

**Corporate Human Rights Benchmark
2019 Company Scoresheet**

Company Name Anglo American
Industry Extractives
Overall Score (*) 66.8 out of 100

Theme Score	Out of	For Theme
9.2	10	A. Governance and Policies
16.8	25	B. Embedding Respect and Human Rights Due Diligence
8.3	15	C. Remedies and Grievance Mechanisms
13.1	20	D. Performance: Company Human Rights Practices
12.1	20	E. Performance: Responses to Serious Allegations
7.2	10	F. Transparency

(*) Please note that any small differences between the Overall Score and the added total of Measurement Theme scores are due to rounding the numbers at different stages of the score calculation process.

Please note also that the "Not met" labels in the Explanation boxes below do not necessarily mean that the company does not meet the requirements as they are described in the bullet point short text. Rather, it means that the analysts could not find information *in public sources* that met the requirements *as described in full* in the CHRB 2019 Methodology document. For example, a "Not met" under "General HRs Commitment", which is the first bullet point for indicator A.1.1, does not necessarily mean that the company does not have a general commitment to human rights. Rather, it means that the CHRB could not identify a public statement of policy in which the company commits to respecting human rights.

Detailed assessment

A. Governance and Policies (10% of Total)

A.1 Policy Commitments (5% of Total)

Indicator Code	Indicator name	Score (out of 2)	Explanation
A.1.1	Commitment to respect human rights	2	The individual elements of the assessment are met or not as follows: Score 1 <ul style="list-style-type: none"> Met: General HRs commitment: The codes states that 'we have a fundamental commitment to respecting labour and human rights'. [Code of Conduct v.3, 2/8/2018: angloamerican.com] Met: UNGC principles 1 & 2: The Company is a signatory of the United Nations Global Compact. [Code of Conduct v.3, 2/8/2018: angloamerican.com] Score 2 <ul style="list-style-type: none"> Met: UNGPs: The Company is a 'supporter of the UN Guiding Principles on Business and Human Rights' [Human Rights Policy version 2, 2018: angloamerican.com & Code of Conduct v.3, 2/8/2018: angloamerican.com]
A.1.2	Commitment to respect the human rights of workers	2	The individual elements of the assessment are met or not as follows: Score 1 <ul style="list-style-type: none"> Met: ILO Core: Commitments are contained in the Human rights policy and in the code of conduct. The code states that 'we are committed to the International Labour Organisation's core labour rights, covering the right to freedom of association and collective bargaining, the right to equal remuneration for equal work, and a zero tolerance approach to forced labour, child labour and unfair discrimination'. [Code of Conduct v.3, 2/8/2018: angloamerican.com] Met: Explicitly list All four ILO apply to EX BPs: The Responsible Sourcing Standards for suppliers applies to 'all persons or business either doing or wishing to do business with Anglo American'. It includes contractors, agents and intermediaries. These standards explicitly include all ILO core labour areas and a specific section for health and safety of suppliers' workforce. With respect freedom

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			<p>of association and collective bargaining, these standards say: 'Recognise and respect the right of their workforce to freedom of association and rights to collective bargaining.' [Responsible sourcing standards for suppliers: angloamerican.com]</p> <p>Score 2</p> <ul style="list-style-type: none"> • Met: Explicit commitment to All four ILO Core: Commitments are contained in the Human rights policy and in the code of conduct. The code states that 'we are committed to the International Labour Organisation's core labour rights, covering the right to freedom of association and collective bargaining, the right to equal remuneration for equal work, and a zero tolerance approach to forced labour, child labour and unfair discrimination'. [Code of Conduct v.3, 2/8/2018: angloamerican.com] • Met: Respect H&S of workers: The code also contains the Commitments on workers' health and safety. [Code of Conduct v.3, 2/8/2018: angloamerican.com] • Met: H&S applies to EX BPs: See above. The code applies to employees, contractors and partners. [Code of Conduct v.3, 2/8/2018: angloamerican.com]
A.1.3.EX	Commitment to respect human rights particularly relevant to the industry (EX)	2	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Voluntary Principles (VPs) participant: The Company is a signatory to the Voluntary Principles on security and human rights. The policy applies to relationships with employees, contractors and other public and private sector business partners. [Social Way: australia.angloamerican.com & Human Rights Policy version 2, 2018: angloamerican.com] • Met: Respecting indigenous rights: The Social Way document describes the governing framework for social performance. Regarding indigenous peoples, it indicates that: 'Anglo American recognises the potential vulnerability of Indigenous Peoples and shall: Respect the rights, interests, special connections to lands and water, and perspectives of Indigenous Peoples, where mining projects are to be located on lands traditionally owned by our under customary use of Indigenous Peoples'. [Social Way: australia.angloamerican.com & Human Rights Policy version 2, 2018: angloamerican.com] • Met: Expects BPs to respect these rights: See above <p>Score 2</p> <ul style="list-style-type: none"> • Met: FPIC commitment: Regarding empower vulnerable and marginalised groups, the document states that 'this includes our recognition of the right of Indigenous Peoples to Free, Prior and Informed Consent (FPIC) as stated in the International Council of Mining and Metals (ICMM) Position Statement on Indigenous Peoples and Mining and reflected in the UN Declaration on the Rights of Indigenous Peoples. [Human Rights Policy version 2, 2018: angloamerican.com & Social Way: australia.angloamerican.com] • Met: IFC performance standards: Specifically on land rights, the Company indicates that 'where resettlement is unavoidable, projects shall follow the IFC Performance Standard 5 on Land Acquisition and Involuntary Resettlement'. [Human Rights Policy version 2, 2018: angloamerican.com & Social Way: australia.angloamerican.com] • Met: Respecting the right to water: One of the principles of the Company's water policy, in relation to stakeholders is 'recognizing water as an environmental and human right whilst identifying, developing and implementing collaborative solutions with our stakeholders'. The Company indicates in its sustainability report that is committed to external initiatives and standards including 'UN Resolution on human right to water and sanitation (64/292)'. [Group water policy 2018, 3/7/2018: business-humanrights.org] • Met: Expects BPs to commit to all these rights: The water policy 'applies to all employees and directors, as well as contractors, consultants and external advisers (and their personnel) when they are acting on behalf of the Group'. The Policy does not apply to joint ventures and subsidiaries which are not controlled by the Group'. In addition, the document Social Way, containing the other commitments, applies 'to our relationship with our employees, contractors and other public and private sector business partners in what they do on our behalf. In those situations where Anglo American does not have full management control, we will exercise our available leverage to influence compliance with our requirements'. [Group water policy 2018, 3/7/2018: business-humanrights.org & Social Way: australia.angloamerican.com]
A.1.4	Commitment to engage with stakeholders	2	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Commits to stakeholder engagement: The Company's Social Way document describes the governing framework for social performance. Regarding stakeholder engagement commitment, it states that all sites shall develop a Stakeholder

Indicator Code	Indicator name	Score (out of 2)	Explanation
			engagement plan which shall 'identify, profile, analyse affected communities and other stakeholders or groups, in particular those who may be disadvantaged or particularly vulnerable to adverse impacts' and 'ensure that the views of affected communities and other interested stakeholders, including those of vulnerable and marginalised groups, are incorporated into Anglo American decision-making as appropriate'. The document also indicates that 'to ensure that they are able to express their views on positive opportunities, risks, adverse impacts, as well as prevention and mitigation measures. Effective engagement and participation allows us to consider and respond to stakeholders' views in a proactive way'. [Social Way: australia.angloamerican.com] Score 2 • Met: Commits to engage stakeholders in design: See above.
A.1.5	Commitment to remedy	1.5	The individual elements of the assessment are met or not as follows: Score 1 • Met: Commits to remedy: The Human rights policy indicates that 'Where we have caused or contributed to adverse human rights impacts we will contribute to their remediation as appropriate'. Also, the Social Way document indicates that effective social performance is linked to respect for human rights, meaning 'avoiding, preventing, mitigating and, where appropriate, remediating adverse human rights due diligence'. [Human Rights Policy version 2, 2018: angloamerican.com & Social Way: australia.angloamerican.com] Score 2 • Met: Not obstructing access to other remedies: Social way document states that managed sites shall ensure 'Clear communication that the existence of the complaints and grievance mechanism does not preclude the right of stakeholder to engage in judicial or other legitimate processes, in which Anglo American is committed to cooperate'. [Social Way: australia.angloamerican.com] • Not met: Work with EX BPs to remedy impacts: The Anglo American Social Way specifies that relevant requirements apply to 'contractors, subcontractors and any other business partners under AA management'. In addition 'it sets out clear requirements for all Anglo American managed sites to ensure that systems are in place to: engage with affected and interested stakeholders; avoid, prevent, mitigate and, where appropriate, remediate adverse social impacts-, and maximises development opportunities'. The Company 'operates a Group-wide "Speakup" whistle blowing programme. This service allows employees, business partners and external stakeholders to submit complaints and grievances where local employee or stakeholder grievance mechanisms have not been successful, and where the complainant believes there has been a breach of Anglo American's Business Principles.' However, no further details could be found about a commitment to remedy these adverse impacts or how the company is working with BPs to remedy impact. [Social Way: australia.angloamerican.com & SEAT Toolbox: angloamerican.com]
A.1.6	Commitment to respect the rights of human rights defenders	0	The individual elements of the assessment are met or not as follows: Score 1 • Not met: Zero tolerance attacks on HRs Defenders (HRDs): The Sustainability report indicates that 'during 2017, Anglo American participated in the Business Network on Civic Freedoms and Human Rights Defenders, convened by the International Service for Human Rights and the Business and Human Rights Resource Centre'. However CHRB has not identified any documents in the public domain which provide a commitment to zero tolerance to attacks against HRs Defenders required to meet this indicator. [Sustainability report, 2017: angloamerican.com & Article: Human rights defenders... essential for profitable business, 12/10/2018: bteam.org] Score 2 • Not met: Expects EX BPs to reflect company HRD commitments

