Report to the Plenary Session of the Voluntary Principles on Security and Human Rights

2021

AngloGold Ashanti has subscribed to the Voluntary Principles on Security and Human Rights (***VPs***) since 2007 – a set of non-binding principles developed in 2000 to address the issue of balancing safety and security needs against respect for human rights and fundamental freedoms. The VPs address a critical gap for companies seeking guidance on managing their potential exposure to inappropriate security and human rights practices, especially in countries that are associated with conflict and high potential for human rights abuses. The VPs also provide guidance for companies on identifying human rights and security risks and engaging and collaborating with state and private security forces. The VPs were developed through multi-stakeholder participation between governments, extractive industry members and non-governmental organisations (NGOs).

A.   Commitment

1. Statement of commitment or endorsement of the VPs

We seek alignment of our policies and practices with the **United Nations Guiding Principles for Business and Human Rights** (UNGPs,) as adopted by the United Nations Human Rights Council in June 2011. This formally commits us to complying with applicable laws and respecting internationally recognised human rights, even when national laws or their application fall short of protecting these rights.

In our management of security and in terms of our recognition of human rights, aligned to our Human Rights Policy (available publicly at www.anglogoldashanti.com), AngloGold Ashanti is committed to implementing the VPs in the management of all its operations.

In making decisions on, and addressing, any human rights, security and community issues, the Company takes an interdisciplinary approach. The VPs underpin the Company's security management practices.

Our ongoing attendance of VPs plenary meetings, participation in pillar meetings, working groups and in-country initiatives, provide a solid platform for collaboration and engagement with peers and colleagues across pillars, to ensure alignment with the intent of the VPs.

Furthermore, our performance regarding human rights and the implementation of the VPs form part of our annual sustainability reporting, which is publicly available.

2. Examples of promoting awareness of the VPs throughout the organisation or government

Our values are underpinned by a respect for human rights and are enshrined in our Human Rights Policy. AngloGold Ashanti is committed to the UNGPs, VPs and other international initiatives, including the United Nations Global Compact. We also work to ensure that our broader governance is human rights compliant, and recognises our responsibility to respect human rights in regards to all our operations and communities and respects the laws of the countries in which we operate.

The implementation of proper human rights due diligence (HRDD) processes underpin our commitment to the UNGPs and ensures effective management of human rights risks, including security and risk. The implementation of our HRDD processes, which includes internal HRDD and Social Licence to Operate (SLO) assessment tools, supports AngloGold Ashanti's values to "uphold and promote fundamental human rights where we do business" and to "contribute to building productive, respectful and mutually beneficial partnerships in the communities in

which we operate". The ongoing refinement of appropriate methods of redress, through a properly functioning set of grievance mechanisms, remains a priority.

The implementation of all these programs is geared towards building internal awareness and an understanding of where the Company's activities may have the potential to intersect with or infringe upon human rights. This also includes preventing or mitigating potential impacts or remediating impacts that have occurred, and prioritising security and human rights related potential conflict and risk.

In addition to our Security Framework audits and assessments, which include the VPs compliance assessments, sites are encouraged to use the VPs KPI's checklist and VPs Implementation Guidance Toolkit in formulating their site-based VPs procedures. Our efforts on human rights training, which aim to embed awareness and understanding of the UNGP's principles and the VPs, remain a priority. Training takes place in the form of induction, classroom, refresher or online training.

Respecting the rights and customs of all stakeholders is key to respecting human rights in and around our concessions. We engage with a broad cross section of community members and leadership, including traditional leaders, local and national government, women's groups, youth and people with disabilities, civil society, and indigenous communities in and around our operational areas. This includes advocating for and promoting the VPs.

Active participation in in-country initiatives to engage home and host governments, with a view to implementing the VPs in the respective countries remains a focus area.

