

# RESPONSIBLE SOURCING GLOBAL SUPPLIER SELF-ASSESSMENT QUESTIONNAIRE



## SUPPLIER GUIDANCE

There has been increasing pressure both at the global and local levels from consumers, customers, investors, NGOs and governments for mining companies to effectively monitor and manage their sustainability impacts, which comprise economic as well as environmental, social, and governance (ESG) impacts and that they must ensure their suppliers are doing the same.

Various countries continue to introduce and enforce anti-bribery, anti-corruption and human rights legislation that under certain circumstances could impute legal responsibility on mining companies for the actions and the conduct of their suppliers. As such, more and more companies are engaging suppliers on these issues, encouraging integration of ESG sustainability standards into core decision-making and implementation of leading practices for improving supply chain sustainability performance. This has led to a proliferation of initiatives aimed at supplier self-assessments, some of which you as a supplier may have experienced already.

Our intent with this Self-Assessment Questionnaire (SAQ) is to offer a harmonized approach to Responsible Sourcing, allowing you to demonstrate the important steps you as a supplier are taking to effectively identify and manage ESG risks and opportunities.

The SAQ herein in itself, is not a means to an end, but rather the first step in the development of a constructive dialogue between you and us your customer, in this important topic in our business. Suppliers are encouraged to respond candidly and completely to the questionnaire, establishing a true baseline of ESG practices and management from which future performance improvements and impact can be tracked, measured, and communicated.

Should you have any questions to clarify the requirements of the SAQ herein, please contact Lindi Maqubela, from Group Legal, Ethics & Compliance on email address [imaqubela@anglogoldashanti.com](mailto:imaqubela@anglogoldashanti.com)

The SAQ asks you to collect information on the following topics:

### 1. Governance

- Operations Profile
- Business Integrity
- Ownership and Management Profile
- Anti-Bribery and Corruption

### 2. Safety, Health & Environment

- Operations profile
- Management systems and training
- Waste management
- Compliance and certifications
- Water management
- Air emissions
- Business integrity
- Hazardous substances

### 3. Social

- Code of conduct
- Forced labour
- Child labour and young workers
- Localisation
- Discrimination
- Freedom of association and collective bargaining
- Security
- Harassment and abuse
- Grievance and remediation
- Supplier management

# 1. GOVERNANCE

## 1.A. Operations Profile

Name of Operation
Address of Operation
Contact Name
Title
Telephone number
Email address
Date of Self-Assessment
Holding/Parent company details:
Name of contact person, city, country, telephone number and email address of operations owners/ parent or holding company:

## 1.B. Ownership and Management Profile

In this section the words “key decision makers” shall mean or refer to Executive or Top Management team.

### 1.B.1 Ownership:

Please provide the following information about your organisation’s owners / partners / members.  
*For privately owned companies, list all the owners of your organisation.*  
*For publicly traded companies, list shareholders holding more than 5%.*

Name:	Date of Acquisition of Interest:	Percentage Ownership:

If this information is in a publicly available disclosure, please provide the relevant URL or provide an annexure.

### 1.B.2 Management:

Please provide the following information about your organisation’s directors and key decision makers:

Name:	Designation/Title:	Percentage Ownership (if applicable):

If this information is in a publicly available disclosure, please provide the relevant URL or provide an annexure.

# 1. GOVERNANCE (continued)

## 1.C. Business Integrity

### 1.C.1 Government:

Do any owners (5%+ ownership), partners, directors, or key decision makers of your organisation hold or have held any position of employment with any government or government entity (including agencies as well as state-owned or controlled enterprises) or any Public International Organisations (e.g. World Bank, United Nations)?

   
Yes No

If YES, please provide the following details:

Name:	Percentage Ownership (if applicable):	Department/Entity Name:	Position(s):	Period:

If this information is in a publicly available disclosure, please provide the relevant URL or provide an annexure.

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### 1.C.2 Family Members/Business Associates:

Are any owners (5%+ ownership), partners, directors, or key decision makers of your organisation related (by blood, marriage, current or past business association) to any government officials or political party candidates/officials?

   
Yes No

If YES, please provide the following details:

Name:	Department/Political Party:	Position(s):	Period:

If this information is in a publicly available disclosure, please provide the relevant URL or provide an annexure.

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### 1.C.3 Political Parties:

Are any owners (5%+ ownership), partners, directors, or key decision makers of your organisation political party officials or candidates, or been elected into any political office?

   
Yes No

If YES, please provide the following details:

Name:	Political Party:	Position(s):	Period:

If this information is in a publicly available disclosure, please provide the relevant URL or provide an annexure.

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# 1. GOVERNANCE (continued)

## 1.C. Business Integrity (continued)

### 1.C.4 Employment:

Has any owner (5%+ ownership), partner, director, or key decision maker of your organisation ever been employed by or performed services for AngloGold Ashanti or any of its subsidiaries?

