



# Gold Fields Limited

## Information for Suppliers and Contractors

[www.goldfields.com](http://www.goldfields.com)



**GOLD FIELDS**

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## ABOUT GOLD FIELDS

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### We are Gold Fields

Gold Fields Limited is a globally diversified gold producer with operations located in Australia, Chile, Ghana, Peru and South Africa.

### Our Vision

To be the global leader in sustainable gold mining. We don't want to be the biggest, but we do want to be the best at everything we do.

### Our Strategic Objective

Sustainable cash generation to underpin value distribution.

It is only if we generate cash on a sustainable basis that we will create sufficient value to meet our commitments to all of our stakeholders, and to grow Gold Fields.

### Our Commitment to Stakeholders

A winning, safe and productive team. The most trusted and valued mining partner. A quality portfolio of assets, providing superior returns on gold.

### Our Commitment to Society and Gold Fields' Host Communities

We build strong relationships with key stakeholders, based on trust and open, honest and frequent engagement. We ensure that we leave an enduring, positive legacy for the communities in which we operate, we work with our stakeholders (i.e. investors, employees, suppliers, contractors, communities and governments) to create 'Shared Value'.

We commit to put in place measures to gauge how we are performing against our commitment to create shared value, build communities and reduce our impact on the environment. We strive to reach a better understanding of all the relevant issues associated with our business, to co-create and deliver the right commitments to secure and maintain our Social Licence to Operate.

### Our Commitment to Gold Fields' Employees

We live our values and deliver on our promises. We contribute to building our communities in a way that our employees can be proud of and we share the value we create with our communities in a way that sustains our business and the environment.

We celebrate the successes of our employees, as individuals as well as the successes of the team. We recognize and reward our employees' performance. We treat our employees with respect and dignity. We provide a safe and healthy environment so that our employees can leave work each day to return to their loved ones, and live a well-balanced life.

When our employees deliver, we provide them with the opportunity to take on new challenges with the right development and support. The contribution of our employees is critical for us to deliver on this promise. We encourage and expect all of our employees to live our values, to work collaboratively, and to do what is best for Gold Fields' enduring legacy.

### Our Commitment to Gold Fields' Investors

The quality of our asset portfolio is key to our success. What is most important, however, is our commitment to generate cash on a sustainable basis, in order for us to meet our commitments to all of our stakeholders.

In order to be an appealing long-term investment, we will deliver leverage to the gold price and attractive returns relative to our peers and the gold price.

We seek to be judged on what we do rather than what we say. We will be clear and transparent on our strategy and the performance of our assets, and focus on achievements rather than on what we intend to do. To protect our credibility and integrity, we will only make commitments that we can achieve.



## SUPPLYING TO GOLD FIELDS

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### Introduction

Each day, hundreds of suppliers play a part in sustaining our operations throughout the world. Our continued success as a world-class gold producer is due in part to the steadfastness of our supply chain and the quality of the businesses we partner with. Our operations depend upon the reliable supply of responsibly produced products and services, and the know-how of experts in their field.

This document outlines how Gold Fields does business, including our expectations of suppliers, and what we look for in a trading relationship. It also provides a high-level overview of Gold Fields' procure-to-pay process and the minimum criteria required for supplying goods and services to our operations.

### Suppliers

Gold Fields relies on a national and international network of suppliers to provide input materials for its exploration, development, construction and production activities. More advanced and/or specialized equipment or input materials are sometimes sourced from countries other than those where our operations are located.



Where practical, Gold Fields strives to source materials from local in-country suppliers, thereby maximizing the amount of value generated in the country of operation. Gold Fields' ability to source locally can be restricted by a lack of local commercial capabilities, and the company is committed to helping local companies grow their capacity to deliver high quality, competitively priced products where possible.

### Contracting Companies & Contracted Employees

Gold Fields makes use of contracting companies and contracted employees in support of its activities. This is of particular value where:

- the companies in question are able (due to their relative specialization, skills and experience, for example) to carry out tasks more efficiently and/or effectively than Gold Fields itself;
- their services are of a temporary nature (meaning the establishment of similar, permanent capabilities within Gold Fields is not viable or desirable from a commercial point of view); or
- individuals are contracted to undertake specific roles.

### Becoming a Supplier to Gold Fields

If you want your company to join the thousands of other businesses around the world that contribute to Gold Fields' ongoing success, please take a few moments to read this booklet and familiarize yourself with its content. A thorough understanding of Gold Fields' expectations of its suppliers will improve your chances of securing work with our operations and becoming an integral part of our supply chain.

## OUR EXPECTATIONS OF SUPPLIERS

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### Alignment with Gold Fields' Values

Gold Fields is committed to conducting its business in a fair and ethical manner, and to the promotion of a corporate culture that is socially and environmentally responsible. This is achieved by living the Gold Fields Values (i.e. Safety, Integrity, Respect, Responsibility, Delivery and Innovation), upholding our Code of Conduct, and working with suppliers who share and uphold these values and standards.

We recognize that when we contract with third parties, they become an extension of our business. We therefore expect suppliers to uphold and comply with our Values and Code of Conduct, and all applicable laws, rules and regulations. A summary of these principles is set out below.

Suppliers are advised to refer to our website ([www.goldfields.com](http://www.goldfields.com)) for further details on our Vision and Values, as well as our Code of Conduct.



## THE GOLD FIELDS VALUES

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### **Safety: If we cannot mine safely, we will not mine**

*We care deeply about the safety of our people. We are vigilant about identifying unsafe behaviours and are not afraid to speak up – to Stop, Fix, Verify and Continue – because we know we have the full support of the company when we do so. We are absolutely disciplined about developing, implementing and adhering to safety systems and rules, and we hold ourselves and each other accountable for this. We work towards zero harm on a daily basis – in our jobs, our homes and our communities. We never compromise on safety.*



### **Integrity: We act with honesty, fairness and transparency**

*We hold ourselves to the highest ethical standards. We tell the truth, stand up for what we know is right and protect the people who have the courage to do this. We report facts and figures accurately, keep confidential information private and refuse to cover up or turn a blind eye to what we know is unethical. We use the Code of Conduct to guide us but when we are unsure of what to do, we ask. We act with the best interests of our company at heart.*



### **Respect: We treat all stakeholders with trust, dignity and respect**

*How we behave is guided by the knowledge that every human being is valuable and deserves respect. This is why we treat people as we would want to be treated. While we know that it is sometimes necessary to have difficult conversations, we do so in a way that ensures that the dignity of the other person always remains intact. We allow others to voice their views, even when they are different to or in conflict with our own. We embrace, value and respect diversity and difference. We do not tolerate rude, abusive or undermining behaviour and we stand up for each other.*



### **Delivery: We strive for excellence and do what we say we will do**

*We strive to produce work that is excellent. We pay attention to detail and take pride in what we do. We work hard to deliver on time and within budget – wherever possible we strive to exceed expectations and do more with less. We understand that the delivery of one person impacts the delivery of the entire team. We take individual responsibility for our own work, but we accept that no single project is more important than working together to achieve company goals.*