A.2 Policy Commitments (5% of Total)

Indicator Code	Indicator name	Score (out of 2)	Explanation
A.2.1	Commitment from the top	2	The individual elements of the assessment are met or not as follows: Score 1 • Met: CEO or Board approves policy: The Code of Conduct includes human rights commitments and references Human rights policy and other human rights-related document. This document is signed by and includes a forward from the Chairman of the Board and the CEO. [Code of Conduct v.3, 2/8/2018: angloamerican.com] • Met: Board level responsibility for HRs: The Sustainability Committee provides specific oversight of risks and opportunities in social impact management and socio-economic development, which includes human rights. [Sustainability Committee terms of reference: angloamerican.com]

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			Score 2 <ul style="list-style-type: none"> Met: Speeches/letters by Board members or CEO: The Company's CEO participated, in late 2016 as speaker in the UN forum on Business and Human rights in late 2016: 'Leadership and Leverage: Embedding human rights in the rules and relationships that drive the global economy'. [UN forum on Business and Human Rights, 11/2016: ohchr.org]
A.2.2	Board discussions	2	The individual elements of the assessment are met or not as follows: Score 1 <ul style="list-style-type: none"> Met: Board/Committee review of salient HRs: The Sustainability Committee oversees on behalf of the board the management of different issues, including safety, human rights, indigenous peoples, etc., It met four times in 2017, and its responsibilities include the review of Company's performance in relation to the issues mentioned. [Sustainability Committee terms of reference: angloamerican.com] Met: Examples or trends re HR discussion: In 2018, the committee reviewed detailed reports covering performance in health and wellness, human rights and social performance. The committee discussed job related deaths (of which there were five), strategy and progress of the Elimination of Fatalities Taskforce, the approach to socio-economic development, the Social Way results from the previous year, water management in certain areas, etc. [Annual report 2018, 2018: angloamerican.com] Score 2 <ul style="list-style-type: none"> Met: Both examples and process
A.2.3	Incentives and performance management	2	The individual elements of the assessment are met or not as follows: Score 1 <ul style="list-style-type: none"> Met: Incentives for at least one board member: Some Company's directors have long-term incentive plans and annual bonuses linked to performance on safety, people and environment. The annual bonus performance is calculated in part by using a 'scorecard of measures based on individual objectives linked to the Group's strategic priorities and safety performance.' [Annual report 2018, 2018: angloamerican.com] Met: At least one key EX RH risk, beyond employee H&S: The environmental metrics used includes implementing the Water Management Standard. The 'Water Management Standard requires all operations to complete a detailed self-assessment and gap analysis of progress against the standard, the results of which are included in each business unit CEO's scorecard. In addition, each site is required to complete a site-wide water balance, providing a more accurate and detailed understanding of water withdrawal, discharge, and use, and which underpins the effective assessment and evaluation of site-specific water risks.' [Annual report 2018, 2018: angloamerican.com] Score 2 <ul style="list-style-type: none"> Met: Performance criteria made public: The Annual report shows how these performance issues are integrated in the remuneration. [Annual report 2018, 2018: angloamerican.com]

B. Embedding Respect and Human Rights Due Diligence (25% of Total)

B.1 Embedding Respect for Human Rights in Company Culture and Management Systems (10% of Total)

Indicator Code	Indicator name	Score (out of 2)	Explanation
B.1.1	Responsibility and resources for day-to-day human rights functions	1.5	The individual elements of the assessment are met or not as follows: Score 1 <ul style="list-style-type: none"> Met: Commits to ILO core conventions: See indicator A.1.2 Met: Senior responsibility for HR: The Sustainability report indicates that the Board delegates executive responsibilities to the chief executive and the Group Management Committee; 'social performance and human rights fall within the ambit of Anik Michaud, Group director - Corporate Relations. 'Tony O'Neill, technical director, holds accountability for matter related to safety, health, environment, supply chain and operational risk'. Tony O'Neill is member of the Sustainability Committee and Anik Michaud also participates in this Committee Meetings. [Sustainability Report 2018, 2018: angloamerican.com]

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			<p>Score 2</p> <ul style="list-style-type: none"> Met: Day-to-day responsibility: The Company explains that business units 'are responsible for implementation of Social Way requirements at site level. Accountability for implementation of the requirements set out in the Social Way rests with the Exploration Manager, Project Director or Mine Manager at each site.' For social incidents, complaints and grievances, the Company defines essential roles and responsibilities. 'One senior staff member should take overall responsibility for the coordination and functioning of the social incident procedure, although at large operations they may not need to be personally involved with the handling of every social incident. [Social Way: australia.angloamerican.com & SEAT Toolbox: angloamerican.com] Not met: Day-to-day responsibility for EX BRs: Regarding value chain, the Company indicates that it has a Modern Slavery working group that is cross-functional and aims to refine the approach to responsible sourcing. However, it is not clear whether this working group handles day-to-day value chain issues, including extractive business partners. [Sustainability report, 2017: angloamerican.com & Sustainability Report 2018, 2018: angloamerican.com]
B.1.2	Incentives and performance management	0.5	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> Met: Senior manager incentives for human rights: The Sustainability report indicates that 'Anglo American's safety, health and environment results affect the performance-based remuneration of all employees in the business.' The annual performance incentives for executives and senior management include 'safety incidents'. The 2018 sustainability report states that 'level 3-5 (moderate to significant) social incidents are reported to the Board and included in the chief executive's quarterly performance'. [Sustainability Report 2018, 2018: angloamerican.com] Not met: At least one key EX HR risk, beyond employee H&S: No evidence found on whether safety performance include health and safety of local communities and extractive business partners. [Annual report, 2017: angloamerican.com] <p>Score 2</p> <ul style="list-style-type: none"> Not met: Performance criteria made public: No evidence found of details on the criteria linking the remuneration for managers that are not board members.
B.1.3	Integration with enterprise risk management	2	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> Met: HR risks is integrated as part of enterprise risk system: The risk management section of the Annual report considers safety to be a part of the Company's principal risks and as such is included in the risk management system. This includes safety risk root causes, impacts, mitigation, and level of risk compared to previous year. Although no evidence has been found of other human rights-related risks within this principal risks list, the Company indicates in the SEAT document that 'the annual operational risk assessment requires that each operation builds an understanding of the inherent risks that issues and impacts may present to both the operation and to both operation and to affected stakeholders. The socio-economic issues and impacts are assessed alongside other discipline risks using Anglo American's Integrated Risk Management (IRM Matrix)'. These risks include those related to safety, communities and social, including human rights. [SEAT Toolbox: angloamerican.com & Annual report 2018, 2018: angloamerican.com] <p>Score 2</p> <ul style="list-style-type: none"> Met: Audit Ctte or independent risk assessment: The Company states the following: 'At a Group level, in July 2018 we concluded an eight-month independent Group-wide review of our human rights framework to determine how fit for purpose and aligned it is to good practice. The exercise included a review of our policies and procedures, extensive consultation with internal and external stakeholders, and an in-depth analysis of supply chain management and site-level due diligence. The outcomes improved our understanding of our salient risks and areas for improvement.' [Sustainability Report 2018, 2018: angloamerican.com]
B.1.4.a	Communication /dissemination of policy commitment(s) within Company's own operations	1.5	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> Met: Commits to ILO core conventions Met: Communicates its policy to all workers in own operations: The Company's code of conduct is available on the website in English, Spanish and Portuguese. In the Sustainability report the Company indicates that the engagement programme for the code 'has encompassed all of our employees across a range of different cultural, educational and literacy backgrounds. The approach has been to train team leaders to facilitate discussions on ethical dilemmas and personal action commitments with their employees'. [Approach and policies: angloamerican.com & Sustainability report, 2017: angloamerican.com]

