

Position Statement: Mining and Protected Areas

September 2003

Relevant ICMM Principles:

Six and seven

Associated Gold Fields Policy Statement:

Sustainable Development, Environmental, Biodiversity Guideline, Mine Closure Management Guideline

In addition to existing commitments under the ICMM Sustainable Development Framework, ICMM company members commit to:		Compliance	Comments
1	Respect legally designated protected areas and ensure that any new operations or changes to existing operations are not incompatible with the value for which they were designated.		Gold Fields did not initiate any new mining or exploration activities in legally designated protected areas in 2020. Gold Fields did not initiate any exploration activities in or adjacent to World Heritage Sites in 2020. Gold Fields remain committed to: * Neither explore nor develop new mines in World Heritage sites
2	Not explore or mine in World Heritage properties. All possible steps will be taken to ensure that existing operations in World Heritage properties as well as existing and future operations adjacent to World Heritage properties are not incompatible with the outstanding universal value for which these properties are listed and do not put the integrity of these properties at risk.		* Legally designated protected areas are to be respected. New sites or changes to existing sites are to be compatible with the values for which such areas were designated * Risks and impacts to biodiversity and ecosystem services must be assessed and addressed through implementation of the mitigation hierarchy, with the ambition of achieving no net loss of biodiversity for all new projects and major expansions of existing sites.
3	To ensure that potential adverse impacts on biodiversity from new operations or changes to existing operations are adequately addressed throughout the project cycle and that the mitigation hierarchy is applied.		Gold Fields maintained its membership of the ICMM in 2020 and participates in, and their Group Sustainable Development Manager chairing, the ICMM's Biodiversity Working Group, and ICMM led Cross-Sector Biodiversity Initiative and IUCN engagements. Gold Fields commits to application of the mitigation hierarchy in the Group Environmental Policy Statement and the Group Biodiversity Guideline.
4	Through ICMM, work with IUCN, governments, intergovernmental organizations, development and conservation NGOs and others to develop transparent, inclusive, informed and equitable decision-making processes and assessment tools that better integrate biodiversity conservation, protected areas and mining into land-use planning and management strategies, including 'No-go' areas.		ICMM members support the efforts of the Convention on Biological Diversity to mainstream biodiversity values across the mining industry and to establish a post 2020 global biodiversity framework which can enable society to reach the CBD's 2050 vision. ICMM members support a post-2020 framework which includes a small number of inspiring, clear and easily understandable headline goals which set one direction of travel for society, business and governments.
5	Through ICMM, work with IUCN and others in developing best practice guidance to enhance industry's contribution to biodiversity conservation, including in and around protected areas.		ICMM developed their Performance Expectations which address additional best practice guidance to enhance industry's biodiversity conservation. The ICMM are also consulting with the Convention on Biological Diversity (CBD) Secretariat which includes advocacy around good practice and policy amongst the global conservation community.

Key	
	Evidence lacking
	Partially compliant
	Fully compliant
	Not applicable
	Compliance not yet required

Position Statement: Mercury Risk Management

February 2009

Relevant ICMM Principles:

Four, six and eight

Associated Gold Fields Policy Statement:

Risk Management, Environmental, Material and Supply Chain Stewardship

In addition to existing commitments under the ICMM Sustainable Development Framework and the Strategic Approach to International Chemicals Management (SAICM), ICMM company members will:		Compliance	Comments
1	Not open any mines designated to produce mercury as the primary product.		Not applicable as Gold Fields is a gold mining company. Gold Fields does not use mercury for the beneficiation of gold or in any of its processes, nor does it produce mercury as a primary product at any of its operating mines. Gold Fields plan to construct and mine predominantly gold and silver at Salares Norte in Chile. Production is planned for 2023. Salares Norte have received their environmental approval. Once production commences, two types of mercury waste streams will be generated: 1. Elemental (liquid) mercury recovered from dedicated mercury retorts in the goldroom, and loaded into dedicated mercury flasks, and; 2. Sulphur Impregnated Carbon (SIC) loaded with approx. 10% to 20% mercury, from the recovery of mercury from the carbon regeneration kiln off-gas steam. The recovered mercury wastes will need to be managed throughout the life of the mine, and Salares Norte have received approval for a permitted (approved) offsite hazardous materials storage facility for permanent storage. In accordance with ICMM requirements, Salares Norte will take reasonable measures to ensure that this mercury will not be on-sold or stolen from the storage facility. This is currently envisaged as encapsulation of the flasks as part of the final retirement plan. As an alternative and preferred route, Salares Norte is reviewing the option for mercury stabilisation and retirement in an approved facility and will pursue discussions with, and reviews of, potential mercury retirement facilities such as those currently existing in Europe. Current leading practice suggests that best practice is permanent mercury retirement (e.g. conversion to the more environmentally stable form of cinnabar, HgS) followed by secure storage. Appropriate technology for mercury stabilisation is available today, however the distribution of environmentally acceptable versions of this technology is still limited, and currently is not available in South America. This will be the only operating Gold Fields plant that generates mercury wastes as a part of its process.
2	Apply materials stewardship to promote the responsible management of the mercury produced from ICMM members' operations including that which naturally occurs in our products.		Gold Fields does not produce mercury. Trace amounts may be present in some ores (see below) and these are managed as appropriate.
3	Identify and quantify point source mercury air emissions from our operations and minimise them through the application of cost effective best available technology, using a risk based approach.		As part of an assessment at St Ives, trace amounts of mercury were detected at one ore body (Pistol Club). Although this ore body has not been mined to date, a mercury management plan is in place at St Ives to cater for any possible incidences of mercury content in the ore bodies. Monitoring has not revealed any exceedances of the relevant standards.
4	Report significant point source mercury air emissions from our operations consistent with our commitment to report in accordance with the GRI framework.		Gold Fields does not have any significant mercury air emissions.
5	Participate in government-led partnerships to transfer low- to no-mercury technologies into the ASM sector in locations where ICMM member companies have operations in close proximity to ASM activity such that livelihoods are enhanced through increased productivity and reduced impacts to human health.		The Ghanaian government's programme to transfer low-to-no-mercury technologies into the ASM sector has not gained traction as the focus continued on addressing the issue of illegal mining.
6	Through ICMM, encourage the development of sound science on the fate and transport of mercury as well as natural sources of mercury in the environment.		Gold Fields retained its ICMM membership in 2020 and participates in ICMM's Mercury Working Group.
7	Work on an integrated multi-stakeholder strategy through ICMM to reduce and eventually cease supplying mercury into the global market once policy and economically viable long-term technological solutions for the retirement of mercury are developed.		

