

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.

You will be asked to select the South32 focus area that your project most closely aligns with. Read about [our approach to communities and society](#).

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.

Due to our many applications, meeting the assessment criteria does not guarantee support. South32 retains discretion over the community projects or

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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 enough time for South32 to assess your application and inform you of the outcome, the submission must be received before the anticipated due date (if applicable) or three months before the 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.

Process Steps

1. **Application submitted**
2. **Application assessed** by South32 for alignment to focus area and business integrity compliance
3. **If approved**, Applicant contacted by External Affairs and **offered preliminary support**
4. Applicant **completes Impact Measurement Form** outlining anticipated outputs and outcomes
5. Applicant signs and returns **Social Investment Agreement**
6. **Successful Applicant** is onboarded and becomes a Recipient / Community Partner

Enquiries

Please direct queries to the relevant local External Affairs team:

- Cannington | 1800 317 295 | Cannington.info@south32.net
- GEMCO | 1800 870 766 | GEMCOcommunity@south32.net
- Illawarra Metallurgical Coal | 1800 102 210 | illawarracommunity@south32.net

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- Perth | socialperformance@south32.net
- Worsley Alumina | 1800 555 958 | worsleycommunity@south32.net

Applicant Information

* indicates a required field

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

Check that Applicant Organisation name provided here matches the one that appears in the ABN look-up.

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? *

- ☐ Company
- ☐ Corporation
- ☐ Government entity
- ☐ Incorporated or unincorporated association
- ☐ Not-for-profit
- ☐ Non-government organisation
- ☐ Partnership
- ☐ Registered charity / public beneficiary organisation
- ☐ Sole Trader
- ☐ Trust

Does your organisation have an Australian Business Number (ABN), Registration Number or Australian Company Number?

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- ☐ Australian Business Number
- ☐ Australian Company Number
- ☐ Registration Number

Multiple selections can be made.

Australian Business Number (ABN)

Applicant Organisation Australian Business Number *

The ABN provided will be used to look up the following information. Click Lookup above to check that you have entered the ABN correctly.

Information from the Australian Business Register	
ABN	
Entity name	
ABN status	
Entity type	
Goods & Services Tax (GST)	
DGR Endorsed	
ATO Charity Type	More information
ACNC Registration	
Tax Concessions	
Main business location	

Must be an ABN.

Remove all spaces

Australian Company Number (ACN)

Applicant Organisation Australian Company Number *

Please provide evidence of registration.

Attach a file:

Registration Number

Applicant Organisation Registration Number *

Please provide evidence of registration.

Attach a file:

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Goods and Service Tax (GST)

Is the Applicant registered for GST? *

- ☐ Yes
☐ No

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
<input type="text"/>	<input type="text"/>	<input type="text"/>

Applicant Representative position *

Applicant Representative telephone number *

Applicant Representative email address *

Must be an email address.

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

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- ☐ Science
- ☐ Social Sciences
- ☐ Sport and Recreation

South32 Local Partner

Which South32 operation is the Applicant Organisation seeking support from?

- ☐ Perth (Corporate Office)

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

- ☐ Alyangula
- ☐ Angurugu
- ☐ Cairns
- ☐ Darwin
- ☐ Milyakburra
- ☐ Umbakumba
- ☐ Other:

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

- ☐ Shire of McKinlay
- ☐ Shire of Cloncurry
- ☐ Townsville Region
- ☐ Other:

Which IMC Community program are you seeking support from? *

- ☐ Dendrobium Community Enhancement Program (DCEP)
- ☐ Illawarra Metallurgical Coal Community Partnership Program (CPP)
- ☐ Illawarra Metallurgical Coal Program
- ☐ Indigenous Grant Program

Dendrobium Community Enhancement Program (DCEP)

South32 is committed to creating shared value and positively contributing to the quality of life of communities, regions and countries where we operate. South32 Illawarra Metallurgical Coal's Dendrobium Community Enhancement Program (DCEP) is committed to contributing to the sustainable development of the local area surrounding South32 Illawarra Metallurgical Coal's Dendrobium Operations. Members from the local community and Company members form the DCEP committee, which an independent Chairperson chairs. Applications will only be considered for projects delivered within the DCEPs local area.

Which local area(s) will benefit from the project? *

- ☐ Cordeaux Heights
- ☐ Farmborough Heights
- ☐ Figtree
- ☐ Kembla Heights

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- ☐ Mount Kembla
- ☐ Unanderra

Which focus areas within the community does your application address? *

- ☐ Sustainability
- ☐ Partnerships
- ☐ Innovation
- ☐ Broad community benefits and application

Focus Area

Continued life after funding

Focus Area

Community ownership of projects and joint funding.

Focus Area

Projects that meet the needs of the community and are not otherwise funded.