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			<p>Score 2</p> <ul style="list-style-type: none"> • Met: Commits to all 4 ILO core conventions • Met: Communication of policy commitments to stakeholder: Regarding communication to stakeholders, the Human rights policy also commits to communicating its Human Rights policy 'and its requirements to internal and external stakeholders, including general awareness raising and specific training on human rights-related issues where deemed necessary.' [Human Rights Policy version 2, 2018: angloamerican.com] • Not met: How policy commitments are made accessible to audience
B.1.4.b	Communication /dissemination of policy commitment(s) to business relationships	2	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Commits to all 4 ILO core conventions for suppliers: See indicator A.1.2 • Met: Communicating policy to EX contractors and joint ventures: Regarding communication to business relationships, the Company indicates that in 2017 it raised awareness about responsible sourcing requirements among suppliers: 'building on our initial work in 2016 with 19 host community suppliers at Platinum's Mogalakwena operation, in 2017 we' undertook a similar initiative with 15 host community suppliers at De Beers' Venetia operation'. IT included training workshops and completing self-assessment questionnaires. As indicated below, contractual terms require acceptance of requirements. [Sustainability report, 2017: angloamerican.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Including to EX BPs (removed) • Met: How HR commitments made binding/contractual: The responsible sourcing standards for suppliers apply to all persons or businesses doing or wishing to do business with the Company. The Sustainability report indicates that 'our standard contract terms require acceptance of these requirements and for suppliers to submit self-assessment questionnaires. Regarding security personnel, implementation of VPs include incorporating VP clauses in commercial contracts or agreements with security providers. [Sustainability report, 2017: angloamerican.com & Responsible sourcing standards for suppliers: angloamerican.com] • Met: Including on EX BPs: See above [Sustainability report, 2017: angloamerican.com & Responsible sourcing standards for suppliers: angloamerican.com]
B.1.5	Training on Human Rights	1	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Scores at least 1 on A.1.2 • Not met: Trains all workers on HR policy commitments: According to the Sustainability report, 'Standardised security and human rights training material is implemented across the Group. In 2017, nearly 3,400 employees and contractors participated in security-related human rights training and relevant employees receive induction or refresher training on security and human rights. All employees and contractors receive training on our Code of conduct, which encompasses human rights'. [Sustainability report, 2017: angloamerican.com] • Met: Trains relevant EX managers including security personnel: See above, security is covered by human rights training. [Sustainability report, 2017: angloamerican.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Score of 2 on A.1.2 • Not met: Both requirements under score 1 met: The Code of conduct was launched at the end of 2016, and in 2017 'we hosted more than 200 workshops in which more than 3,000 individuals received Code of conduct training, which will be offered on a continuous basis'. Specifically, 'more than 3,400 leaders were trained to facilitate Code of Conduct engagement sessions with employees at all levels'. 'The approach has been to train team leaders to facilitate discussions on ethical dilemmas and personal action commitments with their employees'. Therefore, not all employees company-wide have received yet training on the Company's policies containing human rights commitments. [Sustainability report, 2017: angloamerican.com]
B.1.6	Monitoring and corrective actions	1.5	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Scores at least 1 on A.1.2 • Met: Monitoring implementation of HR policy commitments: The Social Way document applies to 'the entire life cycle of the Company's activities'. It includes the commitment to respect human rights: 'This commitment applies to all universally recognised human rights, in particular [...] the ILO Declaration on Fundamental Principles and Rights at Work'. Social Way is implemented through

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			<p>the Company's 'Socio-Economic Assessment Toolbox' (SEAT). The SEAT includes a comprehensive description of human rights issues to review including explicitly all ILO core areas in detail.</p> <p>The Sustainability report indicates that 'Every year, we assess site compliance with the Social Way requirements', and includes information on last years' assessment and comparison against previous ones. [Sustainability Report 2018, 2018: angloamerican.com & SEAT Toolbox: angloamerican.com]</p> <ul style="list-style-type: none"> • Met: Monitoring EX BP's: Regarding business relationships, they are audited against the responsible sourcing standards (apply to all persons or business either doing or wishing to do business with Anglo American). The Company reports on working with suppliers to implement controls and practices to better manage the requirements, and conducts follow-up visits and audits. The audits assist in determining the effectiveness of our controls and management processes. [Responsible sourcing standards for suppliers: angloamerican.com & Sustainability Report 2018, 2018: angloamerican.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Score of 2 on A.1.2 • Met: Describes corrective action process: In relation to corrective action processes, 'Social way' describes the 'social incident management', which describes the process to follow after an incident noticed through the site incident management system or through the complaints and grievances procedure. The process includes seven steps including investigation, corrective action, stakeholder engagement, reporting, etc. The Company discloses two serious cases of non-compliance during social way assessments. However, it is not clear whether those two cases where the only ones which required corrective action processes. [Social Way: australia.angloamerican.com & Sustainability Report 2018, 2018: angloamerican.com] • Not met: Example of corrective action: Following a review of a supplier near one of the Company's operations, several human rights issues were identified: 'the retention of original passports of the expatriate workers; time and attendance records were not provided for all employees (indicating potential violations of maximum working hours); inadequate rest days; and potential errors in remuneration.' Through an intervention, 'the supplier agreed on a corrective action plan which detailed actions, timelines and responsibilities to address the issues identified, including the immediate return of original passports. A month later, an independent follow-up audit confirmed that the critical issues had been resolved and a supply agreement has been signed.' However, no report on the number of incidence could be found. [UK Modern Slavery Act for 2017, 7/2018: angloamerican.com] • Not met: Discloses % of EX supply chain monitored: 17 audits were carried out during 2018. No evidence found, however, on the proportion of the extractive business partners that have been monitored. [Sustainability Report 2018, 2018: angloamerican.com]
B.1.7	Engaging business relationships	1.5	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: HR affects selection EXs business partners: The Company indicates in the Sustainability report that 'Our standard contract terms require acceptance of these requirements and for suppliers to submit self-assessment questionnaires'. [Sustainability report, 2017: angloamerican.com] • Met: HR affects on-going EX business partner relationships: Requirements refer the 'Responsible Sourcing Standard for Suppliers' which covers, among other issues, all ILO core areas. The document, in relation to termination of business relationship indicates that 'We reserve the right to disengage from suppliers who deliberately refuse to comply with legal requirements, this standard, or unable to provide appropriate evidence of steps undertaken to remediate any non-compliance issues'. [Responsible sourcing standards for suppliers: angloamerican.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Both requirement under score 1 met: See above • Not met: Working with EX business partners to improve performance: The Company also reports on how it works with suppliers to improve human rights performance, including training workshops, It also describes the works carried out to improve human rights-related performance with a prospective supplier before concluding agreements. In the 2018 sustainability report, the Company discloses that it spends 'upwards of \$10.2 billion annually with more than 22,000 suppliers globally, and are committed to responsible sourcing and ethical decision-making when buying goods and services.' However, these examples seem to refer to

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			regular suppliers and not to extractive business partners. [Sustainability report, 2017: angloamerican.com & Sustainability Report 2018, 2018: angloamerican.com]
B.1.8	Approach to engagement with potentially affected stakeholders	1	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Stakeholder process or systems: The Social Way document contains a section on stakeholder engagement. It requires to all Company's sites to have a stakeholder engagement plan, 'which should be updated annually or more frequently as appropriate'. The plan shall 'Identify, profile and analyse affected communities and other stakeholders or groups, in particular those who may be disadvantaged or particularly vulnerable to adverse impacts'. Below there is an example of engagement in last two years, in the context of CapCoal Complex SEAT report. [Social Way: australia.angloamerican.com & CapCoal Complex SEAT report 2019-2021, 2019: australia.angloamerican.com] • Met: Frequency and triggers for engagement: SEAT devotes a tool to describe how to develop a stakeholder engagement plan (SEP) for the different business operations. The stakeholder engagement plans are ongoing processes with stakeholders that are updated annually. It includes choosing the mode of engagement to reflect both operations' and stakeholder' preferences, activities within the plan and schedule: 'the approach and frequency of engagement activities should reflect the nature and severity of issues and impacts', assuring accessibility through appropriate timing and nature of engagement activities, etc. [SEAT Toolbox: angloamerican.com & Social Way: australia.angloamerican.com] • Met: Engagement includes EX business partners communities: As indicated above the system described includes engagement with communities. Below there's an example of community engagement. [Social Way: australia.angloamerican.com & SEAT Toolbox: angloamerican.com] <p>Score 2</p> <ul style="list-style-type: none"> • Not met: Analysis of stakeholder views and company's actions on them: The Company has an extensive report about the Socio-Economic Assessment Toolbox from the CapCoal Complex. The resulting plan will be implemented from 2019-2021. The Company studied the impact perception of different operations. For example, in community engagement, a neutral impact of its activities perceived by stakeholders was found. For the local economy, this perceived impact was positive. The perceived impact was positive for education and skills and health, safety and services, while the impacts perceived from childcare and housing were neutral. The report also includes a summary of priority issues and impacts, including the local economy, where stakeholders envision vibrant local business, and the key issues expressed by stakeholders were concerns about the vulnerability of local business in a fluctuating coal market. The Company analyzed the risk of inaction on the key issues and the existing management plan and actions to manage issues. At the end of the report, there is a table that 'summarises the management measures identified to address each of the issues raised by external stakeholders during the SEAT consultation process.' However, this is the only report found that has been released in recent years that includes this sort of analysis. More than one case is needed to receive a score of 2 for this indicator. Alternatively, the Company could achieve this indicator if it provides a summary or explanation on views given by stakeholders on human rights. [CapCoal Complex SEAT report 2019-2021, 2019: australia.angloamerican.com]

B.2 Human Rights Due Diligence (15% of Total)

Indicator Code	Indicator name	Score (out of 2)	Explanation
B.2.1	Identifying: Processes and triggers for identifying human rights risks and impacts	1.5	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Identifying risks in own operations: The Social Way indicates that 'managed sites shall identify, assess and manage social risks and impacts according to the requirements of IFC Performance Standard 1'. Social Way is supported by the SEAT, and all operations 'shall conduct a comprehensive SEAT assessment every three years which will include an assessment of human rights risks and impacts'. Tool 1A of the SEAT includes guidance on identifying any potential human rights impacts. The tool indicates that 'this analysis of operational human rights impacts is supplemented with stakeholder engagement'. This tool is used to profile each operation site. [Social Way: australia.angloamerican.com & SEAT Toolbox: angloamerican.com]