Key	
	Evidence lacking
	Partially compliant
	Fully compliant
	Not applicable
	Compliance not yet required

Position Statement: Transparency of Mineral Revenues

July 2009

Relevant ICMM Principles:

One and ten

Associated Gold Fields Policy Statement:

Anti-Bribery and Corruption, Stakeholder Relationships and Engagement, and Tax Strategy and Policy

In addition to existing commitments under the ICMM Sustainable Development Framework, ICMM company members commit to:		Compliance	Comments
1	Include a clear endorsement of EITI on their website and/or in their sustainable development reports in support of the process, and submit a completed international-level self-assessment form to the EITI Secretariat, for posting on the EITI website.		Statement of support included in the IAR 2020 and Gold Fields website as per prior years. Gold Fields is listed on the EITI website as a supporting company of the EITI process through membership of ICMM. Gold Fields supports the principles and processes of the EITI through its membership of the International Council on Mining and Metals (ICMM) and various regional activities (in Ghana and Peru - EITI supporting countries). Gold Fields also provides financial support to the EITI through its ICMM membership. The international-level self-assessment form is submitted to the EITI as requested by them, most recently in 2018. A copy is available on the EITI website.
2	Engage constructively in countries that are committed to implementing EITI, consistent with the multistakeholder process adopted in each country.		Chile and South Africa are not country members of the EITI. Australia have announced that they intend to implement the EITI. Both Ghana and Peru are compliant ("meaningful progress" with the 2016 EITI Standard) with the Extractive Industries Transparency Initiative (EITI). Gold Fields supports the principles and processes of the EITI through its membership of the International Council on Mining and Metals (ICMM) and participation in its EITI Network and Mineral Resource Governance Working Group and participates in the EITI process in Ghana and Peru.
3	Compile information on all material payments by country and by project at the appropriate levels of government. In the case of EITI implementing countries, this should be provided to the body assigned responsibility for reconciling details of payments		Gold Fields Ghana and Perú report all information as necessary. All financial statements are audited in conformance with international accounting standards.
4	Support the public disclosure (i.e. publication) of material payments by country and by project. For EITI, this should be in line with the implementation approach adopted in-country.		Gold Fields Ghana and Perú report all information as necessary. Gold Fields reports payments to governments in our IAR and AFS and supports transparency through our membership of the ICMM and EITI.
5	Engage constructively in appropriate forums to improve the transparency of mineral revenues – including their management, distribution or spending – or of contractual provisions on a level playing-field basis, either individually or collectively through ICMM.		Collectively via the ICMM and also using the World Gold Council (value creation and distribution methodology) as reported in our IAR.

Key	
	Evidence lacking
	Partially compliant
	Fully compliant
	Not applicable
	Compliance not yet required

Note: Salares Norte Project, Chile is currently in construction. There is currently no mine or gold being produced.

Position Statement: Mining - Partnerships for Development

January 2010

Relevant ICMM Principles:

One, two, three, nine and ten

Associated Gold Fields Policy Statement:

Anti-bribery and Corruption, Human Rights, Sustainable Development, Stakeholder Relationships and Engagement, Environment, Climate Change, Community, Occupational Health and Safety, Materials Stewardship and Supply Chain Management, Risk Management, Tax Strategy and Policy

In addition to existing commitments under the ICMM Sustainable Development Framework, ICMM member companies commit to actively support or help develop partnerships with other stakeholder groups with the aim of enhancing the social and economic contribution of mining through development partnerships. In practical terms this means:		Compliance	Comments
1	Either individually or collectively through ICMM publicly express their willingness to work in partnership with development agencies, host governments, civil society organisations, and local communities to enhance mining and metals' contribution to social and economic development.		Gold Fields supports the principle of development related partnerships and communicates this in its policies, guidelines, community relations and stakeholder engagement handbook, direct and indirect economic impact management approach and shared value approach (which involves working with governments, civil society organisations, communities etc. to enhance the impact of our socio-economic commitments and contributions) via our website, social media posts, Integrated Annual Report (IAR) and Report to Stakeholders (RTS).
2	For major investments in regions where socio-economic outcomes are highly uncertain or where there are significant opportunities to enhance such outcomes: (i) develop an understanding of the social and economic contribution of the project, including an analysis of the barriers that might weaken this contribution; and (ii) actively support or help develop partnerships or collaborations with other stakeholder groups with the aim of ensuring the project's potential socio-economic contribution is realised.		Gold Fields pursues a strategy of delivering enduring value in partnership with our stakeholders - including employees, investors, business partners, governments and host communities. Our economic value creation and distribution to stakeholders and socio-economic development (SED) of our host communities is reported annually and assured. Gold Fields' shared value projects are aimed largely at addressing the priorities of host community employment and procurement, skills development and access to water. In 2020 we advanced our host community procurement and job creation guideline to include standardised definitions and metrics for non-mining job creation. Just less than a third of the value Gold Fields creates stays with our host communities. (i) Our shared value approach in particular is designed to assess the socio-economic contribution and the barriers that may weaken its impact. SED spend, such as large investments in water, energy, road and other infrastructure, is also assessed for impact and shortfalls. We have developed and are implementing guidance on socio-economic impact assessment to more effectively measure change and value impact. In 2020 we undertook independent country risk reviews in Australia, Chile, Peru and Ghana considering post-Coronavirus pandemic scenarios in support of stakeholder collaboration and future development contributions. (ii) Our operating regions work in partnership with host communities, NGOs, NPOs, donors, academia and governments on sustainability and socio-economic development issues. Since March 2020, our operations have collaborated with peers, governments, communities, NGOs in our active support for host communities and governments efforts in controlling the Coronavirus pandemic and assisting people in need. Case studies and examples are reported in our 2020 IAR, 2020 RTS and social media posts.
3	Review the relative success of their development partnerships and collaborations at suitable intervals and adapt these over time to ensure they continue to contribute to the overall goal of enhancing the social and economic contribution of mining.		Gold Fields undertakes ongoing reviews of the success of partnerships (i.e. assessment criteria are determined upfront and assessed on completion of selected projects). Socio-economic development (SED) spend on major projects (most of which involve collaboration with various partners) are reported on in the IAR, RTS and quarterly Social, Ethics and Transformation Committee reports. We have developed and are implementing guidance on socio-economic impact assessment to more effectively measure change and value impact. We also undertaken stakeholder relationship assessments with which further inform our partnership and socio-economic development success.
4	Provide an overview of their work on such partnerships, as appropriate, in their annual external reporting and communications.		Partnerships are described in our 2020 IAR, RTS and in our social media posts.

