

SECTION 1 | Applicant

Organisation Information

In this form, "Applicant" refers to the entity being considered as a CPP donation recipient

Legal Name of Applicant: Including Any Suffix (e.g. A.S, Pty Ltd, Inc. etc.)					
Full Address: (principal place of business and address for purposes of communications with South32)					
Website:					
ABN:					
Name and Position of Applicant Representative:					
Email and Direct Telephone of Applicant Representative:					
Provide a brief summary of the Applicant, including its mission statement:					
Type of organisation: As per current ABN registration					
Is the Applicant registered for GST?	<table border="1"> <tr> <td></td> <td>Yes</td> <td></td> <td>No</td> </tr> </table>		Yes		No
	Yes		No		

Organisation Ownership and Management

Is the Applicant government or state owned or controlled?	Yes	If yes, provide details
	No	
Do any individuals hold or own any shares or other interests (directly or indirectly) in the Applicant such that they are an ultimate beneficial owner of the Applicant?	Yes	If yes, provide details
	No	
In the past 5 years, has the Applicant (including any director, board member, or member of the Applicant's senior management team) been the subject of any investigation, allegation or prosecution for corruption, bribery, fraud, false accounting, tax evasion or other related serious conduct?:	Yes	If yes, provide details and include attachments
	No	

Provide the names of all executives, directors, board members and ultimate owners of the Applicant (attach a list where necessary).

Name:	Position Title:

Provide the Applicant’s bank details (this will be used should the application be successful).

Note: this question is not required for Matched Giving Charities.

Bank and Branch:			
Account name:			
BSB Number:		Account Number:	
Authorised signatories: (include full name and position)			

Government Official Declaration

For the purposes of this application, “Government Official” includes:

- (i)** any officer or employee of a government or public international organisation or any department or agency thereof, or any government-owned or controlled entity (including any state owned enterprises) (e.g. local government employee, State school teacher);
- (ii)** any person acting in an official function or capacity for a government or public international organisation (e.g. local government councillor);
- (iii)** any political party or party official, or political office candidate;
- (iv)** any individual who holds or performs the duties of an appointment, office or position created by custom or convention, including potentially some tribal leaders and members of royal families; and
- (v)** any person who holds themselves out to be the authorised intermediary of any of the above.

For the purposes of this application, “Close Relative” includes a spouse, partner, parent, step-parent, child, step-child, sibling, step-sibling, nephew, niece, aunt, uncle, grandparent, grandchild and partner of any of these.

Is any officer, director, ultimate beneficial owner or employee of the Applicant a: 1. Current or past Government Official? 2. Close Relative of a Government Official?	Yes	If yes, provide details, including full name of government entity and position, responsibilities, dates of service (current and past), the relationship (for Close Relatives).
	No	

SECTION 2 | Project

Project Details

Project Name:				
Start and end date of project / expected timeframe to undertake the activity:				
<p>Describe the activity for which the support is being requested:</p> <ul style="list-style-type: none"> <i>what need does this activity address?</i> <i>why should the CPP support this activity?</i> <i>who is the primary recipient?</i> 	Provide attachments if necessary.			
What type of support is requested?	<input type="checkbox"/>	Financial	<input type="checkbox"/>	In-Kind
Amount requested	Amount requested:			
	Total project value:			
<p>Detail the value of support requested and how this support will be used: Please attach a full itemised budget (attach three quotes where applicable) which includes anticipated income and expenditure of the project.</p>	Clearly describe how the CPP's funds will be used.			
Taxation information	<input type="checkbox"/>	Inc. GST	<input type="checkbox"/>	Excl. GST
Which communities will benefit from the support requested from the CPP?	<input type="checkbox"/>	Appin		
	<input type="checkbox"/>	Wedderburn		
	<input type="checkbox"/>	Douglas Park		
	<input type="checkbox"/>	Menangle		
	<input type="checkbox"/>	Wilton		
	<input type="checkbox"/>	Razorback		



Which focus area will the proposed project address?		Community support and services
		Environment
		Education
		Health
What will be the lasting impact of this activity for the community? <ul style="list-style-type: none"> What are the key measures to determine success of the project? 	Provide attachments if necessary (e.g. Letters of Support)	
What is the expected number of people involved and / or benefiting from this project?		
How will the CPP's support be recognised?		
Will any Government Official (or Close Relative of a Government Official) personally benefit beyond other members of the community if the CPP supports this application?	Yes	If yes, please explain
	No	
Are any third party vendors being engaged to assist in delivering the activity?	Yes	If yes, provide details
	No	
Has the Applicant, project or activity received support from South32 Illawarra Metallurgical Coal or the CPP previously?	Yes	If yes, provide details
	No	



SECTION 3 | Legal Declaration

The lead person/s in the Applicant organisation (e.g. chairperson, director, CEO, secretary) must complete and sign this section

I, being duly authorised to execute this form and to certify as to the matters set forth herein, certify that all information is complete and correct.

