



# Anti-Bribery and Corruption Interactions with Government Officials

## Group Standard



---

**Associated Group Policy:** Conducting Business with Integrity

---

**Issuance Date:** October 2024

---

**Version:** 1

---

**Owner:** *Ethics, Compliance and Investigations (ECI)*

---

**Contact:** Group Business Integrity Manager

---

## Contents

---

Context.....	3
Purpose.....	3
Scope and Application .....	3
Standards.....	5
Roles and Responsibilities of other Key Stakeholders.....	7
Monitoring Compliance .....	8
Failure to Comply .....	10
Further Guidance and Information .....	11
Key Terms.....	12
About this Standard .....	14
Appendix 1 .....	15
Appendix 2 .....	16

## Context

---

We promote honest and constructive engagement with governments and regulatory authorities at all levels. We consult widely with those who are impacted by our activities, and we interact with *governments officials* in a transparent and ethical way.

We recognise that dealings with *government officials* are a focus of anti-bribery legislation and represent an area of heightened *corruption* risk. Therefore, we do not, directly, or indirectly through intermediaries, offer, promise or provide money or anything of material value or otherwise seek to exercise improper influence in our dealings with *government officials*, with the intention of obtaining a contract, permit or any other specific benefit or any improper advantage in the conduct of our business.

## Purpose

---

The purpose of the Anti-Bribery and Corruption Interactions with *Government Officials* Standard (**Standard**) is to set out the minimum standards of conduct required at every level within Anglo American and our managed joint ventures for managing and mitigating *bribery* and *corruption* risks when interacting with *government officials*.

## Scope and Application

---

- This Standard applies to:
  - Anglo American globally;
  - all directors, employees, contractors and representatives of entities in which Anglo American plc has a direct or indirect controlling interest;
  - Anglo American *associated persons*,
 unless notified to the contrary, and unless any aspect of the Standard is not permitted by local law or regulation.

This Standard must be applied in conjunction with all applicable laws of specific countries and/or regions. To the extent that any requirement of this Standard conflicts with applicable local laws, such laws must be followed. However, if this Standard has a requirement that is higher than applicable local laws, this Standard should apply (provided that this does not breach local laws).

For ease of reading, we use generic language in describing the Group, and this is explained further under “About this Standard”.

*Italics are used to indicate words that are defined or explained for the purpose of this Standard (refer to the section on Key Terms).*

This Standard must be adopted in all instances when Anglo American interacts with *government officials*.

Some typical examples of situations where Anglo American representatives are likely to interact with *government officials*, and where this Standard applies, include, but are not limited to:

- Permit applications and approvals
- Environmental impact assessments
- Tax compliance and royalties
- Compliance audits and inspections
- Community relations and social programs
- Community consultations and grievance handling
- Health and safety inspections
- Negotiating land rights and access
- Corporate engagement
- Infrastructure development and partnerships
- Advocacy and policy influence
- Country entry and exit

Please refer to the Government Relations Handbook for guidance on general and operational requirements when interacting with *government officials*.

### Legal advice

This Standard sets out Anglo American's position in respect of areas within its scope. It is not, and is not intended to be, comprehensive and should not be regarded as legal advice. Appropriate guidance on this Standard, relevant laws and their application to any particular situation should always be sought.

## Standards

---

### For employees, contractors and any third parties acting on our behalf

The following mandatory requirements must be followed by all Anglo American employees, contractors and any third parties acting on our behalf (see **Appendix 2 Intermediaries**) when interacting with *government officials*, unless the interaction is of a purely administrative nature (see exceptions below).

1. All interactions with *government officials* must be undertaken **ethically** and **transparently**.
2. Each new interaction or series of related interactions with *government officials* must be **pre-approved by the line manager** and/or the **designated manager** within the Business/Group Function.
3. The **purpose of the meeting and its agenda (where possible)** must be documented prior to the meeting and shared with relevant parties as appropriate.
4. *Government officials* visiting Anglo American sites or offices must follow applicable **local protocols**, including safety protocols.
5. A **minimum of two Anglo American** representatives must be present when interacting with *government officials*.
6. **Minutes/Notes** must be taken and circulated as appropriate to confirm discussion points, decisions and actions.
7. Interactions with *government officials* **must be recorded** in the local Business/Group Function Interactions with Government Officials Register<sup>1</sup>.
8. If an **ad hoc, unplanned interaction** takes place (e.g. an unplanned lunch invitation after an event or an unplanned environmental assessment at a mine site), enter the interaction in the local Interactions with *Government Officials* Register as soon as possible after the event. State that it was an ad hoc/unplanned interaction and obtain retrospective approval/acknowledgement in line with the standard approval process.