Indicator Code	Indicator name	Score (out of 2)	Explanation
			<ul style="list-style-type: none"> • Met: identifying risks in EX business partners: Regarding business relationships, the Social way states that 'managed sites shall put in place procedures to avoid and minimise material adverse social impacts [...] that could arise through engagements with contractors, suppliers and business partners'. Guidance is provided on risk assessment, tender and contractual requirements, and responsibility over their subcontractors, during the pre-contract phase. [Social Way: australia.angloamerican.com & SEAT Toolbox: angloamerican.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Ongoing global risk identification: See above. [Social Way: australia.angloamerican.com & SEAT Toolbox: angloamerican.com] • Met: In consultation with stakeholders: The tool indicates that 'this analysis of operational human rights impacts is supplemented with stakeholder engagement'. This tool is used to profile each operation site. [Social Way: australia.angloamerican.com & SEAT Toolbox: angloamerican.com] • Met: In consultation with HR experts: In addition, the Sustainability report indicates that in human rights due-diligence exercises, it has counted with 'the help of external experts at 33 operations, including 18 in 2017'. [Sustainability report, 2017: angloamerican.com & SEAT Toolbox: angloamerican.com] • Not met: Triggered by new circumstances [Social Way: australia.angloamerican.com & SEAT Toolbox: angloamerican.com] • Met: Explains use of HRIAs or ESIA (inc HR): See above [Social Way: australia.angloamerican.com & SEAT Toolbox: angloamerican.com]
B.2.2	Assessing: Assessment of risks and impacts identified (salient risks and key industry risks)	2	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Salient risk assessment (and context): After identifying issues and impacts, and stakeholder engagement the SEAT includes a tool (3A) to assess these. The process is described in detail and explicitly indicates that any human rights issues or impacts should be assessed. It includes examples of causes of the issues and impacts, such as demographic changes, economic and development change, change in health status, social nuisance factors, etc. [SEAT Toolbox: angloamerican.com] • Met: Public disclosure of salient risks: The Sustainability report includes a chart with salient issues, including risk of sub-standard working condition, risk of forced labour in supply chain, risk of negative long term impact on livelihoods, etc. The report also indicates that each site has identified its key human rights issues in terms of risk for people or the operation, and has developed action plans to address these. 'Common issues identified across all sites included perceptions of discrimination associated with employment and the visibility of procurement opportunities, unfulfilled commitments, and disrespect among contractors for labour rights'. In addition, health and safety is considered to be a main risk for the Company (included in the Enterprise risk management), and it also indicates that no operation is considered at risk regarding freedom of association and collective bargaining, child labour, nor forced labour. [Sustainability report, 2017: angloamerican.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Both requirements under score 1 met
B.2.3	Integrating and Acting: Integrating assessment findings internally and taking appropriate action	1	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Action Plans to mitigate risks: After assessing the human rights risks, issues and impacts, and developing the stakeholder engagement plan, SEAT includes a tool that allows all operations to outline the management plans to address these issues and impacts identified. The tool provides guidance on how to take action to manage them. [Social Way: australia.angloamerican.com] • Met: Including amongst EX BPs: Regarding business partners, the SEAT contains a tool specifically to 'manage the socio-economic impacts associated with contractors. It provides guidance on integrating social performance into the contracting process for contractors at or near Anglo American operations'. The processes included in the tool include identify any social impacts associated with the contracted activities, identify contractor capacity constraints for addressing social issues and agree on a way forward, and develop a social performance management plan with the contractor based on the same tool as referred in this indicator for the Company's activities. [SEAT Toolbox: angloamerican.com] • Not met: Example of Actions decided: For example, in the CapCoal Complex in Australia, the Company describes measures and actions to address issues raised by stakeholders. However, these seem to refer to solutions to local community needs, and improvements, rather than action plans to mitigate human rights impacts/issues caused. [CapCoal Complex SEAT report 2019-2021, 2019: australia.angloamerican.com]

Indicator Code	Indicator name	Score (out of 2)	Explanation
			australia.angloamerican.com Score 2 • Not met: Both requirements under score 1 met
B.2.4	Tracking: Monitoring and evaluating the effectiveness of actions to respond to human rights risks and impacts	1	The individual elements of the assessment are met or not as follows: Score 1 • Met: System to check if Actions are effective: The SEAT tool that provides guidance on how to develop social monitoring plans to address human rights impacts and issues (6A), also contains guidance on how to monitor and evaluate the plan: 'The management actions and monitoring measures should include: key stakeholders (internal and external), timelines (implementation and completion), key performance indicators, performance targets and monitoring and evaluation measures'. The tool describes in detail all these aspects. [SEAT Toolbox: angloamerican.com] • Not met: Lessons learnt from checking effectiveness [Sustainability report, 2017: angloamerican.com] Score 2 • Not met: Both requirement under score 1 met
B.2.5	Communicating : Accounting for how human rights impacts are addressed	0.5	The individual elements of the assessment are met or not as follows: Score 1 • Met: Comms plan re identifying risks: The Company publicly describes and communicates, through the Social Way and the SEAT documents the process to identify and assess human rights risks. [SEAT Toolbox: angloamerican.com & Social Way: australia.angloamerican.com] • Met: Comms plan re assessing risks: The Company publicly describes and communicates, through the Social Way and the SEAT documents the process to identify and assess human rights risks. It also communicates through the sustainability report the salient issues (and describes how as part of the stakeholder engagement plan, this is communicated to local communities at operations). [SEAT Toolbox: angloamerican.com & Sustainability Report 2018, 2018: angloamerican.com] • Not met: Comms plan re action plans for risks: The Company describes its global system to take actions to prevent, mitigate or remediate its salient human rights issues, however, no evidence found of examples of actions taken to tackle at least one of these. [Social Way: australia.angloamerican.com & Response to Business & Human Rights Resource Centre, July 2018: business-humanrights.org] • Not met: Comms plan re reviewing action plans: The Company describes the system for tracking the actions taken in response to human rights risks and impacts assessed and for evaluation whether the actions have been effective or have missed key issues or not produced the desired results. However, no evidence found of specific lessons learned while tracking how it has responded to at least one specific salient issue. [SEAT Toolbox: angloamerican.com] • Not met: Including EX business partners [SEAT Toolbox: angloamerican.com] Score 2 • Met: Responding to affected stakeholders concerns: The SEAT also contains a tool (7B) describing how the Company has to share the SEAT process with stakeholders. Feedback to stakeholders has to be included after impacts and issues have been identified and assessed, once the management and monitoring plans have been developed, and after the draft report on the complete process has been completed. Information provided to stakeholders should include, among other things, a description of the material issues and impacts that were identified during the engagement process; identification of the priority issues or impacts that have been identified and how these priority issues were arrived'. [SEAT Toolbox: angloamerican.com] • Met: Ensuring affected stakeholders can access communications: All stakeholders involved should at least receive a copy of the report and more important stakeholders also should receive a personal briefing. The operation should take steps to ensure that all local stakeholders at least have the ability to access free copies of the report in electronic and hard copy format. The tools provide guidance on issues that the person in charge needs to think to be able to provide the feedback (timing, preferred mode of engagement by stakeholder group, etc). [SEAT Toolbox: angloamerican.com]

C. Remedies and Grievance Mechanisms (15% of Total)

Indicator Code	Indicator name	Score (out of 2)	Explanation
C.1	Grievance channel(s)/mechanism(s) to receive complaints or concerns from workers	2	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> Met: Channel accessible to all workers: The Whistleblowing policy describes the speak up programme which is a 'confidential service for all employees, suppliers, business partners and stakeholders of Anglo American, including De Beers, to raise concerns about potentially unethical, unlawful or unsafe conduct and practices. It is independently managed on our behalf by an external service provider'. The Code of conduct, which contains human rights commitments, includes this mechanism to report. [Whistleblowing policy: speak-up-site.com & Speak up website: speak-up-site.com] <p>Score 2</p> <ul style="list-style-type: none"> Met: Number grievances filed, addressed or resolved: In the Sustainability report the Company reports data about the practical operation, including the number of complaints that related to human rights, which were 20 in 2017. [Sustainability report, 2017: angloamerican.com] Met: Channel is available in all appropriate languages: The Speak up website is available in English, Spanish, Portuguese, German, French and Chinese. The website also discloses specific phone numbers for the different countries in Africa, Asia-Pacific, Europe, North America and South America. In addition to the languages mentioned, contacts in business hours will be offered in 11 South African languages. [Speak up website: speak-up-site.com] Met: Opens own system to EX BPs workers: The Whistleblowing policy states that it is a 'confidential service for all employees, suppliers, business partners and stakeholders of Anglo American, including De Beers, to raise concerns about potentially unethical, unlawful or unsafe conduct practices'. [Whistleblowing policy: speak-up-site.com & Speak up website: speak-up-site.com]
C.2	Grievance channel(s)/mechanism(s) to receive complaints or concerns from external individuals and communities	2	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> Met: Grievance mechanism for community: The Company indicates that 'Speak Up facility is a confidential and secure means for our employees, contractors, suppliers, business partners and other external stakeholders around the world to report concerns about conduct that is contrary to our values and integrity standards'. The Social way document requires having site-based grievance mechanisms. The above, in the SEAT document the Company explains social incidents, complaints and grievance procedures to be implemented in throughout the life cycle of operations. 'All procedures should allow for complaints to be presented 'in person to elected community members and /or non-governmental organisations (NGOs) who will gather and forward stakeholder concerns'. In addition to the site-based procedure, the SEAT also refers to the 'Speak-up' whistleblowing programme. [Whistleblowing policy: speak-up-site.com & Speak up website: speak-up-site.com] <p>Score 2</p> <ul style="list-style-type: none"> Met: Describes accessibility and local languages: The Speak up website is available in English, Spanish, Portuguese, German, French and Chinese. The website also discloses specific phone numbers for the different countries in Africa, Asia-Pacific, Europe, North America and South America. In addition to the languages mentioned, contacts in business hours will be offered in 11 South African languages. <p>In addition to the speak up programme, according to the SEAT, 'every exploration site, project and operation is required to have a social incidents procedure. This provides mechanisms for addressing incidents and stakeholder concerns before they escalate'. The grievance procedure should be 'a transparent, clearly structured, simple and culturally appropriate process whereby stakeholders can submit their complaints and grievances free of charge and, if necessary, anonymously, or via third parties'. Procedures should allow complaints to be submitted in more than one format, including: 24 hour telephone hotline, in person to identified staff members, in writing by hard-copy or via email, in person to elected community member and/or NGOs who will gather and forward stakeholder complaints/concerns to the operation, or informally through employees on behalf of a community in which they live. [Whistleblowing policy: speak-up-site.com & SEAT Toolbox: angloamerican.com]</p> <ul style="list-style-type: none"> Met: EX BPs communities use global system: See above [Whistleblowing policy: speak-up-site.com & SEAT Toolbox: angloamerican.com]

