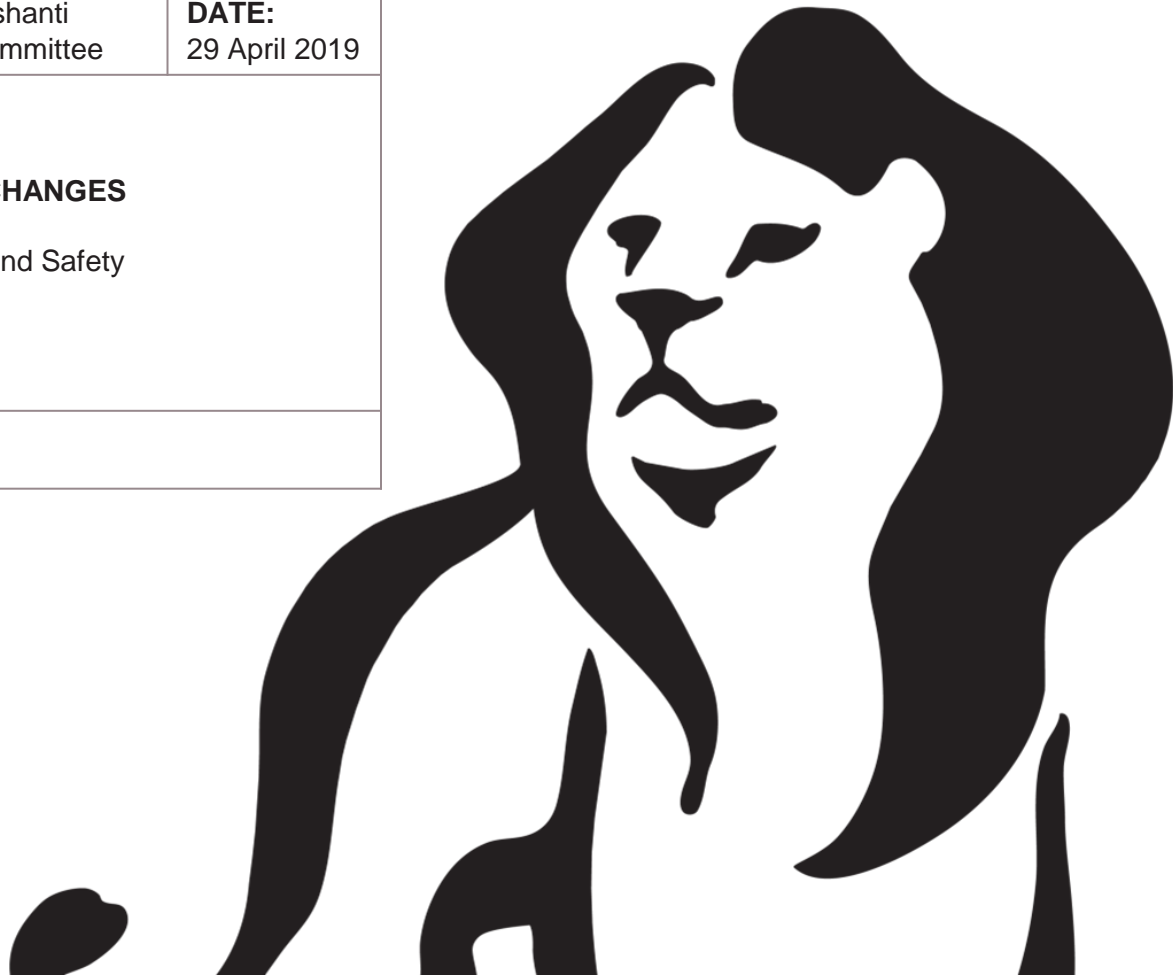


ANGLO**GOLD**ASHANTI

MANAGEMENT STANDARD		
SAFETY AND HEALTH SYSTEM STANDARDS		
POLICY CUSTODIAN	Group Sustainability	
AUTHORISED BY	AngloGold Ashanti Executive Committee	DATE: 29 April 2019
BRIEF DESCRIPTION OF CHANGES 1. Safety replaced with Occupational Health and Safety 2. ISO45001:2018 requirements considered		
Revision 07		



CONTENTS

SECTION A: INTRODUCTION	Page 3
SECTION B: STANDARDS	
1. Strategic Planning, Goals and Targets	Page 4
2. Corporate Governance, Legal and Other Requirements	Page 5
3. Safety Leadership and Accountabilities	Page 6
4. Co-Design and Conversation	Page 7
5. Awareness, Training and Competence	Page 8
6. Occupational Environment & Health, Wellbeing and Fitness for Work	Page 9
7. Design, Construction, Commissioning, De-commissioning and Closure	Page 10
8. Procurement and Disposal	Page 11
9. Operational and Asset Integrity	Page 12
10. Work Planning	Page 13
11. Safe Work Practices	Page 14
12. Change Management	Page 15
13. Contractors, Suppliers and Partner Selection and Management	Page 16
14. Hazard and Risk Management	Page 17
15. Incident Management	Page 18
16. Emergency Response, Crisis Management and Business Continuity	Page 19
17. Technology, Research and Development	Page 20
18. Knowledge Management	Page 21
19. Performance Measurement	Page 22
20. Learning from Experience	Page 23
ANNEXURE 1: SYSTEMS AND PRACTICES (SPP) ASSESSMENT PROTOCOL	Page 24

SECTION A: INTRODUCTION

Safety is our first value. The wellbeing of employees and their protection from hazardous exposures is a foundation which defines who we are and how we conduct ourselves. In achieving our goal of eliminating all injuries, our focus is to fully integrate and embed safety into the business as part of daily work routines. Safe work practices are determined by line management, and should merely be an outcome of how we work. Successful safety outcomes include both the protection of people and tangible contributions to business success. Leaders at all levels in the organisation must continuously create the conditions for workplaces free of injury and harm through their focus on people, work processes and use of technology. The role of the safety leadership team is to guide company leadership as they demonstrate that they “Walk-the-Talk”. Safety practitioners at operational levels follow the same approach, focusing on supervisors and operators.

