



CERRO CORONA

Global Industry Standard on Tailings Management

Annual Disclosure Report

5 August 2023

Creating enduring value beyond mining



safety



integrity



respect



responsibility



innovation



collaborative
delivery



GOLD FIELDS



EXECUTIVE SUMMARY

The International Council on Mining and Metals (ICMM) has made a committed effort to achieve full conformance within three years for tailings facilities classified as "extreme" or "very high" consequences through the Global Industry Standard on Tailings Management (GISTM) launched in August 2020. This ambitious commitment has acted as a catalyst, driving immediate and sustained action by companies to adhere to the Standard. Gold Fields, among others, has made significant progress towards this goal. Gold Fields considers the introduction of the GISTM as a significant milestone for the mining industry, as it aligns with the aim of achieving safer and more sustainable mining practices. As a member of ICMM, Gold Fields recognises the GISTM as a crucial component of its governance, along with other mine owners who have also adopted it. The GISTM provides a framework that covers six key topics to prioritise safety throughout the lifecycle of a tailings facility, including design, operation, closure, and post-closure.

Gold Fields' core values, including safety, integrity, respect, responsibility, innovation, and collaborative delivery, strongly resonate with the principles and objectives of the GISTM. By prioritising safety, upholding integrity, respecting stakeholders, taking responsibility for their actions, encouraging innovation, and fostering collaboration, Gold Fields strives to make the GISTM an integral part of its operations.

The GISTM brings a crucial "mind-shift" by emphasising ongoing stakeholder engagement. It highlights the importance of focused and meaningful engagement with affected people throughout the life of the operation and the lifecycle of a tailings storage facility (TSF).

Implementing the GISTM within the given timeframe has presented considerable challenges due to site-specific factors. Progressing with all 15 Principles, 77 requirements (or 219 requirement parts) simultaneously is challenging, as certain requirements depend on the completion of others. The GISTM requirements cover 40% engineering, 30% governance and management, and 30% environmental and social elements.

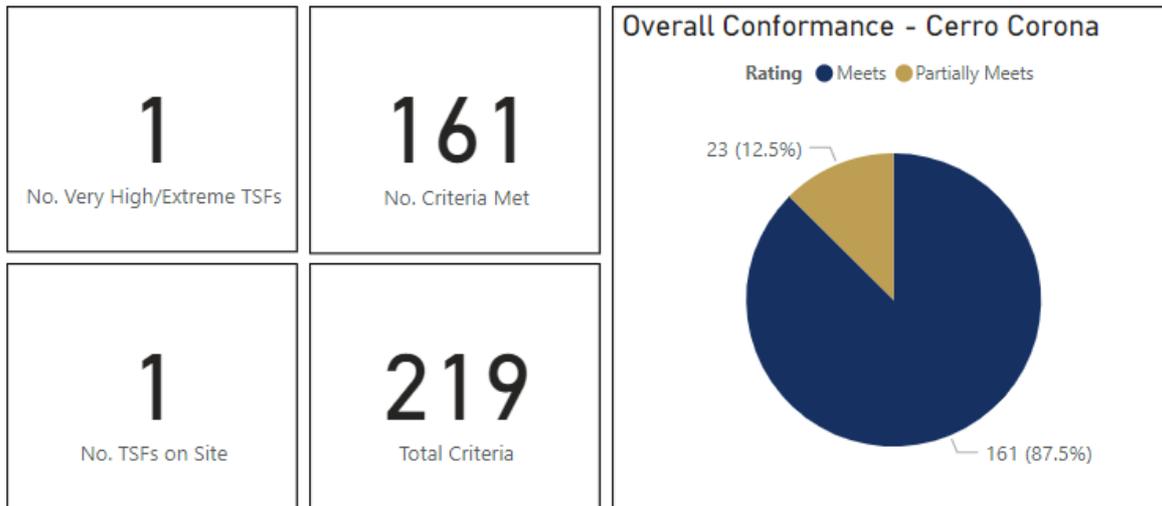
Achieving full conformance with the GISTM requires completing over 220 physical deliverables and documents, each constituting an independent project. ***The diligent efforts of the Cerro Corona Team have resulted in 88% conformance with the 219 requirement criteria of the GISTM. Only 184 of the requirement criteria are applicable to the TSF at Cerro Corona.***

This significant accomplishment involves completing 161 'applicable' of 184 requirement criteria of the GISTM, a monumental achievement in 30 months. Importantly, all significant dam safety and environmental-related items have been identified, addressed, and effectively managed.

A summary of the outcome is presented below.



Cerro Corona - GISTM Self Assessment 2023



It is essential to recognise that all facilities classified as "extreme" and "very high" consequences have the potential to impact over 1000 people living nearby and/or downstream. The GISTM emphasises meaningful engagement with all project-affected individuals. Closing out all governance, engineering, and technical studies while successfully engaging large communities downstream is a considerable challenge, especially in countries with limited access to technology, internet, education, water, and sanitation.

At Cerro Corona, the initial focus was on mitigating dam safety risks, establishing robust governance and management systems, and conducting comprehensive engineering, social, and environmental studies. The next phase of the GISTM journey involves continuing meaningful engagement with local communities.

In addition to social challenges, there are various practical and technical challenges, such as limited access to reliable testing facilities and long lead times for obtaining analytical results. Moreover, there is a scarcity of deep expertise in tailings management within the global consulting community, which both ICMM members and other mining companies rely on for technical advice.

When evaluating performance in tailings management, it is crucial to consider the broader context and the journey towards conformance. Assigning a simplistic percentage score to multifaceted aspects, like human rights due diligence assessments, can oversimplify the evaluation process. Gold Fields acknowledges the limitations of a linear approach and emphasises demonstrating substantial conformance.

While the Cerro Corona TSF partially conforms with the GISTM, all dam safety and environmental-related aspects have been addressed.

Gold Fields recognises that the Standard sets high expectations and prefers a quality-driven approach rather than mere conformance. This marks a significant step forward in the industry.

To enhance their tailings management practices, the Gold Fields Global Tailings Management team has collaborated with the Cerro Corona Tailings Stewardship team, comprising key stakeholders from various departments, including sustainable development, community relations, mine management, engineer of record, and mine engineering teams.

Gold Fields has conducted a thorough site-specific human rights due diligence process as part of its commitment to respecting human rights in accordance with the United Nations Guiding Principles on Business and Human Rights (UNGPs). In 2022, Cerro Corona diligently implemented mitigation plans based on its most recent human rights due diligence assessment findings. The impacts and mitigation plans are documented in the Cerro Corona Operational Risk Register.



This Annual Tailings Disclosure Report has been prepared in three parts.

- **Part 1** presents an overview of the mine and its Tailings Storage Facilities (TSFs).
- **Part 2** provides a plain language summary, as Principle 15 of the GISTM requires, offering a concise and accessible summary of our tailings management practices.
- **Part 3** presents our detailed self-assessment report, which comprehensively analyses our conformance with the GISTM. Contextual information, a justification explaining the level of conformance and an overview of the self-assessment results for the Cerro Corona TSF are included in Appendix A.

These three parts collectively provide a comprehensive overview of Cerro Corona's tailings management approach and GISTM status, ensuring our reporting's credibility, transparency, and accountability.

Gold Fields prioritises transparency in its disclosures to maintain credibility and foster trust with key stakeholders. The GISTM, as a newly introduced governance and management Standard, represents a journey in its implementation and signifies a significant step towards raising the standards in tailings management.



DISCLAIMER

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ABBREVIATIONS

Abbreviation	Description
AE	Accountable Executive
ALARP	As Low As Reasonably Practicable
ANCOLD	Australian National Commission on Large Dams
CDA	Canadian Dam Association
CMS	Catastrophic Risk Management System
CPTU	Cone Penetrometer Testing with pore pressure measurements
CST	Cleaner Scavenger Tailings
DBA	Dam Breach Analysis
DSR	Dam Safety Review
EMP	Environmental Management Plan
EOR	Engineer of Record
EPRP	Emergency Preparedness and Response Plan
ERP	Emergency Response Plan
EXCO	Executive Committee
FMEA	Failure Mode and Effects Analysis
GISTM	Global Industry Standard on Tailings Management
IAR	Integrated Annual Report
ICMM	International Council on Mining and Metals
ICOLD	International Commission on Large Dams
ITRB	Independent Technical Review Board
IR	Independent reviewer
LoM	Life of Mine
LVU	Low volume underflow
masl	meters above sea level
mRL	meters relative level
OMS	Operating Maintenance and Surveillance
PAR	Population at Risk
PFMA	Potential Failure Model Analysis
PLL	Potential Loss of Life
QRA	Quantitative Risk Assessment
RCB	Rhyolite Containment Blanket
RMP	Risk Management Plan
RST	Rougher Scavenger Tailings
RTFE	Responsible Tailings Facility Engineer
SME	Subject matter expert
SQRA	Semi-Quantitative Risk Assessment
TARP	Trigger Action Response Plan
TSF	Tailings Storage Facility
UBC	University of British Columbia
UCB	Upstream Containment Blanket
UNGP	United Nations Guiding Principles
WSF	Waste storage facility



DEFINITIONS

Abbreviation	Description
Consequence Classification	Dam safety requirements typically classify structures based on evaluating the potential downstream consequences of failure in terms of three categories: loss of life, environment and cultural values, and infrastructure and economics.
Credible Failure Mode	Refers to technically feasible failure mechanisms given the materials present in the structure and its foundation, the properties of these materials, the configuration of the structure, drainage conditions and surface water control at the facility throughout its lifecycle. Credible failure modes can and do typically vary during the facility's lifecycle as the conditions vary. An appropriately designed and operated facility considers all these credible failure modes and includes sufficient resilience against each.
Impact	In this context, impacts are consequences to people, built infrastructure or the natural environment caused by a tailings facility or its failure, including impacts to the human rights of workers, communities, or other rights holders and including sensitive ecological receptors and ecosystem services. Impacts can be positive or adverse, tangible or intangible, direct or indirect, acute, chronic or cumulative, and measurable quantitatively or qualitatively.
Material	Important enough to merit attention or have an effective influence or bearing on the determination in question. All Priority 1 type findings, issues requiring immediate action/remediation, are classified as being material.
Population at Risk	All people who would be directly exposed to floodwaters assuming they took no action to evacuate.
Potential Loss of Life	The part of the population at risk that could lose their lives in the event of a dam break.
Rainy Day	A rainy-day dam failure or overtopping type failure typically occurs during large flood inflow conditions where the pond water level rises high enough to breach or overtop the dam.
Risk	<p>Risk is a function of three components: The potential <u>hazards or future loading</u>, the dam's <u>performance</u> given that loading and the <u>consequences</u> of a dam breach if the dam does not perform as intended.</p> <ul style="list-style-type: none">• Potential hazards include large regional floods, earthquakes, landslides, rapid pool fluctuations, and other events.• The expected performance of the dam is evaluated based on criteria used at the time of its design, construction documentation, historical performance, site investigations and advanced analysis.• Finally, consequences are estimated based on computer simulations of flood inundation extents, flood wave arrival times, warning times, the time of day at the breach, and other factors.
Sunny Day	Dam failures can occur suddenly, without warning, and may occur during normal operating conditions. This is referred to as a "sunny-day" failure.
Tailings	A by-product of mining consisting of the processed rock or soil left over from the separation of the commodities of value from the rock or soil within which they occur.
Tailings Storage Facility	A facility that is designed and managed to contain the tailings produced by the mine.



STRUCTURE OF THIS ANNUAL DISCLOSURE REPORT

Annual Tailings Disclosure Report

This Annual Tailings Disclosure report summarises information related to the TSF at the Cerro Corona mine in Peru, which has an extreme consequence classification.

In accordance with Principle 15.1 of the GISTM, this report promotes the disclosure of relevant information.

The document is structured as follows:

- **Part 1**
 - General overview of Gold Fields' approach to Tailings Management and GISTM implementation.
- **Part 2**
 - A plain language summary of the Cerro Corona TSF, including disclosure of information aligned with GISTM Principle 15.1.
 - Confirmation of the commitment to Requirements 15.2 and 15.3.
- **Part 3**
 - Cerro Corona Self-Assessment Report. Contextual information, a justification explaining the level of conformance and an overview of the self-assessment results for the Cerro Corona TSF are included in Appendix A.



PART 1 – GENERAL OVERVIEW

This document has been prepared in response to the criteria described in Principle 15 of the GISTM.

1.1. INTRODUCTION

Background

Gold Fields is dedicated to promoting safe and sustainable mining practices, recognising the importance of the Global Industry Standard on Tailings Management (GISTM). As a member of the International Council on Mining and Metals (ICMM), we embrace this Standard as it aligns with our commitment to responsible tailings facility management. The GISTM serves as a comprehensive framework, guiding us to prioritise safety throughout the lifecycle of our tailings facility, including design, operation, closure, and post-closure.

The GISTM comprises 77 requirements across six key topic areas: affected communities, integrated knowledge base, design, construction, operation and monitoring of tailings facility, management and governance, emergency response and long-term recovery, and public disclosure and access to information. Gold Fields remains fully committed to implementing the GISTM as part of our membership commitment to the ICMM.

We aim to demonstrate substantial conformance to the GISTM for our priority facilities, which includes active operations and legacy tailings facilities with an "extreme" or "very high" consequence classification, by 5 August 2023. We are working towards achieving conformance for all other facilities by August 2025.

In the context of this disclosure report, the Cerro Corona TSF is a TSF with an Extreme Consequence Classification. Gold Fields La Cima, the owner of the Cerro Corona mine, has made a substantial effort to advance its conformance with the GISTM.

1.2. THE IMPORTANCE OF GISTM IMPLEMENTATION

For Gold Fields

Gold Fields views the introduction of the GISTM as a significant milestone for the mining industry, aligning to achieve safer and more sustainable mining practices. As an ICMM member company, Gold Fields recognises the Standard as a crucial component of its governance alongside other mine owners who have also adopted it. The GISTM provides a framework encompassing six key topics to prioritise safety throughout the lifecycle of a tailings facility, covering design, operation, closure, and post-closure.

For Key Stakeholders and the Environment

The GISTM creates an essential "mind-shift" by elevating stakeholder engagement from intermittent to ongoing. It emphasises the importance of focused and meaningful engagement with affected people throughout the operation's life and the TSF's lifecycle. This includes integrating engagement into the regular routines of tailings and environmental management. The GISTM promotes the involvement of environmental and social practitioners alongside engineering colleagues across the business.

Furthermore, the GISTM encourages knowledge sharing, training, and awareness among a mine's environmental, social, and tailings management teams. The aim is to foster mutual understanding among the respective parties regarding their roles and functions within the site-specific context of their operation and the risks posed.

By implementing the GISTM and incorporating its principles into our operations, Gold Fields strives to safeguard the well-being of our stakeholders and the environment. We recognise the importance of ongoing engagement, continuous improvement, and the responsible management of tailings facilities to achieve a safer and more sustainable mining industry.



Governance for Safer Tailings Facilities

Governance plays a fundamental role in promoting the safety of our Cerro Corona tailings facility. Topic IV of the GISTM emphasises the need for clear accountability and the involvement of key roles such as an Accountable Executive (AE), a Responsible Tailings Facility Engineer (RTFE), and an Engineer of Record (EoR). Additionally, regular risk management and safety reviews are integral to maintaining a high level of safety and minimising potential risks. Gold Fields is committed to implementing these governance measures to promote transparency, accountability, and continuous improvement in our tailings management practices.

Inclusive Expertise and Collaboration

Engaging the right people with diverse expertise and perspectives is essential to effectively designing and operating a tailings facility. Gold Fields recognises the value of involving technical experts in design, operators, environmental, social and water specialists, mine planners, and other stakeholders. By fostering collaboration and taking a holistic approach, we can leverage opportunities that may arise during the facility's lifecycle, such as utilising mine waste for construction or repurposing a portion of the tailings stream for underground backfill. Furthermore, this inclusive approach allows us to identify any necessary deviations from the initial design well in advance, facilitating the implementation of corrective measures.