### **Innovation: We encourage innovation and an entrepreneurial spirit**

*Our definition of innovation goes beyond technology – it encompasses any idea or change that can drive the business forward. We do not allow ourselves to be constrained by limiting beliefs and we think beyond what other people accept as ‘possible’. We are open to change and support new ways of working, even when the ideas may not be our own. We are optimistic about what the future can deliver.*



### **Responsibility: We responsibly manage our impact on the environment and host communities**

*We hold ourselves accountable for our actions and the impact we have on the environment and host communities – even if this does not relate to our core job. Wherever possible we use water and energy efficiently. We vigilantly monitor those areas of our business that may impact the environment and quickly report any incidents. We treat people in host communities with respect and seek to understand their needs and concerns.*

## CODE OF CONDUCT SUMMARY FOR SUPPLIERS AND CONTRACTORS

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### **Labour and Human Rights**

Gold Fields upholds human rights and is committed to respecting the rights, dignity and freedom of all. In particular, we oppose all forms of slavery and forced labour in our business, and we remain committed to ensuring fair remuneration and working conditions for all workers and maintaining workplaces free from all discrimination and harassment. We support the United Nations Universal Declaration of Human Rights and adhere to the UN Guiding Principles on Business and Human Rights. Suppliers and

contractors are expected to uphold these standards by promoting and ensuring that these requirements are met within both their own business and their supply chains.

<b>Stakeholder Relations &amp; Engagements</b>	Gold Fields seeks to develop mutually beneficial relationships with host communities, governments and other key stakeholders, through open and constructive engagement, based on mutual respect and trust. We respect local traditions, rights, interests, cultures, perspectives and special connections to the lands and waters of surrounding communities. We pursue formalised partnerships with stakeholders to capitalise on synergies that may exist to facilitate development of our host communities. Where applicable and possible, we prioritise in-country and host community procurement and employment. Suppliers and contractors are expected to conduct themselves in accordance with our stakeholder policies, standards and guidelines.
<b>Health &amp; Safety</b>	We value the health, safety and well-being of our employees, suppliers and visitors. We partner with suppliers who share these values and who have, where required and applicable, documented health and safety systems in place, supported by robust policies, procedures and programs, and underpinned by a safety-focused culture. Suppliers are expected to comply with Gold Fields' site rules and safety requirements, including all relevant laws and regulations related to workplace health and safety.
<b>Environmental Sustainability</b>	Suppliers and contractors are expected to responsibly manage their impact on the environment and respect the host communities in which Gold Fields operates. At a minimum, suppliers and contractors must comply with all applicable in-country laws and regulations pertaining to environmental management and reporting, including Gold Fields' on-site requirements. Suppliers and contractors should apply sustainability principles to their own supply chains, and where possible, must strive to minimise environmental impacts by reducing unnecessary waste, and maximising the efficient use of natural resources.
<b>Gifts &amp; Hospitality</b>	Suppliers and contractors must not give any gifts or hospitality that might compromise or be seen to compromise the professionalism or impartiality of Gold Fields' personnel.
<b>Conflicts of Interest</b>	Suppliers and contractors must declare any situation or relationship that raises an actual, potential or perceived conflict of interest in relation to dealings with Gold Fields, and must avoid personal or business relationships which may compromise the performance of their duties.
<b>Confidential Information</b>	Suppliers and contractors are required to treat all information to which they become privy by virtue of their relationship with Gold Fields, as confidential. This includes, without limitation, information pertaining to Gold Fields which is not in the public domain. This includes making statements or posting material/pictures concerning Gold Fields on social media without Gold Fields' prior written consent.
<b>Political Activity &amp; Government Interaction</b>	Any political activity engaged in by suppliers and contractors must clearly indicate that it does not represent Gold Fields in any way, irrespective of the relationship with Gold Fields or its operations. Suppliers and contractors must not attend meetings with Government officials (including regulators or Government departments) on Gold Fields related business, without the presence of Gold Fields personnel, who must record the details of the interaction.
<b>Preventing and Eliminating Bribery &amp; Corruption</b>	Suppliers and contractors must comply with all laws and regulations that prohibit bribery and corruption. Suppliers and contractors are not permitted to solicit, offer or promise a bribe, kick-back or any other improper payment or benefit, including facilitation payments, whether acting on their own behalf or on behalf of Gold Fields.
<b>Accurate &amp; Complete Record Keeping</b>	Suppliers and contractors must record all information relating to its dealings with Gold Fields honestly, accurately and completely. Any payment error must be reported immediately. We have zero tolerance toward fraud. Misrepresenting facts can never be justified or excused.
<b>Insider Trading</b>	Trading in shares or securities based on material non-public information, or supplying that information to others, is illegal. Any dealings by a supplier or contractor in the

shares or securities of Gold Fields must comply with all applicable laws and stock exchange requirements.

### Speaking Up

Suppliers and contractors can report violations of Gold Fields' Code of Conduct or any other concerns to: [goldfields@tip-offs.com](mailto:goldfields@tip-offs.com) OR the confidential hotline:

**South Africa:** 0800 203 711 | **Ghana:** 0800 10987 |

**Peru:** 0800 54 760 | **Australia:** 1800 623 245 |

**USA:** 1 888 611 1848 | **Chile:** 800 914 279

This service is administered by a third-party provider and anonymity is guaranteed.

### Gold Fields Group Code of Conduct

The Gold Fields Group Code of Conduct applies to employees as well as all suppliers. Compliance with Gold Fields' Code of Conduct forms part of all agreements with our suppliers and any third parties we engage with.



To view the Gold Fields Group Code of Conduct, visit: <http://www.goldfields.com/code-of-conduct.php>

## PROCURE-TO-PAY (P2P) PROCESS OVERVIEW

### Outline of Gold Fields' Procure-to-Pay Process

Gold Fields' procure-to-pay process is similar to that of most businesses.

Dependent on assessed risk, the process typically commences with supplier identification and pre-qualification, followed by a competitive market engagement process, bid evaluation, negotiation, award and eventual release of a purchase order or execution of an agreement.

The final phases of the procure-to-pay process require the supplier to deliver the good(s) and/or provide the service(s), followed by receipt, invoicing and payment.

The seven phases of Gold Fields' Procure-to-Pay process are outlined in the adjacent diagram.



## PHASE 1: SUPPLIER IDENTIFICATION & CLASSIFICATION

### How Does Gold Fields Identify New Suppliers?

Several methods are used for the identification of new suppliers and are specific to the country in which the supplier operates, including:

- On-line registration via Gold Fields' website or purpose-built web-portals
- On-line internet searches, business directories or capability registers
- Electronic marketplaces (e.g. SAP Ariba Network)
- Direct approaches made to operational stakeholders and Supply Chain personnel
- Recommendations / word of mouth
- Supplier Development Centre

Businesses seeking to supply goods and/or services to our operations throughout the world are encouraged to visit the 'Suppliers' page located on Gold Fields' website: [www.goldfields.com/introduction.php](http://www.goldfields.com/introduction.php)

### On-Line Supplier Registration

On-line supplier registration provides Gold Fields with vital market information as well as visibility of prospective suppliers. Registering on-line assists Gold Fields' Supply Chain personnel in understanding the true nature of your business and its core capabilities, including your company's ownership structure, and the types of goods or services supplied by your business.

