

# Assessment of VPI corporate members in RMI Report 2022 with respect to the Voluntary Principles on Security and Human Rights

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## OVERVIEW

### Introduction

The Responsible Mining Foundation (RMF) is an independent research organisation that encourages continuous improvement in responsible extractives value chains by developing tools and frameworks, sharing public-interest data and enabling informed and constructive engagement between companies that mine or trade extractives, and other stakeholders.

The RMI Report 2022 is an independent evidence-based assessment of 40 large mining companies' policies and practices on economic, environmental, social and governance (EESG) issues. The RMI Framework, which underpins assessment, explicitly references the Voluntary Principles on Security and Human Rights with the aim to support, reinforce and amplify relevant elements of the Principles as it applies to large mining companies.

Within the assessment, several indicators and their associated metric questions measure the extent to which mining companies align their security management with the Voluntary Principles. As such, the RMI Reports provide an indication of the degree to which current industry practice meets the expectations embedded in the Voluntary Principles. In this way, the assessment levels the playing field by applying the same benchmark across all companies, whether or not they are VPI corporate members. And as 11 VPI corporate members are included in the RMI Report 2022, the assessment serves to gauge the level of implementation and effective performance of these companies on the Voluntary Principles based on publicly available information.

## VPI companies members assessed in RMI Report 2022

Anglo American	Freeport-McMoRan	Newmont
AngloGold Ashanti	Glencore	Rio Tinto
Barrick Gold Corp	MMG	Vale
BHP	Newcrest	

## Observations

The analysis in this document provides a perspective on the performance of the 11 VPI corporate members that are included in the RMI Report 2022, with respect to a number of elements of the Voluntary Principles.

At the most basic level, the analysis shows that all 11 VPI corporate members have made formal commitments to respect human rights, in accordance with the UN Guiding Principles on Business and Human Rights, although two companies show little evidence of having assigned responsibility and resources to operationalise their commitment.

On the specific elements of the Voluntary Principles however, the results are more mixed. For example, while a few companies can fully demonstrate they conduct background checks on security providers to exclude individuals who have been implicated in human rights abuses, three other companies show no such evidence. Companies are generally less able to demonstrate efforts to report any incidents involving use of physical force, to provide medical aid when required or to investigate any allegations of abuse.

Similarly, the results are mixed regarding companies tracking, reviewing and taking actions to improve performance on providing human rights training for their security personnel and for private and public security forces. Without attention to the effectiveness of their efforts to build the capacity of security providers to respect human rights, companies risk maintaining only a superficial approach to these efforts.

Overall, the results indicate that, at least from what is seen in publicly available information, the 11 VPI corporate members included in the RMI Report 2022 have considerable room for improvement in how they align their security management with the Voluntary Principles. Joining the VPI as a corporate members is not necessarily sufficient to ensure the key expectations embedded in the Principles are implemented.

The VPI is encouraged to reconsider the requirements attached to corporate membership including the confidentiality of peer reviewing. The purpose of the Voluntary Principles will achieve greater effectiveness if corporate members are required to comply with the Principles but also to be able to demonstrate compliance in their public reporting. This is important not only to enable companies to be held accountable for their actions, but also to enable them to build trust and show respect for mining-affected stakeholders in the vicinity of their operations. Public access to information on implementation by companies is an essential for the credibility and effectiveness of the Voluntary Principles on Security and Human Rights.

## Resources

All the topics, indicators and metrics are available in the [RMI Framework 2022](#).

The full results of the RMI Report 2022 (40 companies, 250 mine sites) are available at: <https://2022.responsibleminingindex.org/>

## ANALYSIS

### 1. Commitment to respect human rights

VPI expectation:

Companies recognize a **commitment to [...] be mindful of the highest applicable international standards**, and to promote the observance of applicable international law enforcement principles [...].