#### EXCEPTIONS:

Administrative interactions with *government officials* that are routine in nature and not for the purpose of discussing material government related matters are excluded from the mandatory requirements. Examples of these types of interactions include:

- scheduling meetings with *government officials*
- responding to an administrative query
- submitting a tax return to tax authorities
- travelling through customs
- submitting and collecting visa applications

If there is any doubt whether an interaction has the potential to be more than administrative, then the mandatory requirements must be followed.

---

1. <sup>1</sup> Please see **Appendix 1** for minimum requirements.

Any proposed deviation from the above mandatory requirements requires escalation and prior written agreement from the local Business Integrity/Compliance Function and in consultation with Group Ethics, Compliance and Investigations (ECI). All such approvals must be recorded in writing, including who approved. The Business/Group Function must maintain a record of interactions that have been approved for deviation, together with the reason.

### **Additional anti-bribery and corruption requirements when interacting with *government officials***

In addition to the above mandatory requirements, when interacting with *government officials*, it is expected that general anti-bribery and corruption compliance requirements are followed. Please see **Appendix 2** for a summary of these requirements.

## Roles and Responsibilities of other Key Stakeholders

---

### Businesses and Group Functions

- **Risk Management** – As part of the Compliance Management Programme, assess the *bribery* and *corruption* risk of interacting with *government officials* in your Business/Group Function. Implement appropriate mitigating processes and controls aligned with this Standard and Group guidance.
- **Interactions with *Government Officials* Register** – Make available and maintain a register to capture interactions with *government officials*. (Please see **Appendix 1** for information that the register must contain). If there is more than one register for capturing interactions with *government officials* in your Business/Group Function, maintain a list of all the available registers and where these are located.
- **Local procedures** – Where required, establish local procedures for interacting with *government officials* that must be followed by employees, contractors and third parties acting on our behalf. Procedures must include the mandatory requirements contained in this Standard as well as any additional requirements that are specific to your Business/Group Function. For example, your Business may prohibit the provision of entertainment to certain *government officials* (generally, or because a particular government entity prohibits this) or your protocols may provide additional guidance around specific requirements when interacting with local community leaders.
- **Training** – Ensure relevant employees and representatives (i.e. those whose roles involve interactions with *government officials*) participate in relevant training, in particular anti-bribery and corruption compliance training.
- **Awareness** – Relevant employees and representatives (i.e. those whose roles involve interactions with *government officials*) must be identified, and made aware of (a) this Standard; (b) any local procedures for interacting with *government officials*; (c) the Interactions with *Government Officials* Register and how to access and populate it in accordance with the mandatory requirements.
- **People & Organisation** – local HR processes must be able to (a) identify if potential candidates are connected *government officials* or *politically exposed persons (PEPs)*, before they are appointed; and (b) provide for escalation to the local Business Integrity/Compliance Function to risk manage accordingly.
- **Intermediaries** – processes must be able to (a) identify if potential intermediaries are connected *government officials* or *politically exposed persons (PEPs)*; and (b) provide for escalation to local Business Integrity/Compliance Function to risk manage accordingly.
- **On-going monitoring and enhancements** – Control weaknesses identified during 2nd line monitoring and 3rd line assurance must be timeously remediated.

### Group Ethics, Compliance and Investigations

- **Group Policy and Standards** – Develop Group level anti-bribery and corruption Policy and Standards relating to interactions with *government officials*.

- **Guidance and Support** - Provide guidance and support to Businesses/Group Functions on ethical, *bribery*, and *corruption*-related risks, including mitigating actions and resolving dilemmas when interacting with *government officials*, as required
- **Second Line Monitoring** - Monitor the implementation and effective functioning of the controls that support adherence to this Standard.
- **Training and Awareness** - Develop training and awareness materials and support roll-out across the Group to enable understanding of this Standard, the risks it is seeking to mitigate, and related requirements by relevant employees and representatives.

## Local Business Integrity/Compliance Function

- **Local Procedures** – Where required, develop local level anti-bribery and corruption procedures relating to interactions with *government officials*.
- **Guidance and Support** - Provide guidance and support to employees and representatives in the Business/Group Function on ethical and *bribery* and corruption related risks and mitigating actions when interacting with *government officials*.
- **Self-assessment and Monitoring** – Coordinate the control self-assessment of the key risk areas, as part of the Compliance Management Programme activities, and support second line monitoring activities.

