

IMPORTANT - COVID-19 has had an unprecedented impact on the way that most businesses operate. Should you require an extension to complete this SAQ, require support or become aware of new sustainability risks introduced as a consequence of the pandemic, please discuss these with your Anglo American or De Beers Group Supply Chain contact.

Responsible Sourcing: Self-Assessment Questionnaire (SAQ)

This Responsible Sourcing Self-Assessment Questionnaire (SAQ) supports the identification of potential sustainability risk.

The SAQ consolidates guidance from the International Labour Organisation (ILO), various Country legal requirements - including Modern Slavery Act disclosures, the Anglo American Sustainable Mining Plan, best practice industry guidance and input from an extensive community of stakeholders.

At minimum, this SAQ must be completed for the final production facility(ies) which provides goods and/or services to Anglo American and De Beers Group Companies (De Beers). There is no “pass or fail” approach when evaluating your responses.

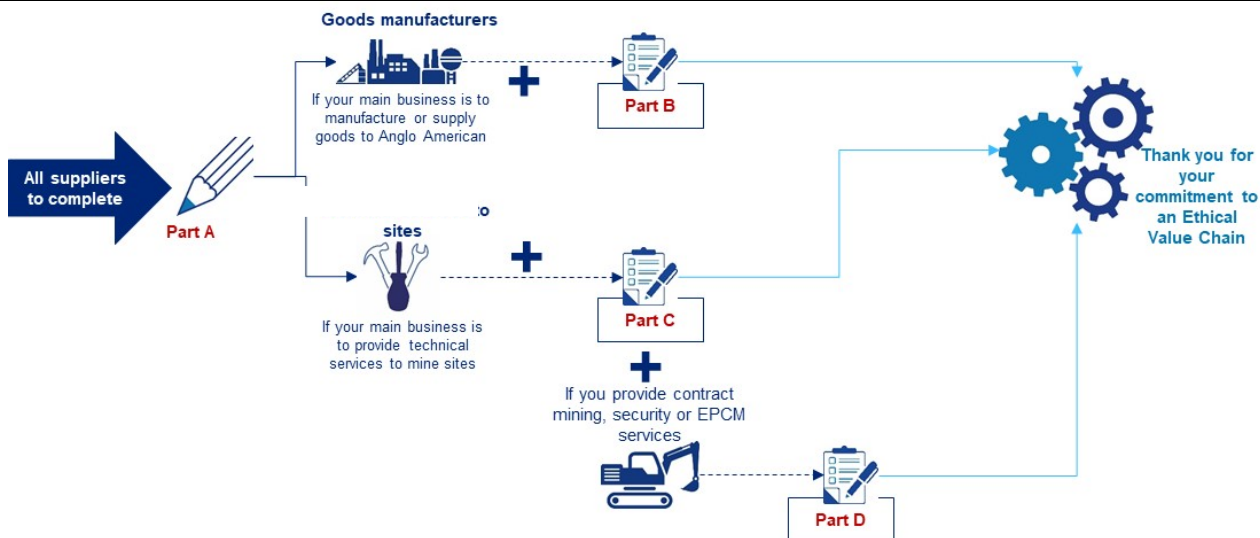
Note: The questions in this SAQ do not require you to disclose any customer details or proprietary information

How to complete this SAQ

The SAQ is divided into 4 main parts. Depending on the nature of the goods or services you supply to Anglo American and De Beers, you will be required to complete multiple parts. **Part A is compulsory for all suppliers to complete.**

The table and diagram below outline which parts you need to complete:

Type of supplier business	Parts that must be completed			
All suppliers	Part A	-	-	-
If you manufacture or supply goods <i>Examples include: any Anglo American or De Beers branded materials, construction goods and materials, reagents and frothers, raw materials, underground mining equipment, surface mining equipment, fuel, compressors/turbine/blowers, mining consumables, personal protective equipment (PPE), hand tools and workshop consumables, bulk chemicals, explosives, etc.</i>	Part A	and Part B	-	-
If you provide technical services to mine sites <i>Examples include: road transport, construction services, load and haul services, operational site services, mine ventilation, fuel management services, repairs on site, explosive and blasting services, temporary & contract labour, site based installations, site based waste management, maintenance services on site, site rehabilitation, water treatment, etc.</i>	Part A	-	and Part C	-
If you provide contract mining, security or EPCM services	Part A	-	Part C	and Part D



BEFORE YOU START – OUR COMMITMENT TO MUTUAL RECOGNITION: If you have already completed a similar SAQ within the last 36 months or conducted an on-site assessment on behalf of one of your other customers - please only complete Page 2 of this SAQ and email evidence to your Supply Chain representative. We aim to reduce duplication of effort required to common suppliers to the wider extractives industry through the sharing of non-competitive responsible sourcing data.