### Where Can Suppliers Access Gold Fields' On-Line Registration Tools?

Visit: [www.goldfields.com](http://www.goldfields.com) and choose the 'Suppliers' tab, then select the relevant region of operation.

### Does On-Line Registration Guarantee Work with Gold Fields?

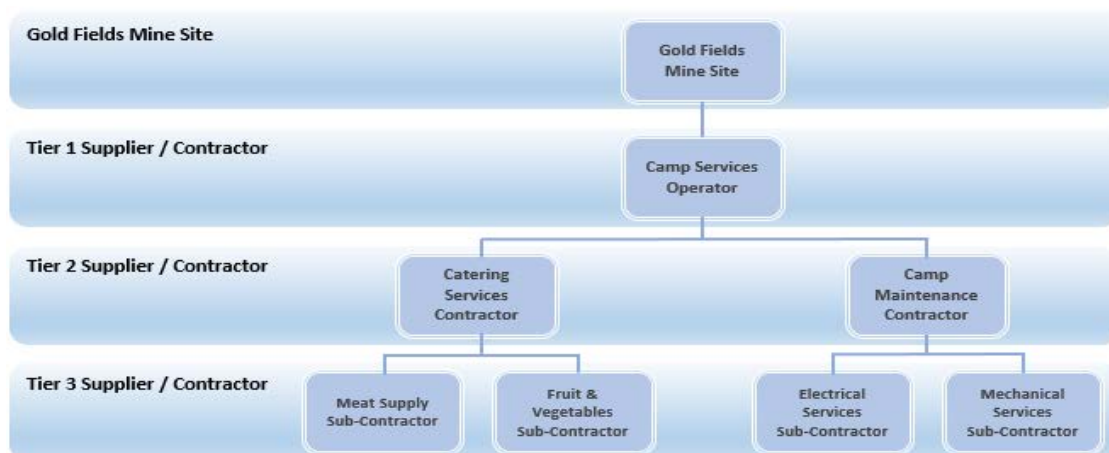
Completing on-line registration and/or expressing your company's interest in supplying goods and/or services to our operations does not qualify your business to become a supplier or contractor to Gold Fields, nor does it guarantee you will be contacted by a Gold Fields representative, or inclusion in future tenders. We undertake a comprehensive screening process prior to issuing tenders or awarding purchase orders and/or supply agreements, which is outlined in further detail below.

### Supplier Classification

At Gold Fields, suppliers are classified according to risk (i.e. operational impact), spend and how many vendors can supply the particular service or product (i.e. replaceability of the solution). Classifying suppliers allows Gold Fields to understand and manage its supply chain risk profile. The classification process assists in highlighting where Gold Fields is dependent upon certain suppliers for the ongoing sustainability of its operations.

### The Tiers of Supply

The hierarchical nature of the supply chain is often referred to as the 'Tiers of Supply' as illustrated by way of the hypothetical camp services contract arrangement outlined below:



In the above example, a local business supplying fruit and vegetables is considered a Tier 3 supplier. This business is sub-contracted by the contractor awarded the Catering Services contract (Tier 2), who in turn is contracted by the Camp Services Operator (Tier 1), who has a direct relationship with Gold Fields.

### Tier 1 Suppliers

Tier 1 suppliers are those that supply goods or services (including intellectual property (IP) / patents) directly to Gold Fields. These vendors constitute Gold Fields' active supplier base and their performance is monitored against a range of metrics, including: Delivery in Full On-Time (DIFOT), service delivery, and invoice accuracy.

In addition, all Tier 1 vendors are regularly screened via a third-party screening tool for recorded transgressions (as well as for adverse media exposure), against an array of pre-defined criteria, including: regulatory, labour practice, environmental, health & safety, management and operational issues.

### Critical Tier 1 Suppliers

A critical supplier is one whose goods or services have significant impact upon Gold Fields' operations and/or sustainability, as well as a large footprint in one or more of our operations in terms of allocated personnel, equipment and resources, making replacement or substitution highly difficult without a detailed plan and a significant replacement process.



Examples of Critical Tier 1 Suppliers include:

- high-volume suppliers (e.g. diesel fuel, sodium cyanide, electricity, explosives, grinding media, etc.);
- suppliers of critical components (e.g. underground rock / cable bolts, ground support mesh, etc.); and
- non-substitutable suppliers (e.g. Original Equipment Manufacturers)

### Classification of Critical Tier 1 Suppliers

An example of how Gold Fields evaluates supplier criticality is outlined below.

The initial assessment is based upon two criteria, measured on a 5-point scale:

- operational criticality (i.e. the capacity to impact production), and
- replaceability of the solution (i.e. how difficult it is to replace the supplier)

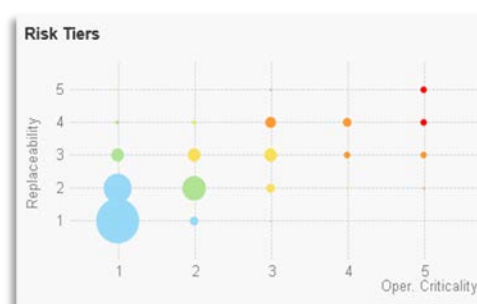
Criteria / Score	1	2	3	4	5
<b>Operational Criticality</b>	No impact on production	Production inconvenienced	Some production activity is delayed - mine still operational	Production ceases for a short period (days)	Production ceases for a medium period (weeks)
<b>Replaceability of the Solution</b>	Quickly replaceable	Quickly replaceable with some effort or loss of quality	Replaceable in short lead-time and with considerable effort	Replaceable with long lead-time and high effort	Irreplaceable in the medium term

These scores are multiplied together to yield a Supplier Criticality Score.

Note: a supplier that scores a '4' or '5' in either category is defined as a 'Critical Supplier'.

The final factor in determining whether a supplier is considered 'Critical', depends upon the level of annual expenditure.

In the Australian region for example, annual expenditure must exceed A\$250,000 p.a. for a supplier to be considered critical.



### Critical Non-Tier 1 Suppliers

Critical Non-Tier 1 Suppliers refers to suppliers that are considered critical, and who provide products and/or services to the supplier at the next level above in the supply chain (e.g. Tier 1 Suppliers). An example of a Critical Non-Tier 1 Supplier is a quicklime manufacturer in Malaysia that supplies product to an Australian importer and distributor of quicklime, who in turn supplies directly to Gold Fields' Australian operations.

### Tier 2 & 3 Suppliers

Tier 2 & 3 Suppliers provide their products and services to the supplier at the next level in the chain (e.g. Tier 3 supplies to Tier 2, and Tier 2 supplies to Tier 1). These suppliers are typically more difficult to monitor than Tier 1 Suppliers, as visibility of their operations diminishes as the number of tiers in the supply chain increases.

## PHASE 2: SUPPLIER PRE-QUALIFICATION

### What is Supplier Pre-Qualification?

Prior to issuing a request for quotation, formal tender, or prior to award, Gold Fields' Supply Chain personnel undertake a series of background checks referred to as 'pre-qualification'. This process assists Gold Fields in ensuring that the companies from whom we procure goods and services meet a range of criteria, including (but not limited to):

- health, safety and environmental performance
- engagement and participation of local and host communities
- placement of required insurances
- performance history
- human rights track record
- financial viability
- technical capability
- adverse media

### Why is Supplier Pre-Qualification Necessary?

It is critical that we deal only with suppliers who share our values and who will meet our performance expectations. To assist in better understanding who we should be dealing with, a series of background checks are performed based around the criteria outlined above.