3. *Examples of promoting and advancing implementation of the VPs internationally*

AngloGold Ashanti is open about its commitment to advancing the VPs, and, when appropriate, uses its involvement in international forums, such as the International Council on Mining and Metals (ICMM), World Gold Council (WGC), United Nations Global Compact, the Inter-Governmental Forum on Minerals, Mining, Metals and Sustainable Development, UN Forum on Business and Human Rights and in-country industry forums amongst other international and national forums, to promote the VPs. The Company's VPs Annual Report is published on its website: www.anglogoldashanti.com

B.   Policies, Procedures and Related Activities

4. *Relevant policies, procedures, and/or guidelines to implement the VPs*

We aim to foster sustainable development in host communities, as a way of working towards the value of wanting to leave communities better off for our having been there. We encourage meaningful and effective community engagement throughout the life cycle of a mining operation.

We further recognise that good community relationships built on trust and where we do no harm, will have a positive impact on security and that both the complex challenges associated with general criminality, illegal and artisanal mining, resulting in increased intrusions onto our operational areas, has the potential to increase the number and severity of security incidents.
Effective strategies for community engagement and local economic development to create alternative livelihoods are essential in addressing human rights and security issues, and their causes.

Community and security related matters are addressed at board level by the Social, Ethics and Sustainability Committee. The committee's ambit covers oversight of AngloGold Ashanti's compliance with its commitment in terms of the VPs . At a corporate level, the Sustainable Development team develops company policy in respect of

community-related issues, in addition to offering guidance and establishing procedures to foster operational conformity with the group's values, business principles and policies. Various operational plans, including stakeholder engagement plans and integrated development plans, and mechanisms for the reporting and resolving of complaints and grievances, form the backbone of community engagement efforts.

In addition, the Company's security framework and associated standards provide the base for measuring compliance for the VPs implementation progress, as the VPs are a key process of the security framework of which compliance is assessed annually. In supporting our commitment to security and human rights, AGA also follows the World Gold Council Conflict Free Gold Standard, the WGC Responsible Gold Mining Performance Standards and the ICMM Performance Expectations for members.

AngloGold Ashanti further acknowledges that our social licence to operate means that we demonstrate that we have extracted gold in a manner that does not fuel conflict. In this regard, regular security threat and risk assessments are conducted, to identify the potential for conflict and appropriate mitigation measures implemented.

We also engage public security and civil society to assist in our implementation efforts, to ensure that our security management practices are consistent with the intent of the VPs.

5. Company procedure to conduct security and human rights risk assessments

To ensure the appropriate level of protection for AngloGold Ashanti's people and assets, the Company uses its own security employees, private security providers, and public security services. At the same time, it strives to manage security in such a way that the human rights of individuals and communities affected by the Company's activities are safeguarded.

In all countries in which AngloGold Ashanti operates, threat and risk assessments are conducted to determine which security resources are required. In Colombia, Tanzania, Ghana and Guinea, risk assessments categorise threats as high and require the involvement of state police and/or military units (public security forces) on a near-permanent basis.

In addition, almost all the group's operations incorporate private security forces. As with public security, the decision to use private security is made after formal risk and threat assessments. These assessments help determine the correct number and composition of security personnel as well as their roles, and the level of protection equipment and type of weapons, which is largely dependent on the potential for conflict and ensuring that the protection of staff. Carrying of firearms is only permitted when risk assessment determines that it is justified and that it complies with national legislation. The use of minimum force and rules of engagement is advocated at all times.

6. Company procedure or mechanism to report security-related incidents with human rights implications by public/private security forces relating to the Company's activities

AngloGold Ashanti is a strong corporate citizen and supporter of transparency and active stakeholder engagement. We have mechanisms in place to report grievances and concerns, including our whistle-blowing platform. Site-specific grievance processes for employees and communities at large exist to report concerns related to legal non-compliance, fraud, bribery and corruption, human right infringements, safety and environmental matters. AngloGold Ashanti's whistle-blowing platform is administered by a third party. All employees, directors, officers and external parties have access to this platform via hotlines, email and web facilities. Reporting is anonymous unless the reporter specifically chooses to disclose their identity. All concerns are carefully investigated, and feedback is provided to the person raising the concern. Whistle-blowing results

are communicated to the Audit and Risk Committee, the SES Committee and to the Serious Concerns Committee, a senior management committee, all on a quarterly basis.