Continuous Risk Assessment and Adaptation

A comprehensive and regular risk assessment process complements the design flexibility discussed earlier. Once a tailings facility is operational, changes are inevitable. Variations may occur in processing rates, methods, water demands, or even regional hydrogeology and climate patterns. Therefore, it is imperative to continuously review and assess the assumptions made during the design phase, considering actual conditions and adjusting as necessary. Gold Fields is committed to implementing a detailed, stringent risk assessment process to proactively identify and address potential risks associated with our tailings facilities.

Alignment with Gold Fields' Core Values

Gold Fields' core values of safety, integrity, respect, responsibility, innovation, and collaborative delivery resonate strongly with the principles and objectives of the GISTM. By prioritising safety, upholding integrity, respecting stakeholders, taking responsibility for our actions, encouraging innovation, and fostering collaboration, we promote that the GISTM becomes an integral part of our operations. We believe that by incorporating these core values into our implementation of the GISTM, we can achieve continuous improvement and contribute to developing a safer and more sustainable mining industry.



PART 2 – PLAIN LANGUAGE SUMMARY

This document has been prepared in response to the criteria described in Principle 15 of the GISTM.

2.1. BACKGROUND

Purpose

This plain language summary aims to provide clear and concise information about the Cerro Corona TSF in an easily understandable way for a wide audience. It is designed to promote accessibility to readers with limited knowledge of TSF, including individuals from various fields. The summary follows the requirements outlined in Principle 15 of the International Council on Mining and Metals (ICMM) Conformance Protocols.

Disclosure Scope

Since the Cerro Corona TSF is an existing facility, this summary focuses on disclosing information related to Requirements 15B and 15C of the GISTM. Therefore, Requirement 15A dealing with new TSFs does not apply to this disclosure.

Furthermore, the TSF at the Cerro Corona Mine is classified as a TSF with an Extreme consequence classification, per the GISTM.

The level of conformance with the GISTM is presented in the Cerro Corona GISTM Self-Assessment Report, available in Part 3, Appendix A.

2.2. OVERVIEW OF THE CERRO CORONA MINE AND ITS TSF

The Cerro Corona Mine

At Gold Fields, we prioritise the safety and integrity of our TSFs. The Cerro Corona Mine, operated by Gold Fields Limited (GFL), is a copper mine with a high gold content in northern Peru's Cajamarca region. The mine is situated approximately 80 km from the capital, Cajamarca, in the western Cordillera of the Andes Mountains.

Location and Topography

The Cerro Corona Mine is situated in the Department of Cajamarca, approximately 1.5 km west-northwest of the village of Hualgayoc. The mine's location is typical of sites in the Peruvian Andes, with elevations ranging from 3,500 to 4,000 masl. The topography varies from shallow valley floors with five degrees or less slopes to steep rock bluffs with up to 70 degrees. On average, the local topography slopes at 10 to 35 degrees.

An overview of the site locality can be seen in Figure 1.

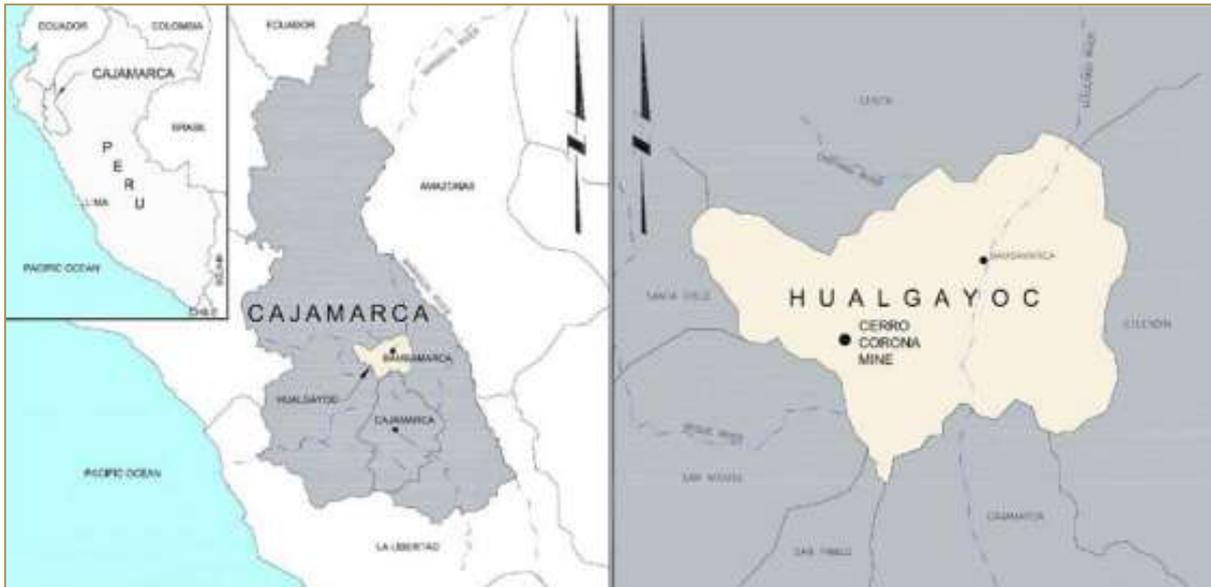


Figure 1: Figure 1: Cerro Corona Gold Mine Locality Map

Tailings Storage Facility (TSF) Overview

The Cerro Corona Mine infrastructure encompasses various components: the mineral processing plant, open pit, TSF, rockfill quarries, aggregate processing plant, waste storage facilities (WSFs), seepage management structures, and surface water diversion structures. A comprehensive overview of the site, including the TSF and major features, can be seen in Figure 2.

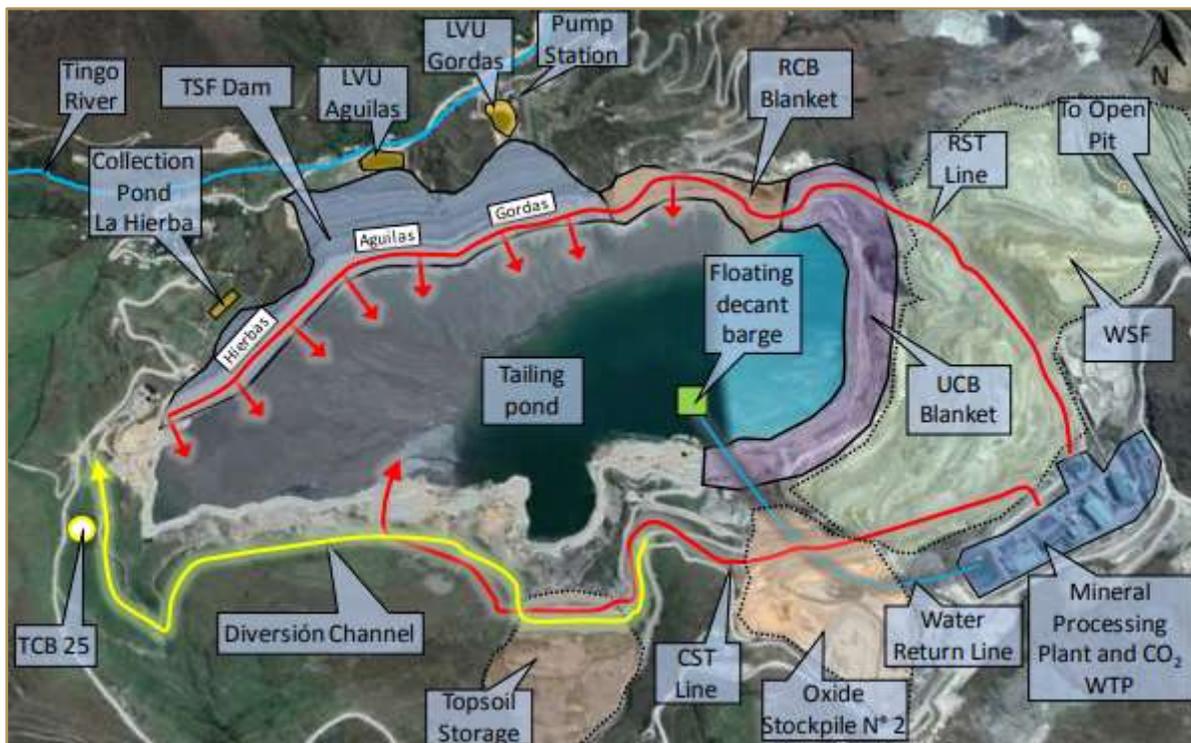


Figure 2: Layout of Cerro Corona TSF



As part of our mining and metallurgical operations, the Cerro Corona Mine uses a TSF to store tailings generated during the process. The TSF, located downstream from the process plant, consists of embankments (dams) constructed over the Las Gordas and Las Aguilas valleys. The embankments, namely Las Gordas, Las Aguilas, and La Hierba, are built in stages using borrow materials obtained from quarries. Additionally, each embankment includes a clay core and filters.

Hydraulic Containment and Seepage Management

To maintain downstream hydraulic containment along the main embankments, two seepage collection ponds, known as low-volume underflows (LVUs), and a pumping station (pump station 1700) are employed to redirect seepage water back to the reservoir. This proactive seepage management strategy helps preserve the integrity and safety of the TSF.

To mitigate seepage rates from the facility, a grout curtain has been installed in the foundation materials along the axis of the TSF dam. These strategic measures reduce the potential for seepage and enhance the structure's overall stability.

Overview of TSF Design

The Cerro Corona TSF is a rockfill dam designed with low-permeability core, filter, and transition zones. The cross-section design for the La Hierba TSF dam has an ultimate crest elevation of 3,803 masl. The dam section comprises different zones, including low-permeability core materials (Zone 1 and 5) positioned between the upstream (US) and downstream (DS) rockfill zones (Zone 2, 2B, and 2C).

The upstream rockfill was incorporated into the design to provide upstream stability based on engineering analyses considering the anticipated TSF dam raise heights and measured tailings strengths. The core and rockfill materials are separated by a filter and drain zone (Zone 3 and 4) placed immediately downstream of the low permeability materials to serve as transition zones to reduce the potential for migration of particles.



2.3. GOVERNANCE AND MANAGEMENT APPROACH

Governance overview

At Gold Fields, we recognise the importance of responsible tailings management and the need to prevent any adverse impacts on human health and safety, well-being, the environment, and infrastructure. Our vision and values guide our commitment to these principles.

We have developed and implemented a robust tailings management system to promote effective governance of tailings management. This system incorporates good engineering practices and is integrated into our overall mine planning processes.

Gold Fields' corporate policy on Tailings Management is the foundation for establishing all the necessary systems, information, and plans related to the current and future lifecycle phases of our TSF. We adhere to this policy at an appropriate level of detail to promote comprehensive and consistent management.

Key Governance Roles at Cerro Corona

We have established key governance roles at the Cerro Corona Gold Mine to support our commitment to safe tailings management. All roles are filled:

- **Site based implementation**
 - External Engineer of Record: Stantec Vancouver.
 - RTFE and Deputy.
 - Supervisor for Tailings and Environment.
- **Third-party review**
 - Independent Reviewer (IR): Suitably qualified and experienced individuals from Ausenco, engaged to review activities conducted by the Cerro Corona team and EoR.
 - Independent Technical Review Board (ITRB): Suitably qualified and experienced individuals from consulting firm AECOM and the University of British Columbia (UBC).
- **Functional Accountability**
 - Regional Accountable Executive.
 - Vice President of Global Tailings Management.
 - Senior Tailings Engineer: Global Tailings Management.
- **Leadership Commitment**
 - The Gold Fields Exco and the Board of Directors commit to safely managing Gold Fields's TSFs.

These governance roles and commitments demonstrate our dedication to maintaining the highest standards of tailings management. We prioritise transparency and accountability in our practices to promote the safety and integrity of our TSF.



2.4. CONSEQUENCE CLASSIFICATION

Introduction to Consequence Classification

Consequence classification is vital in the GISTM. It involves categorising the potential impacts of a TSF failure based on the severity and extent of the consequences. It is important to note that consequence classification does not consider the likelihood of such an event occurring, and therefore, it should not be considered a measure of risk.

Why Consequence Classification Matters

Consequence classification helps us identify the TSFs that pose the greatest risks to human health and safety, the environment, and infrastructure. By understanding the potential consequences of a TSF failure, we can prioritise our risk mitigation, engineering, governance, and management efforts. This allows us to allocate resources where they are most needed.

Consistent and Systematic Approach

The GISTM provides a framework for consequence classification, promoting a uniform and systematic approach to assessing and managing risks associated with TSFs. This framework helps us determine the level of design, construction, and operational standards necessary to promote the safe and sustainable management of tailings.

Reassessing Consequence Classification

To demonstrate our adherence to the GISTM, we have reassessed the consequence classifications of our TSFs, considering the credibility of potential tailings facility failure scenarios in alignment with the definitions outlined in the GISTM.

Consequence Classification of Cerro Corona TSF

The Consequence Classification associated with the Cerro Corona TSF, based on the GISTM approach, is presented in Table 1.

Table 1: GISTM Consequence Classification

TSF	GISTM Consequence Classification
1	Extreme



2.5. RISK MANAGEMENT AND RISK ASSESSMENT FINDINGS

Risk Management

At Gold Fields, we prioritise risk management to promote the safety and integrity of our Cerro Corona TSF. Our Risk Management Plan (RMP) sets out the approach to managing risks associated with the Cerro Corona TSF. This RMP is underpinned by various studies completed by our Engineer of Record (EoR) partner.

Failure Mode and Effects Analysis (FMEA)

In collaboration with its EoR, Gold Fields undertook a Failure Mode and Effects Analysis (FMEA) assessment to identify and evaluate potential failure modes and their associated effects. This assessment aimed to select worst-case credible failure modes that could potentially result in breaches and subsequent downstream inundation. These selected failure modes were then evaluated through a Dam Breach Assessment (DBA). This comprehensive evaluation checks that the structure has been designed carefully, considering stringent controls and engineering requirements. The inaugural FMEA assessment was undertaken in 2018 and has been updated and revised as the TSF design evolved.

The steps included:

- Identification of TSF components, principal hazards, potential Failure Modes (PFMs) and initiating events.
- Evaluation of initiating events and mechanisms
- Defining critical controls required to prevent the risk of failure
- Assigning a risk rating to each risk
- Defining whether the risks were tolerable with respect to societal limits.

On completion of the FMEA, the Cerro Corona Tailings Stewardship team set out to complete a series of technical studies, including inundation studies and site geotechnical investigations.

Semi-Quantitative Risk Assessments (SQRA)

In 2023, on completion of a range of technical studies and review of the FMEA by our ITRB, the Cerro Corona Tailings Stewardship team and EoR partner facilitated a series of workshops to evaluate each potential Failure Mode using semi-quantitative methods.

The outcome of the workshops is documented in a single report which shows that, so far, all risks identified are below the accepted tolerable limits, demonstrating that they sufficiently meet As Low As Reasonably Practicable (ALARP).

The SQRA is a dynamic process and is scheduled to be reviewed by our ITRB in H2 2023.

Summary of Impact Assessment Relevant to the Tailings Facility

The summary of the Impact Assessment relevant to the tailings facility reveals important findings. Firstly, the consequences mentioned in the assessment do not reflect the current condition of the TSF; instead, they serve as a means to identify potential failure modes and develop appropriate plans and engineering controls to prevent such events. Since Cerro Corona is situated high in a valley with nearby communities, protecting the people living downstream is and always has been a priority. With over 1,000 individuals residing in this area, it is crucial to implement robust engineering control systems and processes that align with managing an extreme consequence facility.

To evaluate risks comprehensively, the team conducted thorough analyses, including Potential Failure Mode Analysis (PFMA), FMEA, and an SQRA. Identified gaps were addressed to check that the risks remain within acceptable limits. Various scenarios, such as storm events, climate change, overtopping, and structural failure, were considered, and appropriate controls have been implemented to manage these risks effectively.