Indicator Code	Indicator name	Score (out of 2)	Explanation
C.3	Users are involved in the design and performance of the channel(s)/mechanism(s)	0	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Not met: Engages users to create or assess system: The Company enumerates the key principles of an effective grievance mechanism as set out by the UN Guiding Principles on Business and Human Rights. One of these principles is engagement and dialogue. 'Engaging with affected stakeholder groups (potentially through a third party) about the design and performance of the grievance mechanism can help to ensure that it meets their needs, that they will use it in practice, and that there is a shared interest in ensuring its success.' However, there is no explanation of how the Company goes about engaging its stakeholders. [SEAT Toolbox: angloamerican.com] • Not met: Description of how they do this: The Company reports in the SEAT document an example of work carried out with local stakeholders to design a grievance procedure. However, this example refers to 2009. No additional evidence found in relation to engagement with potential or actual users on the design, implementation or performance of the channels/mechanisms, nor examples of doing so. [SEAT Toolbox: angloamerican.com & Sustainability report, 2017: angloamerican.com] <p>Score 2</p> <ul style="list-style-type: none"> • Not met: Engages with users on system performance • Not met: Provides user engagement example on performance • Not met: EX BPs consult users in creation or assessment
C.4	Procedures related to the mechanism(s)/channel(s) are publicly available and explained	2	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Response timescales: In relation to procedures for managing complaints, the SEAT tool 4A indicates the following: 'it is critical that the complaints and grievance procedure is clearly communicated to stakeholders. A set of clear timeframes within which the complainant(s) can expect the complaint or grievance to be investigated and resolved should also be communicated [...] This timeframe needs to be practically feasible, whilst at the same time respecting the stakeholder's need for a response and resolution of the issue. It may therefore be useful to have a timeframe for an initial response and another for the resolution. Where there is a clear sense of urgency regarding a complaint or grievance, they will need to be resolved more quickly. In instances where the deadline cannot be met, an interim response should be provided (e.g. a "holding letter" explaining that there will be a delay, the reasons for this, and the revised date for resolution)'. [SEAT Toolbox: angloamerican.com] • Met: How complainants will be informed: In addition to the description mentioned above, the Social way indicates that procedures need to align with the UNGP effectiveness criteria, including communications of the procedures 'to affected communities and interested stakeholders in a culturally appropriate manner'. [SEAT Toolbox: angloamerican.com & Social Way: australia.angloamerican.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Escalation to senior/independent level: The Sustainability report indicates that 'Our mandatory Group-wide complaints and grievances reporting procedure, which includes social incidents, is designed to ensure openness, accountability and respectfulness in our handling of stakeholder grievances. Level 3-5 (moderate to significant) social incidents are reported to the Board and included in chief executive's quarterly performance scorecard'. [Sustainability report, 2017: angloamerican.com]
C.5	Commitment to non-retaliation over complaints or concerns made	1.5	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Public statement prohibiting retaliation: The Business Integrity Policy states that 'Anglo American will not tolerate any form of retaliation against employees raising concerns in good faith. Allegations of retaliation against or harassment or intimidation of an employee by others as a result of a call to Speak up with be investigated and appropriate action taken, including disciplinary action up to and including dismissal of the employee responsible for reprisals'. The Whistleblowing policy enumerates different examples of what can be considered retaliation and also indicates that 'the equivalent protection, where relevant, is also extended to any external organisation represented by the whistleblower'. [Business integrity policy, 05/2014: angloamerican.com & Whistleblowing policy: speak-up-site.com] • Met: Practical measures to prevent retaliation: The mechanisms is operated by an independent service provider and the policy states that 'In terms of contractual arrangements with Anglo American, it is incumbent on the Service Provider to protect the identity of the whistleblower, including never revealing the person's identity to Anglo American without that person's consent'. In addition, allegations

Indicator Code	Indicator name	Score (out of 2)	Explanation
			<p>of retaliation may end up in disciplinary action, including dismissal of the employee responsible for reprisals. [Whistleblowing policy: speak-up-site.com]</p> <p>Score 2</p> <ul style="list-style-type: none"> • Not met: Has not retaliated in practice: The Company provided comments to CHRB regarding this indicator. However, no evidence found in relation to this in publicly available sources. • Met: Expects EX BPs to prohibit retaliation: As noted above, stakeholders are covered by the Company's system.
C.6	Company involvement with State-based judicial and non-judicial grievance mechanisms	0.5	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Won't impede state based mechanisms: The Company states in its Social Way document that 'managed sites shall ensure that procedures align with the UNGP effectiveness criteria, including: clear communication that the existence of the complaints and grievance mechanism does not preclude the right of the stakeholder to engage in judicial or other legitimate processes, in which Anglo American is committed to cooperate'. [Social Way: australia.angloamerican.com & Whistleblowing policy: speak-up-site.com] • Not met: Complainants not asked to waive rights <p>Score 2</p> <ul style="list-style-type: none"> • Not met: Will work with state based or non judicial mechanisms • Not met: Example of issue resolved (if applicable)
C.7	Remedying adverse impacts and incorporating lessons learned	1	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Describes how remedy has been provided: In Platinum operation in South Africa there were social unrest incidents within host communities. They had impact on mining and processing operations. In relation to this case, the Company indicates that: 'The effect of all potential unrest incidents was minimised through a proactive approach in which Social Performance teams, local government, community leader and established community task teams play a pivotal role. Once Protection Services receives information that the community is planning to disrupt the activities of an operation, the Protection Services Manager, in collaboration with state security agencies, municipal traffic agencies and road management companies further serves to ensure that Protection Services receive early warning about social unrest on public roads outside the immediate vicinity of the Platinum operation. This early warning system allows Protection Services to adjust product movement routes to avoid affected areas'. [Annual report on the voluntary principles on security and human rights, 2017: angloamerican.com] <p>Score 2</p> <ul style="list-style-type: none"> • Not met: Changes introduced to stop repetition: The Company states that following: 'There were no serious cases of non-compliance across the Group. The cases of moderate non-compliance did not impact stakeholders and plans are in place to remedy these non-compliances. Each operation implements an improvement plan to meet requirements that are not met in full.' 'In South Africa, we place a strategic focus on collaborating with stakeholders to mitigate social conflict and promote socio-economic development across Limpopo province, which hosts several of our PGM and diamond assets. This includes partnering to promote regional water conservation and develop agricultural initiatives that optimise the use of available land on a regional scale. The Eastern Limb of South Africa's Platinum Belt in particular has experienced community unrest, related to grievances over the lack of socio-economic opportunities.' It also talks about engaging regularly with stakeholders. However, no evidence of changes introduced to prevent similar adverse impacts could be found. [Sustainability Report 2018, 2018: angloamerican.com] • Not met: Approach to learning from incident to prevent future impacts: 'Our mandatory Group-wide social incidents and grievances reporting procedure is designed to ensure openness, accountability and respectfulness in our handling of stakeholder grievances. Level 3–5 (moderate to significant) social incidents are reported to the Board and included in the chief executive's quarterly performance scorecard. Stakeholder complaints and grievances provide valuable indicators to help operations anticipate deeper community concerns and proactively mitigate social risks. We continue to improve social incident and grievance management to enhance the accuracy and consistency across the Group in identifying, reporting and classifying complaints and grievances. Business units receive Group-level support with incident classification and management, as well as with implementing appropriate remedial measures and closing-out social incidents. In line with our privacy policies, we do not report on the resolution of specific complaints.' However, it is not clear what changes would be introduced as a result of lessons learnt. [Sustainability Report 2018, 2018: angloamerican.com]

Indicator Code	Indicator name	Score (out of 2)	Explanation
			<ul style="list-style-type: none"> • Not met: Evaluation of the channel/mechanism: The Company states the following: 'Every year, we assess site compliance with the Social Way requirements. In 2018, we externally assured these assessments to gain independent verification as to whether sites are compliant with each requirement. More in-depth reviews of priority issues are undertaken on a rotational basis as part of the operational risk-assurance process. The 2018 assessment results reflect steady improvement across almost all Social Way requirements.' However, it is unclear if there has been a specific evaluation of the effectiveness of the grievance mechanism. [Sustainability Report 2018, 2018: angloamerican.com]