Part A: Applicable to all suppliers

Supplier details				
Supplier company name:				
Describe the goods or services provided by the business:				
Company website address (if available):				
Details of supplier representative completing this SAQ*				
Please note the declaration below on this SAQ				
Name:				
Job title:				
E-mail address:				
Business address (the facility for which this SAQ is completed)				
Facility legal name (if different from Supplier company name):				
Facility Manager name:				
Facility manager email address:				
Facility physical address including country:				
Facility phone number (include Country code):				
Employee information for the facility	Total	Female	Male	Other
Number of Permanent employees:				
Number of Temporary employees:				
Number of 'Agency' workers / provided by a labour agency:				
Number of Seasonal / casual workers in the past 3 months:				
Number of Workers in Subcontracted units (if applicable):				
Total Employee information (inclusive of all fields above)				
Responsible Sourcing SAQ and on-site assessment (audit) history				
Do you currently, or have been requested to, participate in the De Beers Best Practice Principles (BPP) Programme?	No		Yes	
Have you previously completed a Responsible Sourcing SAQ for the facility?	No - not done before		Yes -Done before	
Please provide date(s) of last Responsible Sourcing / Social / Ethical on-site assessments conducted on your facility – this may include assessments done for other customers: <i>Includes SMETA, SA8000, ERSA other ETI-based audits, or those done on behalf of other customers.</i>	Responsible Sourcing assessment type		Date	
Other 3 rd Party Certification schemes at the facility (as applicable)				
Details for any 3 rd party certification schemes:	3 rd Party certification type		Date of issue	
<i>Includes Health and Safety related (e.g. OHSAS 18001/ISO45001) certification; Environment (e.g. Biodiversity, ISO14001, ISO50001) certification; Quality certification; etc.</i>				
Declaration by person submitting this SAQ				
<p>By submitting this SAQ, you hereby declare:</p> <ul style="list-style-type: none"> - You are a duly authorised supplier representative; - You are permitted to complete this SAQ on behalf of the supplier company; - The information furnished herein is true, complete and correct; - You have reviewed the relevant Policies on the Anglo American and De Beers official websites; - You will regularly review and update information required by this SAQ. 			<p>_____ Sign or Type in full name of supplier representative</p> <p>_____ Date</p>	

Part A: Applicable to all suppliers			
Ref	Question	Options	
Protect Safety and Health			
A1	Does your company conduct any Health and Safety related training and/or awareness campaigns for its employees?	Yes	No
A2	Are you aware of, and understand the Health and Safety related legislation in the country(ies) where you operate?	Yes	No
A3	Do you agree to promptly advise Anglo American and De Beers Group of safety-related incidents involving the equipment or services you provide (including incidents with other customers), and highlight corrective / preventive actions?	Yes	No
A4	Do you agree to meet all Safety, Health and Environmental requirements of the country, and any applicable Anglo American and De Beers Group Standards?	Yes	No
Protect our Environment			
A5	Do you measure and monitor any environmental related performance for your business?	Yes	No
A6	In the past three years, did your company have any accidental leaks, spills, or other discharges of hazardous substances into the air, land, or water (either harmful or potentially harmful to the environment)?	Yes	No Not applicable
Respect Labour and Human Rights			
A7	Does your company agree to meet all Labour law requirements* of the country(ies) you are operating in, and all applicable Anglo American and De Beers Group Standards? <i>*Labour Laws typically prohibit child labour and govern fair working hours and employment conditions.</i>	Yes	No
A8	Do you have processes in place to validate age / date of birth of each worker?	Yes	No
A9	Does your company* comply with the United Nations ILO [International Labour Organisation] Conventions which prohibit the worst forms of child labour, hazardous child labour and minimum age for work? <i>*This also includes any suppliers of labour you may use.</i>	Yes	No
A10	What is the age of the youngest employee at your facility?		
A11	Have you, or any of your suppliers, used or have been accused of using child labour in the past 3 years? <i>A11b. If YES, please provide details:</i>	Yes	No
A12	Are any original identity related documents (passports, birth certificates, national identity cards) retained by management?	Yes	No
A13	Are workers required to lodge any security deposits or pay any recruitment fees directly to your company*? <i>*This includes parties that may conduct recruitment on your behalf or supply you with labour.</i> <i>A13b. If YES, please describe the fees and conditions</i>	Yes	No
A14	Do supervisors and managers receive training on harassment, disciplinary, and grievance procedures? <i>A14b. If YES, please provide date of last training:</i>	Yes	No
A15	Are workers members of any labour or collective bargaining organisation (e.g. Trade Union)?	Yes	No Not applicable
A16	Do you have mechanisms which allow workers to voice concerns related to poor labour conditions or other workplace grievances such as discrimination either for your facility or those of your suppliers?	Yes	No
A17	Typically, do all workers have at least 1 day (24 consecutive hours) off for every 7 days worked?	Yes	No
A18	Do employment contracts contain all elements as required by the laws in the country (ies) where you operate?	Yes	No
A19	Are all workers issued with signed copies of employment contracts?	Yes, including all 3rd party labour	No/cannot confirm 3rd party labour
A20	Are loans or other advances provided to workers? <i>A20b. If YES, under what conditions do you provide these?</i>	Yes	No