Yes No

If YES, please provide the following details:

Name:	Department/Operation	Position(s) held:	Period:

If this information is in a publicly available disclosure, please provide the relevant URL or provide an annexure.

### 1.C.5 Employee Relationships:

Are any owners (5%+ ownership), partners, directors, or key decision makers of your organisation related (by blood, marriage, current or past business association) to any director or key decision maker of AngloGold Ashanti and/or its subsidiaries?

Yes No

If YES, please provide the following details:

Name:	Department/Operation	Position(s) held:	Period:

If this information is in a publicly available disclosure, please provide the relevant URL or provide an annexure.

# 1. GOVERNANCE (continued)

## 1.D. Anti-Bribery and Corruption

1.D.1 Are you familiar with and do you understand your obligations under the U.S. Foreign Corrupt Practices Act?

Yes No

Please briefly describe your organisation's anti-corruption policy and programmes:

If this information is in a publicly available disclosure, please provide the relevant URL or provide an annexure.

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1.D.2 Has your organisation or any owner (5%+ ownership), partner, director, or key decision maker of your organisation ever been accused, subject to investigation, or convicted of bribery, fraud or any other corrupt activity (including offering or paying money or giving anything of value to a government official in order to retain business or obtain an improper advantage) anywhere in the world?

Yes No

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1.D.3 Does your organisation appear on any country, regional or local or provincial government sanction or enforcement list in any country that AngloGold Ashanti operates in?

Yes No

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1.D.4 In the case of an investigation or audit by AngloGold Ashanti related to services or goods provided, is your organisation willing to assist and co-operate by providing applicable records and information, upon reasonable notice and request?

Yes No

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## 2. SAFETY, HEALTH AND ENVIRONMENT

### 2.A. Health and Safety

#### 2.A.1 Accident and Injury Information:

<p>Past three years <b>All Injury Frequency Rate</b> (injuries requiring medical treatment beyond first aid): Injury Rate = <math>\frac{(\text{Injuries}) \times (1,000,000 \text{ hrs})}{\text{Total hrs worked}}</math></p>	Year	Total Hrs	No. of Injuries	Injury Rate
<p>Past three years <b>Fatal Injury Rate:</b> FIFR = <math>\frac{(\text{Fatalities}) \times (1,000,000 \text{ hrs})}{\text{Total hrs worked}}</math></p>	Year	Total Hrs	No. of Fatalities	Fatality Rate
<p><i>For fatal incidents, please provide including information on nature, cause, and any corrective &amp; preventative actions taken: -</i></p>				

#### 2.A.2 Compliance and Certifications:

Is there a manager or similar position that is responsible and accountable for occupational health and safety?

Yes No

2.A.3 Does your organisation have all health and safety permit(s) or license (s) or authorization (s) required to conduct operations as required or contracted for?

Yes No

If NO, please provide details/explanation:

2.A.4 Has your organisation received any Regulatory violations or fines for Safety or Occupational Health matters in the last 3 years?

Yes No

If YES, please provide details:

Regulatory Authority Name:	Nature of Violation:	Brief Description:	Date of violation/fine:

Yes No

Has the issue been resolved?

## 2. SAFETY, HEALTH AND ENVIRONMENT (continued)

2.A.5 Has your organisation obtained any external certification such as OHSAS 18001, ISO 45001 or similar?

Yes No

If YES, please provide details:

Type of Certification:	Certification Date:	Most recent Audit date:

### 2.A.6 Safety and Health Programme:

Does your organisation have a written Safety and Health programme?

Yes No

2.A.7 Are all employees advised of their duties, responsibilities and rights with regards to Health and Safety?

Yes No

2.A.8 Have employees been trained on the Health and Safety policies and procedures appropriate to their job accountabilities?

Yes No

## 2. SAFETY, HEALTH AND ENVIRONMENT (continued)

### 2.A. Health and Safety (continued)

#### 2.A.9 Vendor Qualification:

Do you have a Health and Safety qualification programme for your vendors and/or sub-contractors?

<input type="checkbox"/>	<input type="checkbox"/>
Yes	No

### 2.B. ENVIRONMENT

#### 2.B.1 Does your organisation comply with all applicable environmental legislation and regulations?

<input type="checkbox"/>	<input type="checkbox"/>
Yes	No

If NO, please provide details/explanation:

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#### 2.B.2 Does the organisation hold the necessary licence(s) and/or permit(s) for the following (select all that apply)?:

<input type="checkbox"/>	<input type="checkbox"/>
Yes	No

Air emissions

Hazardous substances

Water

Waste management

Other

If NO, please provide details/explanation:

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#### 2.B.3 Have you received any fines or warnings or been prosecuted in relation to any of the following in the last 3 years (select all that apply)?:

<input type="checkbox"/>	<input type="checkbox"/>
Yes	No

Air emissions

Hazardous substances

Water management

Waste management

Other

If YES, please provide details:

Regulatory Authority Name:	Nature of Violation:	Brief Description:	Date of violation/fine:

Has the issue been resolved?

