

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 Mittah Mogase, from Group Compliance on email address mmogase@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 & training
- Waste management
- Compliance and certifications
- Water management
- Air emissions
- Business integrity
- Hazardous substances

3. Social

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

1 GOVERNANCE

1.1 OPERATIONS PROFILE

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

1.2 OWNERSHIP AND MANAGEMENT PROFILE

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

1.2.1 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 and annexure.

1.2.2 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 and annexure.

1.3 BUSINESS INTEGRITY

1.3.1 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 <input type="checkbox"/>	No <input type="checkbox"/>
------------------------------	-----------------------------

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.

1.3.2 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 <input type="checkbox"/>	No <input type="checkbox"/>
------------------------------	-----------------------------

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.

1.3.3 Political Parties

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

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

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.

1.3.4 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 <input type="checkbox"/>	No <input type="checkbox"/>
------------------------------	-----------------------------

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.

1.3.5 Employee Relationships

Has any owner (5%+ ownership), partner, director, or key decision maker 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 <input type="checkbox"/>	No <input type="checkbox"/>
------------------------------	-----------------------------

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.

1.4 ANTI-BRIBERY AND CORRUPTION

1.4.1 Obligations

(a) Are you familiar with and do you understand your obligations under the U.S Foreign Corrupt Practices Act?

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

If NO, please complete the attached FCPA acknowledgment and provide a brief explanation of your organisation's policy below:

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.

- (b) 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 to retain business or obtain an improper advantage) anywhere in the world?

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

If YES, please provide the following details:

Entity/Person Name:	Date:	Description:

- (c) Does your organisation appear on any country, regional, local, or provincial government sanction or enforcement list in any country that AngloGold Ashanti operates in?

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

If YES, please provide the following details:

Country:	Reason:

(d) 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 <input type="checkbox"/>	No <input type="checkbox"/>
------------------------------	-----------------------------

If NO, please provide a reason:

2 SAFETY, HEALTH AND ENVIRONMENT

2.1 HEALTH AND SAFETY

2.1.1 Accident and Injury Information

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

2.1.2 Compliance and Certifications

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

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

(b) Does your organisation have all health and safety permit(s) or license(s) or authorisation(s) required to conduct operations as required or contracted for?

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

If YES, please attach a copy

If NO, please provide details/explanation:

(c) Has your organisation received any Regulatory violation findings or fines for safety or Occupational Health matters in the last 3 years?

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

If YES, please provide details:

Has the issue been resolved?

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

(d) Has your organisation obtained any external certification such as OHSAS 18001, ISO 45001 or similar?

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

If YES, please provide details:

Type of Certification:	Certification Date:	Most Recent Audit Date:

2.1.3 Safety and Health Programme

(a) Does your organisation have written Safety and Health programme?

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

If YES, please attach a copy

(b) Are all employees advised of their duties, responsibilities, and rights with regards to Health and Safety?

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

(c) Have employees been trained on the Health and Safety policies and procedures appropriate to their job accountabilities?

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

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

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

2.2 ENVIRONMENT

(a) Does your organisation comply with all applicable environmental legislation and regulations?

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

If NO, please provide details/explanation:

(b) Does the organisation hold the necessary license(s) and/or permit(s) for the following (select all the apply)?

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

Air Emissions	Water	Hazardous Substances	Waste Management	Other
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If NO, please provide details/explanation:

(c) Have you received any fines or warning or been prosecuted in relation to any of the following in the last 3 years (select all the apply)?

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

Air Emissions <input type="checkbox"/>	Water <input type="checkbox"/>	Hazardous Substances <input type="checkbox"/>	Waste Management <input type="checkbox"/>	Other <input type="checkbox"/>
------------------------------------------------------	----------------------------------------------	-------------------------------------------------------------	---------------------------------------------------------	----------------------------------------------

If YES, please provide details:

Regulatory Authority Name:	Nature of Violation:	Brief Description:	Date of Violation/Fine:

Has the issue been resolved?

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

(d) Does your organisation have a system / program or policy in place to assess and manage environmental risks?