## Legal

- **Legal Advice** - Provide advice to ECI, Businesses and Group Functions on legal and regulatory compliance risks and risk mitigation arising from interactions with *government officials*.
- **Horizon scanning** - Monitor and assess the impact of relevant legislative requirements, rules, guidance and best practice on this Standard and any associated local policies and procedures, and recommend amendments to the same accordingly.

## Group Government & International Relations Function

- As part of providing the overarching framework on all major aspects of Government Relations, ensure that the bribery and corruption risks are considered and mitigation actions are appropriately incorporated in operating procedures and related guidance.

## Monitoring Compliance

---

Adherence to this procedure is subject to regular monitoring and reporting. Assurance should be obtained in line with the “Three Lines” model, as follows:

- **1st Line:** Businesses and Group Functions are responsible for ensuring compliance with this Standard. This includes establishing an effective control framework.



- **2nd Line:** The ECI, supported by the local Business Integrity/Compliance functions, are responsible to provide complementary expertise, support, monitoring, and challenge to the Business and Group Functions relating to compliance with this Standard.
- **3rd Line:** ABAS (Internal Audit) is responsible for providing independent risk-based assurance on the adequacy and effectiveness of the control framework in meeting the objectives of this Standard.

## Reporting

The results of above-mentioned monitoring shall be reported, as appropriate, to the relevant stakeholders.

## Failure to Comply

---

Our *people* must report any breaches, or potential breaches of this Standard and its associated Policy, of which they become aware, to Legal and/or other relevant internal functions.

Our YourVoice facility provides a confidential and secure means for our *people*, contractors, suppliers, business partners and other external stakeholders to report and raise concerns about conduct which is contrary to our Values, Code of Conduct and policies. For more information, go to: [www.yourvoice.angloamerican.com](http://www.yourvoice.angloamerican.com)

We co-operate with the legitimate enquiries of relevant law enforcement agencies, sectoral regulators, national courts and other fora with powers to enforce the laws relevant to this Standard.

### Consequences of incidents

*People* are held accountable for their behaviour when working for or on behalf of Anglo American, and appropriate action is taken where behaviour is inconsistent with the Code of Conduct, policies, standards and procedures. Consequences depend on the circumstances, and could range from a warning to dismissal, as per our Accountability Framework, and subject to applicable laws.

Breach of laws can lead to individual and corporate consequences, including fines, legal proceedings for damages, criminal penalties (such as imprisonment), and director disqualification, alongside significant reputational damage.

## Further Guidance and Information

---

This Standard is supported by policies, procedures, training and other resources, available through our Policy Hub and intranet sites.

### Related Documents

- Conducting Business with Integrity Policy
- Group Government and International Relations Policy
- The Anglo American Government Relations Handbook
- Anti-Bribery and Corruption Gifts, Entertainment and Hospitality Standard/Prevention of Corruption Procedure
- Anglo American Political Donations Prevention of Corruption Procedure
- Anglo American *Facilitation Payments* Prevention of Corruption Procedure
- Anti-Bribery and Corruption Social Investments and Donations Standard
- Anglo American Use of Company Assets Prevention of Corruption Procedure
- Anglo American Conflicts of Interest Prevention of Corruption Procedure
- Anglo American Retention and Payment of Intermediaries Prevention of Corruption Procedure
- Anglo American Sponsorship Prevention of Corruption Procedure

### Contact Information for additional guidance

The key functions for guidance in understanding and adhering to this Standard are as follows:

- Local Business Integrity/Compliance Function ([Business Integrity Implementation Managers \(BIIMs\) \(sharepoint.com\)](#))
- Group Ethical, Compliance and Investigation Function (*for subject matter-related guidance*)
- Legal (*for legal and subject matter-related guidance*)

## Key Terms

---

Defined for the purposes of this Standard:

- **Associated Person(s)** means an employee, agent or other person who performs services for or on behalf of any member of the Group. An Associated Person can be an individual or an incorporated body (including a subsidiary or joint venture company).
- **Bribes** means anything of *value*, not simply a payment of cash, and may include the offer, giving or receipt of:
  - gifts and entertainment;
  - donations and community investments;
  - payment of travel expenses or accommodation; and
  - use of corporate assets.
- **Bribery** means promising, offering, giving or receiving something of value (i.e. *bribe*) to or from a person or entity, either directly or indirectly, where it is intended that the recipient performs or refrains from performing an act in breach of their business or public duties (i.e. improper influence). Common examples of bribery include:
  - cash or other forms of benefit to secure a contract or obtain a licence;
  - donations to political parties or related organisations to obtain a business advantage; and
  - excessive gifts or entertainment intended to influence the recipient to undertake a particular course of action.
- **Conflicts of interest** can arise when an individual's personal (e.g. family or business) interests may influence or appear to influence their judgement or actions in performing their duties, or have the potential to do so. Such conflicts can occur when private and company interests are mixed or when business or governmental decisions are based on private interests.
- **Corruption** is any conduct intended to result in the misuse of entrusted power for a personal or corporate gain. This includes bribery, conflicts of interest, theft, extortion, fraud, and misuse of company assets.
- **Facilitation payment** is a payment of nominal value made to a low-level *government official* whose duties are essentially administrative in nature in order to secure the performance of routine governmental non-discretionary actions to which the payer is legally entitled. Examples of such payments include for the processing of a visa application or connecting power or water supplies, when all relevant requirements have clearly been met.
- **Government officials:** includes:
  - any employee or officer regardless of rank of a local, municipal, state, national or regional authority (including legislative, administrative and judicial branches of government), a public international organisation or an organisation owned or controlled by a governmental authority (such as a hospital, airport, university, school, utility company, airline, oil company or bank);
  - any candidate for political office;

- any member or office holder of a political party;
  - tribal/community leader, member of a royal family, or leader of a traditional, indigenous or aboriginal organisation or people;
  - members of the armed forces, police and other state services and militia; and
  - in certain circumstances, family relatives of the above.
- **Politically exposed person (PEP)** is someone who, through their prominent position or influence, is more susceptible to being involved in bribery or corruption. A PEP is a natural person who is or who has been entrusted with prominent public functions and includes the following, and their family members and persons known to be their close associates: (a) heads of State, heads of government, ministers and deputy or assistant ministers; (b) members of parliament or of similar legislative bodies; (c) members of the governing bodies of political parties; (d) members of supreme courts, of constitutional courts or of other high-level judicial bodies, the decisions of which are not subject to further appeal, except in exceptional circumstances; (e) members of courts of auditors or of the boards of central banks; (f) ambassadors, chargés d'affaires and high-ranking officers in the armed forces; (g) members of the administrative, management or supervisory bodies of State-owned enterprises; (h) directors, deputy directors and members of the board or equivalent function of an international organisation.

## About this Standard

---

### Responsibility

In this Standard, and any related policies or procedures, references to “Anglo American”, the “Anglo American Group”, the “Group”, “we”, “us”, and “our” are to refer to either Anglo American plc and its subsidiaries and/or those who work for them generally, or where it is not necessary to refer to a particular entity, entities, or persons. The use of those generic terms is for convenience only, and is in no way indicative of how the Anglo American Group or any entity within it is structured, managed or controlled.

Anglo American subsidiaries, and their management, are responsible for their own day-to-day operations, including but not limited to securing and maintaining all relevant licenses and permits, operational adaptation and implementation of Group policies, management, training and any applicable local grievance mechanisms.

Anglo American produces group-wide policies and procedures to ensure best uniform practices and standardisation across the Anglo American Group but is not responsible for the day-to-day implementation of such policies. Such policies and procedures constitute prescribed minimum standards only. Group operating subsidiaries are responsible for adapting those policies and procedures to reflect local conditions where appropriate, and for implementation, oversight and monitoring within their specific businesses.

### Prevailing language

The English language version of this Standard shall be controlling in all respects and shall prevail in case of any inconsistencies with translated versions, if any. Any other language versions of this Standard are provided for convenience only.

### Review frequency

This Standard is reviewed at least every 3 years. The latest version of this Standard can be found on the Group’s Policy Hub.