<input type="checkbox"/>	<input type="checkbox"/>
Yes	No



### 3. SOCIAL (continued)

#### 2.B. ENVIRONMENT (continued)

2.B.4 Does your organisation have a system in place to assess and manage environmental risks?

  
Yes   
No

If NO, please provide details/explanation:

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2.B.5 Does your organisation have an up to date ISO 14001 or EMAS certificate?

  
Yes   
No

If YES, please provide details:

Type of Certification:	Auditor Name:	Expiry Date:	Most recent Audit date:

2.B.6 Are environmental requirements and expectations communicated to all employees and suppliers in local or appropriate languages?

  
Yes   
No

### 3. SOCIAL

#### 3.A. Code of Ethics/Code of Conduct

In this section, the word "operation" shall mean or refer to the supplier production facility, factory, or plant that assembles and/or distributes goods for AngloGold Ashanti.

3.A.1 Does your organisation have a human rights policy or procedures or programme in place, and are assurance mechanisms in place to audit compliance?

  
Yes   
No

3.A.2 Does your organisation have procedures in place to receive, investigate and address complaints or concerns related to human rights for internal and external parties, and are assurance mechanisms in place to audit compliance?

  
Yes   
No

#### 3.B Forced Labour

3.B Does your organisation's policies and procedures make provisions for issues relating to prevention of forced and child labour, and are assurance mechanisms in place to audit compliance?

  
Yes   
No

#### 3.C. Discrimination

3.C. Does your organisation have policies or procedures in place to prevent discrimination which ensures that it does not hire, remunerate, promote or discipline on the basis of e.g age, disability, gender, race, religion, etc, and are assurance mechanisms in place to audit compliance?:

  
Yes   
No

### 3. SOCIAL (continued)

#### 3.D. Freedom of Association and Collective Bargaining

3.D Are workers free to join or form trade unions or workers' organisations of their own choosing and be part of collectively bargaining initiatives, if it is not in contravention of the country legislation?

Yes No

#### 3.E Harassment and Abuse

3.E Does your organisation have a formal policy or procedure that clearly states a commitment to prevent abuse, harassment and threats from acts of physical, verbal, sexual, psychological nature and intimidation, including when determining and implementing disciplinary measures, and are assurance mechanisms in place to audit compliance?

Yes No

#### 3.F. Grievance and Remediation

3.F Does your organisation have grievance procedures in place to allow employees to bring work-related violations and/or concerns to management's attention in an anonymous manner without fear of retribution?

Yes No

#### 3.G. Security

3.G. Are all security personnel aware of the Voluntary Principles on Security and Human Rights and /or the International Code of Conduct for Private Security Providers, and do they comply with these principles while carrying out their responsibilities?

Yes No

#### 3.H Supplier Management

3.H Does your organisation have policies or procedures in place to ensure that suppliers, including contractors and labour brokers, operate in compliance with all applicable laws and regulations, and the respect for human rights, and are assurance mechanisms in place to audit compliance?

Yes No

#### 3.I Localisation

3.I Does your organisation have a localisation strategy and projects, e.g. procurement, labour etc in place to promote socio-economic development of communities around the mine sites and countries in which you supply goods or provide services as an AngloGold Ashanti supplier?

Yes No

If YES, please provide spend details (USD):

Community Area and Country:	Procurement Spend from Local Suppliers (US\$):	Employment and Skills Development of locals:		Social Investment Projects
		Number of Locals	Spend value (US\$)	

#### 4. CERTIFICATION OF INFORMATION ACCURACY AND SUPPORTING DOCUMENTATION

**STOP: Before completing the below please ensure you have completed ALL the questions**

I,

\_\_\_\_\_

duly authorised thereto, hereby certify that, on behalf of \_\_\_\_\_

that to the best of our knowledge, after due inquiry, the information provided on this form, including any attached documents, is accurate, complete and up to date. I also certify that if we learn of any additional information that is relevant to this review, we will promptly report that information to AngloGold Ashanti.

**NB – THIS QUESTIONNAIRE AND REVIEW DO NOT ENTITLE THE SUPPLIER TO RECEIVE ANY WORK FROM ANGLOGOLD ASHANTI LIMITED WHATSOEVER.**

\_\_\_\_\_  
PRINTED NAME

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
TITLE

\_\_\_\_\_  
DATE

##### 4.A. Supporting Documentation

Please provide all relevant supporting documentation, including but not limited to the following:

- A copy of the ISO 9001 certificate (if applicable)
- A copy of the ISO 14001 or EMAS certificate (if applicable)
- A copy of the ISO 45001 certificate (if applicable)
- A copy of the OSHAS 18001 certificate (if applicable)
- A copy of the SA8000 or ETI certificate (if applicable)
- Company Registration Certificate (showing the Director details)
- Proof of Shareholding
- Other

