

HMM Social Investment Application Form 1.1

Form Preview

Our Process

Introduction

South32 are passionate about supporting and working with the communities where we operate. We actively engage with stakeholders to understand their interests and aspirations and identify opportunities to work together to create shared value.

Focus Areas

South32 supports local community projects aligned to four key focus areas:

1. Education and leadership

- Education, training, youth development and childcare.
- Supporting lifelong learning and development, nurturing future leaders, and promoting equal access to education, with a focus on science, technology, engineering, and mathematics.

2. Good health and social wellbeing

- Community health, sport and recreation, family, and youth support.
- Supporting community health and social wellbeing and promoting inclusion.

3. Economic participation

- Local employment, local business development.
- Supporting local employment, sustainable livelihoods, and diversified local economies.

4. Natural resource resilience

- Environment, water, land management.
- Supporting communities to thrive in their environment and use natural resources responsibly and sustainably.

Your application must demonstrate alignment to a South32 focus area. Please contact your local Community team for assistance if you cannot identify the South32 focus area your application aligns with.

Assessment Criteria

South32 will assess grant applications based on how successfully the project will:

- Deliver benefits to the community in alignment with our focus areas;
- Support inclusion and community participation;
- Support the needs of the community;
- Deliver present and future benefits to the local area; and
- Support the local environment and natural resources.

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Due to our many applications, meeting the assessment criteria does not guarantee support. South32 retains discretion over the community projects or activities we support. Applicants should only act in expectation of receiving our support upon confirmation of a decision.

Eligibility

South32 will **not** consider the following applications:

- Individuals;
- Fundraising for religious or political purposes;
- Activities that conflict with South32's corporate values, Code of Business Conduct, Anti-Bribery and Corruption Policy or a combination of one, more or all;
- Projects not aligned with our focus areas;
- Projects incapable of delivering measurable benefit(s) to the community and;
- Projects or activities previously supported where South32's support did not (in our view) deliver on the intended purpose and expected benefits.

Quick Links

- South32 Code of Business Conduct, including our Speak Up Policy ([English](#), [Spanish](#), [Portuguese](#), [Simplified Chinese](#))
- Anti-Bribery and Corruption Policy ([English](#), [Spanish](#), [Portuguese](#), [Simplified Chinese](#))

Application Process

- To allow adequate time for South32 to assess and inform you of the outcome of your application, South32 must receive the submission before the published due date (if applicable) or three months before the predicted commencement of an activity or project for which you are applying for support.
- Fields marked with asterisks(*) are mandatory. The system will not allow the application to be submitted if mandatory fields are blank or attachments are omitted.
- Please contact your local community team if you require assistance submitting an application using the South32 SmartyGrants system.

Enquiries

Please direct all queries to the relevant local Community team:

- Hillside | +27 35 908 8889 | hillsidecommunity@south32.net
- HMM | +27 53 742 2000 | hmmcommunity@south32.net
- Metalloys | +27 16 360 2224 | metalloyscommunity@south32.net

Applicant Information

* indicates a required field

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The Applicant Organisation is any group or organisation applying for financial or in-kind support.

Please enter the full legal entity name. A legal entity name is the name of the entity that appears on all official documents or legal papers. It can be different to a business name. If the organisation is a company, it will be the full company name including proprietary limited (Pty Ltd or any variation).

Legal name of Applicant Organisation *

Organisation Name

In this form, "Applicant" refers to the entity requesting support. Insert full legal name including relevant suffix, e.g. Pty Ltd, Inc, S.A. etc..

Primary address of Applicant Organisation *

Address

Primary website or social media page of Applicant Organisation (if applicable)

Must be a URL.

