

Canada, adding our operations in British Columbia in 2019.

We now offer independently certified, responsibly produced aluminium from our smelters in Australia and New Zealand that predominantly use hydro-powered electricity. ASI has granted its Performance Standard and Chain of Custody certifications to our Amrun and Weipa bauxite mines, Yarwun alumina refinery, and the Bell Bay and NZAS aluminium smelters. This strengthens our ability to offer ASI aluminium throughout our global supply chain, building on the certifications in place for our Canadian operations.

ASI certification means customers can be assured that the aluminium they purchase has been produced with high environmental, social and governance standards, ranging from greenhouse gas emissions to human rights. This certification expands our offering of independently certified, responsibly produced aluminium to customers around the world. It continues our leadership on responsible aluminium production from mine to market, so that our customers can meet growing consumer demand for sustainably sourced materials.

C12.3

(C12.3) Do you engage in activities that could either directly or indirectly influence public policy on climate-related issues through any of the following?

- Direct engagement with policy makers
- Trade associations
- Funding research organizations

C12.3a

(C12.3a) On what issues have you been engaging directly with policy makers?

Focus of legislation	Corporate position	Details of engagement	Proposed legislative solution
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trade	with minor exceptions	<p>ment of Canada directly and through industry associations. In 2019, we participated through various industry associations on consultations regarding the federal proposed Clean Fuel Standard, and worked with sub-national governments both directly and through our associations to refine the design details of the carbon pricing systems which came into force in most jurisdictions in 2019. We provided submission paper mostly through industry associations (Mining Association of Canada, Business Council of British-Columbia, Conseil Patronal Environmental du Canada, and Aluminium Association of Canada). We also engaged with Provincial/territorial governments on the development or modifications of their own carbon pricing system (Northwest Territories, Newfoundland and Labrador, Alberta). In Quebec, Rio Tinto has participated in preliminary consultations through meetings and submission papers to define the 2024-2030 targets for free allowances. In Alberta, the new government elected has cancelled the carbon tax and we participated in consultations that saw the output based system applied to large emitters by January 2020. In Europe, due to an important reduction of our footprint, we engage mostly through the industry associations (European Aluminum Association and Eurometals). In New Zealand, we engaged with the New Zealand Government and the Ministry for the Environment during 2019 on the Draft Net Zero Bill for New Zealand.</p>	<p>in any of the backstop jurisdictions where the federal Output Based Pricing System applies, and we did not therefore intervene other than saying that we are supportive on putting a price on carbon and to implement market mechanisms. For the Low Carbon Fuel regulation, we are worried that the same carbon dioxide emissions could be taxed twice, and that there needs to be recognition in the regulation of circumstances in northern regions where there is no clean fuel alternative such as electricity. Our northern operations could be significantly impacted as a result. We did make representations multiple times on this topic. In Quebec, Rio Tinto is supporting the market mechanism in place as an effective tool to drive emission reduction but argued that a drastic versus a more gradual reduction in free allowances could undermine the profitability of some sites when compared to competitors operating in high emitting jurisdictions without supporting the desired outcome of global emission reduction. In New Zealand, Rio Tinto's submission is publically available on the parliamentary website (see <a href="https://www.parliament.nz/resource/en-NZ/52SCEN_EVI_87861_EN12648/7df5fb509a8f9521ec608f57adea95b1146d73b6">https://www.parliament.nz/resource/en-NZ/52SCEN_EVI_87861_EN12648/7df5fb509a8f9521ec608f57adea95b1146d73b6</a>.)</p>
Carbon tax	Support with major exceptions	<p>We engage with the South African National Treasury on its proposals for a carbon tax in South Africa, both bilaterally and through industry associations. This includes responding to published consultation documents. In Canada, Rio Tinto engages on the tax regime in British Columbia. In 2019, we engaged directly with the government and through the Business Council of British Columbia on the province's benchmarking study, to determine how BC industry's measure against peers around the world. This was part of a broader Clean Growth Strategy for the province.</p>	<p>Significant modifications to the South African carbon tax have been proposed to help protect competitiveness and avoid leakage, enhancing its environmental effectiveness. In 2019, Rio Tinto played a key role in BC to facilitate a technical and data driven discussion between the BC government and the business community resulting a fair and reasonable international benchmarking exercise. In addition Rio Tinto successfully built support for the recognition and protection for energy intensive trade exposed sector like aluminium manufacturing. This work also encouraged the BC government to better understand the cost of a high regulatory burden and how a regulatory framework can be established to protect the environment and stimulate the economy.</p>