Key	
	Evidence lacking
	Partially compliant
	Fully compliant
	Not applicable
	Compliance not yet required

Position Statement: Climate Change

December 2019 (Compliance required at the end of 2021)

Relevant ICMM Principles: Four, six, eight and ten

Associated Gold Fields Policy Statements: Climate Change, Environment, Materials and Supply Chain Stewardship, Sustainable Development, Tailings Storage Facility Management, Water Stewardship

In addition to existing commitments under the ICMM Mining Principles, ICMM company members commit to being part of the solution:		Compliance	Comments
1	Individually: Implement governance, engagement and disclosure processes to ensure climate change risks and opportunities are considered in business decision-making.		Our Climate Change Policy Statement sets out our commitments. Our strategy, management approach and performance are transparently communicated in our annual Climate Change Report and Integrated Annual Report and in other public reports. The EVP Sustainable Development, supported by the VP Group Sustainable Development and the Energy and Climate Change Manager, is responsible for integrating the policy commitments into business decision-making.
2	Individually: Advance operational level adaptation and mitigation solutions, taking into consideration local opportunities and challenges.		Annual commitment stated in the IAR, TCFD report and Dow Jones Sustainability Index (DJSI) submissions. We have made a public commitment of 20% renewable energy generation over the life-of-mine at all new projects and set (and achieved 80% of) a 2017 to 2020 carbon emissions cumulative reduction target of 800 ktCqE through fuel switching (from diesel to low-carbon options) and technology & operational energy efficiency initiatives. We carry out ongoing 5-year adaptation assessments at each operation.
3	Individually: Engage with host communities on our shared climate change risks and opportunities and help host communities understand how they can adapt to the physical impact of climate change.		Our Group Climate Change Policy commitments includes adaptation commitments that extend beyond our operations to host communities. Our Stakeholder Relationship and Engagement Policy Statement and related guidance set out how we engage host communities. Engagement with host communities on climate change has been ongoing in Peru for several years but it is less advanced in other regions.
4	Individually: Disclose Scope 1 and 2 greenhouse gas emissions on an annual basis and set emissions reduction targets at a corporate level.		Gold Fields has disclosed Scope 1, 2 and 3 emissions for many years. Our first public CDP report was published in 2008. We have published an annual Climate Change Report (CCR) aligned with recommendations of the Task-force on Climate-related Financial Disclosures (TCFD) since 2019, replacing CDP climate change submissions. Emissions reduction targets are disclosed annual in our CCR and IAR.
5	Either collectively or individually: Engage with governments, peers, and others to support the development of effective climate change policies.		We engage governments, peers and others directly and through active participation in international (ICMM), national (e.g. Minerals Council South Africa), regional (e.g. Chamber of Minerals and Energy of Western Australia) and topical (e.g. Industry Task Team on Climate Change) associations to support the development of effective climate change policies.
6	Either collectively or individually: Support efforts to mitigate greenhouse gas emissions, in collaboration with our peers, by promoting innovation, developing and deploying low emissions technology, and implementing projects that improve energy efficiency and incorporate renewable energy supply in our energy mix.		Annual commitment stated in the IAR, where we also disclose our scope 1, 2 and 3 emissions, targets and reduction performance. Participate in the technology working groups of the ICMM Innovation for Cleaner and Safer Vehicles initiative, with our CEO chairing the CEO Advisory Panel. Our Innovation and Technology strategy delivers on our policy statement aspiration to reduce GHG emissions. Our mines in Ghana, Australia and Peru are now powered by low-carbon gas, though diesel is still being used for the majority of our mining fleet. We are trialling underground battery-electric vehicles and surface diesel-gas hybrid vehicles in 2021. We track and state energy and carbon emissions reduction initiatives in our CCR and IAR. Our Group Climate Change Policy commitments include R&D and innovation. Since 2013, we have been implementing an integrated energy and carbon emissions management strategy, focused on energy cost savings and usage optimization and emissions reductions. We report our investment in energy and water initiatives for 2020 in our CCR and IAR.
7	Either collectively or individually: Support predictable long-term carbon pricing and other market mechanisms with the potential to incentivise innovation and deliver the least cost pathways to emissions reductions.[1]		Across our regions, we are active members of the various mining, large power user and other industry associations through which we provide support and engage on policy shaping and development discussions.
8	Collectively: Support the global transition to a low carbon economy by continuing to contribute to the sustainable production of commodities essential to the energy and mobility transition, working with our partners and key suppliers along our value chains.		Annual commitment stated in the IAR and CCR. We have made a public commitment of 20% renewable energy generation over the life-of-mine at all new projects and set (and achieved 80% of) a 2017 to 2020 carbon emissions cumulative reduction target of 800 ktCqE through fuel switching (from diesel to low-carbon options) and technology & operational energy efficiency initiatives. Our mines in Ghana, Australia and Peru are now powered by low-carbon gas, though diesel is still being used for the majority of our mining fleet. We are trialling underground battery-electric vehicles and surface diesel-gas hybrid vehicles in 2021. We have installed renewable energy plants at Granny Smith and Agnew and will be installing large-scale renewables at Gruyere, St Ives, South Deep and Salares Norte in the coming years.
9	Collectively: Engage with external parties to determine a preferred approach to reporting Scope 3 emissions.		Industry efforts are focused on Scope 1 and 2 emissions, with limited focus applied to Scope 3.