What type of entity is the Applicant Organisation? *

- ☐ Foreign Company
- ☐ Non-Profit Company
- ☐ Partnership
- ☐ Private Limited Company
- ☐ Public Limited Company
- ☐ State Owned Company
- ☐ Trust

Does the Applicant Organisation have a business registration, EIN, PBO or NPO number? *

- ☐ Business Registration Number (BRN)
- ☐ Employer Identification Number (EIN)
- ☐ Non-Profit Organisation Number (NPO)
- ☐ Public Benefit Organisation Number (PBO)
- ☐ Other:

Business Registration Number

Applicant Organisation Business Registration Number

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Must be a number.

Please attach evidence of the business registration or government affiliation.

Attach a file:

Employer Identification Number (EIN)

Applicant Organisation Employee Identification Number *

Please attach evidence of Employer Identification Number or government affiliation.

Attach a file:

Non-Profit Organisation Number (NPO)

Applicant Organisation Non-Profit Organisation Number *

Please attach evidence of Non-Profit Organisation Number or government affiliation.

Attach a file:

Public Benefit Organisation Number

Applicant Organisation Public Benefit Organisation Number *

Must be a number.

Please attach evidence of Public Benefit Organisation Number or government affiliation. *

Attach a file:

Applicant Representative

The Applicant Representative is the individual authorised by the Applicant Organisation to provide information on their behalf. The Applicant Representative is the point of contact for the application and future reporting requirements.

Applicant Representative name *

Title First Name Last Name

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Applicant Representative position *

Applicant Representative telephone number *

Applicant Representative email address *

Must be an email address.

Applicant Organisation

Please select the Applicant Organisation type from the below list:

Make only one selection *

- ☐ Agriculture, Fisheries and Forestry
- ☐ Animal Welfare
- ☐ Arts and Culture
- ☐ Community Development
- ☐ Cultural Awareness
- ☐ Economic Development
- ☐ Education
- ☐ Environment
- ☐ Food Security
- ☐ Health
- ☐ Human Rights
- ☐ Human Services
- ☐ Information and Communications
- ☐ International Relations
- ☐ Public Affairs
- ☐ Public Safety
- ☐ Science
- ☐ Social Sciences
- ☐ Sport and Recreation

South32 Local Partner

Which South32 operation is the Applicant Organisation seeking support from? *

- ☐ HMM
- ☐ Hillside Aluminium
- ☐ Metalloys

Select the location(s) of the communities that will benefit from the project.

- ☐ Northern Cape Province
- ☐ John Taolo Gaetsewe District
- ☐ Joe Morolong Local Municipality

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- ☐ Gamagara Local Municipality
- ☐ Gasegonyana Local Municipality
- ☐ Other:

Tribal Authorities

Select the Tribal Authority(ies) that will benefit from the Project. *

- ☐ Batlhaping Ba-Ga-Jantlie
- ☐ Batlhaping Ba-Ga-Motshwarakgole
- ☐ Batlhaping Ba Ga-Mahura
- ☐ Batlhaping Ba Ga Phetlhu
- ☐ Batlhaping Ba Ga-Thaganyane
- ☐ Batlharo Ba Ga-Phadima
- ☐ Batlharo Ba Ga-Motlhware
- ☐ Batlharo Ba Ga Bareki
- ☐ None
- ☐ Other:

Select the location(s) of the communities that will benefit from the project. *

- ☐ Sedibeng District Municipality
- ☐ Midvaal Local Municipality
- ☐ Emfuleni Local Municipality
- ☐ Lesedi Local municipality
- ☐ Other:

Select the location(s) of the communities that will benefit from the project. *

- ☐ King Cetshwayo District
- ☐ Mthonjaneni District
- ☐ Nkandla District
- ☐ uMfolozi District
- ☐ uMhlathuze District
- ☐ uMlalazi District
- ☐ Other:

Has the Applicant Organisation previously received support from South32? (Monetary or in-kind) *

- ☐ Yes
- ☐ No

Please provide details *

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Word count:

Must be no more than 250 words.

