If an employee believes that speaking up will result in a negative consequence, the employee will remain silent. As explored in Chapter 2, psychological safety is critical for organisations to learn, adapt and change; to address negative or harmful behaviours; and create a culture where people feel comfortable to report incidents of harmful behaviour.

Given the significant impacts and harm caused by the cultural challenges described in this report, as well as the further harm that employees can experience from reporting their concerns, it is critical that the safety and wellbeing of the person making the report remains a priority. The provision of appropriate support, including support that is culturally sensitive, is essential.

Conclusion and Framework for Action

Conclusion

EB & Co commends the significant shifts that have occurred to progress Rio Tinto's commitment to cultural change in recent times. In particular, the Everyday Respect Taskforce (ERT) has been empowered to deliver a significant change agenda, while the engagement of EB & Co has enabled this agenda to support a deep dive into organisational culture. By gathering the voices of thousands of people across Rio Tinto, EB & Co has been able to gain a deep understanding of people's lived experiences and, importantly, to elevate these experiences and ideas for change to the highest levels of leadership.

Although Rio Tinto has taken these crucial first steps in its reform journey, the Project findings indicate that the organisation is still only at an early stage along this path. Though confronting, these findings are not exclusive to Rio Tinto, nor reason for reduced confidence. Rather, the findings provide a foundation for a stronger organisation in which all employees feel safe and able to thrive.

The Framework for Action, below, is drawn largely from the voices of Rio Tinto employees – their lived experiences, their observations, views and opinions. It is also drawn from the advice of the ERT, leaders within the organisation, relevant documents and data, and promising practices from other contexts.

The Framework for Action provides a basis for Rio Tinto to build on and strengthen its existing strategies to improve culture and sets out a number of recommendations that focus on the following areas:

▶ Caring, courageous and curious leadership.

▶ Creating a positive onus to prevent harmful behaviour.

▶ Caring and human-centred responses to disrespect and harmful behaviour.

▶ Ensuring appropriate facilities for all as a precursor to dignity and safety at work.

▶ Embedding, sustaining, monitoring and evaluating progress of cultural reform.

Caring, courageous and curious leadership

EB & Co's findings highlight the significant positive influence of Rio Tinto leaders who model safe and respectful cultures. Equally, they show that leadership capability needs strengthening, particularly regarding effective people management skills. The findings indicate that leaders at all levels are key to ensuring that the organisation lives its values. Just as crucial is that Rio Tinto's senior leadership owns, champions and implements the recommendations emanating from this Project in visible ways.

Accordingly, EB & Co recommends practical steps with impact which signal clear and visible commitment from leadership. Importantly, these include that oversight of the implementation of the recommendations should lie with the Board, CEO and ExCo; and responsibility for progressing cultural change embedded into ExCo performance metrics.

The Framework also includes a need for clear statements from the CEO and ExCo which articulate their understanding of the case for change; signal their personal acceptance of this report's recommendations and their determination to see them in operation.

Conclusion and Framework for Action

Creating a positive onus to prevent harmful behaviour

With bullying, sexual harassment, racism and other forms of discrimination existing across the organisation, Rio Tinto should ensure that its risk assessment, management and controls processes capture hazards and risks associated with harmful behaviour as safety risks, including risks to psychological safety.

Further Rio Tinto should develop an Everyday Respect global policy and principles that are: aligned with Rio Tinto's values and code of conduct and based on best practice; easily accessible to all employees; and includes practical guides contextualised to local requirements and assistance available.

All employees - leaders and staff alike - should be empowered to be active bystanders / upstanders to protect the culture and call out inappropriate behaviours.

Specialist education should be implemented to raise awareness of the role of bystanders/upstanders and to identify the nature of harmful behaviours and their impacts on individuals, teams and the organisation as a whole.

Caring and human-centred response to disrespect and harmful behaviour

Alongside prevention, comprehensive and effective responses are also as crucial to ensuring that employees feel heard and supported and, equally, to preventing harmful behaviour from occurring again. Reporting harmful behaviour to formal internal channels at Rio Tinto is low suggesting that employees do not feel confident coming forward. A new approach that encourages reporting is therefore needed. For this reason, the Framework for Action recommends the establishment of a confidential and accessible discrete unit which can accept and respond appropriately to reports of harmful behaviour across the company; support leaders, managers and human resources personnel in providing advice and triage for employees experiencing harmful behaviour; and offer early intervention strategies and guidance.

Significantly, this discrete unit is designed to be human-centred and would adopt a trauma informed approach to reports of harmful behaviour. Specifically, the discrete unit would offer end to end support for people (from providing advice, facilitating early intervention, coordination with investigations team, and supporting reintegration into work) by specialists with expertise in responding to bullying, sexual harassment, racism, discrimination. It would be co-designed with diverse voices, to ensure it is culturally safe and appropriate for all.

