



# SUPPLIER CODE OF CONDUCT

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## 1. INTRODUCTION

Rand Refinery and its suppliers operate in diverse locations. As global citizens, we all have an obligation to act responsibly, lawfully and with integrity wherever we do business.

In accordance with the provisions of the United Nations Guiding Principles on Business and Human Rights, Rand Refinery endeavours to support its suppliers so that they also conduct their business in a manner that respects human rights.

Rand Refinery further recognizes that operating in environments with a multitude of different legal, cultural and business practices and requirements can be challenging.

To avoid any misunderstandings and to provide our suppliers with guidance on Rand Refinery's expectations all our suppliers are required to adhere to this Supplier Code of Conduct as a condition to doing business with Rand Refinery.

This document excludes the supply of precious metals as this is dealt with under Rand Refinery's Responsible Gold and Silver Policy.

To ensure compliance, suppliers may periodically be audited or required by Rand Refinery to certify or provide information relevant to compliance with this Supplier Code of Conduct. Rand Refinery will timely make available revisions of this Supplier Code of Conduct to suppliers.

## 2. HEALTH AND SAFETY

Suppliers shall provide associates a healthy and safe working environment consistent with Rand Refinery safety standards and internationally recognized standards, whichever is higher.

In particular, suppliers shall:

- have appropriate health and safety policies;
- comply with all laws and regulations relating to health and safety
- comply with all Rand Refinery's health and safety standards when conducting any work on site;
- strive for zero tolerance for any deviations by controlling hazards and taking the necessary precautionary measures, and
- provide adequate and regular training to ensure that associates are adequately trained on health and safety issues.

## 3. INTEGRITY

Suppliers shall uphold the highest standards of ethics and integrity in the conduct of all business activities, including not taking unfair advantage of Rand Refinery or other parties through misrepresentation of facts or any dishonest practices.

In particular, suppliers shall:

- comply with all applicable laws, including import or export laws, human rights and labour regulations anti-corruption laws, antitrust and fair competition laws;
- be aware of and perform consistent with Rand Refinery's Policy on Anti- Bribery and Anti-Corruption;



- comply with all Rand Refinery's site procedures, regulations and/or standards, when conducting any work on site;
- have a zero tolerance of corruption, including any offering, paying, soliciting or accepting bribes, kickbacks, or other prohibited payments or activities to or from any person,
- do not make facilitation payments in support of any contracts with Rand Refinery, and, following the Organisation for Economic Co-Operation and Development's Convention on Combating Bribery of Foreign Public Officials in International Business Transactions, Rand Refinery encourages its suppliers to prohibit and discourage the use of facilitation payments as they have a corrosive effect on sustainable economic development and the rule of law;
- report any known or potential conflicts of interest of Rand Refinery associates;
- be aware of and perform consistent with Rand Refinery's Gifts, Hospitality and Sponsorship Policy;
- comply with any confidentiality agreements with Rand Refinery. Suppliers also shall not disclose (publicly or to any third parties) any Rand Refinery propriety information. Including but not limited to Rand Refinery's business activities, structure, financial situation, performance or associates, without Rand Refinery's informed written consent, and shall protect all such information in accordance with local laws. Suppliers shall maintain procedures that reasonably ensure that all confidential information will not be improperly used or disclosed; and
- not violate intellectual property rights.

Rand Refinery encourages its suppliers to have a comprehensive commitment to eradicate all bribery and corruption including, among other initiatives, maintaining an anti-bribery and anti-corruption policy, maintaining a whistle-blowing hotline or other mechanism for internal reporting, and by encouraging any parties that the supplier works with in supplying goods and services to Rand Refinery to also comply with all applicable legal and ethical standards to prevent bribery and corruption.

Suppliers are discouraged to offer associates material gifts (excluding marketing material), or invite them to any form of hospitality events.

## 4. HUMAN RIGHTS AND LABOUR STANDARDS

In striving to ensure respect for human rights, suppliers shall:

- treat associates humanely and not tolerate any form of abuse including, but not limited to, sexual harassment, sexual abuse, corporal punishment, mental or physical coercion or verbal abuse;
- establish grievance procedures through which associates can report incidents of violations to their rights, and
- take particular care when operating in high risk countries or regions or those of weak governance or those experiencing conflict or recovering from conflict, to ensure they neither violate human rights, nor are complicit in such violations.

Suppliers shall pay particular attention to the following issues, and shall:

### 1.1 Human Rights

- Respect all human rights as expressed in the International Bill of Human Rights, ILO Declaration on Fundamental Principles and Rights at Work and standards of international humanitarian law, even when national laws or their application fall short of protecting these rights, and



- observe working hours in accordance with applicable laws and pay associates in compliance with applicable laws, including those related to minimum wage, overtime and benefits.

## 1.2 Child Labour

- Not engage in any use of child labour and always respect the minimum age of employment in compliance with applicable laws, and
- where it discovers child labour in its operations, endeavour to explore alternatives to summary dismissal, such as offering to hire adult members of the family of any child found to be working for the company or establish apprenticeship programs that ensure the basic education of the child worker, while concurrently providing practical experience and income.