The AngloGold Ashanti Safety and Health system and practices standards details the minimum requirement for compliance, includes information on its intent, the recipients’ required attitudes and the required processes and principles associated with that area of work.

Supporting the standards, the Safety and Health Systems and Practice Assessment Protocol (SPP) measures operational OH&S management systems and practice against the 20 Safety and Health Standards. In addition to providing line management with an indication of the credibility and efficacy of implemented safety and health systems and practice, the assessment provides an indication of the maturity of the sites’ system against the AGA Safety Maturity Model. It can also be used as a globally consistent leading indicator of OH&S performance. The protocol covers areas of occupational safety and health management considered necessary in the success of continual improvement initiatives. The basis of questions covered by the protocol is modelled on the company ethos, “Safety is our First Value”.

The protocol is designed to facilitate the implementation of processes that deliver safe working places and safe behaviours aligned with the ISO 45001:2018 standard, compliance to the Group Health and Safety Standards, and in addition, aims at going beyond mere compliance to stated OH&S standards, by measuring related performance, behaviour, practice and levels of compliance. These are tested in-field for degree of implementation. The protocol can be used as a gap analysis for implementation. It is not aimed at replacing any legislative or other requirement to which the organisation subscribes. The aim is to encourage the development of documented safety and health management processes.

1. Strategic Planning, Goals and Targets

Intent

Our goal is to ensure that Safety is a strategic objective and integrated into all business processes, with Occupational Health & Safety results as the outcome.

Principles

In implementing this standard, we will apply the following principles:

- The strategic intent for Occupational Health & Safety is an integral part of business planning and is based on business Risk Profiles, including identified significant issues, risks and opportunities.
- Strategic Occupational Health & Safety Plans should be developed, implemented and reviewed annually to ensure that they are applicable, relevant and effective in achieving our strategic intent for Safety, including the Safety Standards.
- Relevant stakeholders should be encouraged to be involved in the development of the annual Strategic Occupational Health & Safety Plans.
- Appropriate accountabilities for achieving the set goals and targets are assigned.

Attitude

In order to meet this standard, we need to:

- Be engaged and forward thinking.
- Be accountable for implementing Strategic Occupational Health & Safety Plans.
- Learn from experiences and identify opportunities for improvement.
- Holistic vision of the business and its context

Process Requirements

To ensure that this standard is implemented effectively, the organisation needs to have robust processes for:

- EXCOM to identify and document the strategic intent for Safety in consultation with relevant stakeholders.
- Annual Occupational Health & Safety Strategic Plans to be developed by each operation in line with the strategic intent for Occupational Health & Safety and in line with the Regional/ Group Strategic Plans.
- Ensure internal and external issues are documented and considered.
- Ensure learnings from industry major risks, significant issues and opportunities, past performance, and learnings from prior incidents are incorporated into strategic plans.
- Integrating Occupational Health & Safety strategic plans and management systems into other business processes.
- Reviewing and updating the Occupational Health & Strategic Safety Plans annually / determined frequencies based on risk.
- Engaging relevant stakeholders in the development of annual Occupational Health & Safety Strategic Plans.
- Incorporating appropriate accountabilities for achieving the set goals and targets into employer role descriptions.

This document is uncontrolled in hardcopy format

Document Identification	Version	Date	Page
AGA Safety & Health Standards	07	29 April 2019	4

2. Corporate Governance, Legal and Other Requirements

Intent

Our goal is to ensure that we maintain a social license to operate. To do this we need to:

1. Ensure compliance with all Occupational Health & Safety legislative and other regulatory requirements.
2. Ensure compliance with mandatory requirements of corporate directives and guidelines.
3. Demonstrate duty of care to all AngloGold Ashanti employees, contractors and visitors.

Principles

In implementing this standard, we will apply the following principles:

- Compliance to all relevant legislation, regulation and other mandatory requirements.
- Where local legislation does not require an adequate level of Occupational Health & Safety performance, the country/region should revert to the AngloGold Ashanti Safety Standards.
- An AngloGold Ashanti Safety Framework should be developed, enabled and continuously improved.
- Global Health & Safety Standards should be implemented and routinely reviewed.
- Accountabilities should be assigned for meeting and reporting progress against the Health & Safety Standards.
- We should be actively involved in influencing changes to legislation, regulations and other mandatory requirements.
- Every person in the company, and not just safety team, is responsible and accountable for requirements compliance

Attitude

In order to meet this standard, we need to:

- Support the AngloGold Ashanti Safety Framework and the creation of workplaces free of injury and illness.
- Be mindful, engaged and compliant with stipulated Occupational Health & Safety requirements.
- Personally reflect and assign clear accountabilities for Occupational Health & Safety.
- Work collaboratively to ensure compliance with all legislative, regulatory and other mandatory requirements, including the Health & Safety Standards.
- Display visible, committed leadership.

Process Requirements

To ensure that this standard is implemented effectively, the organisation needs to have robust processes for:

- Ensuring the establishment of a resilient Occupational Health & Safety culture in line with the AngloGold Ashanti Safety Framework.
- Identifying, accessing and documenting all applicable laws, regulations and other requirements in a legal compliance register, highlighting the Critical Compliance Obligations.
- Tracking and identifying all changes to legislative, regulatory and other requirements.
- Communicating new and amended legislation, regulations and other requirements to relevant employees that would affect their accountabilities.
- Implementing the required actions to integrate the compliance in the processes and system
- Implementing and reviewing Occupational Health & Safety Standards and measuring performance against the Safety Standards.
- Assigning accountabilities and authorities for liaising with external authorities and organisations to influence legislative development that impacts on AngloGold Ashanti and to ensure changes in legislation are captured and responded to.
- Effective document control which included retention and destruction specifications.
- Period external reviews to ensure legal compliance.