1. The Position Statement is not intended to displace or pre-empt any requirement of applicable national law, and where conflicting or duplicating, applicable law shall prevail.

Key	
	Evidence lacking
	Partially compliant
	Fully compliant
	Not applicable
	Compliance not yet required

Position Statement: Indigenous Peoples and Mining

May 2013

Relevant ICMM Principles:

Three, six and nine

Associated Gold Fields Policy Statements:

Human Rights, Sustainable Development, Stakeholder Relationships and Engagement, Environment, Climate Change, Water Stewardship, Community

In addition to existing commitments under the ICMM Sustainable Development Framework, ICMM company members commit to:	Compliance	Comments
<p>1 Engage with potentially impacted Indigenous Peoples with the objectives of: (i) ensuring that the development of mining and metals projects fosters respect for the rights, interests, aspirations, culture and natural resource-based livelihoods of Indigenous Peoples; (ii) designing projects to avoid adverse impacts and minimising, managing or compensating for unavoidable residual impacts; and (iii) ensuring sustainable benefits and opportunities for Indigenous Peoples through the development of mining and metals projects.</p>		<p>Gold Fields Community policy is aligned with our ICMM commitments. Gold Fields has a Group Community Relations and Stakeholder Engagement Guideline which reinforces the Policy commitments. Practical guidance on the achievement of policy commitments is provided in Gold Fields Community Relations and Stakeholder Engagement Handbook which provides detail on nine standards that are guided by ICMM and United Nations Global Compact including building relationships, effective engagement, conflict management, socio-economic development, social impact assessment, resettlement, Indigenous Peoples, artisanal and small-scale mining, and social closure.</p> <p>Indigenous Peoples relations are relevant at all of our mines in Australia and our Salares Norte project in Chile. The Australia Region's Indigenous Peoples 2018 strategy is aligned to Gold Fields and Reconciliation Australia's guidance. Implementation of a Reconciliation Australia endorsed Reflect Reconciliation Action Plan (RAP) commenced in early 2020 with a Regional RAP Steering Committee initiated, chaired by the Executive Vice President of Australia. Indigenous Peoples engagement and cultural heritage issues are reported quarterly to the Board Social, Ethics and Transformation (SET) Committee.</p> <p>In Australia, operations engage with and conduct on ground surveys with Aboriginal people in order to identify, understand and preserve ethnographic and archaeological cultural heritage sites. This process also facilitates the passing of cultural knowledge between traditional custodians. Through the RAP process and various agreements we continue building relationships with our Traditional Owners. The Native Title Act 1993 (Commonwealth) provides a mechanism for indigenous Australians to seek legal recognition of their historic and ongoing connection to country through a determination of native title. Where claims are on foot or have been determined, Gold Fields follows the mandatory negotiation processes with respect to land access and the grant of tenure. At Gruyere mine a native title agreement is in place with the Yilka people with various benefits including employment and contracting. During 2020 GFA developed a Community Investment Policy which sets out Gold Fields' decision-making framework and governance process for community investment in the region. This policy drives a strategic approach to community investment which includes key areas of focus and a structure for provision of support.</p> <p>In Chile, we have undertaken early public participation with the indigenous Colla communities in the project area of influence. Anthropological studies of communities were undertaken providing social, economic, environmental and cultural information. This work supported the project ESIA and approval and the Indigenous Consultation Process under ILO Convention 169. Agreements have been entered into that allow the interests of the Colla communities to be respected. Annual cooperation agreements and long-term framework agreements have been signed. This is in line with national laws and international standards including ILO Convention 169, IFC PS7, Indigenous Peoples Act Law 19, 253. The project is now under construction and respect for Colla communities and cultural heritage sites is managed through the community relations best practice manual and induction training for Gold Fields employees and contractors. Stakeholder engagement plans and grievance mechanisms are in place at all operations. The Salares Norte grievance mechanism was updated in 2020 to aligned with ICMM requirements.</p> <p>In 2020 Gold Field undertook an internal review of our Indigenous Peoples and cultural heritage risks and safeguards and reported these to the SET Committee.</p> <p>This is also addressed in the Gold Fields 2020 Report to Stakeholders</p>