RMI Report 2022:

The company **commits to respect human rights**, in accordance with the UN Guiding Principles on Business and Human Rights. (D.01.1)

#### RESULTS for VPI corporate members in RMI Report 2022 (in %):

Company	Score	a. Formal commitment	b. Responsibility and accountability	c. Financial and staffing resources
<b>Anglo American</b>	<b>100%</b>	●	●	●
<b>AngloGold Ashanti</b>	<b>100%</b>	●	●	●
<b>Barrick</b>	<b>100%</b>	●	●	●
<b>BHP</b>	<b>100%</b>	●	●	●
<b>Freeport-McMoRan</b>	<b>100%</b>	●	●	●
<b>Glencore</b>	<b>100%</b>	●	●	●
<b>MMG</b>	<b>58%</b>	●	●	●
<b>Newcrest</b>	<b>58%</b>	●	●	●
<b>Newmont</b>	<b>100%</b>	●	●	●
<b>Rio Tinto</b>	<b>100%</b>	●	●	●
<b>Vale</b>	<b>100%</b>	●	●	●

● ● ● ●  
Scoring scale: 0 0.5 1 2

## 2. Integration of human rights into the management of security personnel and private security forces

### 2.1 Exclusion of security providers implicated in human rights abuses

VPI expectation:

Individuals **credibly implicated in human rights abuses should not provide security services** for Companies.

RMI Report 2022:

The company has systems in place to ensure its operations **review the background of security personnel and private security forces they intend to employ**, particularly with regard to the use of excessive force, **in order to not employ individuals credibly implicated in human rights abuses to provide security services.** (D.02.1 a)

**RESULTS for VPI corporate members in RMI Report 2022 (in %):**

Company	Score
<b>Anglo American</b>	<b>100%</b>
<b>AngloGold Ashanti</b>	<b>0%</b>
<b>Barrick</b>	<b>25%</b>
<b>BHP</b>	<b>0%</b>
<b>Freeport-McMoRan</b>	<b>0%</b>
<b>Glencore</b>	<b>25%</b>
<b>MMG</b>	<b>25%</b>
<b>Newcrest</b>	<b>0%</b>
<b>Newmont</b>	<b>100%</b>
<b>Rio Tinto</b>	<b>50%</b>
<b>Vale</b>	<b>25%</b>

## 2.2 Use of physical force: reporting, provision of medical aid

VPI expectation:

In cases where physical force is used [...], **such incidents should be reported** to the appropriate authorities and to the Company. Where force is used, **medical aid should be provided** to injured persons, including to offenders.

RMI Report 2022:

The company has systems in place to ensure its operations require from security personnel and private security forces, including through contractual provisions in agreements with security providers, to **investigate and report all cases where physical force is used**, and to **provide medical aid to injured persons, including to offenders**. (D.02.1 b)

**RESULTS for VPI corporate members in RMI Report 2022 (in %):**

<u>Company</u>	<u>Score</u>
<b>Anglo American</b>	<b>50%</b>
<b>AngloGold Ashanti</b>	<b>0%</b>
<b>Barrick</b>	<b>0%</b>
<b>BHP</b>	<b>0%</b>
<b>Freeport-McMoRan</b>	<b>0%</b>
<b>Glencore</b>	<b>0%</b>
<b>MMG</b>	<b>0%</b>
<b>Newcrest</b>	<b>0%</b>
<b>Newmont</b>	<b>25%</b>
<b>Rio Tinto</b>	<b>50%</b>
<b>Vale</b>	<b>0%</b>

## 2.3 Investigation of abuses

### VPI expectation:

All allegation of human rights abuses [...] should be recorded. Credible allegations **should be properly investigated.**

### RMI Report 2022:

The company has systems in place to ensure its operations conduct **investigations of all unlawful or abusive behaviour** towards workers or affected communities related to its security personnel and private security forces, and take appropriate disciplinary action. (D.02.1 c)

### RESULTS for VPI corporate members in RMI Report 2022 (in %):

Company	Score
<b>Anglo American</b>	<b>100%</b>
<b>AngloGold Ashanti</b>	<b>25%</b>
<b>Barrick</b>	<b>25%</b>
<b>BHP</b>	<b>0%</b>
<b>Freeport-McMoRan</b>	<b>0%</b>
<b>Glencore</b>	<b>25%</b>
<b>MMG</b>	<b>0%</b>
<b>Newcrest</b>	<b>0%</b>
<b>Newmont</b>	<b>25%</b>
<b>Rio Tinto</b>	<b>25%</b>
<b>Vale</b>	<b>0%</b>

### 3. Tracking and review of performance on supporting education and training of security personnel, private, and public security forces

#### VPI expectation: human rights training and education


































Companies should support efforts by governments, civil society and multilateral institutions to **provide human rights training and education for public security [...]**





Where appropriate, Companies should [...] ensure that private security personnel are **adequately trained to respect the rights of employees and the local community.**