### Risk Management Approach

All vendors are regularly screened via a third-party screening tool for Government and Government official affiliations, and recorded transgressions (as well as for adverse media exposure) against an array of pre-defined criteria, including (but not limited to): regulatory, labour practices, human rights, environmental, health and safety, management and operational issues.

Each region applies a jurisdiction-specific sourcing policy which outlines detailed tender, contract award, performance adjudication and assessment requirements, and which includes a weighted prioritisation assessment of commercial and non-commercial criteria. A specified weight (%) for Environmental, Social and Governance (ESG) factors is applied in the overall assessment of suppliers. For all site services, additional site-based compliance verification is completed in-line with mine-site policies and procedures, prior to engaging suppliers for work (e.g. independent contractor audits).

### What Additional Information Will Your Business Need to Provide?

In addition to completing Gold Fields' on-line registration questionnaire, your company may also be required to provide additional supporting documentation, including (but not limited to):

- Acknowledgement of Gold Fields' Code of Conduct for Suppliers and Contractors
- Company policies (e.g. Health & Safety, Quality, Cyber Security, Human Rights, Diversity, etc.)
- Plans (e.g. HSE, Risk Management, QA/QC, etc.)
- Conflict of Interest declaration
- Certificates of insurance
- Financial statements
- Company structure / organogram
- Demographic information
- % of local content in manufactured goods
- Technical competency certification



## PHASE 3: ENGAGING THE MARKET

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### Determining How We Approach The Market

The way in which Gold Fields engages the market is dependent upon several factors, including:

- the jurisdiction in which we operate (e.g. Australia, Chile, Ghana, Peru, South Africa, etc.);
- the sourcing risk and complexity associated with the requirement;
- prevailing market conditions / timing for award of the requirement;
- capability of suppliers to respond to a market testing process;
- whether the purchase constitutes a one-off or on-going requirement;
- government-imposed sourcing requirements concerning local content; and
- the estimated value and nature of the goods and/or services required.

### Maintaining Fairness and Transparency

Gold Fields will always aim to ensure:

- there is adequate market competition;
- suppliers have sufficient time and the capacity to respond to requests for quotation or formal tenders;
- that the conditions of participation do not directly preclude potential suppliers on the basis that they have not supplied to Gold Fields in the past;
- bid-related documentation submitted by suppliers can be managed confidentially; and
- the conditions of participation are clear and concise.

### Responding to Requests for Information

Suppliers who have been pre-qualified to take part in a market engagement process may (dependent upon the factors outlined above), receive a:

- Request for Information (RFI),
- Request for Quotation (RFQ),
- Request for Proposal (RFP),
- Expression of Interest (EOI), or
- Request for Tender (RFT).

The above examples of requests for information are often collectively referred to as 'RFx'. In each instance, respondents should aim to provide the requested information by the due date to avoid potential exclusion from the bid evaluation process.

If you require additional information or clarification to complete your submission, contact the issuing officer.

## PHASE 4: EVALUATE ~ NEGOTIATE ~ AWARD

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### RFx / EOI / RFT Evaluation

In this phase of the Procure-to-Pay process, Gold Fields' Supply Chain personnel evaluate bid submissions and proposals received from suppliers based on a range of criteria, including (but not limited to):

- Technical Capability
  - ability to meet the required quality of work (i.e. standards / specifications)
  - ability to deliver the required quantity of goods and/or services in the timeframe specified
  - experience of personnel
  - ability to value-add
- Health, Safety & Environmental and Community (HSEC)
  - compliance with HSEC requirements
  - HSEC policies / plans in place
  - compliance with Site Access Terms
  - risk assessments undertaken (if required)
- Social, Ethics, Governance & Transformation
  - compliance with applicable anti-corruption laws
  - compliance with principles of good governance
  - compliance with (and promotion of) human rights
  - compliance with host community procurement and/or employment objectives
  - compliance with supplier diversity objectives (e.g. female-owned businesses, indigenous business, social enterprises, etc.)
- Commercial
  - entity's financial standing is sound (i.e. commercial capacity)
  - overall presentation of the tender submission
  - conforming offer provided as per the RFx / RFT
  - proposal represents value for money
  - mobilization / demobilization costs
  - required insurances are in place and current
- Past Performance
  - safe work history
  - on-time and on-budget

- proposed work program / lead time
- track record in delivering comparable products / scopes of work

Bids are ranked according to a weighted evaluation matrix. Suppliers are then shortlisted for further negotiation.

### Negotiating with Suppliers

Gold Fields' preference is to engage with suppliers based on our standard terms and conditions. On occasion, suppliers propose alternative terms and conditions, which may introduce unacceptable risk and/or warrant further negotiation. Several rounds of negotiation may be required before the parties reach agreement on appropriate terms and conditions or clause wording.

Gold Fields' Supply Chain personnel typically benchmark submitted rates and pricing against established indices and other forms of market intelligence. If a company's pricing submission is over and above that which Gold Fields believes is reasonable for a given commodity or service, suppliers will be expected to substantiate the price differential; and if necessary, amend their pricing accordingly.

### Other Factors Influencing Award Decisions

At Gold Fields, we typically preference our contracted suppliers, preferring to manage fewer vendors, minimize risk, and leverage our region-wide buying power; however, should a host community-based business, female-owned business, indigenous business, BEE compliant / HDP controlled entity or social enterprise meet the specified criteria, Gold Fields will consider the award of work to these entities.

Gold Fields encourages its suppliers and contractors to seek out appropriate host community, female-owned, Indigenous, BEE compliant / HDP controlled entities or social enterprises; and where possible, incorporate these businesses as suppliers within their own supply chains.

## PHASE 5: RELEASE PURCHASE ORDER ~ EXECUTE AGREEMENT

### Becoming a Vendor to Gold Fields

In the event Gold Fields awards your business work and your company is not already an existing supplier, our Vendor Management team will step you through the vendor 'onboarding' process.

To receive a Purchase Order (PO), your company must be established as a vendor in our SAP ERP system. Note: supply of goods, services or works without a valid Gold Fields Purchase Order or Contract is not permitted, and is entirely at your own risk.

### Onboarding of Suppliers

The process of establishing vendors in Gold Fields' ERP system is referred to as 'onboarding' and the process varies from region-to-region (refer to the appendices at the rear of this document for region-specific onboarding processes).



Upon completing the onboarding process, our Vendor Management team will undertake appropriate due diligence to ensure your business meets Gold Fields' minimum standards for the supply of goods and/or services. Gold Fields' due diligence process includes background checks against an array of pre-defined criteria, including (but not limited to): regulatory, labour practice, environmental, health and safety, management and operational issues. We may also undertake third-party screening in relation to your company's financial health.

### Purchase Orders (PO)

Once your company has been established as a vendor in Gold Fields' ERP system, if a requirement arises that your business is able to fulfill, Gold Fields may issue your company with an official Purchase Order. A Purchase Order is an agreement to supply goods and/or services based on Gold Fields' Standard Purchase Order Terms.