<p>2 Understand and respect the rights, interests and perspectives of Indigenous Peoples regarding a project and its potential impacts. Social and environmental impact assessments or other social baseline analyses will be undertaken to identify those who may be impacted by a project as well as the nature and extent of potential impacts on Indigenous Peoples and any other potentially impacted communities. The conduct of such studies should be participatory and inclusive to help build broad cross-cultural understanding between companies and communities and in support of the objectives described in commitment 1 above.</p>		<p>As above.</p> <p>Environmental and social impact assessments are undertaken for all new projects or the expansion of existing projects. These are guided by in-country legislation and Gold Fields standards for concept, pre-feasibility and feasibility studies for investment projects, which include sustainability requirements for environmental and water stewardship, climate and energy, mine closure, tailings management, social, community and stakeholders.</p> <p>At Gruyere Mine in Australia, a comprehensive process, as part of the native title agreement, has been undertaken to understand the interests and perspectives of Aboriginal people. The operation actively monitors social and environmental impacts. A relationship committee meets regularly. Engagement commitments are documented in the agreement.</p> <p>In Chile, the project ESIA and approval and the Indigenous Consultation Process under ILO Convention 169. Agreements have been entered into that allow the interests of the Colla communities to be respected. Annual cooperation agreements and long-term framework agreements have been signed. This is in line with national laws and international standards including ILO Convention 169, IFC PS7, Indigenous Peoples Act Law 19, 253. The project is now under construction and respect for Colla communities and cultural heritage sites is managed through the community relations best practice manual and induction training for Gold Fields employees and contractors. Stakeholder engagement plans and grievance mechanisms are in place at all operations. The Salares Norte grievance mechanism was updated in 2020 to aligned with ICMM requirements.</p> <p>In 2020 Gold Field undertook an internal review of our Indigenous Peoples and cultural heritage risks and safeguards and reported these to the SET Committee.</p> <p>This is also addressed in the Gold Fields 2020 Report to Stakeholders</p>
<p>3 Agree on appropriate engagement and consultation processes with potentially impacted Indigenous Peoples and relevant government authorities as early as possible during project planning, to ensure the meaningful participation of Indigenous Peoples in decision making. Where required, support should be provided to build community capacity for good faith negotiation on an equitable basis. These processes should strive to be consistent with Indigenous Peoples' decision-making processes and reflect internationally accepted human rights, and be commensurate with the scale of the potential impacts and vulnerability of impacted communities. The processes should embody the attributes of good faith negotiation and be documented in a plan that identifies representatives of potentially impacted indigenous communities and government, agreed consultation processes and protocols, reciprocal responsibilities of parties to the engagement process and agreed avenues of recourse in the event of disagreements or impasses occurring (see commitment 6 below). The plan should also define what would constitute consent from indigenous communities that may be significantly impacted. Agreed engagement and consultation processes should be applied in collaboration with potentially impacted indigenous communities, in a manner that ensures their meaningful participation in decision making.</p>		<p>As above.</p> <p>Environmental and social impact assessments are undertaken for all new projects or the expansion of existing projects. These are guided by in-country legislation and Gold Fields standards for concept, pre-feasibility and feasibility studies for investment projects, which include sustainability requirements for environmental and water stewardship, climate and energy, mine closure, tailings management, social, community and stakeholders.</p> <p>At Gruyere Mine in Australia, a comprehensive process, as part of the native title agreement, has been undertaken to understand the interests and perspectives of Aboriginal people. The operation actively monitors social and environmental impacts. A relationship committee meets regularly. Engagement commitments are documented in the agreement.</p> <p>In Chile, the project ESIA and approval and the Indigenous Consultation Process under ILO Convention 169. Agreements have been entered into that allow the interests of the Colla communities to be respected. Annual cooperation agreements and long-term framework agreements have been signed. This is in line with national laws and international standards including ILO Convention 169, IFC PS7, Indigenous Peoples Act Law 19, 253. The project is now under construction and respect for Colla communities and cultural heritage sites is managed through the community relations best practice manual and induction training for Gold Fields employees and contractors. Stakeholder engagement plans and grievance mechanisms are in place at all operations. The Salares Norte grievance mechanism was updated in 2020 to aligned with ICMM requirements.</p> <p>In 2020 Gold Field undertook an internal review of our Indigenous Peoples and cultural heritage risks and safeguards and reported these to the SET Committee.</p> <p>This is also addressed in the Gold Fields 2020 Report to Stakeholders</p>