Name and Title:	
Signature of duly authorised officer:	
Date:	

Name and Title:	
Signature of duly authorised officer:	
Date:	

Please submit completed and signed forms **via email only**. If you cannot electronically sign this PDF, please print a copy, sign by hand and email a scanned version along with this electronic form.

Community Partner Compliance Certification



Community Partner Name:	
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In line with our Code of Business Conduct (“**Code**”) and Anti-Bribery and Corruption Policy (“**ABC Policy**”), South32 complies with applicable anti-bribery and corruption (“**ABC**”) laws.

Our Code and ABC Policy are available to everyone on our website [here](#). A copy of our ABC Policy is also annexed with this Compliance Certification (“**Certification**”) for your ease of reference. Words highlighted in [blue and underlined](#) in this Certification are defined in our ABC Policy.

South32 expects its Community Partners (“**CPs**”) to uphold the same commitment to comply with applicable ABC laws and South32’s ABC requirements.

We require our CPs to sign this Certification prior to South32 promising, offering or giving a community investment, whether it be financial (monetary) and/or in-kind (non-monetary).

As Authorised Representative for the above-named CP, you hereby confirm and certify that the CP and its relevant personnel (i.e. directors, officers, employees and other representatives):

- are aware of, have read, understand and will follow our ABC Policy, any anti-corruption compliance obligations imposed pursuant to a community donation or investment agreement entered into with South32 and our ABC expectations otherwise set out in this Certification.

In doing this, the CP and its relevant personnel will **not** (in requesting any community investment from, or using any community investment provided by, South32):

- engage in any acts of fraud, bribery or other corrupt conduct.
- breach, or cause South32 to breach, any applicable ABC laws.
- have not, in connection with any previous community investment given by South32, engaged in any acts of fraud, bribery or other corrupt conduct (such as theft or misappropriation of funds or assets provided by South32). If this has occurred, the CP has disclosed it in writing to South32.
- are keeping and maintaining accurate and reasonably detailed books and financial records of all monetary payments made or received (if applicable) from South32. Also, that the CP has adequate policies and internal controls in place to mitigate fraud, bribery and corruption risk relevant to the community investment provided by South32.

The CP also certifies that it has notified South32 as part of its application for any community investment project, and will notify throughout any such project with South32, if any of its directors, executive management or beneficial owners (as applicable to the CP, and not previously disclosed to South32 in writing) have become or expect to become a [Government Official](#) in a position of influence relevant to South32’s business in the mining industry. This is so South32 can review the situation to determine if the community investment proposed to be provided, or being provided, remains appropriate.

In the event the CP becomes aware of any actual or potential breach of the above-mentioned expectations, the CP must immediately notify its South32 representative, so South32’s Business Integrity team can be informed. In such situation, the CP agrees to co-operate fully with any subsequent South32 audit or investigation which South32 considers appropriate in the circumstances.

THE UNDERSIGNED, BEING A DULY AUTHORISED REPRESENTATIVE OF THE COMMUNITY PARTNER, HEREBY CONFIRMS AND CERTIFIES TO THE ABOVE ON BEHALF OF THE COMMUNITY PARTNER.

Name of Authorised Representative:			
Title/Position of Authorised Representative:			
Signature of Authorised Representative:		Date:	

ANTI-BRIBERY AND CORRUPTION POLICY



We prohibit bribery and corruption in any form, and comply with applicable anti-bribery and corruption (“ABC”) laws wherever we conduct business.

This ABC Policy (“**Policy**”) supports the “No fraud, bribery or other corrupt conduct” section 12 in our Code of Business Conduct (“**Code**”).

For the purposes of this Policy, “**South32**” means South32 Limited, its subsidiaries, and its operated or controlled joint ventures.

OUR PEOPLE

Includes South32 directors, executive management, employees and contractor staff (e.g. labour hire, temporary or agency staff, and secondees).

OUR JV PARTNERS ACTING ON OUR BEHALF

Any of our joint venture partners or co-investors in a South32 controlled or operated joint venture (“**JV partners**”) who interact with third parties on behalf of that joint venture and therefore us.

Non-controlled JVs

If you are authorised to represent South32 in one of our non-controlled joint ventures, you must endeavour to influence the joint venture to implement an ABC Policy consistent with ours and as relevant to that joint venture.

OUR SUPPLIERS

Any third party that South32 engages to provide goods and/or services, such as vendors, consultants and contractors, as well as third party representatives who interact with external parties on South32’s behalf.

Examples of Suppliers who may act on our behalf include customs or visa agents, freight forwarders, brokers, intermediaries and travel agents.

All Suppliers (except our GFRs) must follow this Policy, or their own ABC Policy provided their conduct standards are consistent with ours.

WHO MUST FOLLOW THIS POLICY?

OUR GOVERNMENT FACING REPRESENTATIVES (“GFRs”)

GFRs are those third party representatives (i.e. the subset of our Suppliers and JV partners) who interact with **Government Officials** (as defined on page 2) on South32’s behalf.

Our GFRs must follow this Policy.

A breach of this Policy is serious as it may:

- have significant reputational, financial, operational and legal consequences;
- result in significant civil and/or criminal consequences for South32, fines or imprisonment for you; and/or
- result in disciplinary consequences including termination of employment or contract.