#### RMI Report 2022:

The company **tracks, reviews and acts to improve** its performance on supporting **education and training of its security personnel, private, and public security forces, to prevent human rights abuses**, in line with the Voluntary Principles on Security and Human Rights. (D.02.2)

#### RESULTS for VPI corporate members in RMI Report 2022 (in %):

Company	Score	a. Tracking data (cases+details)	b. Effectiveness reviews/audits	c. Responsive action to improve
Anglo American	25%			
AngloGold Ashanti	33%			
Barrick	50%			
BHP	17%			
Freeport-McMoRan	25%			
Glencore	50%			
MMG	25%			
Newcrest	25%			
Newmont	25%			
Rio Tinto	25%			
Vale	17%			

Scoring scale: 0  0.5  1  2 

## 4. Conflict analysis and CAHRAs

### VPI expectation: human rights training and education

Effective risk assessments should consider the following factors: [...]

**Identification of and understanding the root causes and nature of local conflicts**, as well as the level of adherence to human rights and international humanitarian law standards by key actors, can be instructive for the development of strategies for managing relations between the Company, local communities, Company employees and their unions, and host governments.

### RMI Report 2022:

Where applicable, the company has systems in place to ensure its operations carry out **enhanced due diligence to identify, assess, avoid, and mitigate risks for workers and communities specifically associated with the operations' presence in any conflict-affected and high-risk areas (CAHRAs)**, in line with the Voluntary Principles on Security and Human Rights. (D.02.3)

### RESULTS for VPI corporate members in RMI Report 2022 (in %):

Company	Score	a. Risk assessment	b. Plans to address risks	c. Implementation tracking
<b>Anglo American</b>	<b>0%</b>	●	●	●
<b>AngloGold Ashanti</b>	exception	●	●	●
<b>Barrick</b>	exception	●	●	●
<b>BHP</b>	<b>8%</b>	●	●	●
<b>Freeport-McMoRan</b>	<b>8%</b>	●	●	●
<b>Glencore</b>	<b>8%</b>	●	●	●
<b>MMG</b>	<b>8%</b>	●	●	●
<b>Newcrest</b>	exception	●	●	●
<b>Newmont</b>	exception	●	●	●
<b>Rio Tinto</b>	<b>17%</b>	●	●	●
<b>Vale</b>	<b>0%</b>	●	●	●

Scoring scale: 0 0.5 1 2  
● Exception



## Responsible Mining Foundation

The Foundation supports the principle that minerals and metals mining should benefit the economies, improve the lives of peoples and respect the environments of producing countries, while also benefiting mining companies in a fair and viable way.

The Foundation's work and research reflect what society at large can reasonably expect from mining companies on economic, environmental, social and governance matters.

[www.responsibleminingfoundation.org](http://www.responsibleminingfoundation.org)

### Disclaimer

The findings, conclusions and interpretations within this Responsible Mining Index (RMI) Report 2022 do not necessarily represent the views of funders, trustees, and employees of the Responsible Mining Foundation (RMF), and others who participated in consultations and as advisors to the report.

The RMI Report 2022 is intended to be for information purposes only and is not intended as promotional material in any respect. The report is not intended to provide accounting, legal, tax or investment advice or recommendations, neither is it intended as an offer or solicitation for the purchase or sale of any financial instrument. In order to fully understand the methodology of the RMI Report 2022, the respective sections on the website should be consulted.

The RMI seeks evidence of companies' policies and practices on economic, environmental, social and governance (EESG) issues, but does not seek to measure the actual outcomes achieved on EESG issues. Results are based only on evidence sourced from the public domain or provided by companies as

open data. Whilst this information is believed to be reliable, no guarantee can be given that it is accurate or complete, nor does it preclude the possibility that policies and practices may exist, but which the RMI has not been able to consider for purposes of assessment.

In this respect, the results of the low-scoring companies do not necessarily reflect a lack of relevant policies and practices; as they may be due to a lack of public reporting by the companies, limitations in accessing information, and/or any difficulties in accessing the RMI company portal.

It should be noted that, prior to publication, all companies in the RMI were invited to check the factual accuracy of the contextual data and evidence upon which the RMI is based and to review company information in the RMI document library.

Although every effort has been made to verify the accuracy of translations, the English language version should be taken as the definitive version.

[www.responsibleminingindex.org](http://www.responsibleminingindex.org)