Central to the AngloGold Ashanti Human Rights framework are robust and credible grievance mechanisms. These operate at every level of the Company, from community liaison offices to site and Group-level tools. The speedy recording, investigation and resolution of grievances is a priority. All AngloGold Ashanti sites are expected to avoid or, where not feasible, minimise their impacts on local communities through project design and management plans. Grievance mechanisms for local communities are critical to implementing and managing this process. These mechanisms are guided by our Management Standards on Complaints and Grievances, and Community Incident Management, both of which are aligned with the UNGPs. Complaints and grievances lodged with the Company are managed on iSIMS, a platform that provides transparency when recording, investigating and mitigating impacts, and reporting and resolving complaints.

In addition, since 2010 AngloGold Ashanti has used a standardised reporting procedure for security and human rights related incidents to report on any potential violations of the VPs. This has not only enhanced the integrity and archiving of data relating to the VPs but has also raised awareness of AngloGold Ashanti's compliance requirements, as the system is treated as a learning tool for stakeholders across the Company's operations worldwide.

A summary of the security incidents that occurred during 2020 and 2021 can be found in Section C.9 of this report. The Company's reporting on the VPs provides further details with respect to four categories:

- significant incidents resulting in third-party deaths/injuries and involving interventions by security personnel;
- significant incidents resulting in third-party deaths/injuries but without the intervention of security personnel;
- significant incidents resulting in the deaths of, or injuries to, AngloGold Ashanti staff; and
- incidents of community unrest/protests.

7. Company procedure to consider the VPs when entering into relations with private/public security providers

As reported in (5) above, security considerations in a number of countries necessitate reliance on special support from private and public security services.

Our use of private and public security services is guided by the VPSHR, International Code of Conduct for Private Security Service Providers and the UN Code of Conduct for Law Enforcement Officials.

AngloGold Ashanti seeks to ensure that all private/public security personnel are trained in, and are familiar with the provisions of the VPs , and specific stipulations regarding their obligations with respect to compliance are being written into contracts and memorandums of understanding (MoUs). In line with the Company's commitment to these Principles, rules of engagement and the use of minimum force are advocated at all times. Alleged violations committed by private and public security providers are dealt with in accordance with AngloGold Ashanti's own investigative procedures and the applicable national legislation.

8. Company procedure or mechanism to address security-related incidents with human rights implications by public/private security forces relating to the Company's activities

Any security incident at any of AngloGold Ashanti's sites is reported and investigated, and appropriate remedial action taken, in alignment with the UNGPs. A multi-disciplinary approach is used to investigate and manage incidents and identify causes and appropriate remedial action. Incidents involving public security are prioritised

to ensure engagement at appropriate levels, in an effort to ensure due process. The Company maintains records of all incidents.

Details on incidents which occurred in 2021 are provided in the Annexure.

C. Country Implementation

9. Overview of country operations selected for reporting

AngloGold Ashanti reports on community and security-related incidents at its operations and exploration sites across the globe. Data is reported for the calendar year ended 31 December 2021, with data for the same period in 2020 supplied for comparative purposes.

Table 1: Fatalities and injuries, related to interventions by security personnel, at AngloGold Ashanti operations in 2021.

Incident Region/ Operation/ Exploration Site	2021				2020			
	Community Members		AngloGold Ashanti Security Personnel		Community Members		AngloGold Ashanti Security Personnel	
	Fatalities	*Injuries*	*Fatalities*	*Injuries*	*Fatalities*	*Injuries*	*Fatalities*	*Injuries*
Guinea, Siguiri	-	13	-	6	-	-	-	3
Ghana, Obuasi	-	-	-	4	-	-	-	-
Ghana, Iduapriem	-	-	-	1	-	-	-	-
Tanzania, Geita	-	6	-	4 *2	-	33 *2	-	5
Total	**-**	**19**	**-**	**17**	**-**	**35**	**-**	**8**

* Incidents involving discharge of less lethal firearms.