Purchase Orders are issued by authorised personnel (i.e. Purchasing Officers) stationed within Gold Fields' regional Procurement teams. Purchasing Officers are the primary point of contact for queries or updates in relation to Purchase Orders.



### Contracts

Where a contract exists between Gold Fields and your company, the terms of the agreement will usually override Gold Fields' Standard Purchase Order Terms. All Purchase Orders released against a standing contract will typically reference the applicable agreement.

Agreements are prepared and administered by Contracts Advisors within Gold Fields' regional Supply Chain teams. Contracts Advisors are the primary 'commercial' contact within Gold Fields for contract-related enquiries.

The Contract Owner is typically the individual overseeing all 'operational' aspects of the agreement, and who is usually designated as 'Gold Fields' Representative'.

## PHASE 6: PROVISION OF GOODS & SERVICES

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### Fullfilling Your Obligations

At Gold Fields, suppliers are expected to meet certain performance requirements, as our success depends to a significant extent on our suppliers' ability to deliver what has been requested. We measure supplier performance against a range of criteria and hold regular performance review meetings with key suppliers.

Outlined below is a summary of Gold Fields' expectations of suppliers with respect to the provision of goods and services.

### Supply of Goods

If your company is supplying goods to Gold Fields, we require:

- prompt responses to requests for quotation;
- the supplier's quotation to clearly state that it is based on Gold Fields' Standard Purchase Order Terms (or an existing agreement for the supply of goods);
- prompt order acknowledgement (i.e. confirmation that your company is in receipt of the purchase order and agrees to provide the requested goods at the specified price by the required date);
- timely delivery (i.e. the goods are delivered on or before the required date, or notification is given well in advance that there will be a delay in supplying the goods);
- order accuracy (i.e. no under-supplies, over-supplies, damaged, defective, or incorrect goods);
- completeness (i.e. the ordered quantity is delivered 100% in full – no part orders or multiple deliveries without prior written agreement);
- consignment notes are correctly marked (i.e. goods are consigned to the correct site as per the order);
- goods are accompanied by all required paperwork (i.e. consignment notes, packing slips, Material Safety Data Sheets, etc.) and the item delivered is readily identifiable on all documents;
- goods are appropriately packaged;
- accurate invoicing (i.e. the invoiced quantity and pricing is as per the purchase order line item); and
- suppliers who demonstrate a commitment to responsible sourcing and sustainability improvements within their own supply chains.

### Safety Considerations

Each Gold Fields' operation has unique hazards and safety issues to consider.

Site-specific safety procedures have been developed to address these inherent risks, which are designed to protect Gold Fields' employees, service providers and visitors to our sites.

This means that qualification and approval to perform work on one site does not constitute approval to enter any Gold Fields site.

Your site contact will inform you of these requirements prior to commencing work or entering the site.



## Supply of Services

If your company is providing services to Gold Fields, we require:

- prompt responses to requests for quotation;
- a quotation that clearly states that it is based on Gold Fields' Standard Purchase Order Terms (or the agreement under which the services are to be provided);
- prompt order acknowledgement (i.e. confirmation that your company is in receipt of the purchase order and agrees to provide the requested services at the specified rate by the required date);
- all required insurances are in place and current;
- suppliers that are accessible and responsive when a requirement arises;
- suppliers who know who their key contact is and fully understand Gold Fields' requirements;
- suppliers who provide experienced personnel;
- suppliers who mobilize and demobilize in a timely manner;
- suppliers that perform the requested services in a timely manner;
- suppliers that are prepared to stop the job to ensure that safety is not compromised;
- suppliers that meet their commitments, keep their promises, and follow up without prompting;
- suppliers that keep accurate records of meetings, conversations and directions;
- suppliers who demonstrate that they are socially and ethically responsible;
- the timely and accurate submission of all supporting documentation to prove that the services have been rendered, as per the in-country policies and procedures in which the service provider operates;
- accurate invoicing (i.e. the hours / rates invoiced are as per the timesheet and/or purchase order); and
- suppliers who demonstrate a commitment to socially responsible and sustainable methods of operation, in addition to continuous sustainability improvements within their business.

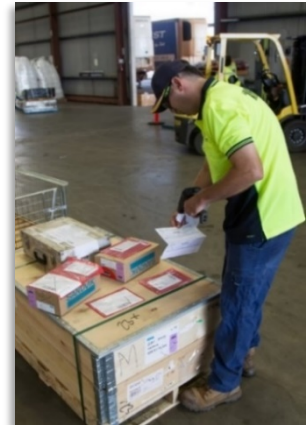
## PHASE 7: RECEIPT, INVOICING & PAYMENT

### Receipt of Goods & Services

Prior to effecting payment of an invoice, all goods and services must be receipted in Gold Fields' ERP system. All goods to be receipted must be accompanied by a packing slip, ideally in a weather-sealed pouch and (where applicable), include all necessary documentation (e.g. Material Safety Data Sheets, etc.).

Where services are provided, all supporting documentation, i.e. contractor timesheets, job cards, payment certificates, etc. should be forwarded to the Gold Fields Supervisor overseeing the performance of the work.

Approved / signed-off supporting documentation (together with the invoice) will be used to create a service entry sheet (SES) or framework order (FO) in Gold Fields' ERP system, which then will be routed electronically to the appropriate individual for approval that the work has been completed to a satisfactory standard.



### Invoice Submission

Gold Fields uses the SAP ERP system to pay its suppliers.

In submitting an invoice, suppliers must ensure that:

- the invoice has reasonable clarity (and preferably not handwritten);
- the invoice number and Purchase Order number must be clearly stated on the invoice;
- the vendor name on the invoice must match the vendor name on the Purchase Order;
- the Gold Fields entity on the invoice must match the Gold Fields entity on the Purchase Order;
- the invoice must provide a description of the goods or services provided, and include any shipping charges or other applicable fees (as described on the relevant Purchase Order line number);
- the invoice quantity and price must match that specified on the Purchase Order;
- if invoices are sent via email, they must be less than 3MB in size;

- invoices are in PDF, TIF/TIFF, DOC/DOCX, JPG, HTM/HTML or RTF format;
- the bank details stated on the invoice must match those held on file by Gold Fields – contact your Gold Fields representative to confirm or amend the bank details held on file;
- any country-specific VAT/GST/IGV/IVA regulatory invoice requirements must be met;
- invoices with VAT/GST/IGV/IVA tax applicable must have both the vendor's address, applicable Gold Fields company address and tax registration number, clearly displayed on the invoice and be titled 'Tax Invoice'; and
- VAT/GST/IGV/IVA and any local taxes must be identified separately on invoices.

If an invoice does not meet the criteria above, it may be rejected and returned to the vendor outlining the reason for rejection. Rejected invoices must be corrected and resubmitted for payment.

#### Credit Notes

All credit notes must reference the applicable Purchase Order number and relevant invoice number.

#### Payment of Invoices

Provided invoices are submitted in the month in which the goods have been supplied or work has been performed, your business can expect to be paid within the agreed payment terms.