specify (Australian Government Direct Action Policy)	with minor exceptions	partment of Environment and Energy (from Feb 2020 the Department of Industry, Science, Energy and Resources) and relevant industry associations regarding regulatory changes to the Australian Government's Safeguard Mechanism.	amendments to proposed regulations.
Other, please specify (Climate change initiatives with associations)	Support with minor exceptions	Rio Tinto participated in a consultation by the West Australian EPA on their greenhouse gas guidance and the West Australian Government on Climate Policy Issues Energy Transition Commission: In early 2019, we joined the Energy Transitions Commission (ETC); a group of leaders from public, private and social sectors with the goal of accelerating change towards low-carbon energy systems. Simon Thompson, our Chairman, is a Commissioner. International Emissions Trading Association (IETA): We work with IETA to empower business to engage in climate action, advancing the objectives of the United Nations Framework Convention on Climate Change and the Paris Agreement as informed by IPCC science.	Rio Tinto outlined support for a national approach to delivering on Australia's international commitments and welcomed a continued approach by the Western Australian Government of working to deliver state based policy that is integrated into a national framework. We described abatement opportunities of particular relevance to our West Australian operations including the implementation of a portion of renewable energy into our electricity generation and the longer term work across the global business considering the transitioning of the mobile mining fleet from diesel to low-emission energy. The ETC is tackling the challenge of how we reduce emissions from the "hard-to abate" industrial and transport sectors of the economy, including steel – the customer for our iron ore and the source of most of our scope 3 emissions. We are also working together to establish effective market-based trading systems for greenhouse gas (GHG) emissions and removals that are environmentally robust, fair, open, efficient, accountable and consistent across national boundaries. A Rio Tinto representative is currently chairman of the board of IETA, as well as co-chair of the international working group.

## C12.3b

**(C12.3b) Are you on the board of any trade associations or do you provide funding beyond membership?**

Yes

## C12.3c

**Trade association**

International Emissions Trading Association (IETA)

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

IETA is a non-profit business organisation which promotes the use of carbon markets and aims to establish a functional international emissions trading regime. IETA aims to empower business to engage in climate action, advancing the objectives of the United Nations Framework Convention on Climate Change and the Paris Agreements as informed by IPCC science. It also aims to establish effective market-based trading systems for greenhouse gas emissions and removals that are environmentally robust, fair, open, efficient, accountable and consistent across national boundaries.

**How have you influenced, or are you attempting to influence their position?**

Rio Tinto is a member of the IETA Board. Rio Tinto participates in a number of IETA working groups, in part by providing insights into experiences associated with the development and implementation of emissions trading schemes globally. We are also a founding member and funder of the Business Partnerships for Market Readiness initiative run by IETA with the World Bank.

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**Trade association**

International Council on Mining & Metals (ICMM)

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

ICMM is dedicated to a safe, fair and sustainable mining and metals industry. The ICMM serves as a catalyst for change, enhancing mining's contribution to society. The ICMM has an established set of principles on climate change and continues to expand understanding within the industry and further develop its approach. Rio Tinto is a corporate member and actively participates in ICMM processes.

**How have you influenced, or are you attempting to influence their position?**

Rio Tinto's Chief executive is a member of the ICMM Council and has worked closely with ICMM to support the development of ICMM's climate change position. Rio Tinto is an active participant in the ICMM climate change and energy working group.

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**Trade association**

European Roundtable (ERT)

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**



leakage and maintaining competitiveness and growth for companies in Europe is a key message. Areas of focus include trade, climate change and EU competition law.

### **How have you influenced, or are you attempting to influence their position?**

Rio Tinto's Chief executive is an active member of the ERT. Rio Tinto is a member of the ERT energy and climate working group.

### **Trade association**

Minerals Council of Australia (MCA)

### **Is your position on climate change consistent with theirs?**

Consistent

### **Please explain the trade association's position**

The Minerals Council of Australia (MCA) represents Australia's exploration, mining and minerals processing industry, nationally and internationally, in its contribution to sustainable development and society. The Minerals Sector Statement of Principles on Climate Change Policy is publicly available.

### **How have you influenced, or are you attempting to influence their position?**

Rio Tinto is on the board of the MCA and actively participates in the MCA's energy and climate change standing committee and were actively involved in the development of the MCA's new energy and climate position.