Table 2: Summary of fatalities among and injuries to third parties involved in illegal activities at AngloGold Ashanti operations/exploration sites in 2021, not related to security intervention.

Incident Operation / exploration site	2021		2020	
	Fatalities	**Injuries**	**Fatalities**	**Injuries**
Tanzania, Geita	1 (illegal mining)	-	6 (illegal mining)	11 (illegal mining)
Guinea, Siguiri	19 (illegal mining)	2 (illegal mining)	1 (illegal mining)	1 (illegal mining)
Mali, Sadiola	-	-	5 (illegal mining)	15 (illegal mining)
Total	**20**	**2**	**12**	**27**

* Since 2010 AngloGold Ashanti has been seeking greater involvement from communities in addressing the issue of artisanal and small/scale mining (ASM). The initiative has two goals: one is to encourage the reporting of ASM fatalities and the other is to raise awareness and to educate people about the dangers of ASM activity.

Certain of these figures may include information reported to us by other sources. Any such information cannot always be independently verified.

Table 3: Summary of community protest actions at AngloGold Ashanti operations, during 2021.

Operation/exploration site	Number of Protest Actions	
	2021	**2020**
Ghana, Iduapriem	1	1
Ghana, Obuasi	-	1
Guinea, Siguiri	6	6
Colombia, Quebradona	-	1
South Africa Region	-	6
Total	**7**	**15**

10. Engagements with stakeholders on country implementation

AngloGold Ashanti engages extensively with a variety of stakeholders i.e., social and business partners that have an interest in, or are affected by, the Company's activities.

At Siguiri Mine, the mediation process under the auspices of the IFC Compliance Advisor Ombudsman (CAO), involving AGA and the community complainants from Kintinian, local and international NGOs, relating to human rights abuse allegations (including allegations of human rights abuse involving public security forces) during the Area 1 Resettlement process, continues to make positive progress. During 2020, the implementation of a Conflict Prevention Task Team, as an outcome of the CAO process, was initiated following the engagement of Search For Common Ground (SFCG), to facilitate the process. The project is nearing completion, despite some delays due to COVID, and the coup in Guinea late in the latter half of 2021. Gaps and learnings out of this process are being prioritised and will also serve as a good case study across our business.

Our teams in Ghana continue to support the Ghana VPs working group, which has seen positive outcomes in recent years.

Our commitment to the VPs is embedded in our sustainable development and security management practices and we prioritise our engagement with governmental agencies, public security forces and industry peers. We participate in several national forums e.g., industry, government, public security and community forums, to ensure interaction and collective efforts to proactively address stability issues, including the respect for human rights.

11. VPs considerations in the selection of private security providers and formulation of contractual agreement with private security providers, as well as arrangements with public security forces

As reported above, AngloGold Ashanti frequently relies on governments or government agencies to provide security at its operations. All contractual agreements and MOUs with private and public security service providers must include references to the Company's commitment to and obligations to the VPs, and must spell out what AngloGold Ashanti expects from its private and public security providers.

In Guinea, the recently implemented MoU with the Guinean government, continues to be a priority even with the junta government which is currently in place.

Third-party suppliers are trained in the Company's values, policies and procedures concerning human rights and the VPs, while government security personnel are briefed and or trained on the VPs before deployment, where practically possible.

A periodic review of all contracts with private and public security agencies at operations/exploration sites is conducted with the aim of ensuring compliance and standardising contract requirements.

12. Examples of supporting outreach, education, and/or training of (i) relevant personnel, (ii) private security, (iii) public security, and/or (iv) civil society (e.g. local NGOs, community groups)

The training of security personnel and engagement with Local, Regional and National authorities regarding the importance of the VPs remains a priority, to ensure requisite capability to respond to conflict situations in an appropriate manner. A total of 4472 security personnel (Company, private and public) received training during the year.