A Summary of Impact Assessments and Human Exposure and Vulnerability to Tailings Facility Credible Flow Failure

We have conducted thorough impact assessments to evaluate human exposure and vulnerability associated with tailings facility credible failure scenarios. Through these assessments, we have developed a robust understanding of the hypothetical worst-case inundation zone related to the TSF. This understanding has been instrumental in implementing and continuously reviewing robust engineering controls and critical measures.

Recognising the importance of considering all people downstream and near the facility, we have utilised various tools such as modelling, aerial photography, and GIS-based data layers. These tools have enabled us to assess potential impacts on these people and gather valuable information to support our analysis. By categorising and prioritising these impacts, we can effectively address critical concerns and establish appropriate management plans.

Furthermore, our evaluations have encompassed baseline knowledge of environmental, social, and economic values. This foundational information has guided us in conducting structured impact assessments, including establishing thresholds and management plans. We have also considered climate change uncertainty by conducting hypothetical failure evaluations, water balance assessments, and water management assessments. These assessments have allowed us to incorporate trends in precipitation, frequency and intensity, and evaporation rates into our planning and mitigation strategies.

Our facility has robust engineering controls designed to mitigate risks and safeguard the surrounding community and environment. We are committed to continuously improving these controls, ensuring that they remain effective and up to date. Our assessments and management plans are based on a comprehensive understanding of potential impacts and strive to prioritize the well-being, health and safety of all stakeholders involved.

Operational Risks

The Cerro Corona Tailings Stewardship team updates the Cerro Corona Operational Risk Register with broader stakeholders across the mine on an annual basis. This operational risk register hosts all the risks associated with mining and includes the risks, controls, and mitigation plans for catastrophic tailings failures and climate change impacts.



2.6. DESCRIPTION OF THE DESIGN

Overview

Background

Gold Fields is dedicated to promoting the safe, stable, and sustainable operation of its TSF. We uphold the highest standards of tailings management through our Group TSF Management Standard (2022), which outlines our minimum requirements for TSF management.

In supporting our current high level of governance, the AEs and RFTEs from the sites should demonstrate at all times that initiatives are in place and progress is made towards implementing the requirements of this Group Standard.

The Cerro Corona Tailings Stewardship team is well supported by an appointed EOR, ITRB, IR and AE.

Alignment with Corporate Values

As we discuss our design approach and overview, we remain guided by our core values, which serve as the foundation of our company's operations:

- **SAFETY:** The safety and well-being of our people and communities are of utmost importance to us. We prioritise safe practices in all aspects of our work.
- **INTEGRITY:** We conduct our business with honesty, fairness, and transparency. The highest ethical standards guide our actions.
- **RESPECT:** We treat all stakeholders with trust, dignity, and respect, valuing diversity and embracing different perspectives.
- **RESPONSIBILITY:** We take personal ownership of our impact on our people, relationships, safety, and environment. We are accountable for our actions.
- **INNOVATION:** We encourage and drive innovation, embracing new ideas and technologies that can propel our business forward.
- **COLLABORATIVE DELIVERY:** We work together as a team to achieve excellent results, valuing input from diverse perspectives and taking pride in our collective achievements.

Conformance-Based Management

In managing our TSF, we adhere to a conformance-based management approach, promoting compliance with best practices, guidance and standards. The following categories encompass the framework for our TSF design management:

- **Regulatory requirements:** We comply with the requirements set by relevant regulatory bodies in our countries of operation.
- **Licence and operating conditions:** We meet specific conditions outlined for each TSF during its operation.
- **Technical and industry standards and guidelines:** We adhere to mandatory technical standards for the investigation, design, and operation of TSF, including guidelines such as the ANCOLD Guidelines and ICOLD bulletins.
- **Peak industry standards and guidelines:** As a member of peak industry bodies, we adopt standards and guidelines developed by these organisations. The GISTM is an example of such a standard.
- **Internal standards:** Gold Fields has an internal standard that covers governance, management, and technical aspects throughout the lifecycle of a TSF.

Design Description

To provide an overview of our design approach, we present key design information for our priority TSF as of December 2022, as summarised in Table 2.

**Table 2: Summary of TSF Status**

Parameter	Unit	Cerro Corona
Engineer of Record		Stantec
GISTM Consequence Classification		Extreme
Commissioning year	Yr.	2008
Final Permitted Capacity	Mt	113
Final Permitted Elevation	mRL	3803
Current Elevation	mRL	3797.5
Raise Method		Modified Centerline
Facility Liner Type		Unlined
Raise Construction Materials		Waste rock/clay zoned/filter zones.
Current Maximum Height	m	156
Current Stage/Raise	No	18
Next Stage/Raise	No	19
Final Permitted Stage/Raise	No	19
Status		Active Deposition



TSF design summary

Description of the TSF

The TSF at Cerro Corona is a rockfill dam incorporating various components to promote its integrity. It includes a low-permeability core, filter, and transition zones. The dam extends across the Las Aguilas, Las Gordas, and La Hierba valleys, serving as an impoundment area for the deposited tailings and water within the TSF. This design promotes the containment and management of tailings materials in a safe and environmentally responsible manner.

Alignment with Core Values: Safety and Integrity

Safety and integrity are at the forefront of our core values. At the Cerro Corona Mine, we are deeply committed to maintaining the highest standards of safety in our operations. By incorporating foundation enhancements and proactive seepage management strategies, we promote the robustness and reliability of the TSF, fostering a secure environment for our workforce and the surrounding communities.

Key features of the TSF design

The TSF design incorporates several key features that promote stability and address environmental considerations. The following chronology outlines the development of TSF and highlights its important features:

- **Upstream Rockfill:** The design incorporates an upstream rockfill to enhance upstream stability. This decision was based on engineering analyses considering the anticipated dam raise heights and measured tailings strengths. A filter and drain zone separates the core and rockfill materials to prevent migration of core materials into the rockfill. This arrangement serves as a transition zone, reducing the potential for material movement. In addition, a grout curtain has been installed in the foundation materials along the axis of the TSF dam to minimise seepage rates from the facility.
- **Containment clay blankets:** These blankets comprise compacted, low-permeability material that mitigates seepage and particle transport between the reservoir and the natural topography (bedrock) or between the reservoir and the Las Gordas waste rock storage facility (WSF). These blankets are constructed in the North Area over the Rhyolite Area (called the rhyolite containment blanket - RCB) and the East Area over the front part of the Las Gordas WSF (the upstream containment blanket - UCB). These blankets include granular drains, pipes, and vertical pumping risers, which allow for the management of water levels.
- **Natural hydraulic containment** is defined as natural groundwater conditions that prevent losses of impacted water and/or tailings from the facility. These conditions have been demonstrated in the southern and western portions of the TSF through hydrogeological investigations and water quality monitoring.
- **Construction Strategy:** TSF construction commenced with starter dams in the Las Gordas and Las Aguilas valleys. Over time, these dams intersected above the starter dam elevation, forming a continuous structure. The Las Flacas ridge is a natural divider, separating the Las Gordas and Las Aguilas valleys. Up to an elevation of approximately 3732 meters above sea level (masl), the two portions of the TSF function as separate impoundments. Beyond this elevation, they are combined.
- **Optimised Centerline Method:** Initial raises of the TSF dam above the starter dam elevation (3720 masl in the Las Gordas valley) utilised the optimised centerline (CL) method. This method involves constructing the internal dam zones at a downstream inclined slope of 0.83 horizontal units to 1 vertical unit (0.83H:1V) instead of the traditional vertical construction seen with centerline methods. This approach was adopted to compensate for the impounded tailings, which had a relatively low strength.
- **Transition to Centerline Raise:** In the Las Aguilas Valley, the starter dam was constructed to a higher elevation (3,732 masl) using optimised centerline construction and an upstream zone of compacted tailings to support the upstream portion of the TSF dam. However, as TSF operations continued, observations of increasing tailings beach lengths and evaluations of impounded tailings indicated increasing shear strength



in the tailings beach. Consequently, the centerline raise concept was adopted for further raises of the TSF dam and has been consistently employed since then.

- **Incremental Raises:** The incremental raises of the TSF dam have been categorised as "stages" up to a crest elevation of 3,771 masl (Stage 12). Subsequently, the raises have been referred to based on the TSF dam crest elevation at the end of the raise. Construction methods for the TSF dam have varied below elevation 3,740 masl (Stage 4) to accommodate deposition into individual basins and account for varying foundation and impounded tailings conditions. Above elevation 3,740 masl, the raise methodology has been relatively consistent, primarily consisting of centerline raises with some variations in the geometry of the core zones to address material availability and decreasing hydraulic gradients.
- **Tailings Storage and Characteristics:** The TSF stores two types of tailings: Coarse Tailings (Rougher Scavenger Tailings - RST) and Fine Tailings (Cleaner Scavenger Tailings - CST). RST, which constitutes approximately 95% of the total tailings stream, is produced from the rougher flotation cells after a scavenging stage. It has a lower sulfide content as most of the sulfide mineralisation is floated off in the rougher circuit. CST, produced from the cleaner flotation cells after a scavenging stage, undergoes a regrind stage, resulting in a finer gradation. At deposition into the TSF, the pH of the tailings streams is elevated due to the addition of lime to the process. While the potential for acid generation from CST exists, the potential for acid generation from RST is considered negligible.
- **Solids Content and Discharge:** The RST is thickened to approximately 48% solids content by weight before discharge into the TSF. On the other hand, the CST, which is not thickened, is discharged at approximately 18% solids content (ranging from 16% to 20%) by weight. During operations, a main system is typically used for tailings transportation, while an auxiliary or emergency system acts as a backup, enabling bypass of the RST or CST transportation systems until the main system is operational again.

Aerial Image and Cross-Section

A recent aerial image of the TSF is presented in Figure 3, providing an overview of the facility. Figure 4 presents a cross-section through the TSF, illustrating the various raises and stages of the facility. Additionally, Figure 5 presents a recent aerial photograph of the embankment showing the clay core and filter zones.



Figure 3



Figure 3: Aerial Image of TSF 1

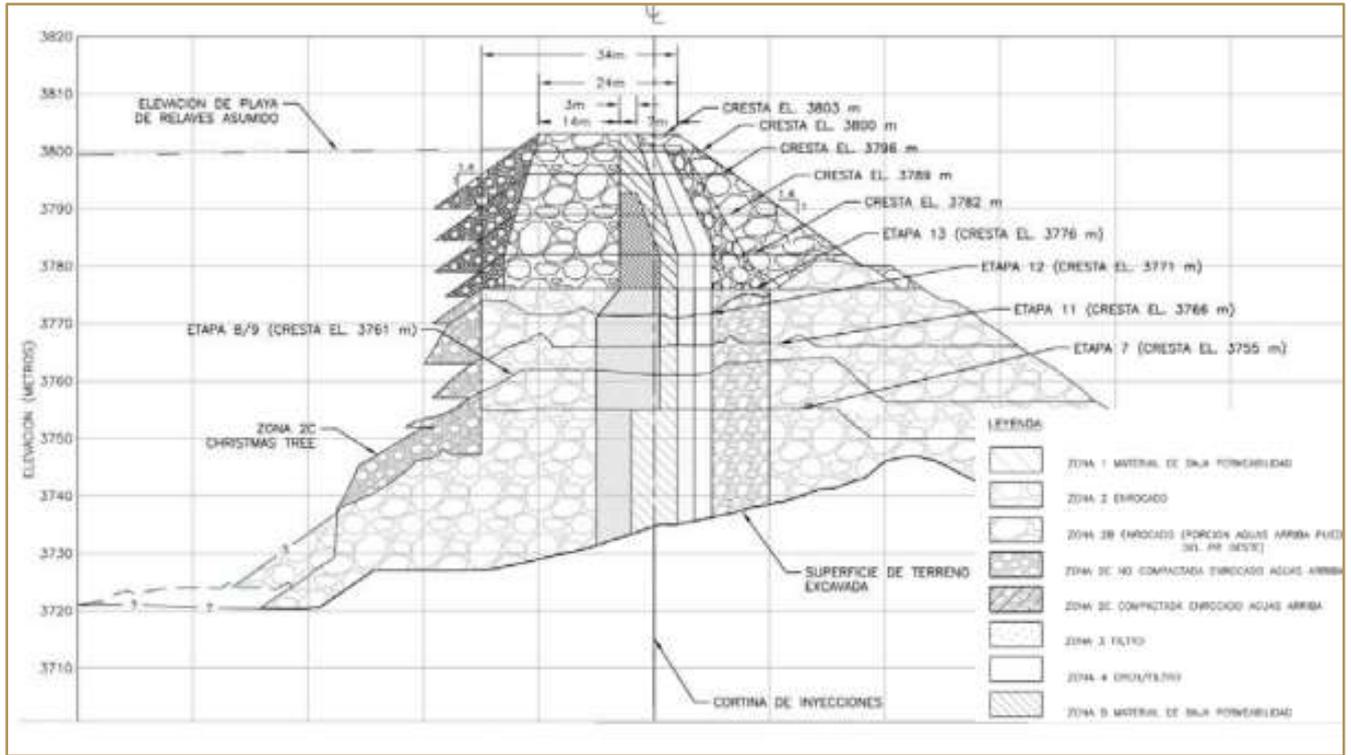


Figure 4: Typical Cross-section of the TSF Embankment



Figure 5: Photograph of the Cerro Corona TSF



2.7. SUMMARY OF ANNUAL PERFORMANCE REVIEW

Annual Performance Review (2022)

At Gold Fields, we prioritise the regular and thorough assessment of our TSFs to promote their safety and integrity. The most recent annual performance review covers the period from January 2022 to December 2022. This review serves as a comprehensive evaluation of our tailings management practices during that time frame.

Next Annual Performance Review

The next annual performance review will cover the period from January 2023 to December 2023 and will be submitted in March 2024. We are dedicated to conducting regular assessments and providing updates to maintain the highest standards of tailings facility management.

Material Findings and Actions Taken

The annual performance review highlighted areas for improvement. These findings are summarised in Table 3.

Table 3: Summary of Areas for Improvement from the 2022 Annual Performance Review

Status as at	Area for improvement	Status
July 2023	<ul style="list-style-type: none"> The operating rules and discharge capacity for the Las Gordas LVU should be improved to reduce the risk of release during a large storm event. A diaphragm filter should be constructed around the Manuel Vasquez Pipeline (MVP) penetration through the TSF Dam foundation in accordance with the field instruction prepared by the EoR. The mitigation measures developed by the EOR should be implemented to address the foundation conditions encountered in the UCB Central, UCB South, and UCB Extension. Quarterly drone surveys and tailings deposition plan updates should be performed to allow for calibration of the tailings deposition model and improvements to deposition practices as the facility nears the end of deposition over the next several years. As-built information should be located for all instrumentation and included in the Surveillance Manual. TARP compliance should be monitored and assessed for all of the regional piezometers included in the TSF TARP. Coordination should be improved between geotechnical and environmental staff with regard to monitoring and assessing TARP compliance and implementing actions in the case of exceedances. 	<ul style="list-style-type: none"> These findings are currently being addressed and do not have a material impact on dam safety.

Quarterly Performance Reviews

In addition to the annual review, our EoR and RTFE conduct quarterly performance reviews to proactively monitor and address emerging issues or potential risks. These reviews allow us to stay vigilant and continuously improve our tailings management processes.



Dam Safety Review (DSR)

In H2 2022, a comprehensive Dam Safety Review (DSR) was conducted by SRK Consulting, an independent consulting firm. The DSR evaluated various aspects of our tailings facility and identified areas for improvement. The findings of the DSR are integrated into our performance review process to promote a holistic approach to safety and risk management.



2.8. SUMMARY OF DAM SAFETY REVIEW FINDINGS

DSR (Dam Safety Review) – 2022

The DSR is a crucial component of our commitment to promoting the safety and integrity of our TSF. In line with this commitment, a comprehensive DSR was conducted in the fourth quarter of 2022 and submitted to Cerro Corona in 2023.

Summary of Findings

The DSR identified two categories of findings: **Priority 1** (Serious defect or dam safety issue requiring immediate action/remediation) and **Priority 2** (Defect or dam safety issue sufficiently serious to require action/remediation within 12 months). The key findings are summarised in Table 4.