Conclusion and Framework for Action

Ensuring appropriate facilities for all as a precursor to dignity and safety at work

Highlighted across the Project's findings, the settings in which many Rio Tinto employees work may contribute to and exacerbate their experiences of harmful behaviour. EB & Co heard about a lack of privacy, poor lighting and security systems, lack of appropriate hygiene facilities and about employees' fear of being out of their accommodation after work hours.

There were also concerns expressed about safety in the gyms and wet messes on the camps. These have been ongoing concerns for women in particular and require urgent attention. The Framework recommends that Rio Tinto establish a set of primary guidelines for the design, operation and improvement of facilities that prioritise safety, inclusion and respect for all employees and contractors. Further, it considers that, as a matter of urgency, Rio Tinto should identify and remedy any facilities at sites, FIFO, exploration or other camps found to be unsafe.

Embedding, sustaining, monitoring and evaluating progress of cultural reform

Finally, the Framework acknowledges that cultural reform will not only take time, but require continuous monitoring and evaluation to be sustained and embedded. Accordingly, the Framework recommends re-administering the Everyday Respect survey developed for this project every two to three years through an independent provider. The Framework also recommends an independent review of progress in relation to the implementation of these recommendations within two years.

Overall, while genuine progress is occurring at Rio Tinto, the challenge now is to ensure that this cultural shift – embedding everyday respect, eradicating harmful behaviours and ensuring consequences for those who use them – is replicated at every level of the organisation. The momentum for engagement and change must continue, with this Project an inception, rather than a culmination, of the valuable work ahead.

EB & Co is privileged to have been engaged on these early steps and, in particular, to experience the candour and courage of so many Rio Tinto employees. The real task now is for the organisation to make safety and respect the lived reality for each one of these employees – whoever they are and wherever they work – each and every day.

> The real task now is for the organisation to make safety and respect the lived reality for each one of these employees –
> whoever they are and wherever they work – each and every day.

Conclusion and Framework for Action

Framework for Action

The Framework for Action is drawn largely from the voices of Rio Tinto employees – their stories, opinions and experiences, their views and perspectives and their suggestions for change. It is also drawn from advice of the Everyday Respect Taskforce, results of the online survey, relevant policies and data, and promising practices from other contexts.

Principle	Rationale	Recommendations
A: Caring, Courageous and Curious Leadership	▶ **Strong and visible leadership at the highest levels which cascades through the organisation.** ▶ **Board and ExCo's strong oversight of the cultural reform agenda.** ▶ **Addressing the "leadership lottery" - that is, ensuring that the organisation's response to addressing harmful behaviour is based on a consistent understanding of, and common action by, all Rio Tinto leaders.** ▶ **Lack of accountability: Addressing perceptions that people 'get away with' harmful behaviour and that there are no consequences.** ▶ **Elevating the voices of minority groups e.g. women, LGTBIQ+, Indigenous and First Nations and racially and culturally diverse employees so that the unique challenges they face are recognised, heard and addressed.** ▶ **Creating an environment where all people can grow and thrive equally. Increasing the representation of women and minorities in leadership and operational roles.**	**A1.** Rio Tinto Board, CEO and ExCo oversee the implementation of all recommendations, including: • monitoring performance metrics for progressing culture change; and • conducting regular reviews of progress on implementation; of KPIs (ref: E2); and of human stories of workplace harm. **A2.** CEO and ExCo provide to employees a signed statement that: • commits to a safe and inclusive workplace, including addressing sexual harassment, bullying, racism and other forms of discrimination in the workplace; • outlines the case for change and their commitment to implement the recommendations in this report; and • includes their personal reflections on stories contained in this report. **A3.** Ensure leaders at all levels: • understand their responsibilities relating to the prevention and management of harmful behaviours in the workplace; • take appropriate action on incidents and reports of harmful behaviours; • effectively coach, engage in two-way conversations, and give and receive feedback in ways that create psychological safety for the employee and team; • manage the diversity, inclusion, health and wellbeing of teams, including through regular 'team health checks' and/or surveys; and • hold to account those who fail to take appropriate action in relation to reported harmful behaviour.

Conclusion and Framework for Action

Principle	Rationale	Recommendations
		A4. Rio Tinto recruitment and promotion practices for leadership roles should ensure appointed leaders have people management capabilities, including the ability to: • create a diverse and inclusive workplace; and • prevent and respond to harmful behaviour in the workplace. **A5.** Review and address the structural barriers that exist for women and people from other minority groups seeking appointment or promotion into operational and leadership roles. **A6.** With the assistance of an independent expert facilitator, implement a purposeful storytelling process to connect senior leaders, ExCo and the Board directly with the lived experiences of employees.