DO NOT

Offer, give or accept bribes, directly or indirectly via a third party, to or from anyone, including Government Officials. A Threat to Health and Safety (see below) is the only exception to this.

Bribery or a bribe is the **offering of anything of value** intended to improperly influence the actions of a Government Official or other private person in performing their work duties.

Offering includes 'promising', and you don't need to actually 'give' anything of value to breach the law - an offer can be enough!

Bribery can involve:

- Government Officials or private individuals and can occur directly or indirectly via third parties acting on our behalf (such as our **GFRs**).

We can be held legally liable for corrupt payments made by our People and those acting on our behalf, which is why we conduct enhanced risk based due diligence on and monitor our **GFRs** in particular.

- A variety of schemes, including those that are less obvious like a "secret commission", which are payments provided to a third party over and above the fair market value of the good or service, with the intent of such excess amount being passed on to induce an improper business advantage.

Government Official includes:

- employees or officers of any national, state, regional, local or municipal authorities, as well as from public international organisations and organisations owned or controlled by a government body;
- politicians, political party officials and candidates;
- tribal leaders or senior members of royal families; and
- in some cases, relatives of any of the above.

Anything of value includes cash, cash equivalents, gifts, per diems, entertainment, travel, accommodation, meeting fees, vouchers, kickbacks, commissions, political donations, community or charitable donations, scholarships, sponsorships or job opportunities.

Never give or receive anything of value if others could perceive it as improper.

THREATS TO HEALTH AND SAFETY

If you are asked to give a payment or thing of value and a threat is made to your health and safety (or that of a work colleague), you may give it. You must then report the event as soon as safely possible to our Business Integrity team to ensure it is documented accurately.

Make facilitation payments, even if small or customary. A Threat to Health and Safety (see above) is the only exception to this.

A facilitation payment is the giving of anything of value to a Government Official to get them to perform (often to speed up) a routine and non-discretionary service to which we are already entitled.

Offer or give any improper commercial sponsorship, community or charitable contribution, or political donation on our behalf.

Offer, give, accept or solicit inappropriate gifts, entertainment or hospitality. Gifts, entertainment and/or hospitality (including meals) must always be of an appropriate value, nature and occasional.

Engage in any other form of corrupt conduct (such as insider trading or extortion), including involving third parties.

YOU MUST ALWAYS



Follow our requirements in this Policy and complete our ABC training as required.

Our People must also follow other ABC specific requirements (including obtaining a necessary Business Integrity team pre-approval) covered in our internal standards and procedures.

Immediately report any potential or actual breach of this Policy to our Business Integrity team.

Keep and maintain accurate and transparent books, accounting, financial and transaction records.

Consult with our Business Integrity team before buying or selling land, tenements, businesses or other investment interests; entering into a new joint venture; starting business in a new country; or if you otherwise have a potential corruption concern, as our Business Integrity team may need to conduct necessary ABC due diligence and/or provide related advice.

Immediately declare a conflict of interest if you are or expect to become (1) a Government Official, or (2) a close relative of a Government Official in a position relevant to our business in the mining industry.

You must do this by entering it in our Conflicts of Interest Register and determine with your line leader if it is appropriate for you to continue your role for South32 given the actual, potential or perceived conflict (as applicable).

BUSINESS INTEGRITY TEAM PRE-APPROVALS

Obtain approval from our Business Integrity team before:

- ✓ Engaging a **GFR**. The process for obtaining pre-approval (including renewals of an expired GFR approval) is specified in our **Government Facing Representative Pre-Clearance Procedure (“GFR Procedure”)**.
- ✓ Accepting to attend any paid political event or activity.
- ✓ Offering or giving any charitable or community donation, grant or investment.
- ✓ Offering or giving any sponsorship.
- ✓ Offering, giving or receiving a gift, entertainment and/or hospitality (including meals) above our modest value thresholds:

US\$50 per person for gifts, US\$150 per person for entertainment and hospitality (including meals). Always exercise good judgement.

- ✓ Offering or giving any other thing of value to a Government Official. See examples of ‘anything of value’ on the previous page.

In seeking a pre-approval request, it must be supported by a legitimate business purpose and satisfy our Business Conduct Quick Test in our Code.

Make an approval request via our integrity and compliance approval system (“**ICAS**”) accessible from our Code intranet site.

CHANGES TO THIS POLICY

This Policy is reviewed periodically by our Business Integrity team, with updates approved by our Board. Please visit our website at www.south32.net to obtain a copy of the latest version at any time.

LEARN MORE

If you have a question about this Policy, ask your line leader.
If you still need help or are unsure, ask a member of our Business Integrity team.

See the Code of Business Conduct section of our [website](#) for:

- Guiding anti-bribery and corruption (ABC) practical examples.
- More information about our ABC compliance program.

OTHER RESOURCES FOR OUR PEOPLE

See our Code of Business Conduct intranet site. You will find on it links to our Conflict of Interest Register and Integrity and Compliance Approval System (ICAS).