It should be noted that **no Priority 1 findings** were registered.

Table 4: Summary of DSR Findings (2023)

Status as at	Finding	Description	Status as of June 2023
May 2023	Priority 2	<ul style="list-style-type: none"> It is acknowledged that changes to the TSF dam break assessment are unlikely to significantly impact the TSF design/operations but may impact the TSF Emergency Response Plan (ERP) and Emergency Preparedness Plan (EPP). Combined findings on the deformation model suggest that the maximum crest settlements obtained from dynamic deformation might be underestimated. In the absence of adjusting the model to incorporate the proposed changes, benchmarking against similar seismic events (Swaisgood, 2003) highlights that the modelled settlements are lower than expected. According to CDA, in cases where dam failure or passage of a major flood could result in loss of life, the dam owner should prepare and maintain an EPP. Cerro Corona performs emergency response exercises on a scheduled frequency for various site emergencies; however, to date, it has not performed exercises that simulate a catastrophic dam failure. The existing FMEA (MWH, 2017e) should be updated. 	<ul style="list-style-type: none"> Status: These findings are currently being addressed and do not have a material impact on dam safety. The FMEA has been updated as part of the 2023 SQRA.

The above table summarises the findings from the DSR completed in 2022/2023, classified as Priority 2. These findings represent areas of improvement and action required to promote the safety and integrity of our TSF.



2.9. SUMMARY OF MATERIAL FINDINGS FROM ESG MONITORING PROGRAMMES

Background

At Gold Fields, we prioritise the safety and well-being of our host communities and the environment. As part of our ongoing efforts, we conduct comprehensive environmental and social monitoring programs to promote the sustainable management of our operations. In accordance with Requirement 15.B.7 of GISTM, we present below the material findings from our ESG monitoring programme.

Human Rights Impact Assessments

Gold Fields acknowledges that our mining operations can potentially impact the human rights of our workforce and members of our host communities. We are dedicated to upholding and respecting the human rights of these important stakeholders. Our commitment to human rights is reflected in our Human Rights Policy Statement, which is an integral part of our Code of Conduct. This policy applies to all individuals associated with Gold Fields, including directors, contractors and suppliers.

In H1 2022, we diligently worked to implement mitigation plans based on the findings of our most recent human rights due diligence assessments. The human rights impacts and mitigation plans are documented in the Cerro Corona Operational Risk Register. For H2 2023, we will update the assessment to adopt the new ICMM due diligence guidelines published in H1 2023.

Human Rights Training and Empowerment

To promote a comprehensive understanding of human rights principles and their application within our company and stakeholder interactions, we launched an updated e-learning human rights training programme in 2021. The training equips all our employees with the knowledge and awareness necessary to uphold human rights in their daily work. We proudly report that over 90% of the assigned employees completed the training, demonstrating our commitment to building a human rights-conscious culture within Gold Fields.

Legacy Programs for Host Communities

As part of our broader commitment to our host communities and environmental resilience, we have set a target to implement six legacy programs by 2030. These programs are designed to have a positive and lasting impact beyond the lives of our mines. We have developed a pipeline of projects, and the implementation of the first program is scheduled to commence in 2023. These initiatives exemplify our dedication to creating a sustainable future for our host communities long after our mining activities cease.

Further Information

For a more detailed overview of our environmental and social performance, including material findings and mitigation measures, we invite you to refer to our Integrated Annual Report (IAR) for 2022. The IAR provides comprehensive information on our sustainability efforts and can be accessed at the following link: [iar-2022-full.pdf \(goldfields.com\)](#) and [gold-fields-report-to-stakeholders-2022.pdf \(goldfields.com\)](#).



2.10. SUMMARY VERSION OF THE TAILINGS FACILITY EMERGENCY RESPONSE AND PREPAREDNESS PLAN

Background

At Gold Fields, we prioritise the safety and integrity of our TSF. As part of our commitment to effective disaster management planning, we have established a Catastrophic Risk Management System (CMS) and Plan for the Cerro Corona mine. This system is designed to respond to tailings emergencies and other catastrophic risks.

Engagement and Training

The Cerro Corona Tailings Stewardship team actively engages with the host communities, agencies, and authorities. We provide training and conduct emergency response simulations to promote effective collaboration and preparedness. Our most recent exercise included a desktop review of a hypothetical failure event with operators in July 2023.

We are working with a local NGO, Practical Action, and supporting initiatives by the National Institute of Civil Defense (Defensa Civil) in the Tingo Valley, actively testing drills with downstream communities on Extreme Natural Flooding scenarios.

Emergency Preparedness and Response Plan (EPRP)

Our dedicated Emergency Preparedness and Response Plan (EPRP) serves as the foundation of our CMS. Before introducing the GISTM, we already had an EPRP. We have communicated our plans to a local NGO, Practical Action, that we intend to engage in supporting us with a second phase of work involving detailed engagement with the community.

Comprehensive Map

As part of the technical studies undertaken by the team in the GISTM Implementation program, we have developed a detailed map providing essential disaster management planning information. This map includes normal flood events, abnormal flood conditions, evacuation routes, and muster points.

The Defensa Civil is currently engaging communities to test responses to Extreme Flood events in the Tingo Valley. The Defensa Civil has mapped communities and local capability and undertaken emergency response drills with the community for extreme Natural Flooding events.

The next phase of our work is to engage and integrate our work into the overarching Defensa Civil plan.

Access to the Summary EPRP

A summary of the EPRP will be made available on our website to facilitate transparency and public disclosure. This summary overviews our approach to tailings facility management and highlights the key aspects of our preparedness and response measures.

Adhering to Our Core Values

In developing and maintaining the Tailings EPRP, we remain steadfast in upholding our company's core values. These values guide our actions and decisions, promoting prioritising safety, acting with integrity, respecting all stakeholders, taking responsibility for our actions, embracing innovation, and working collaboratively to deliver excellent results.



2.11. DATES OF THE MOST RECENT AND NEXT INDEPENDENT REVIEWS

Background

The safety and integrity of our TSF are of utmost importance to us at Gold Fields. As part of our commitment to transparency and continuous improvement, we undergo regular independent reviews of our TSF.

Dates of the most recent Independent Reviews

The following is a summary of the most recent independent reviews conducted:

ITRB Review:

- The most recent ITRB meeting was held in October 2022. The ITRB are scheduled to meet again in August 2023.

Third-Party Reviews:

- The third-party reviewer, Ausenco, prepares an annual third-party review report. This was most recently completed in December 2022.
- A DSR was completed in December 2022, which involved an operational, governance and management review component.

Operational Review:

- The next operational, governance and management review for Cerro Corona Mine TSF is scheduled for the second half of 2023.

We value the insights and recommendations provided by these independent reviews, as they help us identify areas for improvement and promote the ongoing safety and effectiveness of our TSF. The next round of reviews will further contribute to our commitment to excellence in tailings management.



2.12. ANNUAL CONFIRMATION OF FINANCIAL CAPACITY FOR CLOSURE

Background

At Gold Fields, we recognise the importance of responsible mine closure in minimising our environmental and social impacts while optimising our liabilities. We understand that a mining company's ability to close its operations effectively is crucial for maintaining a social license to operate and close.

Integrating mine closure planning, portfolio management, and liability optimisation into our business activities, we have implemented the following measures to support our commitment:

- Regularly reviewing and updating closure plans for our operations.
- Developing rigorous closure cost estimates, which undergo internal and external annual reviews.
- Setting annual performance targets to promote the progressive implementation of rehabilitation plans.

Taking a proactive approach, in 2022, Gold Fields initiated efforts to fund mine closure beyond regulatory requirements. We supplement the funding mandated by regulators to check that we are fully prepared for the inevitable closure of our mines. Additionally, our existing bank checks that security agreements remain in place to address potential unplanned closures and fulfil in-country regulatory obligations.

Additionally, our existing bank checks that security agreements remain in place to address potential unplanned closures and fulfil in-country regulatory obligations.

In Peru, we make provisions for mine closure cost estimates through bank guarantees and restricted funds set aside (US\$10m was set aside for 2022).

For more detailed information, please refer to our website section on Integrated Mine Closure under the Sustainability tab on Gold Fields' official website. You can find the link here: [Integrated mine closure | SUSTAINABILITY | Gold Fields](#)

Furthermore, you can also access the 2022 Annual Financial Report, including relevant details on mine closure, by downloading the document titled "annual-financial-report-2022.pdf" from our website at [iar-2022-full.pdf \(goldfields.com\)](#)

In alignment with our core values, including Safety, Integrity, Respect, Responsibility, Innovation, and Collaborative Delivery, we remain committed to diligently planning for the closure of our mining operations, promoting that we fulfil our environmental and social responsibilities while delivering excellent results as part of the Gold Fields family.

Additional Information

For further information, please refer to the following public disclosures:

- [Gold Fields Website | Integrated mine closure | SUSTAINABILITY | Gold Fields](#)
- [2022 Gold Fields Annual Financial Report](#)



2.13. PROVISION OF BREACH ANALYSES INFORMATION TO AUTHORITIES AND EMERGENCY SERVICES

In accordance with the GISTM, Gold Fields is committed to providing local authorities and emergency services with the necessary information derived from our breach analysis, such as evacuation routes and muster points. This information is essential for enabling effective disaster management planning.

As part of our tailings management practices, we conducted thorough breach analyses to evaluate potential failure modes and assess the risks associated with the TSF. These analyses provide us with critical insights into the behaviour and potential consequences of our tailings facilities.

The information obtained from these breach analyses forms the basis for developing comprehensive disaster management plans. Sharing this information with local authorities and emergency services will allow them access to the necessary data to make informed decisions and take appropriate actions in the event of a tailings emergency.

Through our commitment to transparency and cooperation, we actively engage with local authorities and emergency services to facilitate the exchange of this vital information. By working together, we aim to enhance preparedness, response capabilities, and overall safety for our operations and surrounding communities.



PART 3: GOLD FIELDS SELF-ASSESSMENT REPORT

Part 3 of this Annual Tailings Disclosure Report has been prepared to justify our self-assessment results and conformance levels.

3.1. ABOUT THE GOLD FIELDS SELF-ASSESSMENT

In line with our commitment to conforming to the GISTM, the Gold Fields Global Tailings Management team has prepared this self-assessment report specifically for the Gold Fields Cerro Corona mine. This report aims to demonstrate how our operations align with the principles and requirements outlined in the GISTM.

Within this section of the report, you will find a detailed account of our documented self-assessment outcome, accompanied by a thorough discussion and justification explaining our assessment ratings.

The GISTM mandates its members to "demonstrate conformance...based on self-assessments at a minimum." Furthermore, it emphasises the importance of engaging third-party auditors to validate the assertions made in self-assessments. Following these guidelines, Gold Fields has engaged a reputable third-party auditor to verify our assumptions and provide additional assurance independently.

At the time of this assessment, the third-party auditors attended the site and presented preliminary findings. The outcome of the audit will be disclosed post-5 August 2023.

To check clarity and consistency throughout this assessment, we have adopted specific definitions, providing a clear understanding of the terminology and criteria used in our evaluation process (Table 5).

Please note that we have not claimed conformance with specific requirements of the GISTM where the requirement has not yet been fully implemented, even though a plan is available to achieve full conformance – which is referred to in shorthand as ‘meets with a plan’.

We believe that transparency is crucial in fostering trust and accountability. This report aims to provide our stakeholders and the public with a comprehensive overview of our performance against the GISTM.

Table 5: Definition of Conformance taken from the ICMM April 2023 Clarification

Symbol	Conformance Level	Definition of outcome
	Meets	Systems and/or practices related to the Requirement have been implemented , and sufficient evidence demonstrates that the Requirement is being met .
	Partially Meets - Some progress has been made on the 'Meets' criteria, but for at least one of them:	<ul style="list-style-type: none"> Systems and/or practices related to meeting the criterion have been only partially implemented Gaps or weaknesses persist that may contribute to an inability to meet the intended outcome of the criterion Insufficient verifiable evidence has been provided to demonstrate that the criterion has been met A plan is in place to address deficiencies in other criteria
	Does Not Meet	Systems and/or practices required to support the requirement implementation are not in place, are not being implemented, or cannot be evidenced.
	Not Applicable	The specific Requirement does not apply to the context of the asset.



3.2. BACKGROUND

GISTM Implementation

The ICMM committed to achieving full conformance within three years for tailings facilities classified as "extreme" or "very high" consequences through the GISTM launched in August 2020. This ambitious commitment acted as a catalyst, spurring immediate and sustained action by companies to adhere to the Standard. Gold Fields, among others, has made significant progress towards this goal, referred to as "substantial conformance."

Implementing the GISTM within the given timeframe has presented considerable challenges due to site-specific factors. Progressing all 15 Principles, 77 requirements (or 219 requirement criteria) simultaneously is a significant challenge, as certain requirements depend on the completion of others. The GISTM requirements encompass 40% engineering, 40% governance and management, and 30% environmental and social elements. For example, developing breach analyses necessitates establishing credible failure modes to determine consequence classifications.

Attaining full conformance with the GISTM requires the completion of over 220 physical deliverables and documents, each constituting an independent project.

It is essential to recognize that all facilities classified as having "extreme" and "very high" consequences have the potential to impact over 1000 people living downstream, and the GISTM emphasises meaningful engagement with all project-affected individuals. Closing out all governance, engineering and technical studies and meaningfully engaging the community downstream is quite challenging, particularly in countries with limited access to technology, internet, education, water and sanitation.

Cerro Corona's Tailings Storage Facilities

Per the plain language summary in Parts 1 and 2 of this Annual Tailings Disclosure report, the Cerro Corona mine has one TSF. In accordance with the GISTM, the TSF has been classified as having an 'Extreme' consequence. It is important to note that no new TSFs are currently being developed at the site.

The Cerro Corona Tailings Stewardship Team

The Gold Fields Global Tailings team has established the Cerro Corona Tailings Stewardship team to enhance our tailings management practices. This team comprises key stakeholders from various departments, including sustainable development, community relations, mine management, engineer of record, and mine engineering teams. The Cerro Corona Tailings Stewardship team is headed by the RTFE at the site, with support from the mine's Manager for Water and Tailings.

Each member of this team contributes equally to the overall management of tailings. Throughout this document, you will notice references to the Cerro Corona Tailings Stewardship team, highlighting their collaborative efforts and involvement in tailings management.

Scope of this Self-Assessment

In alignment with our commitment to provide disclosures for TSFs with Very High and Extreme Consequence Classifications, this self-assessment report specifically focuses on the Cerro Corona TSF, which has been classified as having an 'Extreme' Consequence Classification.

GISTM Internal Self-Assessments

A self-assessment is a first-party confirmation of the existence and integrity of systems and/or practices relating to implementation, to the extent that they are applicable in a given context. ICMM members are committed to implementing the Standard by 5 August 2023 for operated tailings facilities with 'Extreme' or 'Very High' potential consequences and by 2025 for all other tailings facilities. The self-assessments have been carried out in accordance with the ICMM Conformance Protocols released in May 2021.



Approach to Implementation

Our approach to implementing the GISTM was focused on two primary objectives. Firstly, we aimed to establish robust governance and management systems and processes to check the effective oversight of our TSFs. Secondly, we sought to expand our knowledge base and gain a comprehensive understanding of the TSF, including its design, history, social and environmental context and associated risks.

Forming a clear picture of the TSF and its corresponding risk profile is a complex task that requires numerous technical studies. These studies have been continuously reviewed and updated as new information became available. This iterative process has allowed us to refine our understanding and improve our risk assessments.

While we have successfully addressed all elements related to material dam safety and the environment, we have also identified areas for further improvement or additional work. This ongoing commitment to improvement reflects our dedication to maintaining the highest standards of tailings management and checking the long-term safety and integrity of our facilities.

It should be noted that the time to complete a site investigation for a site with this complexity can be between 6 and 9 months. Additionally, shipping material samples to international laboratories and completing a suite of advanced geotechnical testing can take between 3 and 12 months. The analysis of this comprehensive dataset can take between 3 and 9 months. The reader should be cognisant of this and similar timelines in the context of areas of partial conformance.