We have also continued to support outreach efforts in countries where we operate and are a proud advocate of the VPs to our industry peers who are not part of the initiative.

Working together with communities is a core element of the Company security strategy. Given the intimate relationship between the mining operation and host communities, both groups often have shared challenges. Protecting the interests of the Company and the community together through a shared value approach is a powerful way to build trust. Communities who trust the Company and have a stake in its success, and vice versa, enable the identification of threats which provides mutual protection. In collaborating with communities, we have made progress with the establishment of community policing forums, comprising local law and order authorities, local communities and other representatives from civil society. The roles of the parties are clarified, and a shared purpose is established. Through the forums, the Company supports awareness creation and assists in building capacity in Human Rights and security through educational programmes.

At Geita in Tanzania, the community policing initiative, in conjunction with the Tanzanian police services, continues to yield positive results and is being expanded across communities at the mine. We also continue to see fewer intrusions and a reduction in potential conflict on and around the mine site. The VPs form an integral part of the training as part of this initiative.

AGA participated in a project to develop a Conflict Prevention Tool, which was launched last year and is publicly available, involving representatives of corporations, academia and international organizations all interested in responsible business practices. The tool is the outcome of an international research initiative which was designed as an incubator of new ideas around conflict prevention and resolution efforts around business operations. Its innovative and unique aspects include:

- focusing on conflict prevention;
- re-centering corporate culture as part of conflict analysis;
- promoting cross-function approaches in corporations;
- and providing detailed yet hands-on questionnaires to support companies in meeting their due diligence obligations related to security and human rights.

The tool, when integrated into existing business practices, reinforces implementation of the UNGPs and the VPs on Security and Human Rights.

13. Company procedure to review progress on implementing the VPs at local facilities

Review of the security landscape is consolidated on a quarterly basis and reported to the Social, Ethics and Sustainability Committee. This further enables transparency and ensures appropriate governance regarding VPs implementation across the group.

Our VPs compliance is also included in our Company wide combined assurance review process, facilitated by the Group Internal Audit department, and our performance forms part of our sustainability reporting which is externally audited.

D. Lessons and Issues

14. Lessons or issues from this reporting year, as well as plans or opportunities to advance the VPs for the organisation.

Our approach to security is guided by policies and strategies designed to meet security needs and demonstrate absolute respect for human rights. Our commitment to the VPs on Security and Human Rights serves and remains the main driver for our security management practices.

AngloGold Ashanti operates in a complex security landscape across all our jurisdictions with varying risk profiles. In 2021, heightened risks across our operations as a result of the COVID-19 pandemic and increasing criminality in some jurisdictions necessitated risk-adjusted strategies to counter and mitigate security threats.

Ongoing engagement with internal and external stakeholders, especially community leadership and public security agencies, allowed us to use inclusive multi-stakeholder responses to increasing pressures. We continue to work with our local stakeholders to address the significant challenge that ASM and illegal mining activities pose at our sites in Tanzania, Ghana and Guinea, which continuously tests the robustness of our security and human rights performance.

Key to continuous improvement is that any issues or incidents which have a potential human rights implication are thoroughly investigated and analysed for learning and continuous improvement purposes across the group.

Annexure

Summary of significant security incidents in 2021

In 2021 several incidents occurred in which force was used by AngloGold Ashanti security staff, contracted private security services or public security services. Details are provided below. Minimum force is advocated at AngloGold Ashanti's operations and exploration sites at all times, in line with the Company's commitment to the VPs.

