

ANGLO GOLD ASHANTI

MANAGEMENT STANDARD		
COMMUNITY INCIDENT MANAGEMENT		
POLICY CUSTODIAN	Group Sustainability Department	
AUTHORISED BY	AngloGold Ashanti Executive Committee	DATE: April 2019
BRIEF DESCRIPTION OF CHANGES		
Revision: 01 (April 2019 Review ratified by the Sustainability Policy and Standards Committee)		
<ul style="list-style-type: none">• Standard was decoupled from the Group Incident Management Standard, which included both Community and Environmental Incidents management requirements.• Community incident classifications were reduced from 5 to 3 categories. Minor and Moderate classifications have been removed as all community incidents are regarded as high risk.• One new incident type was introduced, i.e. Infringements of legal, regulatory and/or international standard obligations.		



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1. INTRODUCTION

In the course of undertaking its gold production and/or exploration activities, AngloGold Ashanti sites may bring about incidents that impact negatively on the environment and or communities, to varying levels of severity. In order to reduce the reputational, financial or legal liability associated with these incidents, the organisation requires an effective internal process for identifying, communicating and responding to these events. This management standard defines internal community incident classification and reporting criteria, which permit a coherent and prompt communication of the most serious incidents. Moreover, this communication process allows for management responses to be initiated where appropriate, and the timely preparation of responses to address external enquiries.

2. OBJECTIVE

The objective of this management standard is to provide operations with requirements for the classification and reporting of community incidents to the corporate office.

3. DEFINITIONS

See attached table in Annexure A for detailed incident type and severity classifications.

4. ACCOUNTABILITY AND RESPONSIBILITY

- 4.1. Accountability for establishing this standard for the company lies with the Executive responsible for Sustainability, and accountability for implementing this standard lies with relevant Group, Regional and Site Managers.
- 4.2. Implementation accountabilities can be delegated to designated person(s) who must clearly understand their accountabilities and authorities.
- 4.3. Each site must ensure that it has adequate and appropriately experienced resources, including human resources, to implement the standard.

5. SCOPE

- 5.1. The requirements of this management standard apply to all AngloGold Ashanti's managed sites, including operating mines, closure sites and exploration projects. This standard is also applicable to employees, contractors and project partners of AGA.
- 5.2. The requirements of this Management Standard shall apply to all wholly-owned AngloGold Ashanti sites.
- 5.3. In the case of a non-managed joint venture (JV), we must endeavor to ensure that the joint venture partner has in place, a similar process that complies with this standard. Where a comparable due process is not in place or available, the parties must adopt a process which accords with internationally accepted good mining practices.
- 5.4. This standard applies regardless of the stage in the project lifecycle.

6. REQUIREMENTS

- 6.1. All sites must develop and maintain a community incident management procedure to detect and evaluate whether potentially negative community events fall into reportable incident and severity classifications, as outlined in Annexure 1.
- 6.2. All community incidents must be logged and managed on the Community Information Management System (CIMS) within the specified reporting requirements.
- 6.3. Statistics on all community incidents are to be reported quarterly with SES Board Subcommittee submissions.
- 6.4. Notification of all incidents classified as High, Major or Extreme (see Annexure A) must be communicated as soon as practicable (within 12 hours) to the Vice President: Community Affairs at Corporate Office. The incident must as soon as possible be logged on CIMS, to ensure that all relevant stakeholders are notified accordingly.
- 6.5. All incidents must be investigated and closed-out in terms of the site's incident management procedure, which includes close-out on CIMS.
- 6.6. An incident review process may be instituted at the discretion of the Corporate Office to review significant incidents.
- 6.7. All employees must be made aware of the requirements of this standard and be informed on their responsibility to report incidents identified on site.

7. REPORTING

- 7.1. Periodic reporting must be in accordance with regulatory and AGA corporate office quarterly reporting requirements.
- 7.2. All incidents should be recorded on CIMS as soon as practicable possible. High, Major and Extreme incidents should be loaded on CIMS within 24 hours of occurrence.
- 7.3. All incident will be reported as part of the AGA annual reporting platforms.

8. REVIEW REQUIREMENTS

- 8.1. This management standard will be reviewed on a periodic basis (3-5 years) and will also be updated in accordance with changes to company policy.