Description of our Conformance

Our assessment includes a summary description of our conformance and/or systems and/or practices that promote the implementation of the GISTM. Gold Fields developed a detailed self-assessment template and supporting database to complete the assessment and retain evidence for internal assessment, reporting, and independent validation purposes. In addition, our self-assessment template and database check consistency between regions and operations and allow for internal analysis and benchmarking.

Our disclosures prioritise transparency to maintain our credibility and foster trust. The GISTM, as a newly introduced governance and management Standard, represents a journey in its implementation and signifies a significant step towards raising the standards in tailings management.

Even if full conformance cannot be demonstrated by the established conformance deadlines by Gold Fields or its peers, we believe it is important to recognise the industry's journey to implement the GISTM and the enhancements being made - now and into the future.



3.3. SUMMARY OF THE GOLD FIELDS SELF-ASSESSMENT OUTCOME

Self-Assessment Outcome Summary

It is essential to recognise that all facilities classified as having "extreme" and "very high" consequences have the potential to impact over 1,000 people living downstream, and the GISTM emphasises meaningful engagement with all project-affected individuals. Closing out all governance, engineering and technical studies and meaningfully engaging the community downstream is quite challenging. Particularly in countries with limited access to technology, internet, education, water and sanitation.

At Cerro Corona, our focus was to initially mitigate dam safety and environmental risks, establish robust governance and management systems, and conduct comprehensive engineering, social, and environmental studies. The next phase of our GISTM journey involves continuing to engage with the community meaningfully.

Further to the social challenges, various practical and technical challenges exist, such as limited access to reliable testing facilities and long lead times for obtaining analytical results. Additionally, there is a scarcity of deep expertise in tailings management within the global consulting community, which both members and other companies rely on for guidance.

It is crucial to consider the broader context and the journey towards conformance when evaluating performance in tailings management. Assigning a simplistic percentage score to multifaceted aspects, like human rights due diligence assessments, can oversimplify the evaluation process. Gold Fields acknowledges the limitations of a linear approach and emphasises demonstrating substantial conformance.

Achieving full conformance with the GISTM requires completing over 220 physical deliverables and documents, each constituting an independent project. ***The diligent efforts of the Cerro Corona Team have resulted in 88% conformance with the 219 requirement criteria of the GISTM. Only 184 of the requirement criteria are applicable to the TSF at Cerro Corona.***

This significant accomplishment involves completing 161 'applicable' of 184 requirement criteria of the GISTM, a monumental achievement in 30 months. Importantly, all significant dam safety and environmental-related items have been identified, addressed, and effectively managed.

A summary of the self-assessment outcome is presented in Figure 6. Contextual information, a justification explaining the level of conformance and an overview of the self-assessment results for the Cerro Corona TSF are included in Appendix A.

While the Cerro Corona TSF is currently in partial conformance with the GISTM, all dam safety and environmental-related aspects have been addressed, and the risks associated with the facility are well within acceptable limits.

Gold Fields recognises that the Standard sets high expectations and prefers a quality-driven approach rather than mere compliance. This marks a significant step forward in the industry.



Self-Assessment Outcome



Figure 6: Self-Assessment Summary August 2023



Appendix A: Self-assessment results and justification at the requirement part level



GISTM Principle 01

Respect the Human Rights of Project-Affected People and Meaningfully engage them at all phases of the Tailings Facility Lifecycle, including closure.

Principle 01 - Self-Assessment Outcome

The Cerro Corona mine has a single TSF with an Extreme Consequence Classification. A summary of the self-assessment outcome for Principle 01 of the GISTM is presented in Table 6 below. Further information specific to each requirement part is provided in subsequent sections of this report.

Table 6: Principle 01 – Self-Assessment Outcome Summary

Req.	Part	Criteria	TSF 1
1.1	A	The Operator has a policy commitment to respect human rights in accordance with the UNGPs.	✓
	B	The Operator has conducted a site-specific human rights due diligence process to inform management decisions throughout the tailings lifecycle.	✓
	C	The Operator has addressed the human rights risks of tailings facility credible failure scenarios where such scenarios exist for a given facility.	✓
1.2	A	For new facilities, the Operator has identified indigenous or tribal peoples, that may be affected by a new tailings facility, and understands how the rights of these groups may be impacted, including their land and resource rights and their right to self-determination.	–
	B	If indigenous or tribal peoples are identified in accordance with requirement 1.2.A, the Operator works to obtain and maintain FPIC from indigenous or tribal peoples, in conformance with international guidance and recognised best practice frameworks.	–
1.3	A	The Operator has identified project-affected people.	⚠
	B	The Operator has undertaken meaningful engagement with project-affected people throughout the tailings facility lifecycle to: <ul style="list-style-type: none"> • Share relevant and accessible information about the tailings facility; • Build the knowledge base for the tailings facility, including the social, environmental and local economic context; and, • Seek feedback on decisions that may have a bearing on public safety and the integrity of the tailings facility. 	⚠
1.4	A	An effective operational-level non-judicial grievance mechanism accessible to project-affected people has been developed and implemented.	✓
	B	The grievance mechanism addresses complaints and grievances of project-affected people relating to the tailings facility.	✓
	C	The grievance mechanism provides a remedy in accordance with UNGPs 29-31.	✓



Requirement 1.1 - Self-Assessment Rating Justification

Demonstrate respect for human rights in accordance with the United Nations Guiding Principles on Business and Human Rights (UNGP), conduct human rights due diligence to inform management decisions throughout the tailings facility lifecycle and address the human rights risks of tailings facility credible failure scenarios.

For existing facilities, the Operator can initially opt to prioritize salient human rights issues in accordance with the UNGP.

✔ Requirement 1.1.A

Criteria

The Operator has a policy commitment to respect human rights in accordance with the UNGPs.

Discussion

Gold Fields has implemented a comprehensive Human Rights policy that has received the endorsement of the Board at a Corporate level. Additionally, the policy has also been endorsed by the Regional Executive at a regional level. A hard copy of this policy is available at Gold Fields' premises, checking easy access for all staff members. Furthermore, a digital copy of the policy is readily available on SharePoint, a centralised platform utilised by the organisation.

Therefore, Gold Fields has ranked this Requirement as "Meets".

Assessment Outcome

- ✔ Meets this Requirement



✔ Requirement 1.1.B

Criteria

The Operator has conducted a site-specific human rights due diligence process to inform management decisions throughout the tailing's lifecycle.

Discussion

Gold Fields acknowledges that our mining operations can potentially impact the human rights of our workforce and members of our host communities. We are dedicated to upholding and respecting the human rights of these important stakeholder groups. Our commitment to human rights is reflected in our Human Rights Policy Statement, which is an integral part of our Code of Conduct. This policy applies to all individuals associated with Gold Fields, including directors, contractors, and suppliers.

In H1 2022, we diligently worked to implement mitigation plans based on our most recent human rights due diligence assessment findings. The Cerro Corona Operational Risk Register documents the impacts, preventative controls, and mitigation plans based on the knowledge available at the time of this assessment. For H2 2023, we will update the assessment to adopt the new ICMM due diligence guidelines.

As part of our commitment to ongoing improvement, we have continued the rollout of our eLearning human rights training throughout 2022. This training equips all our employees with a comprehensive understanding of human rights and how they relate to our company and stakeholders and empowers our workforce to uphold these rights. We proudly report that over 90% of employees assigned to the training completed it successfully.

We have a sound understanding of human rights risks at the time of this disclosure.

Therefore, Gold Fields has ranked this Requirement as "Meets".

Assessment Outcome

- ✔ Meets this Requirement



✔ Requirement 1.1.C

Criteria

The Operator has addressed the human rights risks of tailings facility credible failure scenarios where such scenarios exist for a given facility.

Discussion

Gold Fields has conducted a thorough site-specific human rights due diligence process as part of our commitment to respecting human rights in accordance with the United Nations Guiding Principles on Business and Human Rights (UNGP).

In 2022, we implemented mitigation plans based on our most recent human rights due diligence assessment findings based on the knowledge available at the time of this assessment. Our Cerro Corona Operational Risk Register documents the impacts and mitigation plans and presents how human rights risks are addressed.

Therefore, Gold Fields has ranked this Requirement as "Meets".

Assessment Outcome

- ✔ Meets this Requirement



Requirement 1.2 - Self-Assessment Rating Justification

Where a new tailings facility may impact the rights of indigenous or tribal peoples, including their land and resource rights and their right to self-determination, work to obtain and maintain Free, Prior and Informed Consent (FPIC) by demonstrating conformance to international guidance and recognised best practise frameworks.

— Requirement 1.2.A

Criteria

For new facilities, the Operator has identified indigenous or tribal peoples, that may be affected by a new tailings facility, and understands how the rights of these groups may be impacted, including their land and resource rights and their right to self-determination.

Discussion

The TSF at the Cerro Corona mine is an existing facility with an Extreme Consequence Classification. A new in-pit TSF is currently being studied. However, it has a Low consequence classification and is due for GISTM conformance in August 2025.

As the existing facility is not new, **Gold Fields has ranked this Requirement as “Not applicable”.**

Assessment Outcome

- — **Not applicable**



— Requirement 1.2.B

Criteria

If indigenous or tribal peoples are identified in accordance with (a), the following are demonstrated: The Operator works to obtain and maintain FPIC from identified indigenous or tribal peoples, in conformance with international guidance and recognised best practice frameworks.

Discussion

The TSF at the Cerro Corona mine is an existing facility with an Extreme Consequence Classification. A new in-pit TSF is currently being studied, however, as it has a Low consequence classification and is due for GISTM conformance in August 2025.

As the facility is not new, **Gold Fields rated this specific requirement as “Not applicable”.**

Assessment Outcome

- — Not applicable



Requirement 1.3 - Self-Assessment Rating Justification

Demonstrate that project-affected people are meaningfully engaged throughout the tailings facility lifecycle in building the knowledge base and in decisions that have a bearing on public safety and the integrity of the tailings facility. The Operator shall share information to support the process.

Requirement 1.3.A

Criteria

The Operator has identified project-affected people.

Discussion

Gold Fields has a well-established relationship with the community surrounding the Cerro Corona mine, thanks to the dedicated Cerro Corona Community Relations team. The team actively maintains a comprehensive stakeholder register encompassing various key individuals and groups. These include site personnel, project-affected people, emergency response contacts, and contacts from government and regulatory bodies, among others.

The team has developed comprehensive maps to visually represent the downstream communities, project-affected peoples and their respective locations. The stakeholder maps depict the extent of project-affected peoples and highlight cultural or heritage significance areas based on the knowledge available at the time of this assessment.

Our understanding of project affected peoples was also well documented as part of the preparation of the Second Sustaining Technical Report (ITS 2) endorsed by R.D. N° 324-2017-SENACE / DCA and VIII Modification of the Environmental Impact Study of Cerro Corona endorsed by R.D. N° 0171-2019-SENACE-PE / DEAR.

Preparing the comprehensive stakeholder maps enables us to communicate effectively, engage, and coordinate with the project-affected people and other relevant stakeholders. We remain committed to upholding strong relationships with all stakeholders as an integral part of our sustainable development approach.

The inundation study undertaken for the site changed in H1 2023. As such, the team should repeat the exercises undertaken to date. As the revised program is currently underway, the team has rated this requirement as "Partially Meets".

Therefore, Gold Fields has ranked this Requirement as "Partially Meets".

Assessment Outcome

-  **Partially Meets this Requirement**



🔍 Requirement 1.3.B

Criteria

The Operator has undertaken meaningful engagement with project-affected people throughout the tailings facility lifecycle to:

- Share relevant and accessible information about the tailings facility;
- Build the knowledge base for the tailings facility, including the social, environmental and local economic context; and,
- Seek feedback on decisions that may have a bearing on public safety and the integrity of the tailings facility.

Discussion

The Cerro Corona Community Relations and Technical teams are committed to maintaining open lines of communication with the local community members, fostering meaningful engagement, and sharing relevant information about the Cerro Corona mine. Regular meetings are held to address a wide range of topics and check effective dialogue.

The GISTM defines project-affected people as ‘People who may experience impacts from a tailings facility’. People affected by a tailings facility may include, for example, people who live nearby; people who hear, smell or see the facility; or people who own, reside on or use the land on which the facility is to be located or may potentially inundate.

The Cerro Corona Tailings Stewardship team provides continuous training on Tailings Management to technical staff, operators and contractors. Many of these workers come from project-affected communities and are currently being trained on the Tailings Management System. This forum provides the space to share doubts and concerns regarding safety, integrity, environmental, economic and social aspects. ‘

The Cerro Corona Community Relations and Social Engagement team continues to utilize different tools to receive feedback from communities by having a continuous presence in the communities, having direct phone lines to share concerns, and also maintaining a robust “Grievance Mechanism” process to identify, follow up and close concerns from stakeholders.

The team also relaunched a Stakeholder Site Visit Program in May 2023 and is considering including Tailings Management Operating Practices and Control – the visit program was unfortunately suspended during the pandemic.

According to Peruvian legislation, every time the site requests a modification of the Environmental Impact Assessment (EIA), a public consultation process (Citizen Participation) is required, and minimum requirements include a revision of environmental aspects, impacts and mitigation plans. Community members have the right to present comments and concerns, which the project team should address to get government approval. The latest EIA Modification that included public participation was conducted in 2018.

The inundation study undertaken for the site changed in H1 2023. As such, the team should repeat the exercises undertaken to date. As the revised program is currently underway, the team has rated this requirement as “Partially Meets”.

Therefore, Gold Fields has ranked this Requirement as "Partially Meets".

Assessment Outcome

- 🟡 Partially Meets this Requirement



Requirement 1.4 - Self-Assessment Rating Justification

Establish an effective operational-level, non-judicial grievance mechanism that addresses complaints and grievances of project-affected people relating to the tailings facility, and provides remedy in accordance with the UNGP.

✔ Requirement 1.4.A

Criteria

An effective operational-level non-judicial grievance mechanism accessible to project-affected people has been developed and implemented.

Discussion

Gold Fields diligently oversees non-judicial grievances, adhering to the Group Disciplinary and Grievance Policy, and guidelines. At the Cerro Corona mine, the Community Relations team via the Permanent Information Office assumes responsibility for managing an operational-level grievance register. This register serves as a centralised platform for recording and tracking all grievances in alignment with the aforementioned corporate policy. The register has been updated to allow grievances to be catalogued if they relate to tailings.

The team checks that project-affected individuals can access a transparent and effective grievance mechanism. By maintaining a comprehensive register, we can accurately document and monitor the progress of grievances, thereby facilitating their resolution promptly. This systematic approach underscores our commitment to addressing concerns and maintaining open communication channels with all stakeholders.

Furthermore, the operational-level grievance mechanism is designed to uphold the principles of fairness, confidentiality, and accountability. It provides a structured framework for addressing grievances and striving for satisfactory outcomes that address the concerns and needs of project-affected individuals. We recognise the importance of an accessible and responsive mechanism to foster constructive dialogue and promote positive engagement within the community.

Therefore, Gold Fields has ranked this Requirement as "Meets".

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 1.4.B

Criteria

The grievance mechanism addresses complaints and grievances of project-affected people relating to the tailings facility.

Discussion

To effectively address complaints and grievances from project-affected individuals concerning the tailings facility, the site maintains a structured and comprehensive Grievance Register and manages concerns and complaints through the Permanent Information Office. The Grievance Register is a central repository for systematically logging all grievances and complaints. Recent updates have enhanced functionality, allowing for specific categorisation and reporting of tailings-related grievances.

The custodianship of the Grievance Register rests with our dedicated Cerro Corona Community Relations team. They are responsible for diligently managing and documenting any grievances or complaints related to tailings. In addition, in line with our commitment to transparency and accountability, the team promptly reports these tailings-related issues to the Responsible Tailings Facility Engineer (RTFE) for appropriate attention and action.