This document is uncontrolled in hardcopy format

Document Identification	Version	Date	Page
AGA Safety & Health Standards	07	29 April 2019	5

3. Safety Leadership and Accountabilities

Intent

Our goal is to ensure that we have Occupational Health & Safety leaders at all levels of the organisation that demonstrate leadership, commitment and accountability, and who are engaged to promote and enhance a resilient Occupational Health & Safety culture.

Principles

In implementing this standard, we will apply the following principles:

- Leadership and accountabilities should focus on establishing a resilient and mindful Occupational Health & Safety culture.
- A management culture should be created and maintained that actively supports Occupational Health & Safety objectives, commitments and strategies.
- Management should have a clear set of values and Occupational Health & Safety principles which are understood and respected through all line structures, and have the authority to act on them.
- Human, financial and technological resources to manage Occupational Health & Safety should be allocated.
- Occupational Health & Safety leadership practices should be incorporated into aspects of Managerial Leadership and integrated into all roles and accountabilities.

Attitude

In order to meet this standard, we need to:

- Commit to and participate in improving Occupational Health & Safety performance through our work and leadership
- Support the AngloGold Ashanti Occupational Health & Safety Framework and the creation of workplaces free of occupational injury and illness.
- Be mindful, engaged and compliant with stipulated Occupational Health & Safety requirements
- Personally reflect and assign clear accountabilities for Occupational Health & Safety.
- Display visible and Occupational Health & Safety accountabilities and behaviours.
- Believe that we cannot accept injuries or impairment to health as a natural consequence of our work.
- Recognise that Occupational Health & Safety is a line owned function with the Health & Safety Department providing the support

Process Requirements

To ensure that this standard is implemented effectively, the organisation needs to have robust processes for:

- Developing, reviewing and updating an Occupational Health & Safety Policy as part of the Safety Framework, through appropriate consultation, and based on the company values and Safety Guiding Principles.
- Defining, documenting and communicating roles, accountabilities, measurable performance indicators, lines of reporting, and organisational structures for all employees.
- Identifying generic managerial accountabilities with regard to Occupational Health & Safety, OH&S accountabilities appropriate to each level of work, and job specific Occupational Health & Safety accountabilities that are communicated, understood and applied.
- Ensuring that appropriate skills and competency training is provided.
- Recognising, reinforcing and rewarding Occupational Health & Safety initiatives, innovations and desired behaviours and outcomes, and dealing appropriately with unacceptable behaviours and outcomes.
- Evaluating leadership and accountabilities through the performance review process.

This document is uncontrolled in hardcopy format

Document Identification	Version	Date	Page
AGA Safety & Health Standards	07	29 April 2019	6

4. Co-Design and Conversation

Intent

Our goal is to ensure that an environment is created where employees, contractors and relevant stakeholders are enabled to contribute to the establishment, ongoing support, and ownership of a workplace conducive for healthy and safe work.

Principles

In implementing this standard, we will apply the following principles:

- Relevant stakeholders should be engaged in line with our strategic intent for Occupational Health & Safety.
- Leaders should be held accountable for engagement with this being linked to their performance management.
- Formal and informal processes should be established to facilitate ongoing engagement.

Attitude

In order to meet this standard, we need to:

- Have a clear understanding of the strategic intent for Occupational Health & Safety and be outcomes focused.
- Communicate well, and establish clear expectations.
- Listen, value and involve others.
- Be supportive of each other.
- Treat each other with dignity and respect.

Process Requirements

To ensure that this standard is implemented effectively, the organisation needs to have robust processes for:

- Identifying relevant stakeholders for the development of strategies to engage on Occupational Health & Safety matters, with the objective of increasing mindfulness and improving resilience.
- Leaders to enable successful facilitation and engagement.
- Establishing formal communication channels and workplace forums that enable engagement and delegate decision making.
- Ensuring that changes to workplace arrangements involve engagement with relevant stakeholders before implementation.
- Strengthening the flow of Safety information, up down and horizontally across the organisation.
- Process for consultation and participation in Occupational Health & Safety related matters
- Access to Occupational Health & Safety information

This document is uncontrolled in hardcopy format

Document Identification	Version	Date	Page
AGA Safety & Health Standards	07	29 April 2019	7

5. Awareness, Training and Competence

Intent

Our goal is to ensure that employees have the appropriate skills, knowledge and competencies to perform their work Safely, Healthy and effectively.

Principles

In implementing this standard, we will apply the following principles:

- Relevant stakeholders should be engaged in the development of awareness, training and competence strategies and plans in line with our strategic intent for Occupational Health & Safety.
- Competency frameworks should be developed that identify the core competencies for each role.
- Strategies to improve awareness should focus on increasing mindfulness and optimising foresight to better anticipate unexpected events and accidents.
- Training approaches will be valued and given priority and will consider differences in literacy, culture and language.
- Recruitment criteria for employees should include an assessment of awareness, competencies, behaviours, performance and encourage diversity.
- Training will be competency based, incorporating job related learning outcomes that can be measured objectively, ensuring that all employees are competent to perform their required roles.

Attitude

In order to meet this standard, we need to:

- Be engaged and mindful.
- Understand our accountabilities.
- Continuously seek opportunities for improvement.
- Commit and participate in improving Occupational Health & Safety performance through our work and leadership.