## 1.3 Forced Labour

- Not engage in any use of forced or compulsory labour including bonded labour, military or slave labour, forced prison labour, slavery, servitude and human trafficking, and
- not require associates to lodge deposits of money, travel documents, identity papers or similar personal documents in order to get or keep their employment.

## 1.4 Freedom of association and collective bargaining

- Recognise and respect associates' right to establish and to join organisations of their own choosing without fear of reprisal, intimidation or harassment, and to engage in collective bargaining.

## 1.5 Non-discrimination and equal opportunity

- Show commitment to equal opportunities by not tolerating any discrimination based on race, colour, gender, religion, national extraction, social origin, sexual orientation, age, or disability, or discrimination against any class protected by applicable law. Note that in all situations and contexts, and in all jurisdictions, Rand Refinery will comply with applicable laws and respect the rule of law.

Rand Refinery's suppliers are requested to conduct ongoing human rights due diligence in adherence to the United Nations Guiding Principles on Business and Human Rights or analogous standard and through that process to identify their human rights risks and challenges, prioritizing action based on severity of the impact.

When a supplier becomes aware of a Human Rights risk to which Rand Refinery is linked directly or indirectly, it must immediately inform Rand Refinery at [24cthonesty@ethics-line.com](mailto:24cthonesty@ethics-line.com). In addition, if Rand Refinery becomes aware of allegations of violations of this Supplier Code of Conduct (through the notification process discussed above or otherwise), it reserves the right to investigate the allegations. Such investigations may include, but are not limited to, requests for relevant documents, site visits, and/or interviews of supplier associates and such requests should not be unreasonably refused by the supplier.

# 5. COMMUNITY AND SECURITY

Suppliers shall treat the communities where Rand Refinery and the suppliers operate with respect and dignity, setting out to always do no harm consistent with the principles of the UNGP.



In particular, suppliers shall commit to:

- perform in a manner consistent with Rand Refinery's policies and community standards and best practice;
- comply with Rand Refinery's security framework, including policy, standards and reporting requirements;
- endeavour to communicate with stakeholders and communities and consult on its activities in a culturally appropriate manner, which respects the values, traditions and cultures of the local and indigenous communities in which they operate;
- undertake initiatives in partnership with the societies in which they operate with the aim of contributing to a sustainable future for host communities, and
- where appropriate, establish grievance mechanisms through which it hears, processes, and settles the grievances of local communities.

## 6. ENVIRONMENTAL STANDARDS

Suppliers shall take a precautionary approach towards environmental challenges, undertake initiatives to promote greater environmental responsibility and encourage the development and diffusion of environmentally friendly technologies. Suppliers shall continuously work to minimize their environmental impact.

In particular, suppliers shall:

- comply with relevant local laws, regulations and standards related to the protection of the environment, including the safe handling, movement, storage, recycling or reuse and disposal of goods;
- act in a manner consistent with the Rand Refinery Environmental policies and standards, and
- in transferring any goods to Rand Refinery, ensure that such goods comply with all applicable laws and regulations, including but not limited to those related either to identification and communication of substances found in supplier products, restriction of specific substances, or to labelling for recycling and disposal.

Suppliers may be asked to supply information necessary for Rand Refinery or its customers to comply with laws and regulations regarding the composition of and substances used in goods furnished. Suppliers shall reasonably cooperate with Rand Refinery to provide such requested information in a timely manner and reasonable format.



## 7. BROAD BASED BLACK ECONOMIC EMPOWERMENT (BBBEE)

BBBEE is a deliberate socio-economic process or intervention strategy designed to redress the imbalances of the past and to facilitate the participation of Historically Disadvantaged South Africans (HDSA) in the mainstream economy.

In pursuance of implementing a robust BBBEE initiative Rand Refinery has resolved to implement a comprehensive preferential procurement programme aimed at empowering qualifying BBBEE entities, as part of its normal procurement activities.

In the process of awarding tenders, preference will be given to BBBEE suppliers who meet all the tender requirements. All things remaining equal, BBBEE compliant companies will rank higher than those companies that are not compliant.

Preferential procurement targets will be set, measured and reported on, on an annual basis. These targets should reflect a progression towards an increased growth in preferential procurement

Any supplier that misrepresents material facts in order to gain unfair advantage using Rand Refinery's Preferential Procurement programme may at Rand Refinery's sole discretion be subjected to the following penalties:

- deregistration as a supplier to Rand Refinery
- refusal to register any new companies that may be formed by directors or owners of businesses that have been so deregister determination or partial termination of current contracts or a combination of the above.

## 8. NON-COMPLIANCE

Suppliers who do not adhere to this Supplier Code of Conduct and fail to remedy such violations may have their contracts and future relationship with Rand Refinery reviewed, which could result in the termination of contracts entered into.

## 9. CHANGE CONTROL

Updated by	Date changed	Key changes made	Version # update
Anton de Klerk	n/a	First issue	0
Anton de Klerk	28/11/2018	Semantical changes	1

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