Organisation Ownership and Management

* indicates a required field

Is the Applicant Organisation government or state owned or controlled? *

- ☐ Yes
☐ No

What percentage of the Applicant Organisation is government / state owned? *

Do not include percentage symbol (%)

Please provide the government entity name. *

Do any individuals, directly or indirectly, hold a legal or beneficial shareholding or ownership interest in the Applicant Organisation? *

- ☐ Yes
☐ No

Include indirect owners and attach an ownership chart / diagram where necessary.

First Name	Middle Name	Last Name	Ownership %	Attach an ownership chart / diagram where necessary.
	Use N/A if individual does not have a middle name.		Must be a number.	

Does the Applicant Organisation have any pecuniary (financial) and non-pecuniary (non-financial) interests as a result of the project to declare? *

- ☐ Yes
☐ No

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Please provide details *

Board of Directors / Executive Committee / Council Members

Does the Applicant Organisation have a Board of Directors / Executive Committee / Council Members? *

- ☐ Yes
☐ No

Provide the full names of all current Directors / Executive Committee Members / Council Members.

First Name	Middle Name	Last Name	Position	I.D.Number
	Use N/A if individual does not have a middle name.			Must be a number.

Key Management

Provide the full names of all key management of the Applicant Organisation who will be accountable for ensuring any South32 support is used for the requested purpose.

First Name	Middle Name	Last Name	Position	I.D.Number
Add a new row for each individual.	Use N/A if individual does not have a middle name.			Must be a number.

Government Officials

For the purposes of this application, "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;
- leaders of Indigenous, Traditional and/or Tribal Peoples;
- senior members of royal families; and
- in some cases, close relatives of any of the above.

Are any of the Applicant's key management (disclosed in this application) a current or past Government Official? *

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- ☐ Yes
☐ No

Note: Teachers and medical staff employed by the Government meet the Government Official criteria and should prompt a "yes" response to this question.

Are any of the Applicant's identified directors (disclosed in this application) a current or past Government Official? *

- ☐ Yes
☐ No
☐ Not Applicable - Applicant Organisation has no Board of Directors

Current or Past Officials

Government Connection	First Name	Middle Name	Last Name	Government Position	Government Entity Name	Period in Office - Start Date	Period in Office - End Date
Select from the drop down menu.		Use N/A if individual does not have a middle name.		Please insert the specific Position Title.	Please insert the specific Government Entity Name.	Enter an employment commencement date as close to the approximate known start date.	Do not enter a date if the employment status is "Current Official".

Anti-Bribery and Corruption Compliance

South32's Code of Business Conduct and Anti-Bribery and Corruption (ABC) Policy prohibits fraud, bribery and corruption in any form. We require those who we support to meet our requirement to not engage in fraud, bribery or other corrupt conduct.

You can access our Code and ABC Policy on South32's website [here](#), or direct in various languages here - [English](#), [Spanish](#), [Portuguese](#), [Simplified Chinese](#).

For the purposes of this application, a "bribe" and "facilitation payment" are terms as defined on page 2 in our ABC Policy.

Does the Applicant Organisation prohibit the offering, promising or giving of bribes, including Facilitation Payments? *

- ☐ Yes
☐ No

The answer you have provided does not align with South32's ABC Policy

Explain why your organisation does not prohibit bribery and/or facilitation payments? *

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Word count:
Must be no more than 250 words.

Prior Issues

In the past 7 years, has the Applicant Organisation (including any director or member of management) been convicted of violating any:

- Laws related to anti-bribery and corruption, including tax evasion, financial mis-reporting, anti-fraud?
- Human rights laws?

Answer *

- ☐ Yes
☐ No

Violation Details

Who was convicted of a violation(s)? *

- ☐ The Organisation
☐ Members(s) of the Organisation
☐ Both the Organisation and member(s) of the Organisation

Conviction Details - Organisation

Provide details of the conviction against the Organisation. *

Word count:
Must be no more than 250 words.

Please include attachments (optional)

Attach a file:

Conviction Details - Member(s) of the Organisation

Please provide additional information.

First Name	Middle Name	Last Name	Description	Optional Attachment
Add a new row for each individual.	Use N/A if individual does not have a middle name.			