D. Performance: Company Human Rights Practices (20% of Total)

Indicator Code	Indicator name	Score (out of 2)	Explanation
D.3.1	Living wage (in own extractive operations, which includes JVs)	0	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Not met: Living wage target timeframe or achieved • Not met: Describes how living wage determined <p>Score 2</p> <ul style="list-style-type: none"> • Not met: Pays living wages: The Company is an accredited Living Wage employers according to Living Wage Foundation. However, this initiative focused on UK operations only. [Living wage Foundation: livingwage.org.uk] • Not met: Reviews livings wages definition with unions
D.3.2	Transparency and accountability (in own extractive operations, which includes JVs)	2	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Member of EITI: The Sustainability report indicates that 'Anglo American has voluntarily provided information about our tax payments on a country-by-country basis for the past 12 years and we remain a supporter of the Extractive Industries Transparency Initiative (EITI), despite having no operational mines in countries that are implementing the EITI'. [Sustainability report, 2017: angloamerican.com & Tax and contribution report, 07/2017: angloamerican.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Reports taxes and revenue by country: The Company publishes a Tax and economic contribution report covering total tax and economic contribution by country and by project. In this document the Company indicates that 'payments are included on a 100% basis regardless of the exact percentage of ownership by Anglo American'. [Sustainability report, 2017: angloamerican.com & Tax and contribution report, 07/2017: angloamerican.com]
D.3.3	Freedom of association and collective bargaining (in own extractive operations, which includes JVs)	2	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Commits not to interfere with union rights and collective bargaining and prohibits intimidation and retaliation: CHRB has not identified any documents in the public domain which contain a commitment to not interfering with the right of workers to form or join trade unions and to bargain collectively and putting in place measures to prohibit retaliation against workers seeking to exercise these rights. However, at approximately 70%, it has a significant union recognition (defined as beyond 60%), which is a proxy for not intimidating or retaliating. [Sustainability Report 2018, 2018: angloamerican.com] • Met: Discloses % covered by collective bargaining: As stated above, approximately 70% of the current permanent workforce is covered by collective bargaining agreements. [Sustainability Report 2018, 2018: angloamerican.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Both requirement under score 1 met: See above
D.3.4	Health and safety: Fatalities, lost days, injury rates (in own extractive operations, which includes JVs)	2	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Injury Rate disclosures: Total recordable cases frequency rate for the last five years. [Sustainability report, 2017: angloamerican.com] • Met: Lost days or near miss disclosures: Lost time injuries for the last five years. [Sustainability report, 2017: angloamerican.com] • Met: Fatalities disclosures: Total fatal injuries and fatal injury frequency rate for the last five years. [Sustainability report, 2017: angloamerican.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Set targets for H&S performance: Company's objectives include zero work-related fatal injuries, and 15% year-on-year reduction in total recordable cases of frequency rate. The Company has not achieved these targets. [Sustainability report, 2017: angloamerican.com]

Indicator Code	Indicator name	Score (out of 2)	Explanation
			<ul style="list-style-type: none"> • Met: Met targets or explains why not: The Company indicates that 'failure to identify hazards and respect risks, not following standard operating procedures, and inadequate supervision and oversight, are routinely identified as contributing factors in significant and fatal incidents across the Group. Over the past two years, 90% of Group fatalities have occurred at our South African operations. Ensuring safety at South African mines is an ongoing issue across the industry. We continue to focus on further strengthening our safety culture and controls at more challenging mines'. [Sustainability report, 2017: angloamerican.com]
D.3.5	Indigenous peoples rights and free prior and informed consent (FPIC) (in own extractive operations, which includes JVs)	1.5	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Process to identify indigenous rights holders: The Social Way document states that the Company 'shall identify communities of Indigenous People that are potentially affected by our activities. Where the indigenous status of a people is not defined or is unclear, Anglo American shall refer to the definition contained in International Labour Organization Convention 169 and outlined in Section 1.3 of ICMM's Good Practice Guide: Indigenous Peoples and Mining. If further clarification is required, external expertise shall be commissioned'. It adds that it 'shall respect the rights, interests, special connections to lands and waters, and perspectives of Indigenous Peoples, where mining projects are to be located on lands traditionally owned by or under customary use of Indigenous Peoples'. [SEAT Toolbox: angloamerican.com & Social Way: australia.angloamerican.com] • Met: How engages with communities in assessment: The SEAT states that, during impact, risk and opportunity analysis links between indigenous peoples, culture, livelihoods and lifestyles must be taken into account. 'In new projects, risks and opportunities should be analysed as part of pre-development impact assessments. For existing operations, and particularly for older sites that did not undertake pre-development social impact assessments, indigenous groups should be consulted as a part of the SEAT process or as a stand-alone exercise'. The document also states that 'Sites must ensure ongoing interaction with local indigenous peoples. This does not necessarily need to be a separate exercise from the overall community /stakeholder engagement processes at the operation, but it must respect indigenous culture and norms. The level of engagement should be appropriate to the types of impacts the operation may have on the indigenous peoples' livelihoods, as well as cultural and traditional practices' <p>Score 2</p> <ul style="list-style-type: none"> • Met: Commits to FPIC (or ICMM): The Company states it is committed to 'the 2013 ICMM Position Statement on Indigenous Peoples and Mining, which endorses the principle of Free, Prior and Informed Consent (FPIC). [Sustainability report, 2017: angloamerican.com & ICMM Commitment: icmm.com] • Not met: Gives recent example FPIC or dropping deal: The Company has disclosed to CHRB evidence relevant to this indicator. However, no description of a case where it decided not to pursue land/resources that impacted indigenous peoples could be found.
D.3.6	Land rights (in own extractive operations, which includes JVs)	0	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Not met: Approach to identification of land tenure rights holders: The SEAT document includes a tool for resettlement planning and implementation. It states that these risks and negative impacts are 'often particularly harsh for poor and vulnerable groups', It provides a definition of these groups and states that it conducts socio-economic surveys 'of all affected people, with specific identification of poor and other vulnerable groups'. The Company also provides a questionnaire to help identify indigenous peoples, which includes questions of self-identification and distinct languages. However, no evidence found in relation to how it identifies rights holders, with particular attention to vulnerable tenure rights holders in new or on-going resettlements. [SEAT Toolbox: angloamerican.com] • Not met: Describes approach to doing so if no recent deals <p>Score 2</p> <ul style="list-style-type: none"> • Not met: How valuation and compensation works: The Company disclosed its compensation framework in its Socio-Economic Assessment Toolbox, under the description of the tool 'Resettlement Planning and Implementation'. However, no evidence found in relation to how it plans to or provides compensation, including its valuation methods and how right holders are involved in new or on-going resettlements. [SEAT Toolbox: angloamerican.com]

Indicator Code	Indicator name	Score (out of 2)	Explanation
			<ul style="list-style-type: none"> • Not met: Steps to meet IFC PS 5 in state deals: In its sustainability report, the Company indicates: 'Where resettlement is unavoidable, projects shall follow the IFC Performance Standard 5 on Land Acquisition and Involuntary Resettlement and our Social Way requirements. Each resettlement is planned and implemented in a participatory manner, with extensive consultations with affected parties.' However, there is no further information about the steps taken to meet IFC PS 5 in state deals. [Sustainability Report 2018, 2018: angloamerican.com] • Not met: Describes approach if no recent deals
D.3.7	Security (in own extractive operations, which includes JVs)	2	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: How implements security (inc VPs or ICOC): The Company devotes a section of the SEAT to explain its approach to implement security following the Voluntary Principles on Security and Human Rights. [Social Way: australia.angloamerican.com & SEAT Toolbox: angloamerican.com] • Met: Example of respecting HRs in security: See above. In addition, the Company publishes a specific annual report on the implementation of VPs [SEAT Toolbox: angloamerican.com & Annual report on the voluntary principles on security and human rights, 2017: angloamerican.com] • Met: Ensures Business Partners follow security approach: Social Way, which contains the Company's commitments on management social impacts, applies to the entire life cycle of the activities and are mandatory for contractors, sub-contractors and any other business partners under Anglo American management where it has been identified that the contracted activity as the potential to result in material social impacts. [Social Way: australia.angloamerican.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Assesses and involves communities: The document also indicates the following regarding local community: 'Each Anglo American operation should engage community concerns regarding security arrangements and human rights; and disclose, to the extent possible, the information of security arrangements'. [Social Way: australia.angloamerican.com & SEAT Toolbox: angloamerican.com] • Met: Working with local community: The Company publishes an annual report on the Voluntary Principles which contains examples of working with community members to prevent or address tensions related to its operations. [Annual report on the voluntary principles on security and human rights, 2017: angloamerican.com]
D.3.8	Water and sanitation (in own extractive operations, which includes JVs)	1	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Action to prevent water and sanitation risks: The Sustainability report describes some cases of water stewardship. They include the case of Platinum operations in South Africa, where 80% of the operations are located in water-scarce regions. It is implementing water-conservation initiatives and involved in partnerships 'to source water into the Northern and Eastern Limb platinum operations and communities. This has included collaboration with 30 organisations to provide bulk water services to mines and communities in the area'. Platinum unit is working in understanding water availability in the longer term and commissioned a water project in collaboration with the Department of Water Affairs and Sanitation to restate the regional water balances of catchments in Limpopo. 'The objective is to understand the water deficits and surpluses in order to undertake, in collaboration with other regional stakeholders, a conceptual source-water project to address shortfall'. [Sustainability report, 2017: angloamerican.com] <p>Score 2</p> <ul style="list-style-type: none"> • Not met: Water targets considering local factors: The Company is developing and implementing a new water-management standard and associated reporting requirements. It estimates that by the end of 2018 it will have a more consistent baseline of data with which to determine targets and water plans for each site. According to the sustainability report from 2018, the Company is finalising the implementation of the new reporting guidelines. Also, it has the environmental target of reducing 50% freshwater abstractions in water-scarce regions by 2030, although no further details found. [Sustainability report, 2017: angloamerican.com & Sustainability Report 2018, 2018: angloamerican.com] • Not met: Reports progress in meeting targets and shows trends in progress made: Although it indicates that is making 'steady progress toward our 2020 sustainability water targets of reducing absolute freshwater abstractions by 20%' and 'recycling/re-using water for 75% of our global water requirements', no details found in relation to whether these targets were set considering water risks and use by communities and other users, or is a general target'. [Sustainability Report 2018, 2018: angloamerican.com]