<p>4 Work to obtain the consent of indigenous communities for new projects (and changes to existing projects) that are located on lands traditionally owned by or under customary use of Indigenous Peoples and are likely to have significant adverse impacts on Indigenous Peoples, including where relocation of Indigenous Peoples and/or significant adverse impacts on critical cultural heritage¹ are likely to occur². Consent processes should focus on reaching agreement on the basis for which a project (or changes to existing projects) should proceed. These processes should neither confer veto rights to individuals or sub-groups nor require unanimous support from potentially impacted Indigenous Peoples (unless legally mandated). Consent processes should not require companies to agree to aspects not under their control.</p>		<p>As above.</p> <p>Gruyere is the only operation in Australia that has a native title agreement in place. This agreement, which was negotiated as a pre-requisite to obtaining the tenure for the mine, provides a range of financial and non-financial benefits for local indigenous stakeholders, in exchange for the necessary consents for the mine. The Agreement also contains a comprehensive Cultural Heritage Management Plan, which was built on the foundation of a widespread review of cultural heritage sites prior to any ground disturbance or development being undertaken. Negotiations are currently underway at Agnew for a comprehensive relationship agreement, that would also provide financial and non-financial benefits. This process may take 12-24 months to conclude. It is anticipated that similar agreements will be reached in time with stakeholders at both St Ives and Granny Smith.</p> <p>Aboriginal Cultural Heritage Management</p> <p>A Regional Heritage Management Standard mandates compliance with the Aboriginal Heritage Act 1972 (AHA), and is supported by processes and systems to protect Aboriginal cultural heritage sites (whether archaeological, or ethnographic). Each of the four operations has a Heritage Management Plan, aligned to the Heritage Management Standard, which determines how heritage surveys are conducted and how heritage sites are managed.</p> <p>As a direct response to the Rio Tinto incident at Juukan Gorge, GFA has:</p> <ul style="list-style-type: none"> Undertaken a review of the gaps identified in Gold Fields' heritage management processes as part of a critical control audit in late 2019, with a particular focus on relationships. Reviewed the legal approvals that each Australian site has for destruction of Aboriginal heritage sites and put on hold any further action in relation to those sites. <p>Gold Fields will update its heritage Management standard as a result of this incident, to ensure that it aligns with the new cultural heritage legislation, and also industry best practice.</p> <p>In Chile, voluntary commitments were agreed with the Colla communities and included in the Salares Norte EIA including the protection and enhancement of cultural sites.</p>
<p>5 Collaborate with the responsible authorities to achieve outcomes consistent with the commitments in this position statement, in situations where government is responsible for managing Indigenous Peoples' interests in a way that limits company involvement. Where a host government requires members to follow processes that have been designed to achieve the outcomes sought through this position statement, ICMM members will not be expected to establish parallel processes.</p>		<p>As above.</p> <p>In Australia, there is limited engagement with local government outside of Chamber of Minerals and Energy (CME) and Gold Fields Esperance Development Commission (GEDC). Gold Fields is participating in a CME legislative working group with respect to the replacement of the State Aboriginal Heritage Act. The new legislation is anticipated to provide stronger protection for Aboriginal cultural heritage sites. The Region has provided feedback to the CME regarding the application of the new legislation in the Goldfields context, with the aim of ensuring that all stakeholders' needs are met. Whilst Gold Fields is still in the Reflect stage of its RAP, the tiered stages of the RAP process seek to promote greater advocacy on issues relating to indigenous rights, such that those companies at the Elevate RAP stage are promoting the "Uluru Statement from the Heart", which seeks constitutional recognition of indigenous Australians and an indigenous voice in the Australian Parliament.</p> <p>In Chile, during the EIA assessment process the environmental authority invited the Colla community to participate in an indigenous consultation process. The community declined the invitation since it has open and frequent communication with Gold Fields, and impact mitigation measures had been agreed.</p>
<p>6 Address the likelihood that differences of opinion will arise, which in some cases may lead to setbacks or delays in reaching a negotiated agreement in good faith. Companies and potentially impacted indigenous communities should agree on reasonable terms or avenues of recourse at the outset, to be applied where differences of opinion arise. This might include seeking mediation or advice from mutually acceptable parties. Where commitment 4 applies and consent is not forthcoming despite the best efforts of all parties, in balancing the rights and interests of Indigenous Peoples with the wider population, government might determine that a project should proceed and specify the conditions that should apply. In such circumstances, ICMM members will determine whether they ought to remain involved with a project.</p>		<p>As above.</p> <p>This is recognised within Gold Fields. Experience at Gruyere has led to certain exploration activities not being undertaken in order to respect culturally sensitive areas. At Salares Norte, this is fulfilled as part of our engagement related to exploration projects, as well as the future Salares Norte mining project. Maintaining this relationship and engagement is a central part of the Community Relations Plans, commitments and mitigations measures to be performed during construction, operation and closure of the project.</p>