## Appendix 1

### Minimum requirements for the Interactions with *Government Officials* Register

Date of capture in the register
Name of Anglo American representative entering the disclosure
Date of interaction
AA Business/Group Function name
AA Department
Planned/ad hoc meeting
Type of interaction: In person or virtual:
Nature/means of interaction: For example: Face to face meeting, lunch, conference, e-mail, WhatsApp, other (to provide detail)
Location of interaction (country, city / town, offices)
Purpose of interaction
Meeting requested by: Anglo American or government body
Name of AA representatives (incl. intermediaries) attending interaction (Minimum 2 people required unless ad hoc meeting or agreed deviation)
Positions of AA representatives (incl. intermediaries) attending interaction (Minimum 2 people required unless ad hoc meeting or agreed deviation)
Name of public/government body
Name of governmental representatives(s) attending interaction
Position of governmental representatives(s) attending interaction
Purpose and agenda (where possible) agreed internally in advance (Y/N) (retain approval for evidence). If informal meetings without agenda, please provide detail
Purpose of meeting agreed with respective <i>government officials</i> in writing before meeting (Y/N)
Main discussion points (Note - if confidential a note can be made that this information has been stored securely)
Details of agreement or commitments made (Note - if confidential a note can be made that this information has been stored securely)
Were any Gifts, Entertainment or Hospitality (GEH) provided or received? (Y/N)
If yes, was it captured in the Group Disclosure Tool? (Y/N)
Are there any Conflicts of Interest (COI) to declare in relation to this interaction (Y/N)
If yes, was it captured in the Group Disclosure Tool? (Y/N)
Additional comments/information if applicable

An excel template of the register can be downloaded [here](#).

## Appendix 2

---

### Additional anti-bribery and corruption requirements when interacting with *government officials*

#### Gifts, Entertainment and Hospitality (GEH)

- Our relationships with governmental and other public bodies, must be conducted based on objective factors and not influenced by the offer or acceptance of GEH.
- Special care and pre-approval must ALWAYS be obtained from your Line Manager, and other approval bodies as required by your local Business Integrity/Compliance function when providing/receiving GEH to/from *government officials*.
- All GEH offered /received to/from *government officials* must be disclosed in your local GEH disclosure tool and your local Interactions with *Government Officials* Register.
- Please refer to the Anti-Bribery and Corruption Gifts, Entertainment and Hospitality Standard/Prevention of Corruption Procedure for further guidance.

#### Political Donations

- Donations for political purposes to any politician, political party or related organisation, an official of a political party or candidate for political office in any circumstances either directly or through third parties, are strictly prohibited.
- Any request to make a political donation using Anglo American funds, facilities or assets should immediately be reported to your Line Manager and your local Business Integrity/Compliance function.
- Please refer to the Group Political Donation Prevention of Corruption Procedure for further guidance.

#### Facilitation Payments

- *Facilitation payments* are prohibited.
- If you make a payment which could possibly be misunderstood as a *facilitation payment* you must notify your Line Manager and your local Business/Group Function Business Integrity/Compliance function.
- Please refer to the Group *Facilitation Payments* Prevention of Corruption Procedure for further guidance.

#### Social Investments and Donations

- Funding Social Investments and Donations that may benefit a government official risk creating the appearance of impropriety.
- Social Investments and Donations must not be made to *government officials*, if they either create or have the potential to create, the perception of impropriety.



- When interacting with Social and Community Leaders you must include these interactions in the Interactions with *Government Officials* Register.
- Please refer to the Anti-Bribery and Corruption Social Investment and Donations Standard for further guidance.

### Use of Company Assets

- Company assets are not offered for the personal or discretionary use to *government officials*, where there is no underlying proper business purpose or clear public benefit.
- Where *government officials* are provided use of company assets, this must be approved by the responsible Line Manager, and other approval bodies as required by your local Business/Group Function and recoded in the local disclosure tool.
- Employees should refer to the Group Use of Company Assets Prevention of Corruption Procedure for further guidance.

### Conflicts of Interest

- All potential, perceived and actual conflicts of interest with *government officials* and *PEPs* are required to be disclosed in the local disclosure tool and managed appropriately using established procedures.
- Please refer to the Group Conflicts of Interest Prevention of Corruption Procedure for further guidance.

### Intermediaries (including lobbyists and political consultants)

- In some countries, the use of paid lobbyists is illegal or controlled by specific legislations which must not be violated. If in doubt about requirements in your jurisdiction, seek guidance from the local Business Integrity/Compliance function and/or Legal.
- Before appointing an intermediary, you must inform your Business Integrity/Compliance function and Supply Chain and follow the [Enhanced Intermediary Risk Management Process](#).
- Where intermediaries interact with *government officials* on Anglo American's behalf, the Responsible Manager must capture these interactions in the local Business/Group Function Interactions with *Government Officials* Register.
- Please refer to the Group Retention and Payment of Intermediaries Group Prevention of Corruption Procedure for further guidance.

### Sponsorships

- Anglo American does not support sponsorships that are involved in political, partisan, religious or sectarian associations or could constitute a form of donation to a politician, political party or related organisation, an official of a political party or candidate for political office.
- Please refer to the Group Sponsorship Prevention of Corruption Procedure for further guidance.