Furthermore, on an annual basis, Community Relations is invited to attend the Cerro Corona Annual General Meeting (AGM). T where they can share any lessons learned in the community relations space. This reporting mechanism aims to foster continuous improvement by integrating the lessons learned from any grievances into future plans and operations of the tailings facility.

By systematically recording and reporting tailings-related grievances, we check that concerns and feedback from project-affected individuals are effectively addressed, enhancing our tailings management practices and fostering meaningful engagement with the community.

Therefore, Gold Fields has ranked this Requirement as "Meets".

Assessment Outcome

- ✔ Meets this Requirement



✔ Requirement 1.4.C

Criteria

The grievance mechanism provides remedy in accordance with UNGPs 29-31.

Discussion

The grievance mechanism Gold Fields has in place demonstrates a commitment to providing appropriate remedies in accordance with the principles outlined in the United Nations Guiding Principles on Business and Human Rights (UNGP) 29-31. We prioritise addressing grievances fairly and effectively and check that individuals affected by our operations can access suitable remedies.

All our operations have stakeholder engagement plans and established grievance mechanisms that enable us to address and resolve grievances arising from our activities.

We have internal grievance mechanisms to check that employees and contractors can raise human rights concerns. Grievances are handled by Gold Fields' HR function in consultation with legal teams.

We are committed to addressing community issues and concerns relating to our operations timeously and effectively, where possible. We rely on an external grievance reporting system to maintain confidence and transparent communication with our stakeholders.

Our grievance mechanism enables and encourages community members to voice their complaints freely while obligating our mines to address the grievances within an agreed period.

Where our team cannot resolve grievances, they are escalated to independent mediation.

We recognise that providing remedies is a crucial aspect of the grievance mechanism. Through continuous improvement and stakeholder engagement, we strive to provide appropriate remedies to address grievances raised. Our commitment to transparency and accountability is reinforced by the ongoing evaluation and refinement of our grievance mechanism, thereby supporting the well-being and rights of project-affected individuals.

Therefore, Gold Fields has ranked this Requirement as "Meets".

Assessment Outcome

- ✔ [Meets this Requirement](#)



GISTM Principle 02

Develop and Maintain an Interdisciplinary Knowledge Base to support Safe Tailings Management throughout the Tailings Facility Lifecycle, including closure.

Principle 02 – Self-Assessment Outcome

The Cerro Corona mine has a single TSF, which has been given an Extreme Consequence Classification. A summary of the self-assessment outcome for Principle 02 of the GISTM is presented in Table 7 below. Further information specific to each requirement part is provided in subsequent sections of this report.

Table 7: Principle 02 – Self-Assessment Outcome Summary

Req.	Part	Criteria	TSF 1
2.1	A	The Operator has documented the site-specific social, environmental and economic context in relation to its tailings facility.	✓
	B	The Operator has evaluated uncertainties with climate change that may impact the tailings facility's safety.	✓
	C	The Operator updates site-specific social, environmental and economic information at least five-year intervals and whenever there is a material change to the tailings facility or related environmental, social or economic context.	✓
2.2	A	Detailed site characterisation of the tailings facility site(s) exists and is updated as warranted throughout the lifecycle to reflect material changes in conditions and new knowledge.	✓
	B	Site characterisation is supported by site-specific climate, geomorphology, geology, geochemistry, hydrology, hydrogeology (surface and groundwater flow and quality), and geotechnical and seismicity data.	✓
	C	Tailings characterisation exists, considering the physical and geochemical properties, and it is updated throughout the lifecycle to account for variability in ore properties, processing, and tailings deposition.	✓
2.3	A	Where a tailings facility has a credible failure mode/scenario, there is a documented breach analysis for the tailings facility using a methodology that considers credible failure modes, site conditions and properties of the tailings.	✓
	B	The physical area potentially affected by a failure is estimated and defined.	✓
	C	For facilities with credible failure scenarios involving flowable materials (water and liquefiable solids) and with consequence classification of 'High', 'Very High', or 'Extreme' or greater, the flow arrival times, flow depths, flow velocities, and depth of deposited material are estimated.	✓
	D	For facilities meeting all the conditions of a, b and c, a breach analysis is completed/updated if there is a material change to the tailings facility or to the knowledge base that results in a credible failure scenario that could lead to a flow failure.	✓



Req.	Part	Criteria	TSF 1
2.4	A	Groups most at risk are identified, with consideration of the breach analysis for those facilities with credible failure scenarios as per Requirement 2.3.	✓
	B	Potential human exposure and vulnerability to tailings facility credible failure scenarios are documented.	✓
	C	The assessment of human exposure and vulnerability is updated if there is a material change to the credibility of flow failure potential and the corresponding breach analysis or the knowledge base.	✓



Requirement 2.1 - Self-Assessment Rating Justification

Develop and document knowledge about the social, environmental and local economic context of the tailings facility, using approaches aligned with international best practices. Update this knowledge at least every five years, and wherever there is a material change either to the tailings facility or to the social, environmental and local economic context. This knowledge should capture uncertainties due to climate change.

✔ Requirement 2.1.A

Criteria

The Operator has documented the site-specific social, environmental and economic context in relation to its tailings facility.

Discussion

Gold Fields recognizes the importance of documenting the social, environmental, and economic context specific to our operations, particularly in relation to our tailings facility. At Cerro Corona, our Sustainable Development (SD) team, an integral part of the Cerro Corona Tailings Stewardship team, diligently collects and monitors environmental data continuously to check its accuracy and reliability for reporting purposes.

To check the integrity and reliability of the reported information, the Environmental Engineer of Record (EoR) and the Cerro Corona Tailings Stewardship team collaborate to scrutinize and analyse the collected data. This rigorous process checks that stakeholders receive accurate and timely information. The summarized information is presented in our Gold Fields Integrated Annual Report (IAR), providing a comprehensive overview of our operations and checking transparency for all stakeholders. Additionally, the data is incorporated into the EoR partner's quarterly TSF performance report and Annual TSF performance report.

The most recent evaluation of the environmental, social, and economic context at the Cerro Corona site is documented in the Second Sustaining Technical Report (ITS 2) endorsed by R.D. Nº 324-2017-SENACE / DCA and the VIII Modification of the Environmental Impact Study of Cerro Corona endorsed by R.D. No. 0171-2019-SENACE-PE/DEAR. These reports capture and detail the specific information related to the site's context and provide valuable insights for decision-making.

Gold Fields' commitment to these practices demonstrates our dedication to documenting the site-specific social, environmental, and economic context associated with the Cerro Corona mine's tailings facility. These efforts reflect our values of transparency, accountability, and responsible practices throughout our organization.

Therefore, Gold Fields has ranked this Requirement as "Meets".

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 2.1.B

Criteria

The Operator has evaluated uncertainties with climate change that may impact the tailings facility's safety.

Discussion

In 2022, Gold Fields conducted a comprehensive study to assess the potential implications and physical impacts of climate change on the TSF at the Cerro Corona mine. This study involved a detailed analysis of site-specific, regional, national, and international climate data and utilised various statistical methods to estimate projected climate variations until 2080. The study outcomes were documented in a climate baseline and climate change prediction reports.

To check the accuracy and validity of the findings, both reports were reviewed by our Engineer of Record (EoR) partner, who developed recommendations for climate change allowances based on the work performed. These allowances have been adopted as design criteria for future conditions of the TSF, as documented in the TSF Design Basis Report.

Gold Fields' commitment to proactively evaluate uncertainties associated with climate change, particularly their potential risks to the Cerro Corona mine's TSFs' safety, is demonstrated through this thorough assessment and collaborative approach. By incorporating these climate findings into our design and operational processes, we remain dedicated to mitigating potential challenges stemming from climate change and checking the ongoing safety and integrity of the Cerro Corona mine's TSF

Therefore, Gold Fields has ranked this Requirement as "Meets".

Assessment Outcome

- ✔ [Meets this Requirement](#)



✓ Requirement 2.1.C

Criteria

The Operator updates site-specific social, environmental and economic information at least five-year intervals and whenever there is a material change to the tailings facility or related environmental, social or economic context.

Discussion

At Gold Fields, we have a comprehensive approach to environmental management. We recognize the importance of developing and documenting knowledge about the social, environmental, and local economic context of our tailings facility. Our practices are aligned with international best practices and regulatory frameworks established by Peruvian regulations.

The most recent reports that capture the social, economic, and environmental context for the Cerro Corona mine are the Second Sustaining Technical Report (ITS 2) endorsed by R.D. N° 324-2017-SENACE / DCA and the VIII Modification of the Environmental Impact Study of Cerro Corona endorsed by R.D. No. 0171-2019-SENACE-PE/DEAR. We update the baseline information every five years to check compliance with environmental regulations.

Gold Fields' Sustainable Development (SD) team is vital in overseeing and reporting on the annual baseline Environmental Impact Assessment (EIA) to check ongoing compliance and monitoring. The engineer of record also prepares an annual TSF performance report, providing a comprehensive overview of site-specific social, environmental, and economic information related to the TSF.

We prioritize proactive engagement and transparent communication, exemplified through the Annual General Meeting (AGM) hosted by the Cerro Corona Tailings Stewardship team. This forum serves as a platform for interdisciplinary stakeholders, including the Cerro Corona Sustainability team, to come together and discuss any significant changes or deviations observed in the previous year. This collaborative approach allows us to address variances promptly and effectively.

To manage significant changes in the tailings facility or its associated environmental, social, or economic context, the Cerro Corona Tailings Stewardship team follows the Cerro Corona Mine Change Management Procedure. This well-defined procedure enables us to proactively address and manage material changes systematically and efficiently.

By adhering to these rigorous processes, we demonstrate our commitment to regularly updating site-specific social, environmental, and economic information. Gold Fields remains dedicated to upholding the highest standards of responsible tailings management and fostering sustainable practices across all our operations. We strive to continuously improve our knowledge and understanding to check the ongoing safety, environmental stewardship, and socio-economic well-being of our stakeholders and the communities in which we operate.

Therefore, Gold Fields has ranked this Requirement as "Meets".

Assessment Outcome

- ✓ [Meets this Requirement](#)



Requirement 2.2 - Self-Assessment Rating Justification

Prepare, document and update a detailed site characterisation of the tailings facility site(s) that includes data on climate, geomorphology, geology, geochemistry, hydrology and hydrogeology (surface and groundwater flow and quality), geotechnical and seismicity. The physical and chemical properties of the tailings shall be characterised and updated regularly to account for variability in ore properties and processing.

✔ Requirement 2.2.A

Criteria

Detailed site characterisation of the tailings facility site(s) exists and is updated as warranted throughout the lifecycle to reflect material changes in conditions and new knowledge.

Discussion

The Global Industry Standard on Tailings Management (GISTM) recognizes the importance of presenting tailings information in a structured and comprehensive manner. As part of our commitment to responsible tailings management, Gold Fields adheres to the GISTM reporting standards, including the Requirement for a site characterisation report.

The Cerro Corona Tailings Stewardship team engaged our Engineer of Record (EoR) partner to initiate technical studies and field campaigns to address knowledge gaps and enhance our knowledge. These efforts included the installation of instrumentation and comprehensive investigations of the site.

The Engineer of Record (EoR) has issued the Site Characterisation report to the Cerro Corona Tailings Stewardship team. This report serves as a comprehensive summary of various complex technical studies. It encompasses crucial data on site-specific factors such as climate, geology, geochemistry, hydrology, hydrogeology (including surface and groundwater flow and quality), geotechnical aspects, and seismicity. Checking the accuracy and reliability of the technical information used in the report has been a top priority for our team.

We are committed to regular annual updates to keep the site characterisation report up-to-date. These updates will capture material changes in conditions and incorporate new knowledge that may arise over time. By adhering to these reporting standards and checking the continuous improvement of our site characterisation efforts, we demonstrate our commitment to aligning our tailings management practices with industry best practices and fulfilling the information needs outlined by the GISTM.

Therefore, Gold Fields has ranked this Requirement as "Meets".

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 2.2.B

Criteria

Site characterisation is supported by site-specific climate, geomorphology, geology, geochemistry, hydrology, hydrogeology (surface and groundwater flow and quality), and geotechnical and seismicity data.

Discussion

Historically, technical information to support the characterisation of the site has resided in specific site investigation and characterization reports and TSF design reports.

At the time of this disclosure, the EoR has issued the site characterisation report, which serves to summarise the key data related to the site-specific climate, geomorphology, geology, geochemistry, hydrology, hydrogeology (including surface and groundwater flow and quality), geotechnical aspects, and seismicity, to the Cerro Corona Tailings Stewardship team.

The following technical reports support the site characterisation report:

- Cerro Corona Mine Climate Baseline Report;
- Cerro Corona Mine Climate Impact Study Report;
- Cerro Corona Water Balance
- Cerro Corona Site-Specific Seismic Hazard Assessment (SHA); and
- Cerro Corona Detailed Design reports for all Tailings Storage Facilities (TSFs).
- Cerro Corona Operating, Maintenance and Surveillance Manual
- Cerro Corona Hydrogeological Investigation and Interpretation Reports

As such, Gold Fields has ranked this Requirement as "Meets".

Assessment Outcome

- ✔ Meets this Requirement



✓ Requirement 2.2.C

Criteria

Tailings characterisation exists, considering the physical and geochemical properties, and it is updated throughout the lifecycle to account for variability in ore properties, processing, and tailings deposition.

Discussion

Gold Fields strongly emphasises responsible tailings management, which includes a thorough understanding of the physical and geochemical properties of the tailings.

The team has completed four comprehensive geotechnical field investigation and laboratory testing campaigns to characterise the physical and geochemical properties of the tailings within the Cerro Corona TSF and their evolution with time. Findings from the investigations are referenced in the Cerro Corona Site Characterisation report.

As such, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✓ Meets this Requirement



Requirement 2.3 - Self-Assessment Rating Justification

Develop and document breach analysis for the tailings facility using a methodology that considers credible failure modes, site conditions, and the properties of the slurry. The results of the analysis shall estimate the physical area impacted by a potential failure. When flowable materials (water and liquefiable solids) are present at tailings facility with Consequence Classification of 'High', 'Very High' or 'Extreme', the results should include estimates of the physical area impacted by a potential failure, flow arrival times, depth and velocities, and depth of material deposition. Update whenever there is a material change either to the tailings facility or the physical area impacted.

✔ Requirement 2.3.A

Criteria

Where a tailings facility has a credible failure mode/scenario, there is a documented breach analysis for the tailings facility using a methodology that considers credible failure modes, site conditions and properties of the tailings.

Discussion

The Cerro Corona Tailings Stewardship team proactively checks the safety and integrity of the site's TSF. In line with this commitment, we engaged an independent consultant to complete a documented breach analysis. This analysis, which considers credible failure modes, site conditions, and the properties of the tailings, was subsequently reviewed by our Engineer of Record (EoR) partner in 2022.

We conducted Failure Mode and Effects Analysis (FMEA) assessment in 2017 to further strengthen our understanding of potential failure modes. These assessments have been thoroughly reviewed by the Independent Technical Review Board (ITRB) over time, adding an extra layer of scrutiny and expertise to the evaluation process.

Recognizing the importance of staying updated with the latest knowledge and advancements, our team conducted a newly revised potential failure mode analysis (PFMA) in 2023. This assessment considered the results of technical studies and field campaigns conducted since 2017, expanding our knowledge base and check the analysis is comprehensive and accurate.

Our breach analysis goes beyond estimating the physical area impacted by a potential failure. It also includes estimations of flow arrival times, depth and velocities, and the depth of material deposition.

We continuously review our breach analysis to ensure it remains aligned with industry best practices and captures any material changes to the tailings facility or the impacted physical area. Our commitment to robust analysis and evaluation demonstrates our dedication to the highest standards of safety and environmental stewardship.

Gold Fields has ranked this Requirement as "Meets".

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 2.3.B

Criteria

The physical area potentially affected by a dam breach is estimated and defined.

Discussion

At Cerro Corona, we prioritize the safety and well-being of our community and the environment. As part of our commitment to responsible tailings management, we have conducted a thorough dam breach study to estimate and define the potential physical area that could be impacted in the event of a hypothetical dam failure.