1. Includes natural areas with cultural and/or spiritual values such as sacred groves or water bodies.

2. Relations of Indigenous Peoples and impacts on critical cultural heritage should be avoided to the extent possible.

Key	
	Evidence lacking
	Partially compliant
	Fully compliant
	Not applicable
	Compliance not yet required

Position Statement: Tailings Governance

December 2019

Relevant ICMM Principles:

One, two, four, five, six, seven and ten.

Associated Gold Fields Policy Statement:

Group Tailings Storage Facility Management Guideline

In addition to existing commitments under the ICMM Sustainable Development Framework, ICMM company members commit to implement practices consistent with the Tailings Governance Framework (the 'Framework') so that the risk of catastrophic failure of tailings storage facilities is minimised:	Compliance	Comments
<p>1 Accountability, responsibility and competency Accountabilities, responsibilities and associated competencies are defined to support appropriate identification and management of TSF risks.</p> <ul style="list-style-type: none"> Accountability for the overall governance of tailings facilities resides with the owners and operators. Organisational structures and roles are established to support management of TSF risks and governance accountability. Communication processes are maintained to ensure that personnel understand their responsibilities. Training is conducted to maintain currency of knowledge and skills. Role competency and experience requirements are defined for critical roles within the established organisational structures. 		<p>The Gold Fields Group TSF Management Guideline was revised and the updated version was approved by the Board in 2018. The guideline is in the process of being updated to align it with the requirements of the Global Industry Standard for Tailings Management (GISTM). As a member of the ICMM, Gold Fields helped formulate the Standard, fully endorses it and will have commenced with its implementation through its ICMM membership commitment. We will now begin the process of aligning our already stringent TSF design and governance processes with the Standard within the agreed timeframe.</p> <p>We have commenced with site specific gap analysis against the GISTM and plan to complete the gap analysis for all Australian sites by the end of 2020. The remaining sites will be covered during H1 2021.</p> <p>All Gold Fields' active TSFs are subject to an independent, external compliance review every three years - or more frequently where required by local circumstances or regulations - as well as regular inspections and formal reviews by independent Engineers of Record (EoR).</p>
<p>2 Planning and resourcing The financial and human resources needed to support continued TSF management and governance are maintained throughout a facility's life cycle.</p> <ul style="list-style-type: none"> TSF operating and capital costs, and human resource needs, are included in relevant business planning processes. Resources necessary to implement and maintain activities within this governance framework are provided. 		<p>Our last external (third party) expert TSF reviews were completed in 2020 and concluded that Gold Fields followed the ICMM's Position Statement, and that its TSFs were well managed and designed and did not show any signs of instability. No dam safety related concerns were raised.</p> <p>In February 2019, the Gold Fields Board strengthened its oversight of the Group's TSFs through the introduction of quarterly TSF management reports, progressive implementation of continuous (real-time) environmental and geotechnical monitoring, and increased external and independent verification. These governance activities are ongoing along with reporting to the Board on a quarterly basis.</p>
<p>3 Risk management Risk management associated with TSFs includes risk identification, an appropriate control regime and the verification of control performance.</p> <ul style="list-style-type: none"> Risk controls and their associated verification activities are identified based on failure modes and their associated consequences, and evaluated on a TSF-specific basis considering all phases of the TSF life cycle. Suitably qualified and experienced experts are involved in TSF risk identification and analysis, as well as in the development and review of effectiveness of the associated controls. Performance criteria are established for risk controls and their associated monitoring, internal reporting and verification activities. 		<p>Gold Fields implemented a Tailings Incident Reporting Standard in January 2020, and finalised a TSF Management policy which was approved by the Board in November 2020.</p> <p>The following activities are planned for 2021, many of which commenced in 2020:</p> <ul style="list-style-type: none"> Gap assessment of current TSF operating and governance practices against the new Global Industry Standard for Tailings Management (GISTM) - South Africa, Ghana and South America. Appointment of RTFEs (Responsible Tailings Facility Engineers) and AEs (Accountable Executives) in accordance with the GISTM. Further rollout of real-time TSF geotechnical and environmental monitoring, and continuation of the use of InSAR satellite scanning technology Finalisation and approval of new TSF technical guidelines. Updating of TSF risk assessments. Continue participation in ICMM TSF working sub-groups responsible of the development of the Tailings Best Practice Guide and GISTM Conformance Protocols.
<p>4 Change management Risks associated with potential changes are assessed, controlled and communicated to avoid inadvertently compromising TSF integrity.</p> <ul style="list-style-type: none"> Processes are applied that involve the identification, assessment, control and communication of risks to TSF integrity arising from both internally-driven and externally-driven change, to avoid introducing uncertain, unacceptable, and/or unmanaged risks. Documents and records that support TSF planning, design, construction, operation, surveillance, management and governance are maintained and kept suitably current and accessible. 		
<p>5 Emergency preparedness & response Processes are in place to recognise and respond to impending failure of TSFs and mitigate the potential impacts arising from a potentially catastrophic failure.</p> <ul style="list-style-type: none"> Action thresholds and their corresponding response to early warning signs of potential catastrophic failure are established. Emergency preparedness and response plans are established commensurate with potential failure consequences. Such plans specify roles, responsibilities and communication procedures. Emergency preparedness and response plans are periodically tested. 		<p>Refer above. All Gold Fields managed TSFs in compliance with this requirement. Additional work (beyond what is required for this position statement) is currently in progress concerning the involvement of, and communication to external stakeholders relating to emergency response. Further to this, refinements to existing Emergency response plans are being made to consider the GISTM requirements.</p>
<p>6 Review & assurance Internal and external review and assurance processes are in place so that controls for TSF risks can be comprehensively assessed and continually improved.</p> <ul style="list-style-type: none"> Internal performance monitoring and inspections and internal and external reviews and assurance are conducted commensurate with consequences of TSF failure to evaluate and to continually improve the effectiveness of risk controls. Outcomes and actions arising from TSF review and assurance processes are recorded, reviewed, closed-out and communicated. Performance of risk management programmes for TSFs is reported to executive management on a regular basis. 		<p>Refer above. All Gold Fields managed TSFs are in compliance with this requirement, with the most recent 3-yearly external audit carried out in 2020. Gaps identified from this latest audit are in the process of being closed-out. A monthly tracker of progress of gap closure is currently being maintained, reported and monitored. Audit reports and findings summaries are developed and provided to the Board. The next round of independent external audits is due for completion by end-2023.</p>

Key	
	Evidence lacking
	Partially compliant
	Fully compliant
	Not applicable
	Compliance not yet required

Compliance assessment excludes Lepanto's TDSA and Asanko's TSF, as Gold Fields is not the operator of these mines or TSFs.

Position Statement: Water Stewardship

January 2017

Relevant ICMM Principles:

Three, four, six, seven, and ten.

Associated Gold Fields Policy Statement:

Water Stewardship

In addition to existing commitments under the ICMM Sustainable Development Framework, ICMM company members commit to:	Compliance	Comments
<p>1 Apply strong and transparent corporate water governance</p> <ul style="list-style-type: none"> Publicly disclose the company's approach to water stewardship. Allocate clear responsibilities and accountabilities for water – from board and corporate to site levels. Integrate water considerations in business planning – including company strategy, life of asset and investment planning. Publicly report company water performance, material risks, opportunities and management response using consistent industry metrics and recognised approaches. 		<p>In early 2020, we finalised our 2020 – 2025 Group Water Stewardship Strategy, which includes regional water strategies and three-year management plans. Good progress has been made on implementation of the Strategy. The Strategy comprises the following:</p> <ul style="list-style-type: none"> Security of Supply: The focus here is on understanding and securing water resources for the Life of Mine, embedding water planning into operational management, enabling informed management decisions and updating water security risk profiles to support sourcing of water over the life of operations. All operations have included LOM water security assessments in strategic plans and in business plans. Water Efficiency: It is necessary to continually reduce demand for fresh water and optimise the use of water resources due to potential water supply shortfalls and competition from communities. Good progress has been made in 3 regions to reduce freshwater withdrawal. Catchment Management: It is critical that Gold Fields manages external water risks to the business and to our stakeholders in the catchment. Good progress has been made by all regions in assessing impacts of our operations on stakeholders in the catchment. <p>Clear responsibilities and accountabilities for water from board and corporate to sites are allocated. We publicly report our water performance, material risks, opportunities and management response in our IAR and CDP-Water. Water considerations are embedded in the licence to operate mostly because of regulatory and processing requirements. Water is inherent in the core business risk processes and design criteria of the mine to ensure ongoing supply and excesses are managed. The water operating strategies for each operation are standalone documents.</p>
<p>2 Manage water at operations effectively</p> <ul style="list-style-type: none"> Maintain a water balance² and understand how it relates to the cumulative impact² of other users. Set context-relevant water targets or objectives for sites with material water-related risks. Proactively manage water quantity and quality to reduce potential socio-environmental impacts and realise opportunities. Ensure all employees have access to clean drinking water, gender-appropriate sanitation facilities and hygiene at their workplace. 		<p>Water efficiency requires that we reduce as much as possible our demand for freshwater from the catchment due to the high probability of water supply shortfalls and competition from communities. We set the following targets to effectively manage our water usage:</p> <p>The Group set two targets for 2020:</p> <ul style="list-style-type: none"> 3% reduction (442ML) in freshwater withdrawal from projected 2020 freshwater demand (as per business plan) from 15.3GL to 14.9GL. 2020 YTD freshwater withdrawal is 7.83GL, significantly lower than the same period in 2019 (10.75 GL). 2020 YTD savings are 3.32GL Increase recycling/reuse to 66%. 2020 YTD total water recycled/reused is 72%. <p>Being proactive requires that we go beyond meeting minimum operational and legal requirements. As such we are embedding water planning into core operational management, empowering informed management decisions and aligning water risk with resourcing over the life of our operations. This objective aligns with other key initiatives, such as integrated mine closure and minimising long-term closure liabilities.</p> <p>Our operations have predictive and dynamic water balances in place. Future changes in water availability are measured, tracked and managed through predictive and dynamic water balances.</p> <p>We also use other available tools (WWF water risk filter, WBCSD Global Water Tool and WRI Aqueduct Water Risk Atlas) to predict water availability and future changes in the catchment. Our operations located in water scarce regions have set freshwater and recycling/reuse targets during 2020. Our operations implement an ISO14001 certified Environmental Management System (EMS), through which it assesses, manages, monitors and reports on water quantity and the quality. All our employees have access to clean drinking water, gender-appropriate sanitation facilities and hygiene at the work place. The facilities are regularly monitored through hygiene management plans.</p>
<p>3 Collaborate to achieve responsible and sustainable water use</p> <ul style="list-style-type: none"> Identify, evaluate, and respond to catchment-level³ water-related risks and opportunities. Identify and engage proactively and inclusively with stakeholders that may influence or be affected by a site's water use and discharge. Actively engage on external water governance issues, with governments, local authorities and other stakeholders, to support predictable, consistent and effective regulation that underpins integrated water resource management. Support water stewardship initiatives that promote better water use, effective catchment management and contribute to improved water security and sanitation. 		<p>Working with other stakeholders in the catchment areas around our mines and projects is critical for Gold Fields to address water risks effectively. These approaches will be different in each region due to the nature of the community challenges and the local regulatory context.</p> <p>In the short-term, our water management objectives for 2020 comprise</p> <ul style="list-style-type: none"> Maintaining security of supply Effectively managing water at our operations Applying transparent corporate water governance Collaborating with stakeholders, particularly host communities, to achieve responsible and sustainable water use Achieving water security through a catchment approach <p>We do identify and respond to catchment-level water related risks and opportunities via catchment forums we participate in. All our operations have stakeholder engagement strategies and plans in place. Our operations participate in local environmental forums where water monitoring results are shared (quantity and quality). We actively engage with the following groups – both formally and informally: Central, regional and local government and their agencies; Community based organisations; Traditional authorities; NGOs; Civil society; Organised labour; and Local businesses. We do support water stewardship initiatives in the catchments where we operate. We have integrated watershed management initiatives in Cerro Corona and in South Deep.</p> <p>Cerro Corona together with USAID and Lutheran World Relief is actively involved in developing watershed communities within the Hualgayoc district. This initiative includes the development of eight localised water systems to improve irrigation efficiencies and training in sustainable water harvesting. South Deep is a member of the Rietspruit Catchment Forum. South Deep's environmental department attends the Forum's meetings and shares water monitoring data. In addition South Deep is working together with a neighbouring mine on restoring the Leeuspruit River which forms part of the Rietspruit catchment.</p>

¹ A water balance is an approach used to measure the flow of water in and out of an operational facility. This provides the basis for understanding, managing and communicating the site's water requirements and use. A site water balance is comprised of three main components, namely: water withdrawals, water discharge and water consumption. The formula for calculating a site water balance is: withdrawal volume + discharge volume + consumption volume + any change in the volume of on-site water storage.

² Cumulative impacts are changes to the environment that are caused by an action in combination with other past, present and future actions.

³ A catchment is the area of land from which all surface run-off converges through a sequence of streams, rivers, groundwater aquifers and lakes into the sea or another outlet at a single river mouth, estuary or delta. The term catchment is sometimes used interchangeably with drainage basin or watershed.

Key	
	Evidence lacking
	Partially compliant
	Fully compliant
	Not applicable
	Compliance not yet required

Alignment of Company Policies etc. with ICMM Assurance Procedure - Position Statements

ICMM Position Statement	% Compliance	Compliance Status per Commitment
Mining and Protected Areas	100%	1
		2
		3
		4
		5
Mercury Risk Management	100%	1
		2
		3
		4
		5
		6
		7
Transparency of Mineral Revenues	100%	1
		2
		3
		4
		5
Mining: Partnerships for Development	100%	1
		2
		3
		4
		5
Climate Change	88%	1
		2
		3
		4
		5
		6
		7
		8
		9
Mining and Indigenous Peoples	100%	1
		2
		3
		4
		5
		6
Tailings Governance	100%	1
		2
		3
		4
		5
		6
Water Stewardship	100%	1
		2
		3

Key	
	Evidence lacking
	Partially compliant
	Fully compliant
	Not applicable
	Compliance not yet required