Process Requirements

To ensure that this standard is implemented effectively, the organisation needs to have robust processes for:

- Incorporating training strategies into the overall business strategy and key performance indicators.
- Identifying, prioritising, planning, documenting and monitoring the fulfillment of training needs for each level of work so that employees are competent to meet their accountabilities and perform their work Safely and Healthy.
- Appropriate competencies developed for each position and integrated into the performance management system.
- Incorporating legal and regulatory requirements into required competencies for designated roles.
- People are formally authorised before they can operate high risk plant or equipment.
- Ensuring recruitment and transfers target the competencies required for the role.
- Ensuring that induction programs emphasise hazard and risk awareness and control.
- Periodic review of training needs and skills development analysis

This document is uncontrolled in hardcopy format

Document Identification	Version	Date	Page
AGA Safety & Health Standards	07	29 April 2019	8

6. Occupational Environment & Health, Wellbeing and Fitness for Work

Intent

Our goal is to keep people healthy, protect them from workplace exposures which may impair their physical, emotional or psychological wellbeing, and ensure their health-related capacity to perform work. We do this through the design, planning for and maintaining a working environment that is conducive to the health and wellbeing of people. In the process we understand and manage environmental stressors in, or arising from, the work place.

Principles

In implementing this standard, we will apply the following principles:

- The influence of health status on the ability to perform work should be considered for ‘the right person doing the right work.
- Preventive health approaches should focus on addressing key health and wellbeing risks , and include initiatives to promote and encourage a healthy lifestyle both on and off the job.
- Occupational environment engineering considerations should be included in all operational and engineering designs.
- Health, wellbeing and fitness for work, risks and exposures should be managed, investigated, analysed and acted upon in a manner consistent with the Hazard and Risk and Incident Management Standards.
- Health, wellbeing and fitness for work records should be treated confidentially, and held for the prescribed time period, based on relevant legislative requirements.

Attitude

In order to meet this standard, we need to:

- Be vigilant in the identification and evaluation of health, wellbeing and fitness for work, recognising possible delayed onset of illness after exposure.
- Actively seek opportunities for improvement.
- Recognise the cultural diversity and impact of health, wellbeing and fitness for work.
- Involve our people in the management of health, wellbeing and fitness for work.
- Ensure that inherently Health and Safe solutions are considered and implemented.
- Be conscious of local constraints and sensitivities.

Process Requirements

To ensure that this standard is implemented effectively, the organisation needs to have robust processes for:

- Health, wellbeing and fitness for work hazard and risk identification.
- The identification of major health hazards and associated critical controls.
- Employee education and training on potential occupational health hazardous exposures and controls.
- Identification of exposure to hazards in accordance to set limits.
- Early disease monitoring and fitness for work assessment in relation to capacity for specific jobs.
- Health programmes in place to address and manage the key health risks (occupational and non-occupational) identified
- Effective management of injury or illness including rehabilitation.
- Access to the provision of equitable and sustainable healthcare.
- Monitoring and evaluation of health system effectiveness.

This document is uncontrolled in hardcopy format

Document Identification	Version	Date	Page
AGA Safety & Health Standards	07	29 April 2019	9

7. Design, Construction, Commissioning, De-commissioning and Closure

Intent

Our goal is to ensure that the hazards and risks associated with the design, construction, commissioning, de-commissioning and closure of operations, plant and facilities are identified and managed.

Principles

In implementing this standard, we will apply the following principles:

- Occupational Health & Safety should be the leading managerial criteria and measure of success of any design, construction, commissioning, decommissioning and closure project.
- CAPEX procedures should ensure that the relevant Occupational Health & Safety Standards are included in each capital expenditure proposal.
- Any changes to the design, construction, commissioning or de-commissioning and closure methodology, after original sign-off should meet the Change Management Standard.
- A design, construction and commissioning plan should be developed (that incorporates risk management, responsibilities and conformance to required standards) and identifies appropriate stages for risk assessments, with decommissioning and closure in mind.
- The Risk Profile should be updated prior to acceptance and handover.
- The Contractors, Suppliers and Partners Selection and Management Standard should apply when contracting companies are used at any stage of construction commissioning, de-commissioning and closure.

Attitude

In order to meet this standard, we need to:

- Ensure that inherently Safe and Healthy solutions are considered and implemented.
- Continuously seek opportunities for improvement.
- Be conscious of local constraints and sensitivities.

Process Requirements

To ensure that this standard is implemented effectively, the organisation needs to have robust processes for:

- Validating the design integrity at conceptual design, prefeasibility and prior to acceptance and handover, and/by utilising third party reviews.
- Ensuring that technical standards for the design, construction, commissioning, decommissioning and closure are compliant with legislation, regulation and relevant industry codes and utilise sound engineering practice and risk management principles.
- Ensuring that hazards and risks are identified and managed, in accordance with the Hazard Management Standard, including the Major Hazard Control Standard, for the planning, designing, construction, commissioning, de-commissioning and closure of new or changed mines, operations, plant or facilities.
- Apply the Capital Investment Management Standards in any new projects

This document is uncontrolled in hardcopy format

Document Identification	Version	Date	Page
AGA Safety & Health Standards	07	29 April 2019	10

8. Procurement and Disposal

Intent

Our goal is to ensure that the Occupational Health & Safety hazards and risks associated with procurement and disposal of equipment, goods and materials are identified and managed throughout their life cycle.



Principles

In implementing this standard, we will apply the following principles:

- Authorisation criteria should be in place for the disposal of equipment, goods and materials.
- All hazardous equipment, goods and materials should be managed responsibly and in accordance with regional statutory and regulatory requirements to prevent internal and external impacts.
- Accountabilities should be assigned for the procurement and disposal of all equipment, goods and materials.
- All hazardous substances and dangerous goods for use should be labeled in accordance with appropriate legislative and regulatory requirements.
- Where practicable, we will create business opportunities for local contractors, suppliers and partners.
- Comply with all applicable legislative and regulatory requirements.