Illawarra Metallurgical Coal Community Partnership Program (CPP)

South32 is committed to creating shared value and positively contributing to the quality of life of communities, regions and countries where we operate. South32 Illawarra Metallurgical Coal's Community Partnership Program (CPP) is committed to contributing to the sustainable development of the local area surrounding South32 Illawarra Metallurgical Coal's Bulli Seam Operations. A Board comprised of community and Company representatives administer the CPP. Applications will only be considered for projects delivered within regions supported by the CPP.

Which CPP region(s) will benefit from the project? *

- ☐ Appin
- ☐ Cawdor
- ☐ Douglas Park
- ☐ Menangle
- ☐ Razorback
- ☐ Wedderburn
- ☐ Wilton

Which primary CCP focus area does your application address? *

- ☐ Community Support and Services
- ☐ Environment
- ☐ Education
- ☐ Health

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Focus Area

Transport, infrastructure, youth initiatives, Indigenous and disability services, early childhood support, sporting facilities, art and culture, economic development, flagship projects.

Focus Area

Environmental initiatives, improvement programs and projects.

Focus Area

Primary and high schools, adult education, life skills.

Focus Area

Health services and programs.

Illawarra Metallurgical Coal Program

South32 is committed to creating shared value and positively contributing to the quality of life of communities, regions and countries where we operate. South32 Illawarra Metallurgical Coal is committed to sustainable development and aims to be a valued member of the communities where its operations are based. Applications will only be considered for projects delivered within Illawarra Metallurgical Coal's communities of interest:

Which area(s) will benefit from the project? *

- ☐ Illawarra
- ☐ Macarthur

Which primary focus area within the community does your application address? *

- ☐ Good Health and Social Wellbeing
- ☐ Education and Leadership
- ☐ Natural Resource Resilience
- ☐ Economic Participation

Focus Area

Community health, sport and recreation and family and youth support.

Focus Area

Education, training, youth development and childcare.

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Focus Area

Environment, water land management.

Focus Area

Local employment, local business development.

Indigenous Grant Program

South32 is committed to creating shared value and positively contributing to the quality of life of communities, regions and countries where we operate. South32 Illawarra Metallurgical Coal's Indigenous Grant Program is committed to contributing to the sustainable development of the local area surrounding South32 Illawarra Metallurgical Coal's Dendrobium and Appin operations. A committee from South32's Reconciliation Action Plan (RAP) administer the program. Applications will only be considered for projects delivered within the Dendrobium and Appin area.

Which area(s) will benefit from the project? *

- ☐ Illawarra
- ☐ Macarthur

Which primary focus area within the community does your application address? *

- ☐ Sustainability
- ☐ Partnerships
- ☐ Innovation
- ☐ Broad community benefits and application

Focus Area

Continued life after funding.

Focus Area

Community ownership of projects and joint funding.

Focus Area

Projects that meet the needs of the community and are not otherwise funded.

Focus Area

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Broad community benefit and application.

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

- ☐ Boddington
- ☐ Bunbury
- ☐ Capel
- ☐ Collie
- ☐ Dardanup
- ☐ Greater Bunbury
- ☐ Harvey
- ☐ Wandering
- ☐ Williams
- ☐ Other:

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

- ☐ Yes
- ☐ No

Please provide details

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. *

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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.
	Leave blank if unknown.		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

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
	Leave blank if unknown.		

Key Management

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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
Add a new row for each individual.	Leave blank if unknown.		

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? *

- ☐ 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

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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? *

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. *

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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.	Leave blank if unknown.			

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

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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.	Leave blank if unknown.			Reports, court documents or findings

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.

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Is the Applicant Organisation requesting a monetary donation/investment over AUD 5,000? *

- ☐ 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:

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

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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:

Focus Area

Which South32 focus area is most relevant to the project?

- ☐ Education and Leadership
- ☐ Economic Participation
- ☐ Good Health and Social Wellbeing
- ☐ Natural Resource Resilience

This helps us to understand where you see your project making a positive contribution to society.
Refer back to page 1 for a description of each.

What is the intended impact of the project? Provide details of the project purpose and objective.

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?

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\$

Must be a dollar amount.

AUD

Will the Applicant Organisation provide South32 with a receipt?

- ☐ Yes
☐ No

Provide a summary of how South32's in-kind 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?

\$

Must be a dollar amount.

AUD

Will the Applicant Organisation provide South32 with a receipt?

- ☐ Yes
☐ No

Provide a summary of how South32's monetary investment support will be applied to the project.

Word count:

Must be no more than 250 words.

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

BSB Number

Account Number

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Project Expenses

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

Description of expense	\$ (AUD)	Optional Attachments
		Budgets or quotes etc.
	\$	

Budget Totals

Total Project Expenses

\$

This number/amount is calculated.

How will South32's support be recognised?

- ☐ Social Media
- ☐ Press Release / Media Engagements
- ☐ None / Requires Anonymity
- ☐ Website
- ☐ 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.

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 (AUD)	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.	e.g., Quote. Use the "Add More" button to add rows.
			\$	

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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 Organisation 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](#)

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.

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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

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