#### Supplier Account Statements

Each month, suppliers are expected to provide a statement of all invoices not paid in order for Gold Fields' Accounts Payable department to perform vendor reconciliations. This enables Gold Fields to have an overview of its outstanding liabilities.

#### Placing Accounts on Hold

Gold Fields strives to build good relationships with its suppliers, based on common values and sound business principles that build value, and would therefore expect of its suppliers to bring to the attention of the applicable Commercial Manager, any outstanding payments to enable the parties to find an amicable solution before the Gold Fields account with the supplier is placed on hold.



## SUSTAINABLE SUPPLY CHAIN PRACTICES

#### Sustainable Procurement Practices

At Gold Fields, we understand the importance of embedding sustainable procurement practices throughout the supply chains of our operations. Aside from mitigating risks associated with our license to operate, a robust supply chain sustainability program promotes closer working relationships with our suppliers, resulting in mutual value creation for both parties, which ultimately extends to other stakeholders within the value chain.

#### Materials and Supply Chain Stewardship

At Gold Fields, the procurement of goods and services is governed by an overarching Group Policy Statement, on Materials and Supply Chain Stewardship. Refer: <https://www.goldfields.com/policies.php>

Gold Fields strives to undertake materials and supply chain stewardship activities in a manner that is sustainable and adheres to internationally recognised practice.

Materials and supply chain stewardship refers to how we choose and procure the materials we use to produce our product and what we do with those materials, their waste and our product.

To attain this vision, Gold Fields is committed to:

- integrating all aspects of materials and supply chain stewardship into how we work;
- complying with regulatory requirements and obligations relating to industry rules, codes and standards to which we subscribe;
- sourcing goods and/or services required in support of our operations from socially responsible and sustainable suppliers and contractors;

- encouraging our business partners, particularly suppliers and contractors, to adopt similar practices with regards to sustainable development;
- securing and maintaining sustainable and value-driven relationships with our business partners;
- continually optimising and improving our processes to ensure ongoing responsible and sustainable sourcing practices;
- sourcing, transporting, utilising, reusing and disposing of materials responsibly, giving due consideration to environmental, social, health and safety considerations and requirements;
- supporting the economies of our host communities and operating countries through the local procurement of goods and services;
- ensuring that our product does not contribute to unlawful armed conflict, human rights abuses or breaches of international humanitarian law through application of the World Gold Council's Conflict-Free Gold Standard;
- only using International Cyanide Management Code-certified companies for cyanide supply and transportation; and
- engaging with relevant stakeholders in an open manner regarding materials and supply chain stewardship.

Everyone working for, on behalf of, and third parties to Gold Fields' operations plays an active role in achieving these commitments by:

- taking ownership of responsible materials and supply chain stewardship programmes and initiatives;
- integrating responsible materials and supply chain stewardship into everyday practice; and
- adhering to Gold Fields' Materials and Supply Chain Stewardship Group Policy Statement.



#### Supplier Evaluation and Assessment

Gold Fields' preference is to work with suppliers who share a similar commitment to sustainable development. In evaluating proposals or bid submissions, we look for (and preference) suppliers who demonstrate a willingness to embed sustainable supply chain practices throughout their own supply chains.

#### Prioritising Host Community Procurement & Employment

Gold Fields is committed to prioritizing local procurement and employment and measuring our contribution to local economic development. In this regard:

- Gold Fields measures operational-level Local (i.e. in-country) and Host Community expenditure.
- Through Gold Fields' social and labour plan in South Africa, we are committed to numerous local economic development projects that develop local suppliers.
- Gold Fields' shared value projects in Australia, Chile, Ghana, Peru and South Africa are focused on developing host community suppliers and enterprise development.

#### Creating Shared Value

Gold Fields is committed to remaining at the forefront of sustainable procurement best practice.

To this end, Gold Fields' Supply Chain teams endeavour to:

- embed Environmental, Social and Governance (ESG), and Governance & Compliance language and obligations in tender / contract documentation;
- harness the company's collective purchasing power to achieve social outcomes beyond the products and services required by our operations, particularly in the Host Communities in which we operate;
- increase human rights due diligence efforts with respect to our supply chain; and
- where possible, maximize expenditure with Host Community businesses, and actively supporting their development.



## SUPPLY CHAIN RISK MANAGEMENT

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### Risk Management Approach

We strive to ensure that Gold Fields' supply chain and reputation are not negatively impacted by only procuring from suppliers that apply standards of good practice. Furthermore, we make every attempt to contribute to good governance, health and safety, environmental protection and the communities in which we operate, through using only sustainably responsible suppliers. Gold Fields' Stakeholder Relationship and Engagement Policy Statement formalises our commitment to engaging all our stakeholders and taking a relationship approach.

### Weighted Evaluation of Tender Criteria

Over and above Gold Fields' risk and materiality process, each region applies a jurisdiction-specific sourcing policy which outlines detailed tender, contract award, performance adjudication and assessment requirements, which includes a weighted prioritisation assessment of commercial and non-commercial criteria.

### Third Party Screening Solution

Gold Fields has implemented a Third-Party Screening Solution, which screens all active parties recorded on internationally recognised and published screening databases for recorded transgressions as well as for adverse media exposure, against pre-defined criteria, including (but not limited to): regulatory compliance, workforce health and labour practices, discrimination, worker's rights issues, workforce disputes, environmental performance, health and safety performance, and management and operational issues.

The screening outcome is used as input into an Internal Screening Risk Calculator, which amongst other defined governance and risk management criteria, calculates a risk rating and creates a profiled view of the third-party. This forms an integral part of the vendor risk management process in each region with reference to engagement, contractual terms, appointments, as well as the continuation of existing relationships.

### Significant Actual and Potentially Negative Impacts

Following each monthly screening of all active and new suppliers, any adverse media exposure alerts highlighting where regulator / government action has been taken in relation to environmental issues, discrimination or workers' rights issues in the workplace, are subsequently reviewed, assessed, confirmed and recorded.

### Contractual Safeguards

From a contractual viewpoint, all our Third-Party agreements contain provisions, which require statutory compliance and adherence to the Gold Fields Values, Code of Conduct and applicable Internal Policy Statements.

In addition, all contracts contain standard clauses dealing with Health and Safety, Environmental Management, compliance with governance and ethical business principles and practices (e.g. anti-bribery, human rights, etc.) and other regulatory requirements.

Furthermore, Gold Fields' contract approval process includes a contract risk assessment / mitigation checklist. For all site services, additional site-based compliance verification is completed in-line with mine-site policies and procedures, prior to engaging contractors for work (e.g. independent contractor audits).

### Sustainability High-Risk Suppliers

Contractors, suppliers or stakeholder groups with the potential to significantly impact Gold Fields' reputation, either through adverse economic, environmental or social impacts, are classified as 'sustainability high-risk'.

Building and cultivating healthy relations with contractors, suppliers and stakeholder groups (by way of engagement and dialogue) is crucial in terms of generating awareness of potential economic, social or environmental challenges facing the business.

High-risk economic, social or environmental impacts are generally sensitive, diverse, or unprecedented in nature. For example, loss of major natural habitat (e.g. irreversible damage), involuntary displacement or



resettlement of ethnic groups / minorities and impacting heritage sites of cultural significance, would all be considered 'sensitive'.