Attitude

In order to meet this standard, we need to:

- Be engaged and mindful.
- Understand our accountabilities.
- Continuously seek opportunities for improvement.
- Be conscious of local constraints and sensitivities.



Process Requirements

To ensure that this standard is implemented effectively, the organisation needs to have robust processes for:

- Ensuring that the Occupational Health & Safety hazards and risks associated with all procurement and disposal of new, second hand, hired or leased equipment, goods and materials are identified and listed in a Risk Register and managed.
- Ensuring that equipment, goods and materials are in a Safe condition and can be used Safely in the use it was designed for at the time of disposal or sale (including donations) and that appropriate disposal authorisation has been granted.
- Disposing of relevant hazardous equipment, goods and materials through accredited & certified bodies.
- Assigning accountabilities for the inspection and maintenance of hired or leased equipment in line with the manufacturer's requirements.
- Keeping up to date records of all hazardous disposals.
- Conducting formal risk assessments prior to the approval of all new equipment, goods and materials.
- Ensuring second hand equipment purchased by AGA are in a safe condition prior to use, and meets the latest AGA specification.
- Establishing a quarantine process for equipment, goods, or materials that are found to be in an unsafe condition.

This document is uncontrolled in hardcopy format

Document Identification	Version	Date	Page
AGA Safety & Health Standards	07	29 April 2019	11

9. Operational and Asset Integrity

Intent

Our goal is to ensure the operational integrity of plant, equipment, infrastructure (assets), processes and protective systems.

Principles

In implementing this standard, we will apply the following principles:

- A critical plant and equipment register should be developed and maintained.
- A competency-based system should be in place for the operation of plant and equipment.
- Design data and operating limits for all plant, equipment and infrastructure should be available for all operations.
- Proposals to modify operating or design limits should comply with the Change Management Standard.
- Systems should be in place to manage the deactivation or overriding of Occupational Health & Safety and/or protective systems/apparatus.

Attitude

In order to meet this standard, we need to:

- Be engaged and mindful.
- Understand our accountabilities.
- Continuously seek opportunities for improvement.

Process Requirements

To ensure that this standard is implemented effectively, the organisation needs to have robust processes for:

- Developing, documenting and maintaining a register of critical plant and equipment and ensuring that all are inspected and maintained.
- Scheduling all maintenance and inspections of critical plant and equipment.
- Ensuring that only trained, competent and authorised personnel operate and oversee the operation of plant and equipment considering technical information.
- Reviewing systems, procedures and work practices to ensure that the control of risks are effective.
- Documenting, reviewing and maintaining design data and operating limits for all plant, equipment and infrastructure.
- Inspecting and testing plant and equipment that is newly installed and commissioned, or out of service for maintenance or modification, to ensure that operational integrity is maintained.

This document is uncontrolled in hardcopy format

Document Identification	Version	Date	Page
AGA Safety & Health Standards	07	29 April 2019	12

10. Work Planning

Intent

Our goal is to protect people from injury or illness by identifying and managing all potential hazards and risks during work planning, and then implementing effective controls to mitigate the identified risks.

Principles

In implementing this standard, we will apply the following principles:

- All work should be adequately planned, scheduled and resourced.
- Work planning should identify and manage all potential hazards and risks.
- Work planning should identify and manage relevant legal and other requirements.
- All planned work should meet the requirements of the Safe Work Practices Standard.
- All non-routine work or changes to planned routine work should meet the Change Management Standard taking into consideration cultural and environmental conditions.
- We should all be involved in the planning of work.

Attitude

In order to meet this standard, we need to:

- Be engaged and mindful.
- Understand our accountabilities.
- Continuously seek opportunities for improvement.

Process Requirements

To ensure that this standard is implemented effectively, the organisation needs to have robust processes for:

- Ensuring that routine and non-routine work is planned, scheduled and resourced prior to the commencement of work to deliver the right work, Safely and efficiently.
- Ensuring that Occupational Health & Safety principles, legal and other requirements are incorporated into the work management process.
- Ensuring that all work planning considerations, including special procedures, requirements or constraints for doing work are documented and communicated appropriately to all employees.
- Allowing work plans to be changed to respond to evolving or newly identified hazards and risks, in accordance with the Hazard and Risk Management Standard.
- Keeping track of a job when the work is complex, extends over a prolonged period of time and involves different teams.
- Ensuring competences

This document is uncontrolled in hardcopy format

Document Identification	Version	Date	Page
AGA Safety & Health Standards	07	29 April 2019	13

11. Safe Work Practices

Intent

Our goal is to ensure that Safe Work Practices and Procedures minimise the exposure to Occupational Health & Safety hazards and risks. To do this we need:

1. Minimum requirements and instructions developed for all routine work practices.
2. Work practices developed and designed through engagement with the workforce.

Principles

In implementing this standard, we will apply the following principles:

- Safe Work Practices and Procedures should be underpinned by the Risk Profile and Task Risk Assessment processes.
- Safe Work Practices and Procedures should be reviewed regularly to ensure that they continue to be applicable, relevant and effective in controlling the risks for which they have been developed.
- The workforce should be encouraged to be involved in the development of the Safe Work Practices and Procedures.
- Employees and contractors should have access to up to date and relevant Safe Work Practices and Procedures.

Attitude

In order to meet this standard, we need to:

- Be engaged.
- Be accountable for implementing safe work practices and necessary controls.
- Learn from experiences and identify opportunities for improvement.
- Be mindful of and assess for unknown hazards and risks.