To check the accuracy and reliability of our analysis, we appointed an independent consultant with expertise in dam breach assessments. This study considers potential failure modes, site conditions, and the properties of the tailings to provide a comprehensive understanding of the potential impacts.

Our dam breach study goes beyond estimating the physical area affected. It also includes important information such as flow arrival times, depth and velocities of the material, and the depth of material deposition. These details are crucial in assessing the potential risks associated with a dam breach and formulating effective risk management strategies.

To check the highest standards of quality and expertise, the dam breach study has undergone rigorous review by our Engineer of Record partner. This collaboration checks that the study aligns with industry best practices and incorporates the most up-to-date knowledge.

It is important to note that the dam breach study we conducted is intended to identify the extent of run-out flow under hypothetical failure conditions. This study does not imply that the facility is at risk of failure.

We want to emphasize that the dam breach study is a preventive measure and does not imply that our facility is at imminent risk of failure. On the contrary, it is part of our proactive approach to understand and design our facility to be resilient in the face of hypothetical and potential challenges. The study allows us to refine our emergency response plans and check that they are robust and capable of addressing any eventuality.

Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✓ Requirement 2.3.C

Criteria

For facilities with credible failure scenarios involving flowable materials (water and liquefiable solids) and with consequence classification of 'High', 'Very High', or 'Extreme' or greater, the flow arrival times, flow depths, flow velocities, and depth of deposited material are estimated.

Discussion

As outlined in Requirement 2.3.B of our tailings management practices, we have undertaken a comprehensive Dam Breach Analysis, conducted by an independent consultant, to assess the potential consequences of credible failure scenarios involving flowable materials. This study provides important information regarding flow arrival times, flow depths, flow velocities, and the depth of deposited material for the identified failure modes at our facility.

By estimating these parameters, we aim to better understand the potential impacts and enhance our emergency response planning. We should assess these factors to ensure the TSF is designed to effectively withstand and mitigate potential risks. Our ultimate goal is to prioritize the safety of our operations and the surrounding communities.

We want to emphasize that the dam breach study is a preventive measure and does not imply that our facility is at imminent risk of failure. On the contrary, it is part of our proactive approach to understand and design our facility to be resilient in the face of potential challenges. The study allows us to refine our emergency response plans and check that they are robust and capable of addressing any eventuality.

Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✓ [Meets this Requirement](#)



✔ Requirement 2.3.D

Criteria

For facilities meeting all the conditions of a, b and c, a breach analysis is completed/updated if there is a material change to the tailings facility or to the knowledge base that results in a credible failure scenario that could lead to a flow failure.

Discussion

To check the ongoing safety and integrity of our TSF at the Cerro Corona mine, we have implemented a robust process for breach analysis. This process is reinforced by our recently released Gold Fields Tailings Management Standard. This analysis is conducted or updated whenever there is a material change to the TSF or the knowledge base, resulting in a credible failure scenario that could potentially lead to a flow failure.

The dam breach study for our TSF has undergone a thorough review by our Engineer of Record (EoR) and Independent Technical Review Board (ITRB). This review checks the accuracy and reliability of the analysis and its alignment with industry best practices.

As part of our commitment to proactive risk management and continuous improvement, we have integrated tailings into our change management procedure at the Cerro Corona mine. This means that any material changes to the condition or knowledge base of the TSF will trigger a prompt update to the inundation study. By doing so, we stay ahead of potential risks and reinforce our dedication to proactive risk management and the safety of our operations.

Our focus on ongoing assessment and prompt updates reflects our commitment to transparency, responsible practices, and the well-being of our stakeholders and the communities in which we operate.

Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



Requirement 2.4 - Self-Assessment Rating Justification

In order to identify the groups most at risk, refer to the updated tailings facility breach analysis to assess and document potential human exposure and vulnerability to tailings facility credible failure scenarios. Update the assessment whenever there is a material change either to the tailings facility or to the knowledge base.

✔ Requirement 2.4.A

Criteria

Groups most at risk are identified, with consideration of the breach analysis for those facilities with credible failure scenarios as per Requirement 2.3.

Discussion

At Cerro Corona, the safety and well-being of our stakeholders is of paramount importance. In line with this commitment, we prioritize identifying and understanding groups that may be most at risk in the event of a hypothetical failure scenario of our tailings facility. To properly assess and implement crucial engineering controls to mitigate risk, it is essential to evaluate hypothetical failure scenarios using comprehensive breach analysis techniques. This assessment was led by an independent consultant and reviewed by our Engineer of Record (EoR). These technical assessments are guided by a Potential Failure Mode Analysis (PFMA). By identifying potential risks and implementing appropriate engineering controls, we aim to eliminate and mitigate the likelihood and severity of any adverse impacts.

Our dedicated Community Relations team maintains a Cerro Corona Stakeholder register and comprehensive stakeholder maps to check transparency and effective stakeholder engagement. These tools enable us to record and track most at-risk groups. The team has also engaged with the Defensa Civil, actively involved in Natural Flood Hazard disaster planning with local communities.

Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 2.4.B

Criteria

Potential human exposure and vulnerability to tailings facility credible failure scenarios are documented.

Discussion

At Cerro Corona, checking the safety and well-being of our stakeholders is of utmost importance to us. To identify and understand the groups most at risk, we have conducted a comprehensive breach analysis of our tailings facility.

To properly assess and implement crucial engineering controls to mitigate risk, it is essential to evaluate hypothetical failure scenarios using comprehensive breach analysis techniques and understand any potential for the population at risk.

We engaged an independent consultant with expertise in this field to conduct the breach analysis. Through this diligent process, we were able to define the potential population at risk and gain valuable insights into potential human exposure in the event of a hypothetical inundation event. The findings of this analysis are documented in our dam breach analysis report, which our Engineer of Record has reviewed.

The team has prepared GIS maps that provide a useful display of data relevant data layers – topography, dwellings, and critical town functions.

It is important to highlight that our breach analysis is not a one-time activity but rather an ongoing and dynamic process. We are committed to continuous improvement and regularly update our assessments in response to material changes to the tailings facility or the knowledge base. This proactive approach allows us to avoid potential risks and check that our risk management strategies align with the latest information and industry best practices.

We remain dedicated to taking necessary actions to enhance the safety and resilience of our operations.

We have ranked this Requirement as "Meets."

Assessment Outcome

- ✔ Meets this Requirement



✔ Requirement 2.4.C

Criteria

The assessment of human exposure and vulnerability is updated if there is a material change to the credibility of flow failure potential and the corresponding breach analysis or the knowledge base.

Discussion

At Cerro Corona, we are committed to prioritizing the safety and well-being of our stakeholders. To identify and understand the groups most at risk, we have conducted a comprehensive breach analysis of our tailings facility. This analysis allows us to assess and document potential human exposure and vulnerability to credible failure scenarios.

To check the accuracy and reliability of our assessment, we engaged an independent consultant who conducted a thorough breach analysis. The findings and insights from this analysis have been documented in our dam breach analysis report, which has undergone rigorous reviews by our Engineer of Record and the Independent Technical Review Board, checking that it meets the highest standards of quality and integrity.

As part of our commitment to continuous improvement, our team recently re-evaluated the potential Failure Mode Effects Analysis (FMEA) assessment. We examined if the completion of new studies supporting our knowledge base has positively influenced the assessment. This ongoing evaluation process allows us to check that our assessment remains up-to-date and reflects the latest information and industry best practices.

Furthermore, our Engineer of Record (EoR) is finalizing a semi-quantitative risk analysis (SQRA). This analysis will provide a more comprehensive understanding of the risks associated with our tailings facility. Should any material changes occur in the future, we have implemented a management of change procedure for the mine, which includes updating the assessment accordingly. This proactive approach enables the team to respond to changes and continuously enhance our risk management strategies.

Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



GISTM Principle 03

Use All Elements of the Knowledge Base – Social, Environmental, Local Economic and Technical – to Inform Decisions Throughout the Tailings Facility Lifecycle, Including Closure.

Principle 03 – Self-Assessment Outcome

The Cerro Corona mine has a single TSF, which has been given an Extreme Consequence Classification. A summary of the self-assessment outcome for Principle 03 of the GISTM is presented in Table 8 below. Further information specific to each requirement part is provided in subsequent sections of this report.

Table 8: Principle 03 – Self-Assessment Outcome Summary

Req.	Part	Criteria	TSF 1
3.1	A	To enhance resilience, climate change knowledge is regularly updated and used to evaluate risks and opportunities to the tailings facility lifecycle, per adaptive management principles, aiming to enhance resiliency to climate change.	✓
3.2	A	For new tailings facilities, a multi-criteria Alternatives Analysis is conducted that examines feasible sites, technologies, and strategies for tailings management through the lifecycle, which aims to minimise: <ul style="list-style-type: none"> • Risks to people and the environment. • Volumes of tailings and water stored in surface facilities. 	–
	B	For existing facilities that are not in a state of safe closure, there are periodic reviews of the tailings technologies, design and management strategies, and assessments of the potential to implement improvements arising from the reviews.	✓
	C	For new facilities, the analysis is reviewed by the ITRB or senior independent technical reviewer.	–
3.3	A	The following are demonstrated for new tailings Facilities: Environmental, social and local economic impact assessments are conducted and inform the existing knowledge base.	–
	B	The following are demonstrated for new tailings Facilities: Environmental, social and local economic assessments demonstrate that climate change uncertainties are considered in assessing the life of tailings facility impacts and whether there is any potential for a credible failure throughout the tailings facility lifecycle.	–
	C	The following are demonstrated for new tailings Facilities: Mitigation measures and management plans are developed, documented and implemented to address material chronic and acute impacts.	–
	D	The following are demonstrated for new tailings Facilities: Management plans are based on the principles and practice of a mitigation hierarchy and management plans for the tailings facility and are updated throughout the tailings facility lifecycle.	–
3.4	A	Material change, as defined by the Operator, is consistently applied to trigger updates to the environmental, social and economic assessment of the tailings facility.	✓



Req.	Part	Criteria	TSF 1
	B	Tailings facility management is updated in accordance with adaptive management best practices if new data (including climate change knowledge) indicates that the impacts from the tailings facility have changed materially.	



Requirement 3.1 - Self-Assessment Rating Justification

To enhance resilience to climate change, evaluate, regularly update and use climate change knowledge throughout the tailings facility lifecycle in accordance with the principles of Adaptive Management.

✔ Requirement 3.1.A

Criteria

To enhance resilience, climate change knowledge is regularly updated and used to evaluate risks and opportunities to the tailings facility lifecycle, per adaptive management principles, aiming to enhance resiliency to climate change.

Discussion

Gold Fields, as part of our commitment to adhering to the GISTM, recognizes the importance of enhancing resilience to climate change in our operations. In line with adaptive management principles, we have undertaken several initiatives to update our climate change knowledge and evaluate risks and opportunities to the tailings facility lifecycle.

In 2022, we commissioned a comprehensive Climate Change risk and vulnerability study for the Cerro Corona mine. This study encompassed the development of a robust climate change risk framework, extensive analysis of available climate data, and developing of a climate change model. Statistical methods were applied to the data, producing a baseline report that provided valuable insights into the current climate conditions.

Furthermore, the study extended its analysis to project climate trends up to 2080, considering various potential scenarios. This forward-looking approach allows us to anticipate and plan for the potential impacts of climate change on our tailings facility.

The assessment was successfully concluded in H2 2022 and was shared with the Engineer of Record (EOR) for thorough review and comment. The study findings were then integrated into our TSF design and operational strategies.

At Cerro Corona, climate data is monitored daily, enabling us to track changes and deviations from the projected trends. This climate change review process is conducted on a 3 to 5-year basis, allowing us to identify any potential shifts in climate patterns and update our risk assessments accordingly.

By continuously updating our climate change knowledge and employing adaptive management principles, Gold Fields is committed to enhancing resiliency to climate change and checking our tailings facility's long-term sustainability. In addition, we remain dedicated to operating in a manner that aligns with global industry standards and prioritizes the safety and environmental protection of our stakeholders.

Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



Requirement 3.2 - Self-Assessment Rating Justification

For new tailings facilities, the Operator shall use the knowledge base and undertake a multi-criteria alternatives analysis of all feasible sites, technologies and strategies for tailings management. The goal of this analysis shall be to: (i) select an alternative that minimises risks to people and the environment throughout the tailings facility lifecycle; and (ii) minimises the volume of tailings and water placed in external tailings facilities. This analysis shall be an objective constraint analysis reviewed by the Independent Technical Review Board (ITRB) or a senior independent technical reviewer.

For existing tailings facilities, the Operator shall periodically review and refine the tailings technologies and design, and management strategies to minimise risk and improve environmental outcomes. An exception applies to facilities that are demonstrated to be in a state of safe closure.

— Requirement 3.2.A

Criteria

For new tailings facilities, a multi-criteria Alternatives Analysis is conducted that examines feasible sites, technologies, and strategies for tailings management through the lifecycle, which aims to minimise:

- Risks to people and the environment.
- Volumes of tailings and water stored in surface facilities.

Discussion

The TSF at the Cerro Corona mine is an existing facility with an Extreme Consequence Classification. A new in-pit TSF is currently being studied, however, as it has a Low consequence classification and is due for GISTM conformance in August 2025.

As the Cerro Corona TSF is an existing facility, **Gold Fields has ranked this Requirement as “Not Applicable”.**

Assessment Outcome

- — **Not Applicable**



✓ Requirement 3.2.B

Criteria

For existing facilities that are not in a state of safe closure, there are periodic reviews of the tailings technologies, design and management strategies, and assessments of the potential to implement improvements arising from the reviews.

Discussion

Gold Fields is dedicated to maintaining the highest standards of tailings stewardship and continually improving the safety and environmental performance of our facilities. The Global Industry Standard on Tailings Management outlines that this commitment applies to new and existing tailings facilities.

At our Cerro Corona mine, we have established a robust process for reviewing and refining our tailings technologies, design, and management strategies. This process involves the Cerro Corona Tailings Stewardship team, which comprises key stakeholders from various departments, including the VP: Global Tailings Management, Responsible Tailings Facility Engineer, sustainable development team, community relations team, site safety team, and the Engineer of Record partner. These stakeholders meet regularly, and additional representatives from relevant groups join as necessary.

On a day-to-day basis, our TSF shift operators inspect and monitor the TSF. Their inspections are then reviewed by the Responsible Tailings Facility Engineer.

Quarterly, the Responsible Tailings Facility Engineer prepares a detailed review report of the TSF's performance, which is submitted to the VP: Global Tailings Management. This report covers various criteria, including water quality, environmental incidents, progress against plans, and broader site-wide considerations. Additionally, the Engineer of Record partner prepares a quarterly review report focusing on the technical performance of the TSF with regard to instrumentation. The VP: Global Tailings Management reviews monthly and quarterly reports and compiles a comprehensive submission for the Board of Directors and CEO.

Annually, the Engineer of Record prepares a summary report on TSF performance, and the Cerro Corona Stakeholder team holds an Annual General Meeting (AGM) for Tailings. During this meeting, the interdisciplinary team reviews ongoing projects, designs, and management strategies, identifying opportunities to carry forward into the next year. Our Group Tailings team reviews available industry technologies annually to ensure that we stay updated with the latest advancements.

It is important to note that our Independent Technical Review Board (ITRB) plays a crucial role in promoting our tailings facilities' ongoing integrity and performance. The ITRB conducts annual reviews to assess the effectiveness of our tailings technologies, design, and management strategies.

Gold Fields has ranked this Requirement as "Meets".

Assessment Outcome

- ✓ Meets this Requirement



– Requirement 3.2.C

Criteria

For new facilities, the analysis is reviewed by the ITRB or senior independent technical reviewer.

Discussion

The TSF at the Cerro Corona mine is an existing facility with an Extreme Consequence Classification. A new in-pit TSF is currently being studied, however, as it has a Low consequence classification and is due for GISTM conformance in August 2025.