### **Trade association**

Eurometaux / European Aluminium

### **Is your position on climate change consistent with theirs?**

Consistent

### **Please explain the trade association's position**

Eurometaux is an umbrella association representing the interests of combined non-ferrous metals industry towards EU policy makers. Eurometaux aims to promote sustainable production, use and recycling of non-ferrous metals in Europe; as well as a supportive business environment for our members to thrive in. These associations are favourable to the EU ETS, advocating for measures needed to avoid carbon leakage from a low GHG-emitting region to more GHG intensive areas, and to protect EU industry's competitiveness. During the current phase of the legislative process, such associations are the preferred channel to the policy maker for any EU ETS reforms, in combination with direct engagement with MEP and Members States.

### **How have you influenced, or are you attempting to influence their position?**

Rio Tinto is an executive committee member, as well as a member of the Eurometaux Champion Energy and Climate Change Working Group.

### **Trade association**

National Mining Association (NMA)

**Please explain the trade association's position**

The NMA advocates for national and international mining interests in the United States. It represents all mining sectors – coal, hard rock, and others.

**How have you influenced, or are you attempting to influence their position?**

A Rio Tinto general manager sits as a Board member and communicates our position on a need to address climate risk and urges NMA to change its position.

**Trade association**

US Aluminium Association

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

The AA is committed to advancing aluminium as the sustainable metal of choice around the world. It provides global standards, industry statistics and expert knowledge to member companies and policy makers nationwide and is highly engaged in public policy and technical forums.

**How have you influenced, or are you attempting to influence their position?**

Rio Tinto Aluminium chairs the Government Affairs Committee of the US Aluminium Association.

**Trade association**

Aluminium Association of Canada (AAC)

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

The AAC represents the Canadian primary aluminium industry, and strives to ensure that the Canadian primary aluminum industry is considered a world-class model of sustainable prosperity.

**How have you influenced, or are you attempting to influence their position?**

Rio Tinto Aluminium is one of the major participants in this organisation.

**Trade association**

Australian Aluminium Council (AAC)

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

The Australian Aluminium Council (AAC) is the peak body representing the aluminium industry in Australia. Through its technical group, the AAC develops and maintains material

**How have you influenced, or are you attempting to influence their position?**

Rio Tinto has a position on the AAC board. Rio Tinto Aluminium is one of the major participants in this organisation.

**Trade association**

Business Council of Australia (BCA)

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

The BCA provides a forum for the chief executives of Australia's largest companies to promote economic growth and social progress in the national interest.

**How have you influenced, or are you attempting to influence their position?**

The BCA provides a forum for the chief executives of Australia's largest companies to promote economic growth and social progress in the national interest. Rio Tinto has a position on the BCA Board. We actively participate in the Energy and Climate Change Working Party.

**Trade association**

Queensland Resource Council (QRC)

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

The QRC is an independent body representing the commercial developers of Queensland's minerals and energy resources.

**How have you influenced, or are you attempting to influence their position?**

Rio Tinto holds a position on the QRC Board until October 2019, and also participate in the QRC Energy and Climate Working Group.

**Trade association**

Mining Association of Canada (MAC)

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

MAC represents Canadian mining industry in promoting the industry; working with governments on policies affecting the sector; and educating the public on the value mining brings to the economy.

**How have you influenced, or are you attempting to influence their position?**

Rio Tinto has a position on the MAC board.

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

The Minerals Council acts as an advocate for mining in South Africa to government, communicating major policies endorsed by its members. It seeks to create a conducive policy, legislative and operating environment that facilitates mining investment growth.

**How have you influenced, or are you attempting to influence their position?**

Rio Tinto holds a position on the MinCoSA Board.

**Trade association**

US Chamber of Commerce (USCC)

**Is your position on climate change consistent with theirs?**

Inconsistent

**Please explain the trade association's position**

The US Chamber of Commerce represents the interests of more than 3 million businesses of all sizes, sectors and regions.

**How have you influenced, or are you attempting to influence their position?**

Rio Tinto's membership at USCC is focused on advocacy and engagement on market access and trade promotion.

**Trade association**

Australian Industry Greenhouse Network (AIGN)

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

AIGN is a network of industry associations and individual businesses which contribute to the climate change policy debate and see value in joint industry action on climate change in order to promote sustainable industry development.

**How have you influenced, or are you attempting to influence their position?**

Rio Tinto participates in the monthly AIGN meetings.

**Trade association**

Chamber of Minerals and Energy Western Australia (CMEWA)

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

CMEWA represents members across mining, oil and gas and resources sector services, supporting an innovative and competitive Western Australian resources sector, which delivers value to the community and investors while underpinning Australia's economy.