Process Requirements

To ensure that this standard is implemented effectively, the organisation needs to have robust processes for:

- Incorporating Safe Work Practices and Procedures into the standard work processes.
- Developing, reviewing and improving Safe Work Practices and Procedures.
- Engaging the workforce in the development of Safe Work Practices and Procedures.
- Determining the effectiveness of Safe Work Practices and Procedures.
- Determining the compliance with Safe Work Practices and Procedures.
- Training the workforce in Safe Work Practices and Procedures and assessing individual competence.
- Ensuring that where contractors are permitted to utilize their own Safe Work Practices and Procedures, it exceeds the minimum AGA requirements.
- Ensuring that systems are in place to identify, report, respond to and manage non-conformities and improvement opportunities.

This document is uncontrolled in hardcopy format

Document Identification	Version	Date	Page
AGA Safety & Health Standards	07	29 April 2019	14

12. Change Management

Intent

Our goal is to ensure the Occupational Health & Safety of our employees, contractors and visitors during times of change. We do this by identifying and managing the hazards and risks associated with planned and unplanned changes.

Principles

In implementing this standard, we will apply the following principles:

- Changes will be managed in accordance with the Hazard and Risk Management Standard requirements.
- A clear definition of what constitutes a change and how to initiate the change management process, should be expressed, documented and understood.
- Relevant stakeholders should be consulted prior to changes taking place and informed appropriately after emergency changes have been made.
- Appropriate resources should be provided to manage the change effectively.
- Formal reviews should be conducted to assess that the change management actions have been completed, their intended outcomes validated and any unintended or additional risks are identified and managed.

Attitude

In order to meet this standard, we need to:

- Be mindful and engaged.
- Personally exhibit and assign clear accountabilities for Safety.
- Understand the consequences and downstream impacts of the change.
- Promote a culture where individuals feel comfortable to consider and discuss hazards and risks when the workplace changes.

Process Requirements

To ensure that this standard is implemented effectively, the organisation needs to have robust processes for:

- Addressing changes in personnel, organisations, activities, facilities, physical environment, processes, equipment, technology, laws and regulations and other mandatory Occupational Health & Safety risks associated with planned and unplanned changes.
- Authorising proposed changes at the appropriate organisational level.
- Engaging with all individuals, including external stakeholders, who may be affected by a proposed change in the development of the change proposal.
- Ensuring that the change is carried out according to the change proposal.
- Conducting formal reviews in order to assess the actual Safety impacts (including unforeseen impacts) of the change against the intended impact and reasons for deviation.
- Ensuring that lessons learnt from change management are openly shared and incorporated into the business.

This document is uncontrolled in hardcopy format

Document Identification	Version	Date	Page
AGA Safety & Health Standards	07	29 April 2019	15

13. Contractors, Suppliers and Partner Selection and Management

Intent

To ensure that contractor, supplier and partner relationships are compatible with the AngloGold Ashanti Vision and Values.

Principles

In implementing this standard, we will apply the following principles:

- Performance requirements should be the primary driver of the selection criteria in line with the AngloGold Ashanti Occupational Health & Safety Vision, Values and Guiding Principles, based on risk and evaluation of contractor, supplier and partner services and products.
- Contractors, suppliers and partners should meet or exceed the AngloGold Ashanti Occupational Health & Safety principles and Standards and possess a resilient and mindful culture.
- Adequate conditions are created for contractors, suppliers and partners to fulfill their Safety commitments.
- We should, where practicable, create business opportunities for local contractors, suppliers and partners, consistent with the Procurement and Disposal Standard.
- Contractual agreements are in place that ensure that contracts are appropriately managed and the mobilisation is preceded by the development of agreed Occupational Health & Safety Management Plans.

Attitude

In order to meet this standard, we need to:

- Support the AngloGold Ashanti Vision and Values and the creation of workplaces free of injury and illness.
- Be mindful, engaged and compliant with the Health & Safety Standards.
- Establish clear accountabilities for Safety.
- Work collaboratively to learn from experiences and continually improve Occupational Health & Safety performance.
- Report identified hazards and opportunities for improvement.
- Comply with Fitness for Work Requirements.

Process Requirements

To ensure that this standard is implemented effectively, the organisation needs to have robust processes for:

- Evaluating the compatibility of contractor, supplier and partner relationships.
- The provision of adequate information and resources for the Occupational Health & Safety and protection of contractors, suppliers and partners.
- Ensuring adequate information is supplied prior to and post mobilisation by contractors, suppliers and partners to ensure the Safety of all personnel.
- Ensuring that materials and equipment supplied, and services procured meet Safety and statutory requirements.
- Evaluating and encouraging contribution to sustainable community development.
- Measuring and monitoring the effectiveness of the relationship, compliance to contract obligations and performance targets, and identifying opportunities for improvement.
- Appropriate interventions when Safety Standards are not being met.
- Ensuring that lessons learnt from contractors and suppliers management are openly shared into the business

This document is uncontrolled in hardcopy format

Document Identification	Version	Date	Page
AGA Safety & Health Standards	07	29 April 2019	16

14. Hazard and Risk Management

Intent

Our desire is for people to become expert navigators of risk and to create a culture where people are constantly mindful of risk. We do this by identifying and where possible eliminating hazards, and then by understanding and managing the remaining risks. In this way we aim to construct and maintain robust layers of defense at all levels of the organisation.



Principles

In implementing this standard, we will apply the following principles:

- A common approach for identifying and controlling risk consistent in all AngloGold Ashanti jurisdictions.
- A common approach to managing well-known hazards that have caused serious incidents, through the introduction of Group Procedures.
- Engaging the workforce in the development of the Hazard and Risk Management Systems and in reporting feedback.
- Managing changes consistent with the Hazard and Risk Management and Change Management Standards requirements.



Attitude

In order to meet this standard, we need to:

- Be engaged in constructive conversations about hazards and risks.
- Be actively involved in designing effective controls.
- Be accountable for implementing Safe work practices and necessary controls.
- Be mindful about the risks associated with our day-to-day tasks.
- Be willing to learn from everyday experiences.
- Assess risks on an ongoing basis and take action to address identified or unforeseen hazards.