#### Supplier Risk Assessment / Corrective Actions

Gold Fields undertakes regular risk assessments of all active and potential suppliers using a Third-Party screening solution. If we detect unacceptable risk(s), we work with the supplier in question to agree and implement a set of corrective actions.

We may from time-to-time undertake site visits or facility inspections for the purpose of verifying a supplier's conformance with Gold Fields' Values, Supplier Code of Conduct, or contract-specific requirements. We may also engage a Third-Party to audit relevant facilities and documentation, in addition to interviewing the supplier's workforce.

Gold Fields may elect to disengage from suppliers who are unwilling or unresponsive with respect to implementing corrective action plans.

## SUPPLIER RELATIONSHIP MANAGEMENT

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#### Supplier Collaboration

At Gold Fields, we understand the value to be unlocked through close collaboration with our suppliers, which is why we choose to build relationships based on trust and loyalty, and which deliver mutual benefit. We take a view that our suppliers are not just vendors. Instead, we seek to establish long-term relationships based on open exchange of ideas, plus an element of shared risk. Ideally, both parties should have 'skin in the game'.

#### Strategic Partnerships

Gold Fields' strategic partners are those that supply critical commodities and/or services to our operations. These suppliers typically require more focus than those who provide low-value / low-risk goods and/or services.

For the relationship to evolve beyond that of a transactional nature, the parties must be prepared to share long-term plans. Often, this can involve the provision of sensitive commercial information to a key supplier, enabling them to plan their activities around Gold Fields' longer-term strategy (and vice versa). This demands a high degree of trust between the parties, which Gold Fields views as essential for an effective strategic partnership.

## FURTHER INFORMATION

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For more information about supplying to Gold Fields, visit: <https://www.goldfields.com/introduction.php>

## APPENDIX 'A' – REGION SPECIFIC REQUIREMENTS (AMERICAS)

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The following requirements are specific to Gold Fields' South American operations:

- Cerro Corona (Peru)
- Salares Norte (Chile)

### SHARED VALUE CREATION

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#### Host Community Procurement & Employment

Gold Fields aims to support the host communities in which we operate by incorporating community businesses as part of our supply chain wherever possible, as well as promoting the use of local employment through our contractors and sub-contractors.

At Gold Fields, we are committed to working with trusted organizations and extending our buying footprint to support small-to-medium suppliers in our host communities.

Local suppliers can contribute to the creation of shared value by employing local workers and other local businesses as part of their supply chains.



### ON-LINE SUPPLIER REGISTRATION

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#### Supplier Registration

If you are interested in working with Gold Fields in Peru please register on this [website](#). Once registered we will consider your business products or services for future needs.

Similar platforms are under evaluation for Gold Fields in Chile and will be implemented in the near future.

### E-COMMERCE

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#### Introduction

At Gold Fields, we are continually transforming our market engagement processes. This requires the adoption of innovative technology platforms to support effective working relationships between Gold Fields and its suppliers.

We are currently reviewing several market-place-type platforms to be used for managing our tendering processes (e.g. issuing RFQs, receiving formal quotations, etc.). Once a solution has been selected and implemented, Gold Fields will inform all current and prospective suppliers.

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## APPENDIX 'B' – REGION SPECIFIC REQUIREMENTS (AUSTRALIA)

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The following requirements are specific to Gold Fields' Australian operations:

- **Agnew Gold Mine**
- **Granny Smith Gold Mine**
- **Gruyere JV Gold Mine**
- **St Ives Gold Mine**
- **Gold Fields Australia Pty Limited**

### SHARED VALUE CREATION

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#### Host Community Procurement & Employment

Gold Fields aims to support the host communities in which we operate by (wherever possible) incorporating local content as part of our supply chain.

In the Australian region, focus is given to integrating host community businesses into the supply chain (i.e. those operating in relative proximity to Gold Fields' mine sites); and in particular, indigenous-owned and operated businesses. Increasing indigenous employment and expenditure with indigenous businesses is an area of focus for Gold Fields in Australia's Reconciliation Action Plan (RAP).



At Gold Fields, we are committed to working with trusted organizations and extending our buying footprint to support small-to-medium suppliers in our host communities. Our suppliers can contribute to the creation of shared value by employing local workers and/or engaging locally-owned suppliers as part of their supply chains.

### ON-LINE SUPPLIER REGISTRATION

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#### Introduction

At Gold Fields in Australia, we use SAP Ariba's suite of e-procurement and supply chain cloud solutions for sourcing goods and services on behalf of our operations.

#### Ariba Network Registration

All existing and prospective suppliers are required to register for an Ariba Network account in order to:

- increase visibility of your business (and its capabilities) to our organisation,
- receive and respond to tender documentation, and
- be considered for future tender opportunities.

Most suppliers on the Ariba Network start with a free or low-cost subscription. Your company's subscription level is based on your transaction volume and the extent of automation technologies that your business requires.

For further information, please visit: <https://www.ariba.com/ariba-network>

#### Where is Your Company's On-Line Registration Information Stored?

SAP Ariba cloud services are provided to thousands of customers worldwide, with data managed in 11 global data centres following accepted industry guidelines as outlined below:

- **Data in Motion** – all data in motion is encrypted using Transport Layer Security (TLS) 128-bit encryption.
- **Backup Media** – all backup media is encrypted using Advanced Encryption Standard (AES) 256-bit encryption before being stored off site.
- **Secure Port** – all access to SAP Ariba solutions is available only via a secure port 443.



- Data at Rest – SAP Ariba encrypts sensitive information such as payment card data and user credentials using 128-bit encryption when stored.
- Industry Audits – SAP Ariba is certified under industry standards covering security, availability, processing integrity, confidentiality, and privacy.

## E-COMMERCE

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### Introduction

At Gold Fields, we are continually transforming our market engagement processes. This requires the adoption of innovative technology to support effective working relationships between Gold Fields and its suppliers.

### Gold Fields' E-Commerce Platform

Gold Fields in Australia uses the SAP Ariba Network for transacting with suppliers across all stages of the procure-to-pay lifecycle, including:

- |                          |   |
|--------------------------|---|
| ▪ tendering              | ▪ issuing purchase orders                 |
| ▪ contract management    | ▪ receipt of purchase order confirmations |
| ▪ e-catalogue management | ▪ payment of invoices                     |

### Benefits of Transacting via Ariba Network

The Ariba Network makes it easy for Gold Fields and its suppliers to collaborate on transactions, thereby strengthening relationships. Benefits of transacting over the Ariba Network, include:

- enhanced procure-to-pay collaboration between Gold Fields and its suppliers
- respond to RFx and submit proposals
- reduction in manual data entry activities
- handle purchase orders, order confirmations and invoices
- know when you'll get paid and for what
- increased visibility of transactions for order tracking and invoice progress facilitating faster payment
- increased order accuracy and a reduction in the number of returns initiated
- reduction in procure-to-pay cycle times and associated administrative costs

### Invoice Submission via the Ariba Network

Suppliers transacting with Gold Fields via the Ariba Network must process invoices directly via the network. Invoices should not be submitted by mail, email or fax, or they will be rejected. Invoice processing statuses are readily available in real-time to suppliers with a registered Ariba Network account.