E. Performance: Responses to Serious Allegations (20% of Total)

Indicator Code	Indicator name	Score (out of 2)	Explanation
E(1).0	Serious allegation No 1		<ul style="list-style-type: none"> • Headline: Colombia's Constitutional Court decided to suspend Cerrejon's permit to divert stream over lack of consultations with local indigenous groups. • Area: Environment/Right to land/Right to livelihood/Right to security of persons • Story: Anglo American is a joint-venture partner (with BHP Billiton and Glencore) in the Cerrejon coal mine in Colombia. It is alleged that on February 27, 2016, Afro-Colombian villagers at Roche were violently evicted by Colombian police. Villagers returned to their previous village, due to frustration at conditions in a relocation settlement constructed by Cerrejon Coal. The Colombian ESMAD (Mobile Anti-Disturbance Squadron) unit is alleged to have used excessive violence to expropriate and destroy the home of the Ustate Fuentes family in the community of Roche, an African-descendant community resisting involuntary resettlement in the municipality of Barrancas, La Guajira, Colombia. Several people were injured in the incident, with injuries being reportedly caused by the ESMAD unit. <p>In addition, on August 21, 2017 Colombia's Constitutional Court suspended Cerrejon's permit to divert a stream because of inadequate consultation with local indigenous groups. The court postponed the start of mining activity towards the natural course of Bruno Creek for a period of three months while it considered an application for the protection of constitutional rights (tutela) relating to the communities of La Horqueta, Paradero and Gran Parada. In November the court found the project to divert the river would indeed threaten fundamental rights. The Constitutional Court also ordered that works continue on the maintenance, stabilization, and preservation of the new course in accordance with the respective environmental plan and the authorizations granted by the environmental authorities. It is also alleged that the transnational mining conglomerate Carbones del Cerrejón, who owns the El Cerrejón mine, consumes 24 million liters of water per day in a department like Guajira where 87 percent is desert. The population is experiencing a dramatic shortage of water, which in the last two years has reportedly caused the death of hundreds of children due to malnutrition and the diseases caused by water scarcity. The Indigenous Wayuu people of Colombia have also alleged that when the Cerrejon coal mine opened the river they rely on to grow crops began to dry up and became contaminated. The Guardian also stated in an October 2018 article that: "In the neighbouring department of El Cesar, three Drummond mine union leaders were murdered in 2001. More recently in La Guajira, activists who resist Cerrejón's expansion plans have received renewed death threats. Despite the 2016 Colombian Peace Agreement, there has been a spike in assassinations of social leaders nationwide. At least 123 were murdered in the first six months of 2018".</p> <ul style="list-style-type: none"> • Sources: [Business & Human Rights Centre - 21/08/2017 -: business-humanrights.org][Mines and Communities - 27/02/2016 : londonminingnetwork.org][The Guardian, 1/10/2018: theguardian.com -]
E(1).1	The Company has responded publicly to the allegation	0	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Not met: Public response available: Though Cerrejon itself has responded in detail, Anglo American has not responded publicly to the allegations, nor has it pointed to Cerrejon's comments and therefore does not meet CHRB indicator. [Cerrejon response, November 2018: cerrejon.com] <p>Score 2</p> <ul style="list-style-type: none"> • Not met: Response goes into detail: Though Cerrejon itself has responded in detail, Anglo American has not responded publicly to the allegations, nor has it pointed to Cerrejon's comments and therefore does not meet CHRB indicator. [Cerrejon response, November 2018: cerrejon.com]
E(1).2	The Company has appropriate policies in place	0.5	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Not met: Company policies address the general issues raised: With regards to water the Company states on its website: 'To maintain our license to operate, we cannot degrade water quality or compromise the access rights of other users'. It also states in its Group water policy that one of its principles is 'recognizing water as an environmental and human right'. It has also disclosed its 'Water Policy' which states as one of its five fundamental principles "Our stakeholders – recognizing water as an environmental and human right whilst identifying, developing and implementing collaborative solutions with our stakeholders". In relation to land rights Anglo American says "All Anglo American managed sites shall seek to avoid and, when avoidance is not possible, minimise involuntary resettlement wherever feasible by exploring alternative project designs. Where resettlement is unavoidable, projects shall follow the IFC Performance Standard 5

Indicator Code	Indicator name	Score (out of 2)	Explanation
			<p>on Land Acquisition and Involuntary Resettlement...Resettlement is considered involuntary when affected persons or communities do not have the right to refuse land acquisition or restrictions on land use that result in physical or economic displacement". This is not sufficient for a commitment to respecting ownership and land use. The company has a commitment to the UDHR. [Group water policy 2018, 3/7/2018: business-humanrights.org & Social Way: australia.angloamerican.com]</p> <ul style="list-style-type: none"> • Met: Policies apply to the type of business relationships involved: The 'Social Way' document states that "Where Anglo American does not manage, but is linked to, an activity through its business relationship, it shall seek to influence the management of social risks and impacts in accordance with this standard." Additionally in its 'Responsible Sourcing Standards for Suppliers' state "This Standard applies to all persons or businesses either doing or wishing to do business with Anglo American. This includes persons conducting businesses on our behalf (contractors, agents and intermediaries)." [Social Way: australia.angloamerican.com & Group water policy 2018, 3/7/2018: business-humanrights.org] <p>Score 2</p> <ul style="list-style-type: none"> • Not met: Policies address the specific rights in question: The SEAT document includes a tool for resettlement planning and implementation. It states that these risks and negative impacts are 'often particularly harsh for poor and vulnerable groups', It provides a definition of these groups and states that it conducts socio-economic surveys 'of all affected people, with specific identification of poor and other vulnerable groups'. However, no evidence found in relation to how it identifies rights holders, with particular attention to vulnerable tenure rights holders in new or on-going resettlements. Additionally the company has not endorsed the CEO Water Mandate. The company is a participating member of the Voluntary Principles on Security and Human Rights [SEAT Toolbox: angloamerican.com]
E(1).3	The Company has taken appropriate action	0.5	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Engages with affected stakeholders: In a letter published online, Lina Echeverri, Vice President of Public Affairs and Communication at Cerrejon, says that the company has engaged in consultations with the members of the Roche community to discuss issues of re-settlement, water shortages and compensation payments. Additionally the company also outlines the consultations undertaken with nearby communities in relation to the modification of the Bruno Creek riverbed [Cerrejon letter Roche Community, 29/01/2019: business-humanrights.org & Cerrejon work group Bruno Creek, 09/05/2019: cerrejon.com] • Not met: Encourages linked business to engage affected stakeholders: The CHRB was unable to find any publicly available evidence of Anglo American encouraging its linked business (Cerrejon) to engage with the affected stakeholders. • Not met: Provides remedies to affected stakeholders: The letter from Cerrejon's Lina Echeverri, states that internal conflicts between the Roche Black Afro-descendent Community Council and its legal representatives resulted in "a situation preventing an agreement being reached" of which subsequently the Ministry of the Interior officially protocolised the consultation without an agreement. The letter states "We understand that, with this result, the expectation of many families who hoped to gain access to the compensations and indemnification have not been met". On the basis of this evidence no remedy has been provided to the affected community stakeholders. [Cerrejon letter Roche Community, 29/01/2019: business-humanrights.org] • Not met: Has reviewed management systems to prevent recurrence: The CHRB has not identified any publicly available evidence that Cerrejon has reviewed its management systems in light of the engagement with the Roche community to prevent similar complications and impacts occurring in the future. [Cerrejon letter Roche Community, 29/01/2019: business-humanrights.org] <p>Score 2</p> <ul style="list-style-type: none"> • Not met: Remedies are satisfactory to the victims: Cerrejon has not provided any compensation to the 33 families identified as beneficiaries on the basis Council of State of criteria defined by the Council of State, thus remedy cannot be considered satisfactory. [Cerrejon letter Roche Community, 29/01/2019: business-humanrights.org] • Not met: Has improved systems and engaged affected stakeholders: The CHRB has not identified any publicly available evidence that Cerrejon has improved its management systems in light of the engagement with the Roche community to prevent similar complications and impacts occurring in the future. [Cerrejon letter Roche Community, 29/01/2019: business-humanrights.org]