Conclusion and Framework for Action

Principle	Rationale	Recommendations
B: Creating a positive onus to prevent bullying, sexual harassment, racism and all forms of discrimination	▶ **Embedding a positive onus on all employees to prevent disrespect and harmful behaviours.** ▶ **Empowering all employees as active bystanders / upstanders to protect the culture and call out inappropriate behaviours.** ▶ **Support functional employees (HR, Legal, HSE) understanding of inequality at work, trauma, and healing.** ▶ **Simplify the policy framework to embed people centricity throughout, including those policies regarding disrespect, consequence management, and decision review / fair treatment.** ▶ **Educating and creating awareness for all employees at all levels on what constitutes disrespect and harmful behaviours, their impacts and how to mitigate and address them in the work environment.** ▶ **Minimising the risk of former staff returning to the organisation despite having been previously exited for harmful behaviour.**	**B1.** Develop an Everyday Respect global policy and principles that is: • aligned with Rio Tinto's values and code of conduct and based on best practice; • easily accessible to all employees; and • includes practical guides contextualised to local requirements and assistance available. **B2.** Utilise Rio Tinto's risk assessment, management and controls processes to capture hazards and risks associated with harmful behaviour as safety risks, including risks to psychological safety. **B3.** Provide specialised education to all employees across the organisation, with a particular focus on vulnerable groups including, trainees, apprentices, and graduates. This education should be tailored to local contexts, be trauma informed and designed to: • raise awareness of the nature and impacts of bullying, sexual harassment, racism and other forms of discrimination; • focus on prevention, responses and the role of the active bystander/upstander; and • encourage the reporting of harmful behaviour and reinforce options available for support. **B4.** Conduct a review of technical and operational trainers (selection, development and performance management) to ensure they have the right skills and demonstrate the right behaviours, including that they: • understand their responsibilities relating to the management of harmful behaviours in the workplace. • take appropriate action on incidents and reports of harmful behaviour. • can effectively apply coaching and facilitation skills in ways which create psychological safety for all trainees. **B5.** Implement practices to ensure that women and other minority groups are deployed to operational sites as part of a cohort and/or with the appropriate safety and support.

Conclusion and Framework for Action

Principle	Rationale	Recommendations
		B6. Establish a panel of mentors from diverse backgrounds who are available to support and advise trainees, apprentices and graduates, including in relation to any experiences or observations they may have of harmful behaviour. **B7.** Conduct probity checks on candidates for prior harmful behaviour who are seeking re-employment. Where a candidate has been found to have previously been exited for harmful behaviour an assessment of their capacity to return to the organisation should be conducted. **B8.** In partnership with contracting companies, undertake a listening exercise with site-based contracting staff to obtain a deeper understanding of their experiences and to identify and address any cultural deficiencies that do not align with the Everyday Respect. **B9.** Include mutual access to harmful behaviour data in relevant contracting arrangements subject to contractual requirements.

Conclusion and Framework for Action

Principle	Rationale	Recommendations
C: A caring and human centred response to disrespect and harmful behaviour	▶ **Create consistent and empathetic responses for employees at all levels.** ▶ **Ensure organisational responses are culturally safe and appropriate.** ▶ **Enhance early intervention, reporting and resolution of incidents.** ▶ **Provide structured options including relationship resets, team health checks, leadership pauses to help identify underlying causes and address issues prior to real harm.** ▶ **Rebuild trust among employees that the reporting system is fair and transparent.** ▶ **Increase confidence and safety in disclosing incidents of harmful behaviours.** ▶ **Increase reporting rates.** ▶ **Provide a discrete unit for leaders, HR or impacted people to get specialist advice when noticing the early signs of harmful behaviour or its impacts.** ▶ **Address fear of victimisation, marginalisation, and negative career impacts.**	**C1.** Establish a discrete unit that will: • provide support and guidance to people experiencing harmful behaviour; • offer early intervention strategies and guidance, including about Rio Tinto reporting options which an impacted person may wish to utilise (eg their manager, HR, peer support, myVoice); and • provide advice and support to leaders and HR practitioners to manage incidents of harmful behaviour in the workplace and to appropriately support their people. Key features of the discrete unit should include, but not be limited to: • end to end support for people (from providing advice, facilitating early intervention, coordination with the investigations team, and supporting reintegration into work) by trauma informed specialists with expertise in responding to bullying, sexual harassment, racism, discrimination; • co-design with diverse voices, to ensure the discrete unit is culturally safe and appropriate for all; • independent operation to maximise trust in the process and encourage greater reporting; • 24/7 accessibility, through multiple channels, in relevant languages; • the ability to offer different options to resolve a request for help; • the option for matters to be investigated at a later date, if requested by the impacted person; • the option for historic matters to be raised and acted upon appropriately, as far as practicable; • the capability to provide expert input into coaching, support and education to employees and leaders; • partnership arrangements with peer-support advocates, including Indigenous support officers;