A21	Do all workers receive pay slips clearly setting out how their wages are calculated and details of deductions?	Yes	No
A22	Do workers receive equal pay for equal work, regardless of Nationality, gender, ethnic origin, race, caste, sexual orientation, tribe or religious belief?	Yes	No
A23	Do you conduct any pregnancy testing for females as part of the recruitment process or through their course of employment, without their consent?	Yes	No
A24	Is your company aware of all risks related to human trafficking and forms of modern slavery, and committed to taking appropriate steps to combat all forms of Modern Slavery within your company's and your suppliers' supply chains? [This refers to the Modern Slavery Act – MSA and similar legislation]	Yes	No Yes, but our business is low risk
A25	Does your company know where your suppliers source their goods and/or services from? In other words - do you have visibility of your suppliers' supply chains?	Yes	No
A26	Does your company require your suppliers and subcontractors to conduct any research or other due diligence to identify potential Modern Slavery or human trafficking risks in their own supply chains?	Yes	No
A27	Does your company, your suppliers or persons acting on your behalf, source any raw materials, major componentry or other goods supplied to Anglo American from Conflict-Affected or High-Risk Areas (as defined by the Organisation for Economic Co-operation) or other high-risk sanctioned Countries?	Yes	No
A28	Does a member of staff check and record that all workers (including agency staff) have valid documentation authorising them to work?	Yes	No
A29	Where provided, are dormitory facilities: clean, safe, adequate to meet the basic needs of workers, and in accordance with National law requirements and fire codes?	Yes	No No housing provided
Increase Social Accountability			
A30	Do you undertake any internal or external campaigns aimed against gender and child-based violence?	Yes	No
A31	Do you commit to respect the human dignity and the rights of individuals where you operate? <i>A31b. If YES, please describe how this is done.</i>	Yes	No
A32	Do you commit to conduct recruitment, procurement, and social investment activities in a fair, inclusive and diverse manner? <i>A32b. If YES, please describe how this is done.</i>	Yes	No
Conduct business fairly and with Integrity			
A33	Do you have a process to ensure that all managers and / or people with responsibilities in your business understand policies prohibiting bribery, corruption and fraud?	Yes	No
A34	Are you aware that we prohibit the offering or providing gifts, entertainment or hospitality to Anglo American and De Beers Group Supply Chain staff?	Yes	No
A35	Will you declare all current (and future) potential conflicts of interest when working with Anglo American or De Beers Group?	Yes	No
A36	In the past 3 years, has your company been investigated for - or found guilty of corrupt, fraudulent, illegal, unethical or anti-competitive practices?	Yes	No
A37	Do you have controls in place to safeguard against the improper use, loss, theft, abuse, unauthorised access or disposal of customer information, assets and property?	Yes	No
A38	Are you aware of and committed to comply with, all applicable privacy laws?	Yes	No
A39	Are you aware of and committed to comply with applicable laws related to: anti-money laundering, anti-terrorism financing, and trade regulations?	Yes	No
END OF PART A			