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

If YES, please attach a copy

If NO, please provide details/explanation:

(e) Does your organisation have an up-to-date ISO 14001 or EMAS certificate?

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

If YES, please attach a copy

Type of Certificate	Auditor Name:	Expiry Date:	Most Recent Audit Date:

(f) Are environmental requirements and expectations communicated to all employees and suppliers in local or appropriate language?

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

3 SOCIAL

PART A			
Worker Information ¹	MALE	FEMALE	TOTAL
Total number of workers			
Total number of permanent workers			
Total number of seasonal or contractual workers or otherwise in non-permanent employment			
Total number of workers provided through agencies, labour brokers, and/or outsourced labour companies			
Auditing History			
Provide the date and details of any responsible sourcing audits or certifications (including social, ethical, or environmental) conducted, and locations it refers to	Please provide details of the audit, including: <ul style="list-style-type: none"> • Whether it was an independent or internal audit • The date of each audit • Locations the audit relates to If you require more space, place annex as a separate document.		

¹ Worker refers to any individual (irrespective of whether they are employed directly, indirectly, temporarily, or permanently) providing the applicable goods, materials, or services for or on behalf of the Supplier completing the SAQ

Question	YES	NO	Requested Evidence
General Modern Slavery² Response			
1. Do you provide training to your employees on modern slavery?	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please provide a copy of the training material</i>
Child Labour			
2. Does your organisation have a policy or process that prohibits the use of child labour, or employment of workers under the international minimum age for work (15 years), or the national minimum age for work, if it is higher?	<input type="checkbox"/>	<input type="checkbox"/>	If YES, please provide a copy of the policy/process or hyperlink If NO, please provide details/explanation
3. Does your organisation verify worker age/juvenile workers as part of the hiring process?	<input type="checkbox"/>	<input type="checkbox"/>	If YES, please provide evidence of processes/checks in place to validate date of birth/age If NO, please provide details/explanation
4. Where any potential juvenile applicant employees identified in the last 24 months?	<input type="checkbox"/>	<input type="checkbox"/>	If YES, please provide evidence of checks undertaken and any evidence of juvenile workers identified within the last 24 months
5. Does your organisation comply with the United Nations ILO conventions ³ that prohibit the worst forms of child labour, hazardous child labour and minimum age for work?	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please provide evidence of processes in place to validate date of birth</i>

² Modern Slavery is defined as situations where coercion, threats or deception are used to exploit victims and undermine or deprive them of their freedom. Modern slavery is only used to describe serious exploitation. It does not include practices like substandard working conditions or underpayment of workers. Modern slavery includes eight types of serious exploitation: trafficking in persons; slavery; servitude; forced marriage; forced labour; debt bondage; deceptive recruiting for labour services; and the worst forms of child labour.

³ International Labour Organisation Convention No. 138, 182 and 190. "Child Labour" is defined as work that deprives children of their childhood, their potential, and their dignity and that harms their physical and mental development. "Child" is defined as anyone under the age of 18. The convention sets the minimum for admission to work at 15 years (13 years for light work), and for hazardous work, 18 years. For further information, please visit: <https://www.ilo.org/ipec/facts/lang--en/index.htm>

Question	YES	NO	Requested Evidence
Forced Labour, Bonded Labour and Human Trafficking			
6. Does your organisation have a policy or process that prohibits modern slavery including all forms of forced labour and human trafficking in its operations and in those of its suppliers?	<input type="checkbox"/>	<input type="checkbox"/>	If YES, please provide a copy of the policy/process or hyperlink If NO, please provide details/explanation
7. Are any original identity documents of workers (e.g., passports, birth certificates, national identity cards) retained?	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please provide supporting evidence</i>
8. Are workers required to lodge any 'security deposits' (this could include financial or personal property) or pay any recruitment fees?	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please provide supporting evidence</i>
9. Does your organisation deduct wages, impose monetary fines, and/or withhold pay or pay entitlements to workers? This includes fines for misconduct and poor production	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please provide supporting evidence</i>
10. Does your organisation investigate labour practices to identify the risk and any instances of modern slavery?	<input type="checkbox"/>	<input type="checkbox"/>	If YES, please provide supporting evidence If NO, please provide details/explanation
11. If instances of modern slavery are identified, what actions are undertaken to remedy the situation?	<input type="checkbox"/>	<input type="checkbox"/>	Please provide details/explanation
Employment Conditions			
12. Are all workers provided with a written contract in a language they understand, where terms of employment including wage rates and hours of work are clear?	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please provide supporting evidence</i>
13. Where accommodation is provided to workers (for example, dormitories, hostels, or other forms of shared accommodation), are regular checks conducted to ensure that the living conditions are adequate and meet legal requirements) for example: fire safety, space, temperature,	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please provide supporting evidence</i>



