



## BARRICK GOLD CORPORATION

# GUIDANCE ON REPORTING HUMAN RIGHTS & SIGNIFICANT CODE OF CONDUCT GRIEVANCES TO THE LEGAL DEPARTMENT

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Contributors	Name	Title	Contact
Reviewed and approved by:	Giovanna Moscoso	Vice President & Assistant General Counsel	<a href="mailto:gmoscoso@barrick.com">gmoscoso@barrick.com</a>
	Jonathan Drimmer	Vice President & Deputy General Counsel	<a href="mailto:jdrimmer@barrick.com">jdrimmer@barrick.com</a>
	Naomi Johnson	Sr. Director, Community Relations	<a href="mailto:njohnson@barrick.com">njohnson@barrick.com</a>
	Gary Froneman	Sr. Manager, Human Resources	<a href="mailto:gfroneman@barrick.com">gfroneman@barrick.com</a>
	Arthur O'Neil	Director, Security	<a href="mailto:aoneil@barrick.com">aoneil@barrick.com</a>
Administered by:	Jessie Reynolds O'Neil	Sr. Ethics and Compliance Program Coordinator	<a href="mailto:j.reynolds@barrick.com">j.reynolds@barrick.com</a>

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# 1. PURPOSE

The purpose of this Guideline is to provide guidance to community relations grievance officers or others who may receive community or operational-level grievances (e.g. employees in human resources, security and exploration) (together, for the purpose of this guidance, Grievance Officers) concerning the escalation to the legal department of human rights and/or significant code of conduct issues brought to their attention, pursuant to Barrick's Human Rights Reporting and Escalation Procedure and the Code of Business Conduct and Ethics.

## 2. SCOPE

### 2.1 *Application*

This Guideline applies to all Barrick Grievance Officers, all operating unit and corporate counsel, and all others who may receive community or operational-level grievances, including those at corporate office, and operations, projects and exploration sites. These collectively will be referred to as 'sites'.

## 3. WHEN TO ESCALATE ISSUES

Upon receiving a grievance related to the issues listed below, a Grievance Officer should promptly contact her/his Manager or Grievance Officer Lead who shall, in turn, contact her/his head country in-house legal counsel within 24 hours of becoming aware of the grievance for further assessment, investigation, and/or other steps. The head country in-house legal counsel should escalate the matter to the General Counsel, in accordance with the Human Rights Reporting and Escalation Procedure and the Code of Business Conduct and Ethics Escalation Procedure.

Please note that a checklist of these issues is attached as Appendix A.

- **Security Providers**: All grievances concerning the acts of security providers, whether they are public or private security forces.
- **Prison Abuse**: All grievances alleging abuses in prisons near Barrick operations;
- **Physical Abuse**: All grievances alleging physical attacks or physical abuses by employees, contractors, or suppliers, whether on or off duty.
- **Forced Eviction**: All grievances citing evictions by physical force or threat from homes by Barrick employees, contractors, or suppliers.
- **Workplace Injury or Illness**: All grievances citing physical injuries or illnesses alleged to have resulted from workplace conditions at Barrick, or those of a contractor or supplier providing goods or services to Barrick.
- **Environmental Injury**: All grievances referencing any physical injuries or physical illnesses to any individual or livestock, from water, soil, air, chemicals,

dust, or other environmental conditions that may be related to Barrick operations or involving a contractor or supplier.