Part B: If you manufacture or supply goods				
Ref	Question	Options		
Protect Safety and Health – additional questions				
B1	Do you maintain all necessary permits and related documents for applicable Safety, Health and Environmental requirements of your Country / Industry?	Yes	No	Not applicable
B2	Do you provide operating manuals, safety related information or other forms of instruction for the goods that you provide?	Yes	No	
B3	Do you currently record workplace Injury Rates?	Yes	No	
	<i>B3a. Have you had work-related fatalities in the past 3 years?</i>	Yes	No	
	<i>B3b. Do you have any objection in making safety performance records available to Anglo American or De Beers Group if requested?</i>	Yes	No	
B4	Does your company utilise appropriately trained person(s) to support the identification and management of safety, health and environmental related risk?	Yes	No	Not applicable
B5	Do you have trained first-aiders, and easy access to adequately stocked first-aid boxes / equipment at your facility?	Yes	No	
B6	Do your employees have unrestricted access, including transport to medical facilities, in the event of an emergency?	Yes	No	
B7	Do all employees and persons at your facility have unrestricted access to potable (drinking) water?	Yes	No	
B8	Do you have an appropriate fire warning system (audible alarms, emergency lighting, etc.), safety evacuation procedures, and fire-fighting equipment (including persons trained in their usage) at your facility?	Yes	No	
B9	B9a. Do you conduct regular fire drills, in accordance with Health and Safety requirements in your Country?	Yes	No	
	<i>B9b. If YES, please state the dates of the last 2 drills:</i>	Drill 1	Drill 2	
B10	Are Material Safety Data Sheets (MSDS) / Safety Data Sheets (SDS) available for every chemical at your facility?	Yes	No	Not applicable
	<i>B10b. If YES, are they posted in the local language of workers who handle these?</i>	Yes	No	Not applicable
B11	Are all employees who require personal protective equipment (PPE) issued with these items at no charge?	Yes	No	Not applicable
B12	Are all employees required to undertake a safety induction when they start working for you?	Yes	No	Not applicable
B13	Are there clean, separated toilets for men and women?	Yes	No	
	<i>B13b. If YES, do these all contain basic supplies including toilet paper, soap and a means to dry hands?</i>	Yes	No	
B14	In the past three years, have you been subject to any fines, Government investigation, or notice of prosecution for non-compliances with safety or health regulations?	Yes	No	
	<i>B14b. If YES, please provide details:</i>			
B15	Where provided, are dormitory facilities clean, safe, adequate to meet the basic needs of workers, and in accordance with National law requirements and fire codes?	Yes	No	Not applicable

Protect our Environment – additional questions

B16	Do you have written procedures for the safe storage, use, and disposal of each hazardous material (including chemicals and pesticides)?	Yes	No	Not applicable
	<i>B16b. If YES, are these in the local language of workers*? *This may also include the use of visual displays.</i>	Yes	No	
	<i>B16c. Are they posted in areas where they are typically handled?</i>	Yes	No	
B17	Do you measure and monitor any environmental related performance for your business?	Yes	No	
	If YES, which of these do you currently measure:			
	(i) Air quality and emissions	Measured	Not measured	
	(ii) Carbon emissions	Measured	Not measured	
	(iii) Energy efficiency	Measured	Not measured	
	(iv) GHG (Green House Gas)	Measured	Not measured	
	(v) Water usage	Measured	Not measured	
	(vi) Waste management and recycling	Measured	Not measured	
Other (please specify)				

Respect Labour and Human Rights – additional questions

B18	Are all workers free to leave the facility during non-working hours or at the end of their shift (this includes workers who live on facility)?	Yes	No	
	<i>B18b. If NO, please describe conditions under which they are not permitted to leave:</i>			
B19	Do you, or any of your suppliers, use prison labour at production facilities?	Yes	No	
	<i>B19b. If YES, will you have any objection in making information and records available to Anglo American or De Beers Group if requested?</i>	Yes	No	
B20	Are physical searches conducted on workers when they enter or leave the facility?	Yes	No	
B21	How many hours is the legal maximum working week (including overtime) in your country?			
B22	Do you have a mechanism for the documentation and monitoring of working and overtime hours?	Yes	No	
B23	Are the overtime premiums which you pay in line with National legal requirements?	Yes	No	
B24	In the past 12 months, what was the highest recorded number of working hours that an employee worked in a week (during your peak production season)?			
B25	Typically, how much does the lowest paid production worker earn for a standard working month (rounded up in US\$)?			
B26	How long is your average probationary period for new employees?			
B27	What percentage of your production is done away from your facility at workers homes?			
B28	Approximately what percentage of your workforce are provided through agencies / labour brokers / outsourced labour companies?			
B29	Approximately what percentage of your workforce have 'irregular employment' i.e. fixed-term / project based or short-term contracts?			
B30	Where applicable, do you make special arrangements for pregnant workers in the workplace?	Yes	No	