Process Requirements

To ensure that this standard is implemented effectively, the organisation needs to have robust processes for:

- Identifying the hazards in the workplace and operating environment.
- Identifying and assessing the risks in each level of accountability.
- Developing controls to guard against the risks.
- Making sure the controls are present in your workplace standards, procedures and work packages.
- Ensuring people are mindful of the risks around them.
- Monitoring the environment to make sure controls remain effective.
- Reviewing the integrity of the system over time.

This document is uncontrolled in hardcopy format

Document Identification	Version	Date	Page
AGA Safety & Health Standards	07	29 April 2019	17

15. Incident Management

Intent

Our goal is to ensure we learn from the collective of all incidents and determine the effectiveness of our hazard and risk management programmes. We investigate incidents thoroughly to understand where our defences have failed or were absent. We respond quickly and effectively to incidents to minimise damage.

Principles

In implementing this standard, we will apply the following principles:

- Work does not resume until the affected area has been rendered Safe and appropriate actions have been taken to reduce the risk of recurrence.
- All processes for managing incidents should comply with local legislative requirements.
- All incidents should be investigated by the relevant leaders.
- Good Occupational Health & Safety practice includes reporting near misses, unsafe practices and unsafe conditions.
- The workforce should be encouraged to be involved in the review of incidents and the development of control actions.

Attitude

In order to meet this standard, we need to:

- Clear-headed and calm in responding to an incident.
- Accountable for notifying relevant stakeholders internally and externally to AngloGold Ashanti.
- Committed to understanding why the incident has happened and why the defenses failed.
- Able to look beyond the immediate causes to understand what lessons we can learn as an organisation.
- Open and transparent in examining and reporting on incidents, near misses, unsafe practices and unsafe conditions.
- Diligent in implementing corrective actions.
- Conscious of local constraints and sensitivities.

Process Requirements

To ensure that this standard is implemented effectively, the organisation needs to have robust processes for:

- Immediate response to mitigate and stabilise the situation.
- Incident notification.
- Classify the incident, activate crisis and/or emergency management if appropriate and initiate an investigation.
- Investigate the incident thoroughly.
- Analyse the contributing factors surrounding the incident to determine where Hazard and Risk Management failed to prevent this incident.
- Develop control actions.
- Undertake an incident review process to ensure control actions are correct and executed.
- Share the learning and embed into the organisation.
- Gaining deeper insight and a more detailed understanding of underlying Contributing Factors, Patterns and linkages between Individual and Group incidents.

This document is uncontrolled in hardcopy format

Document Identification	Version	Date	Page
AGA Safety & Health Standards	07	29 April 2019	18

16. Emergency Response, Crisis Management and Business Continuity

Intent

Our goal is to ensure that AngloGold Ashanti plans, processes and accountabilities are in place to preserve the Occupational Health & Safety of people, the integrity of assets and business continuity in emergency and crisis situations.

Principles

In implementing this standard, we will apply the following principles:

- Accountabilities and authorities should be established and maintained to ensure effective emergency response, crisis management and business continuity.
- Relevant stakeholders should be engaged in the development of plans.
- Emergency response, crisis management and business continuity plans should be aligned and take cognisance of external emergency response organisations.
- All emergency and crisis scenarios should be managed by trained and competent personnel.
- Formal reviews should be conducted following all incidents and drills to capture learnings, share experiences and embed improvements.

Attitude

In order to meet this standard, we need to:

- Be engaged and mindful.
- Clear-headed and calm when responding to emergency or crisis situations.
- Understand our accountabilities.
- Be diligent in implementing and carrying out instructions and preventive or control actions.
- Continuously seek opportunities for improvement.

Process Requirements

To ensure that this standard is implemented effectively, the organisation needs to have robust processes for:

- Identifying and assessing all potential emergency scenarios, at AngloGold Ashanti and neighbouring operations and their impacts.
- Developing management plans, systems, procedures and competencies to manage all identified emergency and crisis situations.
- Documenting, assessing, communicating, and regularly reviewing information regarding emergency and crisis management.
- Identifying, maintaining and testing, required resources for emergency response and ongoing recovery activities.
- Scheduling and conducting regular emergency response drills and exercises that include liaison with and involvement of external response organisations and other stakeholders as appropriate.

This document is uncontrolled in hardcopy format

Document Identification	Version	Date	Page
AGA Safety & Health Standards	07	29 April 2019	19

17. Technology, Research and Development

Intent

Our goal is to identify existing and new technologies to reduce risk and to achieve Occupational Health & Safety improvement.

Principles

In implementing this standard, we will apply the following principles:

- An AngloGold Ashanti Technology, Research and Development Strategy should be in place.
- Research and development should focus on the physical, biological and social risks of the business.
- CAPEX proposals should consider the related requirements for technology, research and development.
- Technological development activities should cover the complete resources value chain, from exploration and mining through to downstream minerals processing and decommissioning activities.
- A risk based approach should be used in the identification of technologies or research and development.
- New technologies and development should be controlled through the change management process.
- Research and identification of existing technology in all industries should be considered for adoption prior to technological development.

Attitude

In order to meet this standard, we need to:

- Be engaged and mindful.
- Understand our accountabilities.
- Believe that we can work Safely and Healthy and not accept injuries or impairment to health as a natural consequence of our work.
- Continuously seek opportunities for improvement.
- Be aware of applicable legislative and regulatory requirements.
- Explore new possibilities and alternatives to introduce appropriate technology.