Conclusion and Framework for Action

Principle	Rationale	Recommendations

	▶ **Create options for individuals, including peer support, advice, early intervention, reporting and ongoing support through to resolution.**
	
	 ▶ **Address fears of employees about needing to work in close proximity to someone who has bullied or harassed them.**
	
	 ▶ **Increase the organisation's understanding of the impact or trauma, and healing.**
	
	 ▶ **Support healing and recovery by providing options for people to choose when, how and to whom they disclose.**
	
	 ▶ **Provide a structured case management approach in relation to formal reports to ensure support at all stages.**
	
	 ▶ **Capture the data from the types of advice sought, and early intervention options to input into the broader data pool for trend analysis.**
		• the ability to capture data from all types of advice or early intervention options into a central data-store:
		
		   – for the analysis of all harmful behaviour reports from across the organisation; and
		
		   – to enable the identification of and action in relation to trends and gaps from de-identified data.
		
		 • collaboration between the discrete unit and investigators, Business Conduct Office, leaders and HR to identify opportunities to improve preventative organisational controls and strengthen leadership;
		
		 • the ability to strengthen protection for people against retaliation for both subtle and overt actions from others; and
		
		 • periodic reporting of outcomes in a de- identified manner to all employees, including where preventative controls have failed.
		
		 C2. Ensure any investigations into harmful behaviour:
		
		 • are conducted in partnership with the discrete unit's case managers (ref:C1) and are undertaken through a trauma-informed approach;
		
		 • are confidential, procedurally transparent, fair and ensure incidents are resolved in a timely manner with a range of potential proportionate outcomes; and
		
		 • enable, in collaboration with the discrete unit, for shared learnings to be provided across the organisation when preventative controls have failed.

Conclusion and Framework for Action

Principle	Rationale	Recommendations
D: Ensuring appropriate facilities for all as a precursor to dignity and safety at work	▶ **All sites have adequate, clean, safe and proximate hygiene facilities which incorporate the needs of people of all genders.** ▶ **Increase understanding that health and safety are fundamental human rights, universal and indivisible**	**D1.** Establish a set of primary guidelines for the design, operation and improvement of facilities that prioritise safety, inclusion and respect for all employees and contractors. Guidelines should be developed in consultation with those using the facilities and consider the needs of people of all genders, racial diversity, sexual orientation, religion and accessibility needs. **D2.** As a matter of urgency, identify and remedy any facilities at sites, FIFO, exploration or other camps found to be unsafe. Aspects relating to the safety of women should consider, but not be limited to, facilities such as the gym, bathrooms, the wet mess and accommodation location as well as an assessment of lighting and accessible security. **D3.** Audit workplace facilities to ensure safety, inclusion and respect. **D4.** Ensure the leaders of residential assets are appropriately trained on issues relating to the management of mixed social environments (gender, race, sexual orientation, religion and accessibility) particularly the prevention of sexual harassment, bullying, racism and other forms of discrimination and how to report and manage incidents. **D5.** Establish Camp Councils at each site, made up of diverse members who, based on feedback from site employees and contractors, provide advice to the most senior site Manager on the safety and inclusivity of facilities, including camps, as well as instances of harmful behaviour. Camp Councils should convene regular sessions to enable the sharing of both positive and negative workplace or accommodation experiences.

Conclusion and Framework for Action

Principle	Rationale	Recommendations
E: Embedding, sustaining, monitoring and evaluating progress of cultural reform	▶ **Ensuring effective implementation and embedding of the recommendations across the organisation.** ▶ **Monitoring progress of cultural change and ensuring any areas of ongoing concern are addressed.** ▶ **Ensuring regular employee consultation, including with women and employees from diverse groups.**	**E1.** The Everyday Respect Taskforce should drive and design the implementation of the recommendations in partnership with the Product Groups and Functions. **E2.** The Everyday Respect Taskforce should track key indicators and progress against recommendations, reporting quarterly to ExCo and the Board. KPIs should include but not be limited to: • reporting rates to the discrete unit (ref: C1) with a de-identified narrative on the nature of serious matters; • average length of time to resolve cases; • number of people who have remained as well as left the business, following raising a report; • summary of consequences of substantiated harmful behaviour matters; • psychological safety data collected via the People Engagement Survey; • diversity representation data including trends in women's and diverse populations leadership and operational representation; and • number of people successfully completing relevant training and education. **E3.** Re-administer the Everyday Respect survey every two-three years through an independent provider to measure progress. **E4.** Undertake an independent review of progress in relation to the implementation of these recommendations, within two years of the receipt of this report.

Report into Workplace Culture at Rio Tinto

ELIZABETH BRODERICK & Co.