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In any country in the past 7 years, has the Applicant Organisation (including any director or member of management) been, or is still, subject to any:

- investigation,
- shareholder action,
- allegation, or
- prosecution,

by a regulatory agency or other body for:

- bribery, corruption, fraud, money laundering, false accounting, tax evasion or other serious financial related misconduct,
- trade controls and/or sanctions violations,
- a human rights violation, or
- other crime?

Answer *

- ☐ Yes
☐ No

Who was the subject of the activity(ies)? *

- ☐ The Organisation
☐ Member(s) of the Organisation
☐ Both the Organisation and member(s) of the Organisation

Details - Organisation

Provide details of the activity(ies) against the Organisation. *

Word count:

Must be no more than 250 words.

Please include attachments (optional)

Attach a file:

Details

Please provide additional information.

First Name	Middle Name	Last Name	Details	Optional Attachments
Add a new row for each individual.	Use N/A if individual does not have a middle name.			Reports, court documents or findings

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Financial Statement

Does the Applicant Organisation prepare annual financial statements? *

- ☐ Yes
☐ No

Policies and Procedures

Select ALL the policy/procedure/constitution documents currently implemented and operating at the Applicant Organisation using the checkboxes.

Please tick the checkbox for each applicable document, noting that multiple selections must be used where more than one document is implemented at the Applicant Organisation.

Policy *

- ☐ Code of conduct/ethics (or equivalent)
☐ Anti-bribery and corruption and/or anti-fraud policy/procedure(s) (or equivalent)
☐ Policies/procedures to ensure accurate accounting and record-keeping
☐ Policies/procedures for engaging and appropriately paying suitable third parties (i.e., suppliers/contractors), including (for example) due diligence and internal approval requirements
☐ Constitution Document
☐ None in place

Multiple selections must be used where more than one document is implemented at the Applicant Organisation.

Is the Applicant Organisation requesting a monetary donation/investment over ZAR 75,000? *

- ☐ Yes
☐ No

Only the value of the monetary amount should be considered.

Please provide a copy of the last finalised annual financial statement. *

Attach a file:

Code of conduct/ethics (or equivalent) - Please provide a copy of the policy / procedure *

Attach a file:

Anti-bribery and corruption and/or anti-fraud policy/procedure(s) (or equivalent) - Please provide a copy of the policy / procedure *

Attach a file:

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Policies/procedures to ensure accurate accounting and record-keeping - Please provide a copy of the policy / procedure *

Attach a file:

Policies/procedures for engaging and appropriately paying suitable third parties (i.e., suppliers/contractors), including (for example) due diligence and internal approval requirements - Please provide a copy of the policy / procedure *

Attach a file:

Constitution Document - Please provide a copy of the policy / procedure *

Attach a file:

Project Details

* indicates a required field

Project Details

Project Title *

Start Date *

Must be a date.

End Date *

Please ensure that the end date is not earlier than the start date.

Project Proposal (Optional)

Attach a file:

Provide details of the project purpose and objective *

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Word count:

Must be no more than 250 words.

Support

What type of support is the Applicant Organisation requesting? *

- ☐ Financial (monetary)
- ☐ In kind (non monetary)
- ☐ Both (financial and in kind)

In Kind Support

What is the estimated value of the in kind support? *

\$

ZAR - Please ignore dollar sign

Will the Applicant Organisation provide South32 with a receipt? *

- ☐ Yes
- ☐ No

Provide a summary of how the support will be applied to the project. *

Word count:

Must be no more than 250 words.

Financial Support

How much financial support does the Applicant Organisation require? *

\$

ZAR - Please ignore dollar sign

Will the Applicant Organisation provide South32 with a receipt? *

- ☐ Yes
- ☐ No

Provide a summary of how the support will be applied to the project. *

Word count:

Must be no more than 250 words.

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Bank Details

Please provide the Applicant Organisation bank details. (This will be used if the application is successful.)