lighting, sanitary facilities, privacy, and ventilation.			
Question	YES	NO	Requested Evidence
14. Where accommodation is provided, are workers free to leave at will?	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please provide supporting evidence</i>
15. Are workers free to lawfully resign their employment without restriction or penalty?	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please provide supporting evidence</i>
16. Are workers paid their legal pay entitlements, on time and provided with pay slips clearly showing how wages have been calculated and details of any deductions?	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please provide supporting evidence</i>
Non-Discrimination			
17. Does your organisation have policies or procedures in place to prevent discrimination which ensures that it does not hire, remunerate, promote, or discipline based on e.g., age, disability, gender, race, religion, etc., and are assurance mechanisms in place to audit compliance?	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please provide supporting evidence</i>
Freedom of Association and Collective Bargaining			
18. Does your organisation permit freedom of association and collective bargaining?	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please provide supporting evidence</i>
Harassment and Abuse			
19. 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?	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please provide supporting evidence</i>
Grievance and Redress Mechanisms			
20. Do workers have mechanisms to anonymously raise concerns related to	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please provide supporting evidence</i>

labour conditions or workplace grievances and access appropriate remedy?			
Question	YES	NO	Requested Evidence
21. If YES, please describe how these mechanisms are monitored and remedy is provided?	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please provide supporting evidence</i>
Security			
22. Are all security personnel aware of the Voluntary Principles of 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.	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please provide supporting evidence</i>
Localisation			
23. 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?	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please provide supporting evidence</i>
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
		<u>Number of Locals:</u>	
		<u>Spend Value (US\$):</u>	
Supply Chain Management			
24. Does your organisation conduct human rights due diligence on your suppliers?	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please provide supporting evidence</i>

4 Supporting Documentation

4.1 Please complete and attach the following additional documents and ensure that each is signed and stamped with a company stamp:

- Attachment 1: AngloGold Ashanti Supplier Code of Conduct
- Attachment 2: Supplier Statement regarding Government Officials
- Attachment 3: Vendor Directors/Ownership/Shareholding Information Form
- Attachment 4: Foreign Corrupt Practices Act Acknowledgement
- Attachment 5: Declaration of Conflict of Interest for Suppliers

4.2 Please provide the following supporting documentation (where applicable):

- Company Registration Certificate / Certificate of Confirmation
- Company Disclosure Certificate (showing director details) – *NOT OLDER THAN 3 MONTHS*
- Proof of shareholding (share certificates / shareholders agreement)
- Health & Safety program / policy / procedure
- Environmental plan / program / policy
- Quality policy
- Human Rights policy
- Forced Labour and Child Labour policy / procedure
- Abuse, Discrimination & Harassment policy / procedure
- Grievance policy / procedure
- Proof of support Socio-Economic Development
- Company Code of Ethics / Conduct
- Gifts, Hospitality, Sponsorship policy / procedure
- ISO 9001 Certificate
- ISO 14001 or EMAS Certificate
- ISO 45001 Certificate
- OSHAS 18001 Certificate
- SA 8000 or ETI Certificate

CERTIFICATION OF INFORMATION ACCURACY AND SUPPORTING DOCUMENTATION

STOP: Before completing the below please ensure you have completed ALL the questions and provided ALL the supporting documentation

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 QUESTIONARE AND REVIEW DO NOT ENTITLE THE SUPPLIER TO RECEIVE ANY WORK FROM ANGLOGOLD ASHANTI LIMITED WHATSOEVER.

PRINTED NAME

SIGNATURE

TITLE

DATE