Date	Location	Persons involved	Detail
Incidents involving intervention by security personnel which resulted in deaths or injuries to members of the public on AngloGold Ashanti concession areas.			
Community Fatalities Related to Security Interventions 2021			
2021	No community fatalities related to security interventions were reported for 2021.		
Community Injuries Related to Security Interventions 2021			
2021	Guinea, Siguiri	Security and intruders	**13 x Community Injuries** – thirteen (13) community members were injured in one (1) incident while attempting to escape arrest, the majority slip and fall injuries is due to hazardous terrain.
2021	Tanzania, Geita	Security and intruders	**6 x Community Injuries** – six (6) community members were injured in six (6) separate incidents while attempting to escape arrest, the majority slip and fall injuries is due to hazardous terrain.
AGA Staff Fatalities Related to Security Interventions 2021			
2021	There were no AGA staff fatalities reported during 2021.		
AGA Staff Injuries Related to Security Interventions 2021			
2021	Tanzania, Geita	Security and intruders	**6 x AGA Staff injuries** – six (6) Security staff members sustained injuries in five (5) separate incidents when attacked by intruders/criminals whilst performing duties.
2021	Guinea, Siguiri	Security and intruders	**6 x AGA Staff injuries** – six (6) Security staff members sustained injuries in one (1) incident when attacked by intruders / criminals whilst performing duties.
2021	Ghana, Obuasi	Security and intruders	**4 x AGA Staff injuries** – four (4) Security staff members sustained injuries in two (2) separate incidents when attacked by intruders / criminals whilst performing duties.
2021	Ghana, Iduapriem	Security and intruders	**1 x AGA Staff Injury** – one (1) Security staff member sustained injury when attacked by intruders / criminals whilst performing duties.

Incidents, occurring on AngloGold Ashanti concession areas that resulted in deaths or injuries to members of the public, in which there was no intervention by security personnel.			
Community Fatalities – Illegal Activities 2021: No Security Intervention			
2021	Guinea, Siguiri	Artisanal / illegal miners	**19 x Fatalities** – nineteen (19) community members were fatally injured in four (4) separate incidents whilst engaged in illegal mining activity.
2021	Tanzania, Geita	Artisanal / Illegal miners	**1 x Fatality** – one (1) community member was fatally injured in one (1) incident whilst engaged in illegal mining activity.
Community Injuries – Illegal Activities 2021: No Security Intervention			
2021	Guinea, Siguiri	Artisanal / illegal miners	**2 x Injuries** – two (2) community members were injured in one (1) incident whilst engaged in illegal mining activity.

Community Unrest / Protest Incidents			
2021	Guinea, Siguiri	Security/ Community members	**Six (6)** incidents of community protest / unrest aimed at the disrupting of mining activities reported for the year.
2021	Ghana, Iduapriem	Security/ Community members	**One (1)** incident of community protest / unrest aimed at the disrupting of mining activities reported for the year.

Definitions used in this report

Artisanal and small-scale mining (ASM): broadly refers to mining practiced by individuals, groups and/or some members of the communities and may be organised or unorganised; legal or illegal and characterised by a combination of key features.

Criminal activity: Such activity is defined by appropriate legal statute and may include illegal mining or the theft and sabotage of Company property.

Fall of ground: The fall of rock/material from the roof of a mine into a mine opening.

Legal mining: National legislation will in most cases determine the legality or otherwise of any mining activity. Artisanal and small-scale mining may be legal, depending on local regulation of the industry.

Illegal mining: refers to any mining activities (Artisanal, Small-scale, Medium or Large-scale) undertaken either in contravention of the laws (not licensed) of the host country or carried out in / on AngloGold Ashanti's (AGA) license area without the prior consent of the Company in the case of tributing. (In Colombia and Brazil, illegal mining activities in this category are limited to those associated with subsistence push factors to differentiate them from illegal-criminal mining activities).

Trespassing: Trespassing is deemed to occur when any individual enters a restricted area or private property without permission. This includes persons intending to mine or engage in any activities which may include criminal acts such as theft of Company property. Restricted areas, for example, active mining areas, must be demarcated and those in the vicinity must be notified. As mining concessions are large and often have many communities living on them, an individual cannot be considered to be trespassing by virtue of being on a mining concession *per se*. Accordingly it is the responsibility of the mine to demarcate restricted areas clearly and to communicate with communities in the surrounding areas.

Community Protest Action: a gathering by a group of members of the public demonstrating to express their views about the Company, which is monitored by Company security. A gathering occurring over consecutive days with respect to the same issue is regarded as a single incident.