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**Trade association**

International Chamber of Commerce (ICC)

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

The ICC works to promote international trade, responsible business conduct and a global approach to regulation to accelerate inclusive and sustainable growth to the benefit of all. The ICC is the only global business body with UN observer status

**How have you influenced, or are you attempting to influence their position?**

Rio Tinto is corporate member and contributes to the development of global policy agenda on issues of relevance.

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**Trade association**

Business Council of Canada (BCC)

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

The Business Council of Canada brings business leaders together to shape public policy in the interests of a stronger Canada and a better world.

**How have you influenced, or are you attempting to influence their position?**

Rio Tinto is a member of the Business Council of Canada

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**Trade association**

Business NZ

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

Business NZ is New Zealand's largest advocacy group for business.

**How have you influenced, or are you attempting to influence their position?**

Rio Tinto is a member of the Major companies group and the Business NZ Energy Council.

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**Trade association**

Business Council of British Columbia

**Is your position on climate change consistent with theirs?**

Consistent



a venue where members, policy experts, elected officials and government decision makers can address problems.

**How have you influenced, or are you attempting to influence their position?**

Rio Tinto is a member of the Business Council of British Columbia.

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**Trade association**

Quebec Business Council of the Environment (CPEQ)

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

The CPEQ's represents Quebec companies on issues related to the environment and sustainable development. It advocates for business and Quebec co-operation on environmental issues

**How have you influenced, or are you attempting to influence their position?**

Rio Tinto is a member of the CPEQ.

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**Trade association**

International Aluminum Institute (IAI)

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

IAI is a non for profit organization which promotes the use and the image of Aluminum

**How have you influenced, or are you attempting to influence their position?**

Rio Tinto is a member of IAI and RTA Atlantic Managing Director is currently the Chair of the Board. We are also part of all its committees and working groups including the Environment and Climate Change committee

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**Trade association**

European Aluminium Association

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

The European Aluminium Association is an industry association in brussels representing 80+ member companies and advocating at the EU level for European aluminium value chain

**How have you influenced, or are you attempting to influence their position?**

Rio Tinto Aluminium co-chairs the Aluminium Association's Innovation task Force.

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**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

Broad based business association that advocates for public policies that will foster a strong, competitive economic environment that benefits businesses, communities and families across Canada.

**How have you influenced, or are you attempting to influence their position?**

Rio Tinto is a member of the Board of the Chamber

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**Trade association**

Canadian Electricity Association (CEA)

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

The CEA provides arrange of innovative programs and services in addition to delivering a coherent industry viewpoint to decision makers on critical policy and regulatory issues

**How have you influenced, or are you attempting to influence their position?**

Rio Tinto is member of CEA.

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**Trade association**

The British Columbia Chamber of Commerce

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

Broad based business organisation of the British Columbia Chamber of Commerce

**How have you influenced, or are you attempting to influence their position?**

Rio Tinto is a member of British Columbia Chamber of Commerce

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**Trade association**

Energy Transitions Commission (ETC)

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

ETC aims to accelerate change towards low-carbon energy systems that enable robust economic development and limit the rise in global temperature to well below 2 degrees Celsius

**How have you influenced, or are you attempting to influence their position?**

Rio Tinto's Chairman is Commissioner at the ETC.



## C12.3d

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**(C12.3d) Do you publicly disclose a list of all research organizations that you fund?**

Yes

## C12.3f

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**(C12.3f) What processes do you have in place to ensure that all of your direct and indirect activities that influence policy are consistent with your overall climate change strategy?**

Positions taken by industry associations on a given topic will consider a range of members' views, and the nuance and emphasis of an industry association's position may differ from that of Rio Tinto. We believe that diverse and differing views should be heard and are an important step in finding compromise that allows progress to be made. Recognising that an industry association's view will not always be the same as ours, we review the value of individual industry association memberships both prior to joining and when membership is due for renewal. We have published principles which govern our approach to participation in industry associations.

We provide additional information on industry association memberships, listing the top five industry groups we engage with by membership fees and the industry groups we have engaged on climate policy issues. This includes detail on where industry association positions on climate change significantly differ from that of Rio Tinto's.

In April 2019 we issued stronger guidance for our industry associations regarding our expectations in relation to climate change and energy policy advocacy. Our Industry Associations and Climate Change statement outlines that where our membership is significant, we will work in partnership with those industry associations to ensure that their advocacy is consistent with our own public position and the Paris Agreement. Furthermore, that we will consider our support and membership where they do not partner with us in seeking to advance the policy agenda consistent with the outlined principles, once we have engaged in a formal dialogue process with them.

In reviewing 2019 activities, we have become aware that some of our industry association and climate change principles leave room for interpretation and therefore require clarification, which we will action in due course.