9. GLOSSARY

- 9.1. **Operation** refers to a producing mine.
- 9.2. **Project** refers to an exploration project or a new mine expansion.
- 9.3. **Site** is used when referring collectively to producing operations and to exploration and expansion projects.
- 9.4. **Community Incident** refers to an event that could lead or has led to loss of, or disruption to, AGA's operations, services or functions, and/or impact on the livelihood of the community.

ANNEXURE A: Community Incidents Classification Criteria

INCIDENT TYPE	HIGH	MAJOR	EXTREME
Active community opposition	<ul style="list-style-type: none"> • Claims and/or cases of opposition from the community through protest or in the media or through other interested stakeholders such as NGOs. • Breaches of legal rights of the community including failure to follow processes to gain regulatory approval. 	<ul style="list-style-type: none"> • Repeated claims and/or cases of opposition from the community supported by interested stakeholders such as NGO activists. • Commencement of legal action by the community against the company. 	<ul style="list-style-type: none"> • Widespread community outrage that results in the Group's/Operation's regulatory license to operate being suspended or revoked by the regulatory authorities.
Indigenous or traditional cultural heritage disturbance/ rights infringements	<ul style="list-style-type: none"> • Disturbance and/or damage to cultural heritage sites and/or traditional rights in a way which is inconsistent with management plans agreed with the local community or Indigenous people. • Damage results in non-compliance with legislation and/or results in serious concern from the community or Indigenous people. 	<ul style="list-style-type: none"> • Disturbance and/or damage to cultural heritage, or traditional rights that breach regulatory operating conditions, and/or results in an injunction against continuing the operation/activities. 	<ul style="list-style-type: none"> • Disturbance and/or damage to cultural heritage and traditional rights that results in the Group's/Operation's regulatory license to operate being suspended or revoked by the regulatory authorities.
Human rights	<ul style="list-style-type: none"> • Allegations/concerns/reports linking the operation to human rights incidents in the community which potentially breach AGA's standard, legislation and/or international best practice. 	<ul style="list-style-type: none"> • Verified reports linking the operation to human rights incidents in the community. • A formal investigation by an international NGO, ombudsman or government/institutional body that provides evidence the company is in breach of, or complicit in, human rights violations. 	<ul style="list-style-type: none"> • Human rights related issues have led to government interventions that result in the Group's/Operation's regulatory license to operate being suspended or revoked by the regulatory authorities.
Reputation – government, media, community, NGO	<ul style="list-style-type: none"> • Local, regional and national media attention and/or interest from media and/or regulator. 	<ul style="list-style-type: none"> • Escalating adverse and protracted national/international media attention. Damaging NGO campaign and significant public outcry. • Commencement of legal action. Government intervention – may lose license to operate or not 	<ul style="list-style-type: none"> • Damaging NGO campaign and serious public outcry reported widely in International media. • Government intervention - regulatory license to operate suspended or revoked or forfeiture of tenements or project.
Structural damage to public or private property	<ul style="list-style-type: none"> • Damage to community infrastructure or property and/or private property caused by the company's activities. • Damage results in non-compliance with legislation and/or non-conformance with management plans and operational procedures agreed with the local communities. 	<ul style="list-style-type: none"> • Major disturbance or damage to public infrastructure or property that represents a serious breach of agreed management plans. • Damage represents a breach of regulatory operating conditions and results in an injunction against continuing the operation/activities. 	<ul style="list-style-type: none"> • Widespread disturbance or damage to public property that results in the Group's/Operation's regulatory license to operate being suspended or revoked by the regulatory authorities.

Noise and ground vibration	<ul style="list-style-type: none"> • Noise and/or ground vibration events that: <ul style="list-style-type: none"> ○ result in public complaints; and/or ○ exceed regulatory standards and requirements. 	<ul style="list-style-type: none"> • Noise and/or ground vibration events that: <ul style="list-style-type: none"> ○ result in public complaints and/or community opposition/protests; ○ and/or continually exceed regulatory standards and requirements; • result in structural damage. 	<ul style="list-style-type: none"> • Noise and/or ground vibration events that result in the Group's/Operation's regulatory license to operate being suspended or revoked.
Infringements of legal, regulatory and/or international standard obligations.	<ul style="list-style-type: none"> • Allegation of non-compliance to legal, regulatory and/or international standard obligations which must be reported to or resulting in written threat of action against the operation by regulatory authorities/bodies. 	<ul style="list-style-type: none"> • An incident that results in an injunction against continuing operations. 	<ul style="list-style-type: none"> • The Group's/Operation's regulatory license to operate is suspended or revoked.