Name of Bank

E.g., Bank of Hong Kong etc.

Applicant Primary Bank Account

Account Name

Account Number

Project Expenses

Provide details of the project expenses to which The Applicant will apply the support.

Description of expense	ZAR	Optional Attachments
	ZAR - Please ignore dollar sign	Budgets or quotes etc.
	\$	

Budget Totals

Total Project Expenses

\$

This number/amount is calculated.
ZAR - Please ignore dollar sign

How will South32's support be recognised? *

- ☐ Social Media
- ☐ Press Release / Media Engagements
- ☐ None / Requires Anonymity
- ☐ Other:

At least 1 choice must be selected.
You may select more than one option.

Please provide a brief description of the activities planned to recognise South32's social investment. *

Word count:

Must be no more than 250 words.

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Third Party Vendors

Are third party vendors engaged to assist in delivery of the project? *

- ☐ Yes
☐ No

Please provide the third party vendor's information.

Full vendor name	Vendor Registration Number	Specific Work to be delivered by vendor	Amount (ZAR)	Optional Attachment
List one vendor per row.	E.g. ABN, ATO Reference Number or Importer ID.	Brief description	Amount expected to be paid to vendor. ZAR - Please ignore dollar sign	e.g., Quote. Use the "Add More" button to add rows.
			\$	

Is The Applicant receiving monetary or in-kind support from other companies, organisations, individuals or government agencies? *

- ☐ Yes
☐ No

Please provide the details of main contributors.

Name

Contribution

Please indicate the monetary amount that the Applicant Organization will self contribute to the project. *

Must be a dollar amount.

Privacy and Data Management

*** indicates a required field**

Where The Applicant provides South32 with information relating to an identified or identifiable person listed in this questionnaire or subsequent due diligence enquiries (personal information), South32 will treat the personal information per [South32's privacy policy](#)

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The Applicant confirms it is permitted to disclose personal information to South32 and that the collection and disclosure of personal information complies with applicable privacy and data protection laws in the jurisdiction where it is collected and disclosed, including;

1. Notifying relevant persons that the Applicant is disclosing personal information to South32;
2. Providing relevant persons with a timely copy of South32's privacy policy before disclosing personal information to South32;
3. Obtaining consent from relevant persons for the disclosure to South32 and the subsequent use or disclosure by South32 where legally required or requested by South32.

Select the checkbox to confirm that The Applicant has met Privacy and Data Management obligations as legally required. *

☐ I confirm

The user that submits the Application form in SmartyGrants is deemed to be the individual making the Privacy and Data Management declaration.

Legal Declaration by Authorised Representative of the Applicant

Note: For this Application Form, an "Authorised Representative" means a natural person authorised to sign this completed form on The Applicant's behalf.

I, the undersigned, being a duly Authorised Representative of the Applicant, certify:

(i) that to best of my knowledge, all information provided in this Application Form is correct and complete; and

(ii) for and on behalf of The Applicant, that The Applicant and its relevant personnel (i.e., directors, officers, employees, owners, and other representatives):

- - understand and follow the expectations set in South32's Anti-Bribery and Corruption (ABC) Policy, approved by South32's Board on 4 November 2019, and will not engage in fraud, bribery, corrupt conduct, or otherwise breach (or cause another to breach) applicable ABC laws. A copy of South32's ABC is available here ([English](#), [Spanish](#), [Portuguese](#), [Simplified Chinese](#)).
- - will notify South32 immediately if a breach of ABC laws or South32's ABC Policy is suspected or identified where South32 has provided support.
- - will keep and maintain accurate financial records of monetary payments made by or received from South32 and implement adequate controls to mitigate fraud, bribery, and corruption risk relevant to the support provided by South32.

Select the checkbox to acknowledge that The Applicant understands and complies with the information outlined in the Legal Declaration. *

☐ I confirm

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The user that submits the Application form in SmartyGrants is deemed to be the individual making the Legal Declaration.