END OF PART B

Part C: If you provide technical services to Anglo American sites

Ref	Question	Options		
Protect Safety and Health – additional questions				
C1	Do you maintain all necessary permits and related documents for applicable Safety, Health and Environmental requirements of your Country / Industry?	Yes	No	Not applicable
C2	Do you currently record workplace Injury Rates?	Yes		No
C3	Do you undertake any written risk assessments/job risk assessments for key tasks which may have a safety, health or environmental impact?	Yes	No	Not applicable
C4	Do you have trained first-aiders, and easy access to first-aid boxes / equipment at your facility?	Yes		No
C5	Are Material Safety Data Sheets (MSDS) / Safety Data Sheets (SDS) available for every chemical at your facility?	Yes	No	Not applicable
	<i>C5b. If YES, are they posted in the local language of workers who handle these*? *This may also include the use of visual displays.</i>	Yes		No
C6	Are all employees who require personal protective equipment (PPE) issued with these items at no charge?	Yes	No	Not applicable
C7	Do you agree that you will gain the appropriate permissions before conducting activity which may disturb land on Anglo American sites?	Yes Agree		No Disagree
Protect our Environment – additional questions				
C8	Do you have written procedures for the safe storage, use, and disposal of each hazardous material (including chemicals and pesticides)?	Yes	No	Not applicable
	<i>C8b. If YES, are these in the local language of workers who handle these materials?</i>	Yes		No
	<i>C8c. Are they posted in areas where they are typically handled?</i>	Yes		No
C9	Do you measure and monitor any environmental related performance for work done on Anglo American or De Beers Group sites?	Yes	No	Not applicable
Respect Labour and Human Rights – additional questions				
C10	In the past 12 months, what was the highest recorded number of working hours that an employee worked in a week (during your peak production season)?			
C11	How long is your average probationary period for new employees?			
C12	How many hours is the legal maximum working week (including overtime) in your country?			
C13	Do you have a mechanism for the documentation and monitoring of working and overtime hours? [Documented proof of this may be requested]	Yes	No	
C14	Approximately what percentage of your workforce have "irregular employment" i.e. fixed-term / project based or short-term contracts?			
END OF PART C				

Part D: If you provide contract mining, security or EPCM services			
Ref	Question	Options	
Protect Safety and Health – additional questions			
D1	In the past three years, have you been subjected to any fines, Government investigation, or notice of prosecution for non-compliances to any regulations?	Yes	No
	<i>D1b. If YES, please provide details:</i>		
Respect Labour and Human Rights – additional questions			
D2	Approximately what percentage of your workforce are provided through agencies / labour brokers / outsourced labour companies?		
D3	Typically, how much does the lowest paid production worker earn for a standard working month (rounded up in US\$)?		
D4	Where provided, are dormitory facilities: clean, safe, adequate to meet the basic needs of workers, and in accordance with National law requirements and fire codes?	Yes	No No housing provided
Increase Social Accountability – additional questions			
D5	Are all personnel (including your suppliers) who provide security and security related services trained on the Voluntary Principles of Human Rights and similar Anglo American or De Beers Group Standards?	Yes	No Security not used
D6	Has your company assessed potential social impacts and risk to mining host communities?	Yes	No Not applicable
D7	Are there mechanisms which will allow mining host communities, or other concerned individuals, to raise any grievances or concerns related to your activities?	Yes	No
D8	For which of these social and economic improvement activities do you currently have programmes in place (at mining host community level)?		
	(i) Host community recruitment	Yes	No
	(ii) Host community skills development and training	Yes	No
	(iii) Preferential / inclusive procurement from host community Small and Medium sized businesses	Yes	No
	(iv) Corporate Social Investment activities	Yes	No
	(v) Programmes to reduce harm to the environment	Yes	No
	<i>Please describe any other initiatives not mentioned</i>		
D9	Will you be interested in collaborating with Anglo American and De Beers on social and economic improvement programmes?	Yes	No
D10	Do you have 'Chance-Find' Procedures or Policies to address potential cultural heritage issues?	Yes	No
END OF PART D			

Thank you for completing this Self-Assessment Questionnaire

For further information on Responsible Sourcing please visit the Anglo American or De Beers Group websites, or contact your Supply Chain representative

www.angloamerican.com/suppliers/responsible-sourcing

E-mail RS@angloamerican.co.za