Indicator Code	Indicator name	Score (out of 2)	Explanation
E(2).0	Serious allegation No 2		<ul style="list-style-type: none"> • Headline: Minas Gerais to fine Anglo American USD 37.73 million after pipe leak • Area: Environmental damage • Story: On April 4, 2018, the Brazilian state of Minas Gerais imposed a BRL 125.6 million (USD 37.73 million) fine on Anglo American for pollution caused by the March 12 spills from a pipeline that carries iron ore from the company's Minas-Rio mine. The leak forced the company to suspend operations until March 7, 2018. According to Semad, the environmental regulator for Minas Gerias, the spill "caused pollution and environmental degradation that resulted in damage to water resources and may have caused harm to public health and the wellbeing of the population. It also caused water supply to the local population to be interrupted. Semad also said it required the company to clean the stream where the spill occurred and resume water supply to the local population which was interrupted due to the incident. On March 29, 2018, two days after the resumption, a second leak in the same pipeline occurred 400 meters away, prompting the company to again halt operations for 90 days while it completed an inspection. In regard to the second leak, Semad said it was still studying the incident and would announce a fine in that case as well. • Sources: [Mining.com - 05/04/2018: mining.com][Reuters - 05/04/2018: reuters.com]
E(2).1	The Company has responded publicly to the allegation	2	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Public response available [Pipeline information Center: brasil.angloamerican.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Response goes into detail: Anglo American provides extensive details on the Minas Gerais pipeline leak. The page includes information concerning the source of the incident, the areas affected, a timeline of events, and data on the resumption of operations. [Pipeline information Center: brasil.angloamerican.com]
E(2).2	The Company has appropriate policies in place	1	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Company policies address the general issues raised: Anglo American states that its "environmental vision is to minimize harm to the environment by designing, operating and closing all of our operations in an environmentally responsible manner." In addition, Anglo American must perform Environmental, Health and Social Impact Assessments and other authorizations and approvals, including commitments made as part of the application process prior to company operations. [Environment: angloamerican.com & Safety, Health, and Environment (SHE) way: angloamerican.com] • Met: Policies apply to the type of business relationships involved: Anglo American states that "every business or operation must ensure that they determine and fulfil all of the requirements relating to their SHE compliance obligations which include all applicable SHE legal requirements and any other SHE requirements that we must or choose to comply with." Moreover, the company expects all "...consultants, agents, contractors and suppliers to follow our [Anglo American] policies and requirements relating to SHE management and practices." [Safety, Health, and Environment (SHE) way: angloamerican.com] <p>Score 2</p> <ul style="list-style-type: none"> • Not met: Policies address the specific rights in question: The policies address the specific right of environmental protection as states that it designs, builds, operates, rehabilitates and closes all company operations in an environmentally controlled and responsible manner that minimizes pollution and eliminates where possible or prevents irreversible environmental impacts. However, it is not signatory to the CEO Water Mandate. [Safety, Health, and Environment (SHE) way: angloamerican.com]
E(2).3	The Company has taken appropriate action	1.5	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Engages with affected stakeholders: Anglo American reports that it has engaged in dialogue with the affected local communities. The company's website states that it has provided regular updates to the local population and relevant authorities. [Pipeline information Center: brasil.angloamerican.com] • Met: Provides remedies to affected stakeholders: The company suspended operations in the affected area but resumed operations later in December 2018 after performing repairs on the leaking sections of pipeline. After the detection of the leak on March 12, work immediately started on the containment and drainage of the affected area. Water samples were also collected from the Santo Antonio do Grama creek together with Suatrans, a company specialized in environmental emergencies, and with Senai (National Industrial Training Service). During the

Indicator Code	Indicator name	Score (out of 2)	Explanation
			<p>clean-up, Anglo American assured water supply to population with water tank trucks and bottled water. As of March 2018, the clean-up of the Santo Antonio do Grama creek, impacted by the first leak on 12 March, was still ongoing, involving some 200 people, half of which were local residents. [Pipeline information Center: brasil.angloamerican.com]</p> <ul style="list-style-type: none"> • Met: Has reviewed management systems to prevent recurrence: In response to the spill, Anglo American started the internal inspection of the entire length of the Minas-Rio pipeline, with the help of PIGs (pipeline investigation gauges) manufactured to order, equipped with sensors that can accurately detect any signs of dents, corrosion or cracks in the pipe. [Pipeline information Center: brasil.angloamerican.com] <p>Score 2</p> <ul style="list-style-type: none"> • Not met: Remedies are satisfactory to the victims • Met: Has improved systems and engaged affected stakeholders: In response to the spill, Anglo American started the internal inspection of the entire length of the Minas-Rio pipeline, with the help of PIGs (pipeline investigation gauges) manufactured to order, equipped with sensors that can accurately detect any signs of dents, corrosion or cracks in the pipe. [Pipeline information Center: brasil.angloamerican.com]
E(3).0	Serious allegation No 3		<ul style="list-style-type: none"> • Headline: Mineworkers and gold producers including Anglo American reach a settlement over lung diseases class action • Area: Health & Safety • Story: On May 3rd, 2018, South African gold producers including Anglo American reached a class action settlement with law firms representing thousands of miners who contracted the fatal lung diseases silicosis and tuberculosis while working for them. The settlement of USD 400 million was signed by Richard Spoor Inc, Abrahams Kiewitz Inc and the Legal Resources Centre, representing the affected workers, and the Occupational Lung Disease Working Group, which acted on behalf of African Rainbow Minerals, Anglo American, AngloGold Ashanti, Gold Fields, Harmony Gold and Sibanye-Stillwater. <p>Anglo American no longer has an interest in gold mining.</p> <ul style="list-style-type: none"> • Sources: [Financial Times - 03/05/2018: ft.com][Mining.com - 3/5/2018: mining.com][Media release - 3/5/2018: mining.com]
E(3).1	The Company has responded publicly to the allegation	2	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Public response available: The Company states: "Through our active participation in an Occupational Lung Disease Working Group, which was formed in 2014, Anglo American South Africa (AASA) together with five other mining companies (African Rainbow Minerals, AngloGold Ashanti, Gold Fields, Harmony and Sibanye Stillwater) – concluded a settlement agreement on 3 May 2018 in the silicosis and tuberculosis class-action litigation with the claimants' lawyers" [Response letter to Business & Human Rights Resource Centre, July 2018: business-humanrights.org] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Response goes into detail: The Company states: "This is an historic settlement, resulting from three years of extensive negotiations. The Agreement provides meaningful compensation to all eligible workers suffering from silicosis and or tuberculosis who worked in gold mines – which these companies either owned or operated or to which they previously provided technical services (as was the case with AASA) – from 1965 to date." [Response letter to Business & Human Rights Resource Centre, July 2018: business-humanrights.org]
E(3).2	The Company has appropriate policies in place	2	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Company policies address the general issues raised: The Company has a Health & Safety policy. [Code of conduct, 25/10/2016: angloamerican.com] • Met: Policies apply to the type of business relationships involved: The policy also applies to the Company's business partners. [Code of conduct, 25/10/2016: angloamerican.com] <p>Score 2</p> <ul style="list-style-type: none"> • Met: Policies address the specific rights in question: The Company discloses its injury frequency rates. [Sustainability Report 2018, 2018: angloamerican.com]
E(3).3	The Company has taken appropriate action	1.5	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> • Met: Engages with affected stakeholders: The Company states that "This is an historic settlement, resulting from three years of extensive negotiations." [Response letter to Business & Human Rights Resource Centre, July 2018: business-humanrights.org]

Indicator Code	Indicator name	Score (out of 2)	Explanation
			<ul style="list-style-type: none"> • Met: Provides remedies to affected stakeholders: The Company states that "The Agreement provides meaningful compensation to all eligible workers suffering from silicosis and or tuberculosis who worked in gold mines". [Response letter to Business & Human Rights Resource Centre, July 2018: business-humanrights.org] • Not met: Has reviewed management systems to prevent recurrence: CHRB did not find evidence of the Company reviewing the system followed by the case. Score 2 • Met: Remedies are satisfactory to the victims: The Company states regarding the settlement that "The parties believe the settlement represents a fair outcome for claimants, and a sustainable outcome for the companies." [Response letter to Business & Human Rights Resource Centre, July 2018: business-humanrights.org] • Not met: Has improved systems and engaged affected stakeholders: CHRB did not find evidence of the Company improving the system.

F. Transparency (10% of Total)

Indicator Code	Indicator name	Score	Explanation
F.1	Company willingness to publish information	3.58 out of 4	Out of a total of 38 indicators assessed under sections A-D of the benchmark, Anglo American made data public that met one or more elements of the methodology in 34 cases, leading to a disclosure score of 3.58 out of 4 points.
F.2	Recognised Reporting Initiatives	2 out of 2	<p>The individual elements of the assessment are met or not as follows: Score 2</p> <ul style="list-style-type: none"> • Met: Company reports on GRI: The sustainability report contains a GRI index. [Sustainability report, 2017: angloamerican.com & Sustainability Report 2018, 2018: angloamerican.com]
F.3	Key, High Quality Disclosures	1.6 out of 4	<p>Anglo American met 4 of the 10 thresholds listed below and therefore gets 1.6 out of 4 points for the high quality disclosure indicator.</p> <p>Specificity and use of concrete examples</p> <ul style="list-style-type: none"> • Met: Score 2 for A.2.2 : Board discussions • Not met: Score 2 for B.1.6 : Monitoring and corrective actions • Met: Score 2 for C.1 : Grievance channel(s)/mechanism(s) to receive complaints or concerns from workers • Not met: Score 2 for C.3 : Users are involved in the design and performance of the channel(s)/mechanism(s) <p>Discussing challenges openly</p> <ul style="list-style-type: none"> • Not met: Score 2 for B.2.4 : Tracking: Monitoring and evaluating the effectiveness of actions to respond to human rights risks and impacts • Not met: Score 2 for C.7 : Remedying adverse impacts and incorporating lessons learned <p>Demonstrating a forward focus</p> <ul style="list-style-type: none"> • Met: Score 2 for A.2.3 : Incentives and performance management • Not met: Score 2 for B.1.2 : Incentives and performance management • Not met: Score 1 for D.3.1 : Living wage (in own extractive operations, which includes JVs) • Met: Score 2 for D.3.4 : Health and safety: Fatalities, lost days, injury rates (in own extractive operations, which includes JVs)

Disclaimer

A score of zero for a particular indicator does not mean that bad practices are present. Rather it means that we have been unable to identify the required information in public documentation.

See the 2019 Key Findings report and technical annex for more details of the research process.

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As CHRB Ltd, we want to emphasise that the results will always be a proxy for good human rights management, and not an absolute measure of performance. This is because there are no fundamental units of measurement for human rights. Human rights assessments are therefore necessarily more subjective than objective. The Benchmark also captures only a snap shot in time. We therefore want to encourage companies, investors, civil society and governments to look at the broad performance bands that companies are ranked within rather than their precise score because, as with all measurements, there is a reasonably wide margin of error possible in interpretation. We also want to encourage a greater analytical focus on how scores improve over time rather than upon how a company compares to other companies in the same industry today. The spirit of the exercise is to promote continual improvement via an open assessment process and a common understanding of the importance of the UN Guiding Principles on Business and Human Rights.