- **Child Labour**: All grievances alleging the use of child labour by Barrick, or a contractor or supplier providing goods or services to Barrick.
- **Involuntary Labour**: All grievances alleging the use of forced labour, prison labour, or trafficked labour at Barrick operations, or by a Barrick contractor or supplier providing goods or services to Barrick.
- **Discrimination**: All grievances alleging an adverse employment condition, such as termination, or a denial of employment, promotion, or pay raise, based on discrimination on the basis of race, religion, gender, sexual orientation, ethnicity, or age at Barrick, or by a Barrick contractor or supplier providing goods or services to Barrick.
- **Sexual Harassment**: All grievances alleging sexual harassment at Barrick, or a Barrick contractor or supplier providing goods or services to Barrick.
- **Anti-Union Activity**: All grievances alleging anti-union activities at Barrick or a Barrick contractor or supplier providing goods or services to Barrick (including limits to right to association, right to collective bargaining, or any discrimination because of union activities).
- **Corruption**: All grievances alleging that any improper payments, gifts, or things of value have been provided to government officials by Barrick, or by a Barrick contractor or supplier providing goods or services to Barrick.
- **Misstatements or Misrepresentations in Financial or Other Disclosure**: Any allegation of misstatement in Barrick's publicly released financial statements, any misrepresentation in Barrick's other public disclosure, or any other matter that could reasonably be expected to result in a restatement of Barrick's publicly released financial statements.
- **Known Fraud**: Any known or suspected fraud that involves a potential cost or loss to Barrick exceeding US\$10,000, or that involves an officer of Barrick or any employee with a significant role in internal controls.
- **Deterioration of Internal Controls**: Any event or series of events that could indicate a deterioration in the overall control environment, including non-compliance with local requirements, including, without limitation, a known or suspected incident or repeated incidents which indicate significant or systematic noncompliance with applicable regulatory requirements.

#### **4. ISSUES OTHER THAN THOSE LISTED**

Unless the grievance alleges an apparent significant and serious violation of Barrick's Code of Business Conduct and Ethics or the Human Rights Policy, all potential non-critical human rights issues other than those highlighted above should be addressed through normal grievance processes.

## **5. RESPONSE BY COUNSEL**

Within 14 days of the receipt of a grievance from a Grievance Officer Lead, the head country in-house legal counsel will advise the Grievance Officer Lead whether a formal investigation will be undertaken, or whether the grievance is more appropriately addressed through the normal grievance process. If the legal department determines that a formal investigation is required, there will be regular communication and dialogue between the legal department, the Grievance Officer and/or the site or corporate Community Relations department, including in regard to the status of the investigation, and the facts that are revealed. Remediation of human rights related grievances following such investigations shall be in accordance with the Guidelines for Remediation of Human Rights Impacts.

A standard letter advising that Barrick is reviewing the grievance and will advise accordingly should be developed for the head country in-house counsel in coordination with the Grievance Officer to provide to the grievant, particularly if the investigation goes beyond the agreed timeframes. In coordination with Legal Counsel, the claimant will be informed of the status of the grievance process/investigation by the Grievance Officer, unless an alternate communication plan is agreed upon by the Grievance Officer and Legal.

## **APPENDIX A**

# **CHECKLIST FOR GRIEVANCE OFFICERS**

Escalate to legal under Barrick's procedures if the grievance involves:

- All acts by security providers, public or private
- Abuses in prisons near Barrick operations
- All other physical attacks or physical abuses by employees, contractors or suppliers, including sexual assaults (through violence or coercion)
- Physical injuries or illnesses from workplace conditions at Barrick, or a contractor or supplier
- Physical injuries or illnesses from water, soil, air, chemical exposure, dust, or other matter that may be related to a Barrick operation or involving a contractor or supplier
- Child labour (eg, under 18) at Barrick or by a contractor or supplier
- Forced labour, bonded labour, prison labour, or trafficked labour at a Barrick operation or by a Barrick contractor or supplier
- Denial of employment, promotions, pay raise, terminations or other negative employment conditions on the basis of race, religion, gender, ethnicity, or age at Barrick or by a Barrick contractor or supplier
- Sexual harassment at Barrick or a contractor or supplier
- Anti-union activities at Barrick or a contractor or supplier (including right to association, right to collective bargain, or discrimination)
- Improper payments or gifts to government officials by Barrick or a supplier or contractor
- Any allegation of misstatement in Barrick's publicly released financial statements, any misrepresentation in Barrick's other public disclosure, or any other matter that could reasonably be expected to result in a restatement of Barrick's publicly released financial statements.
- Any known or suspected fraud that involves a potential cost or loss to Barrick exceeding US\$10,000, or that involves an officer of Barrick or any employee with a significant role in internal controls.
- Any event or series of events that could indicate a deterioration in the overall control environment, including non-compliance with local requirements, including, without limitation, a known or suspected incident or repeated incidents which indicate significant or systematic noncompliance with applicable regulatory requirements.