Process Requirements

To ensure that this standard is implemented effectively, the organisation needs to have robust processes for:

- Consulting appropriate stakeholders in the development of an AngloGold Ashanti Technology, Research and Development Strategy and integrating this strategy into the overall business strategy.
- Ensuring that technology, research and development expenditure proposals are reviewed and signed off appropriately.
- Identifying existing or new technologies using a risk based approach.
- Investigating research and development partnerships and establishing internal communities of interest in accordance with the Knowledge Management Standard.

This document is uncontrolled in hardcopy format

Document Identification	Version	Date	Page
AGA Safety & Health Standards	07	29 April 2019	20

18. Knowledge Management

Intent

Our goal is to ensure that we manage knowledge as a strategic asset. We will establish and maintain a Global Knowledge Management System that stimulates sharing of best practices and learning from internal and external experiences. This will help us reduce redundant work, avoid 'reinventing the wheel', reduce training time for new employees, retain intellectual capital, and adapt to changing environments and markets.



Principles

In implementing this standard, we will apply the following principles:

- Relevant stakeholders should be engaged in the development of the Knowledge Management Strategy in line with our strategic intent for Occupational Health & Safety.
- Clear accountabilities in respect of the elements of knowledge management should be defined.
- The infrastructure should leverage off, or be integrated into existing global AngloGold Ashanti information platforms.



Attitude

In order to meet this standard, we need to:

- Be engaged.
- Have a clear understanding of the strategic intent for Safety and be outcomes focused.
- Be willing to learn and cooperate with other.
- Be ready to challenge our thinking and consider adopting ideas from other parts of the organisation.
- Actively seek opportunities for improvement.



Process Requirements

To ensure that this standard is implemented effectively, the organisation needs to have robust processes for:

- Integrating knowledge management into the overall business strategy with key performance indicators.
- Establishing Centres of Excellence for each area of interest defined in the Knowledge Management Strategy, leveraging expertise from across AngloGold Ashanti.
- Establishing Communities of Practice as defined in the Knowledge Management Strategy.
- Developing mechanisms to monitor and learn from the external environment for threats that may impact on the organisation, or opportunities which may be adopted and adapted to enhance operational excellence.
- Ensuring documents are filed and managed appropriately to support knowledge management across the business.

This document is uncontrolled in hardcopy format

Document Identification	Version	Date	Page
AGA Safety & Health Standards	07	29 April 2019	21

19. Performance Measurement

Intent

Our goal is to ensure that our Safety systems are effective and meeting their intent, and that our Safety performance is continuously improving. To do this we need to:

1. Measure progress and performance to targets.
2. Monitor, audit and review our performance to identify trends.
3. Update our systems and processes.
4. Measure performance to the Health & Safety Standards.



Principles

In implementing this standard, we will apply the following principles:

- Formal management reviews should be conducted to determine the suitability, adequacy and effectiveness of the Health & Safety Standards.
- Leading and lagging indicators should be developed and used to monitor, record and analyse performance in order to learn and continuously improve.
- Conducting appropriate proactive and reactive measurements.



Attitude

In order to meet this standard, we need to:

- Be vigilant and engaged.
- Explore underlying issues and identify potential lessons we can learn as an organisation.
- Continuously seek opportunities for improvement.
- Be conscious of local constraints and sensitivities.
- Consider potential future challenges and opportunities.



Process Requirements

To ensure that this standard is implemented effectively, the organisation needs to have robust processes for:

- Conducting at least annual reviews to determine the compliance to the Health & Safety Standards, and to record, measure, monitor and analyse our Safety culture and performance against our strategic intent for Safety.
- Conducting at least annual formal management reviews to determine the suitability, adequacy and effectiveness of the Health & Safety Standards.
- Identifying, reporting, responding to, and managing non-conformities and improvement opportunities.
- Capturing and sharing learning across the organisation.
- Developing, implementing and reviewing Health & Safety Standards and measuring performance against the Standards.
- Monitoring, analyzing and improvement the performance against the targets and goals

This document is uncontrolled in hardcopy format

Document Identification	Version	Date	Page
AGA Safety & Health Standards	07	29 April 2019	22

20. Learning from Experience

Intent

Our goal is to create a culture where people share their experiences and learn from each other so that we constantly improve our ability to identify and manage risk.

Principles

In implementing this standard, we will apply the following principles:

- We should be encouraged to take accountability for reporting and acting on opportunities for improvement.
- People should be equipped with the knowledge and experience to deal with unexpected situations in a way that both manages the risk and identifies opportunities for improvement.
- Learning processes should be aligned to, and interface with the Incident Management and Hazard and Risk Management Systems.

Attitude

In order to meet this standard, we need to:

- Be engaged and mindful.
- Have a clear understanding of the strategic intent for Safety and be outcomes focused.
- Reflect on our experiences and come up with innovative ideas and solutions.
- Be willing to learn and cooperate with others.
- Actively seek opportunities for improvement.
- Be ready to challenge our thinking and consider adopting ideas from others, both internally and externally.

Process Requirements

To ensure that this standard is implemented effectively, the organisation needs to have robust processes for:

- Identifying opportunities for improvement in the workplace.
- Defining and understanding opportunities for improvement and converting them into sustainable solutions.
- Socialising, refining and implementing identified improvements within the workplace.
- Capturing learning in the Knowledge Management System, and sharing ideas across the organisation.
- Adopting and adapting new technologies and approaches from outside the organisation to improve Safety performance within AngloGold Ashanti.

This document is uncontrolled in hardcopy format

Document Identification	Version	Date	Page
AGA Safety & Health Standards	07	29 April 2019	23

ANNEXURE 1: SYSTEMS AND PRACTICES (SPP) ASSESSMENT PROTOCOL

AngloGold Ashanti Safety and Health Systems and Practice Assessment Protocol (SPP). This protocol applies to all AngloGold Ashanti operating mines, where it is to be used in the self-assessment of occupational health and safety management systems and practice. The protocol is to be completed once a year as a minimum.