### Payment of Invoices

Provided invoices are submitted in the month in which the goods have been supplied or work has been performed, your business can expect to be paid within 30 days of the end of the following month (unless alternative payment terms have been agreed).

## HUMAN RIGHTS & MODERN SLAVERY

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### Human Rights and Modern Slavery

Gold Fields has for some time been focused on safeguarding the human rights of those involved in its operations and supply chain. While we are comfortable that our global employment practices eliminate the risk of modern slavery practices in our operations, the nature and extent of modern slavery (with an estimated 40 million cases around the world) means that there is a risk that modern slavery practices may be present in Gold Fields' supply chain. There are multiple risk factors that contribute to this position, including sector-based risks, product/services risks, geographic and jurisdictional risks as well as particular entity risks.

With a current international focus on modern slavery practices, reinforced by legislation in certain jurisdictions (for example the UK and Australia), Gold Fields is seeking to improve its understanding of its supplier base to ensure we procure only from businesses whose products and services have been ethically sourced and are free of forced labour.

Our strategy and process in relation to the identification and elimination of modern slavery practices in our supply chain is informed by a multi-disciplinary, integrated team across our supply chain, legal and sustainable development functions.

To ensure compliance with Australia's recently introduced Modern Slavery legislation, our Supply Chain team is currently focused on:

- identifying high-risk sustainability suppliers within our supply chain;
- developing an audit 'plan-of-attack' focusing primarily on categories of spend known to be high-risk;
- driving acknowledgement by suppliers of Gold Fields' Values and Group Supplier Code of Conduct;
- updating policies, procedures, and contract templates to meet the requirements of the legislation;
- training personnel in how to identify and address human rights and/or modern slavery issues; and
- collaborating with industry peers with a view to eliminating modern slavery from our supply chains.

#### Human Rights Supplier Self-Assessment Questionnaire

Gold Fields, in conjunction with peer companies, has developed a Modern Slavery toolkit, comprising an "Understanding Modern Slavery" brochure, frequently asked questions, and a Human Rights Supplier Self-Assessment Questionnaire (SAQ). The SAQ is designed to support the identification of modern slavery risks, foster collaborative efforts between suppliers and organisations to address those risks, improve supply chain transparency, and identify areas for further due diligence. Gold Fields will roll out the SAQ to selected suppliers and engage with them on the information supplied during the course of 2020. In addition, the SAQ will be integrated into the region's tender processes, as well as engaging with suppliers identified as at higher risk of exposure to modern slavery practices.

#### Supplier Human Rights Risk Assessment Tool

Whilst the SAQ is a valuable tool and critical input, it should not be relied on as the sole measure of a supplier's Modern Slavery compliance risk. Gold Fields has commenced building a platform to assess supplier human rights risk using data from multiple sources (including the SAQ), which are designed to moderate supplier human rights self-assessment scores. Gold Fields' Procurement and Contracts personnel in Australia have received training on how to recognise and respond to risks of modern slavery in the supply chain. This training will continue to be developed alongside Gold Fields' work in this space.

#### Supplier Screening

All Tier 1 vendors (those that supply goods, materials or services directly to Gold Fields) are screened on a monthly basis, via a third-party screening solution for Government and Government Official affiliations, and recorded transgressions and whether regulator action has been taken (as well as for adverse media exposure) against an array of pre-defined criteria, including (but not limited to): regulatory, anti-competitive practices, trademarks and copyright, labour practices, human rights, environmental, health and safety, management and operational issues.

Following the screening of the prospective supplier, actual or potential risk exposure is presented as part of the adjudication process for discussion and consideration. On a monthly basis, screening results are reported to the in-country leadership, and quarterly to the Board's Audit Committee.

Additionally, our Australia region has conducted a high-level review of its expenditure profile in order to understand those product/services categories which present a potential higher risk of human rights abuses and/or modern slavery practices. From that analysis, we have overlaid additional risk analyses with respect to geography and workforce composition, in order to prioritise our due diligence programme.

#### Third Party Verification of Human Rights Compliance

In addition to completing an on-line human rights supplier self-assessment questionnaire and third-party screening, prospective suppliers may receive a request to allow third-party access to your company's operations or manufacturing facilities, for the purpose of conducting an audit of worker conditions.

This request may extend to other suppliers within your supply chain and is designed to provide Gold Fields with comfort that appropriate labour practices are in place and that fundamental human rights are being observed. Should the audit results flag an issue, you will be given suitable opportunity to address the findings.

## APPENDIX 'C' – REGION SPECIFIC REQUIREMENTS (SOUTH AFRICA)

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The following requirements are specific to Gold Fields' South African operations:

- **South Deep Gold Mine**

### SHARED VALUE CREATION

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#### Host Community Procurement & Employment

Gold Fields aims to support the host communities in which we operate by (wherever possible) incorporating local content as part of our supply chain.

In the South African region, the focus is on integrating broad-based, black economic empowerment principles in line with the South African Mining Charter as part of the supply chain. These suppliers are regularly monitored and reported on in terms of their ownership structure.



At Gold Fields, we are committed to working with trusted organizations and extending our buying footprint to support small-to-medium suppliers in our host communities. Suppliers can contribute to the creation of shared value by employing local workers and/or engaging locally-owned suppliers as part of their supply chains.

### ON-LINE SUPPLIER REGISTRATION

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#### Be One South Africa (B1SA)

At Gold Fields in South Africa, we use the Be One South Africa (B1SA) network to capture on-line supplier registration information. For further information, please visit: <https://www.goldfields.com/south-african-supplier-portal-log-in-register.php>

### E-COMMERCE

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#### Introduction

At Gold Fields, we are continually transforming our market engagement processes. This requires the adoption of innovative technology to support effective working relationships between Gold Fields and its suppliers.

#### Gold Fields' E-Commerce Platform

At Gold Fields in South Africa, we use the B1SA Network for transacting with suppliers. For further information, please visit: <https://www.goldfields.com/south-african-supplier-portal-log-in-register.php>

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## APPENDIX 'D' – REGION SPECIFIC REQUIREMENTS (WEST AFRICA)

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The following requirements are specific to the following Gold Fields operations:

- Damang Gold Mine
- Tarkwa Gold Mine
- Asanko JV Gold Mine

### SHARED VALUE CREATION

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#### Host Community Procurement & Employment

Gold Fields aims to support the host communities in which we operate by (wherever possible) incorporating local content as part of our supply chain.

In the West African region, the focus is on increasing the proportion of local content by procuring goods and services in accordance with Procurement Lists (published annually) by the Minerals Commission of Ghana, which at present target 29 discrete categories of spend.

At Gold Fields, we are committed to working with trusted organizations and extending our buying footprint to support small-to-medium suppliers in our host communities. Suppliers can contribute to the creation of shared value by employing local workers and/or engaging locally-owned suppliers as part of their supply chains.



### E-COMMERCE

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#### Introduction

At Gold Fields, we are continually transforming our market engagement processes. This requires the adoption of innovative technology to support effective working relationships between Gold Fields and its suppliers.

#### Gold Fields' E-Commerce Platform

At Gold Fields in West Africa, we use our SAP ERP system for transacting with suppliers.

For further information, please visit: <https://www.goldfields.com>

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