As the Cerro Corona TSF is an existing facility, **Gold Fields has ranked this Requirement as “Not Applicable”**.

Assessment Outcome

- – Not Applicable



Requirement 3.3 - Self-Assessment Rating Justification

For new tailings facilities, use the knowledge base, including uncertainties due to climate change, to assess the social, environmental and local economic impacts of the tailings facility and its potential failure throughout its lifecycle. Where impact assessments predict material acute or chronic impacts, the Operator shall develop, document and implement impact mitigation and management plans using the mitigation hierarchy.

— Requirement 3.3.A

Criteria

The following are demonstrated for new tailings Facilities: Environmental, social and local economic impact assessments are conducted and inform the existing knowledge base.

Discussion

At Gold Fields, we prioritize the comprehensive assessment and management of environmental, social, and local economic impacts in all aspects of our operations. As part of our commitment to responsible tailings management, we utilize the existing knowledge base, including considerations for uncertainties related to climate change, to assess the potential impacts associated with our tailings facilities.

The TSF at the Cerro Corona mine is an existing facility with an Extreme Consequence Classification. A new in-pit TSF is currently being studied, however, as it has a Low consequence classification and is due for GISTM conformance in August 2025.

As the Cerro Corona TSF is an existing facility, **Gold Fields has ranked this Requirement as “Not Applicable”**.

Nevertheless, we remain dedicated to upholding environmental and social standards throughout our operations and continuously seek opportunities for improvement and have applied these principles to our existing facilities.

Assessment Outcome

- — **Not Applicable**



— Requirement 3.3.B

Criteria

The following are demonstrated for new tailings Facilities: Environmental, social and local economic assessments demonstrate that climate change uncertainties are considered in assessing the life of tailings storage facility impacts and whether there is any potential for a credible failure throughout the tailings facility lifecycle.

Discussion

At Gold Fields, we prioritize assessing environmental, social, and local economic impacts throughout the lifecycle of our tailings facilities. As part of our commitment to conforming with the GISTM, we have conducted thorough assessments that explicitly consider climate change uncertainties.

These assessments encompass a range of climate-related factors, such as temperature changes, precipitation patterns, and extreme weather events. By considering climate change uncertainties, we aim to enhance the resilience of our facilities and minimise potential impacts.

However, the TSF at the Cerro Corona mine is an existing facility with an Extreme Consequence Classification. A new in-pit TSF is currently being studied, however, as it has a Low consequence classification and is due for GISTM conformance in August 2025.

As the Cerro Corona TSF is an existing facility, **Gold Fields has ranked this Requirement as “Not Applicable”**.

Assessment Outcome

- — Not Applicable



— Requirement 3.3.C

Criteria

The following are demonstrated for new tailings Facilities: Mitigation measures and management plans are developed, documented and implemented to address material chronic and acute impacts.

Discussion

At Gold Fields, we employ various forums and methods to promote comprehensive risk identification and recording. Our site team conduct regular checks, ranging from daily to monthly or quarterly, to identify and manage risks and impacts. Additionally, interdisciplinary risk assessment workshops are held regularly to assess and address potential impacts.

By actively identifying and managing risks and impacts, we strive to check the ongoing safety, environmental integrity, and positive socio-economic outcomes associated with our TSF operations.

The TSF at the Cerro Corona mine is an existing facility with an Extreme Consequence Classification. A new in-pit TSF is currently being studied for the mine. However, as it has a Low consequence classification, it has not been included in this disclosure.

As the Cerro Corona TSF is an existing facility, Gold Fields has ranked this Requirement as “Not Applicable”.

Assessment Outcome

- — Not Applicable



— Requirement 3.3.D

Criteria

The following are demonstrated for new tailings Facilities: Management plans are based on the principles and practice of a mitigation hierarchy and management plans for the tailings facility and are updated throughout the tailings facility lifecycle.

Discussion

Gold Fields is fully committed to adhering to the principles and practices outlined in the Global Industry Standard on Tailings Management (GISTM).

By upholding these practices and implementing mitigation measures, we remain committed to managing our tailings facilities responsibly and sustainably. We aim to minimize potential impacts and check our operations' safety and environmental integrity.

The TSF at the Cerro Corona mine is an existing facility with an Extreme Consequence Classification. A new in-pit TSF is currently being studied for the mine. However, as it has a Low consequence classification, it has not been included in this disclosure.

As the Cerro Corona TSF is an existing facility, Gold Fields has ranked this Requirement as “Not Applicable”.

Assessment Outcome

- — Not Applicable



Requirement 3.4 - Self-Assessment Rating Justification

Update the assessment of the social, environmental and local economic impacts to reflect a material change either to the tailings facility or to the social, environmental and local economic context. If new data indicates that the impacts from the tailings facility have changed materially, including as a result of climate change knowledge or long-term impacts, the Operator shall update tailings facility management to reflect the new data using Adaptive Management best practices.

✔ Requirement 3.4.A

Criteria

Material change, as defined by the Operator, is consistently applied to trigger updates to the environmental, social and economic assessment of the tailings facility.

Discussion

At Gold Fields, we prioritize the consistent application of material change to trigger updates to the environmental, social, and economic assessment of our tailings facility. We adhere to the GISTM, emphasizing the need to adaptively manage our operations in response to new data and evolving contexts.

To promote effective management of changes, we have implemented a robust Management of Change Procedure specifically tailored to address tailings-related changes and associated risks. This procedure defines material change and serves as our guiding framework whenever a change is identified throughout the tailings facility's lifecycle. Our Responsible Tailings Facility Engineer (RTFE) is the primary point of contact for all tailings-related changes or consultations. They are supported by the Deputy RTFE, the Engineer of Record (EOR) team, and our corporate team at Gold Fields.

Collaboration and information sharing are key elements of our approach. The interdisciplinary nature of the Change Management Procedure checks that the Sustainable Development and Community Relations team is well-informed when any tailings-related changes occur and vice versa. This enables us to address potential social, environmental, and economic impacts in a comprehensive and coordinated manner.

As an additional layer of protection, our Cerro Corona Tailings Stewardship team includes managers from the Sustainable Development and Community Relations departments. These team members meet regularly, with a formal annual session known as the Annual General Meeting (AGM) for Tailings. During this meeting, they discuss any issues or concerns related to their respective areas of expertise, facilitating a proactive approach to managing changes and their associated impacts.

Our commitment to monitoring and adapting to material changes underscores our dedication to responsible tailings management. By regularly updating our assessments in response to new data, including insights from climate change knowledge and long-term impacts, we check that our tailings facility management reflects the most current and relevant information.

Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 3.4.B

Criteria

Tailings facility management is updated in accordance with adaptive management best practices if new data (including climate change knowledge) indicates that the impacts from the tailings facility have changed materially.

Discussion

At Gold Fields, we are committed to updating our tailings facility management in accordance with adaptive management best practices. This checks that any material changes to our tailings facility's social, environmental, and local economic impacts are promptly assessed and addressed.

To facilitate effective communication and collaboration, we host an Annual General Meeting (AGM) for Tailings, where interdisciplinary stakeholders convene to discuss the status of our tailings operations. During this meeting, each stakeholder is allowed to provide input and share any new data or knowledge relevant to the impacts of the tailings facility. The recommendations arising from these discussions are carefully considered by our Cerro Corona Tailings Stewardship team and subsequently incorporated into our future design plans.

In addition, our Cerro Corona Tailings Stewardship team meets regularly to discuss technical work packages checking regular and proactive engagement on tailings-related matters. The Engineer of Record (EOR) also conducts quarterly site visits alongside the Responsible Tailings Facility Engineer (RTFE) to assess the condition of the facility. If any impacts are identified during these visits, they are managed in accordance with our well-established change management or grievance management procedures.

Our approach aligns closely with the methodology outlined in the Gold Fields Tailings Standard, 2023. This standard serves as our guiding framework, checking that we adhere to industry best practices and remain proactive in responding to any material changes in the impacts of our tailings facility. In addition, by consistently updating our management strategies and practices, we demonstrate our commitment to mitigating and managing the potential social, environmental, and local economic impacts associated with our operations.

Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



GISTM Principle 04

Develop Plans and Design Criteria for the Tailings Facility to Minimise Risk for All Phases of Its Lifecycle, Including Closure and Post-Closure.

Principle 04 – Self-Assessment Outcome

The Cerro Corona mine has a single TSF, which has been given an Extreme Consequence Classification. A summary of the self-assessment outcome for Principle 04 of the GISTM is presented in Table 9 below. Further information specific to each requirement part is provided in subsequent sections of this report.

Table 9: Principle 04 – Self-Assessment Outcome Summary

Req.	Part	Criteria	TSF 1
4.1	A	Determine the consequence of failure classification of the tailings facility by assessing the downstream conditions documented in the knowledge base and adopt: (i) the consequence classification for the highest level in each category in Annex 2, Table 1, or (ii) a more conservative approach by adopting 'Extreme' post-closure design loading criteria in Annex 2.	✓
	B	For a(i), base the assessment and selection of classification on credible failure modes/scenarios.	✓
	C	Document the assessment and selection with defensible evidence.	✓
4.2	A	Prepare preliminary designs for the tailings facility, considering the lifecycle stages, using external loading design criteria consistent with both the consequence of failure classification based on current conditions and higher Consequence Classifications (including 'Extreme').	✓
	B	Adopt (i) the 'Extreme' Consequence Classification external loading criteria, or (ii) adopt the current Consequence Classification loading criteria or a higher one, and demonstrate that the feasibility, at a proof-of-concept level, to upgrade to the design for the 'Extreme' classification criteria is maintained throughout the tailings facility lifecycle.	✓
	C	If option b(ii) above is implemented, the Consequence Classification is reviewed at the time of the Dam Safety Review (DSR) 1 and at least every five years, or sooner if there is a material change in the social, environmental and local economic context, and complete the upgrade of the tailings facility to the new Consequence Classification as determined by the DSR within three years. This review shall proceed until the tailings facility has been safely closed according to this Standard.	–
	D	The process described in a., b., and c. shall be reviewed by the Independent Technical Review Board (ITRB) or the senior independent technical reviewer, as appropriate for the tailings facility Consequence Classification.	✓
	E	Subject to Requirement 4.7, Requirements 4.2 c. and 4.2 d. shall also apply to existing tailings facilities.	✓
	A	Extreme loads are already in place.	✓



4.3	B	If Extreme Consequence Classification external loading criteria are not adopted, the Accountable Executive shall take the decision to adopt a design for the current Consequence Classification criteria and maintain flexibility to upgrade the design for the highest classification criteria later in the tailings facility lifecycle.	⊖
	A	Select and identify design criteria that are appropriate to minimise risk for all credible failure modes during each phase of the tailings facility lifecycle.	✓
4.4	B	Document the rationale for the design criteria selected to minimise risk.	✓
	A	Develop and apply design criteria, such as factors of safety for slope stability and seepage management, for each lifecycle phase that considers: <ul style="list-style-type: none"> the estimated operational properties of materials and expected performance of the design elements, and the quality of the implementation of the risk management systems. 	✓
4.5	B	Account for these design and implementation issues in assessments based on deformation analyses	✓
	A	An assessment of the potential for brittle failure modes is documented and the analyses are addressed in the Design Basis Report (DBR).	⚠
4.7	A	Existing tailings facilities shall conform with the Requirements under Principle 4, except for those aspects where the Engineer of Record (EOR), with review by the ITRB or a senior independent technical reviewer, as appropriate, determines that the upgrade of an existing tailings facility is not required, or viable, or cannot be retroactively applied.	⊖
	B	If the condition in (a.) above applies, the Accountable Executive shall approve and document the implementation of measures to reduce both the probability and the consequences of a tailings facility failure to reduce the risk to a level as low as reasonably practicable (ALARP).	⊖
	C	The basis and timing for addressing the upgrade of existing tailings facilities shall be risk-informed and carried out as soon as reasonably practicable.	⊖
4.8	A	The EOR shall prepare a Design Basis Report (DBR) that details the design assumptions and criteria, including operating constraints and provides the basis for designing all phases of the tailings facility lifecycle.	✓
	B	The ITRB or senior independent technical reviewer shall review the DBR.	✓
	C	The EOR shall update the DBR whenever there is a material change in the design assumptions, design criteria, design or knowledge base and check internal consistency among these elements.	✓



Requirement 4.1 - Self-Assessment Rating Justification

Determine the consequence of failure classification of the tailings facility by assessing the downstream conditions documented in the knowledge base and selecting the classification corresponding to the highest Consequence Classification for each category in Annex 2, Table 1. The assessment and selection of the classification shall be based on credible failure modes, and shall be defensible and documented.

✔ Requirement 4.1.A

Criteria

Determine the consequence of failure classification of the tailings facility by assessing the downstream conditions documented in the knowledge base and adopt: (i) the consequence classification for the highest level in each category in Annex 2, Table 1, or (ii) a more conservative approach by adopting 'Extreme' post-closure design loading criteria in Annex 2.

Discussion

Given the proximity of our facility to the Tingo River Valley, the Tingo community, and a main access road, the Cerro Corona Tailings Stewardship team proactively applied an 'Extreme' Consequence Classification to the Cerro Corona tailings storage facility. It incorporated extreme loading conditions into the design. Doing so checks that our facilities are robust and capable of withstanding the most severe loading conditions.

The selection of the Consequence Classification was based on assessing the downstream conditions of the facility and adopting the highest level in Annex 2.

The Consequence Classification has been reviewed by the Engineer of Record and Responsible Tailings Facility Engineer (RTFE).

Gold Fields has ranked this Requirement as "Meets".

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 4.1.B

Criteria

For a(i), base the assessment and selection of classification on credible failure modes/scenarios.

Discussion

The safety and responsible management of the Cerro Corona tailings facility have been paramount for the Cerro Corona Tailings Stewardship team. In 2017, the team conducted a Failure Mode Effects Analysis (FMEA) assessment as part of our ongoing commitment to check the highest level of dam safety and risk mitigation.

The FMEA process involves a comprehensive assessment of hypothetical failure modes and scenarios to identify and check that our critical controls and risk management approach are robust and comprehensive. In 2020 and again in 2023, the team updated the assessment, leveraging the insights gained from the new technical studies. The Independent Technical Review Board (ITRB) has reviewed the outcomes of the risk assessments.

The Assessment considered the proximity of the facility to the Tingo River Valley, the Tingo community, and a main access road. As such, the team took proactive measures to address potential risks by applying extreme loading conditions to the TSF as part of the design.

Through rigorous assessments, engagement with independent experts, and the integration of updated knowledge, we strive to build a resilient tailings facility that effectively addresses potential failure modes and minimizes risks to the surrounding environment and communities.

Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 4.1.C

Criteria

Document the assessment and selection with defensible evidence.

Discussion

Promoting the safety of our operations and the well-being of surrounding communities is of utmost importance to Gold Fields. In line with our commitment, we have taken a conservative approach to determining the consequence classification of the Cerro Corona Tailings Storage Facility.

The Consequence Classification assessment is based on a rigorous analysis of hypothetical dam breaches and a series of Failure Mode Evaluation Assessments (FMEA). These assessments have undergone independent review by the Independent Technical Review Board (ITRB), comprised of respected industry professionals.

We have thoroughly documented the FMEA process in comprehensive workbooks, and the ITRB has issued over 54 reports on the tailings facility since its inception. These reports serve as credible evidence of our commitment to transparency and accountability.

Considering the potential consequences of failure, our facility has been classified as Extreme, representing the most conservative classification available. This classification checks that our approach is comprehensive, addressing all potential failure modes and their associated consequences.

Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



Requirement 4.2 - Self-Assessment Rating Justification

With the objective of maintaining flexibility in the development of a new tailings facility and optimising costs while prioritising safety throughout the tailings facility lifecycle:

a. Develop preliminary designs for the tailings facility with external loading design criteria consistent with both the consequence of failure classification selected based on current conditions and higher Consequence Classifications (including 'Extreme').

b. Informed by the range of requirements defined by the preliminary designs, either: — Implement the design for the 'Extreme' Consequence Classification external loading criteria; or — Implement the design for the current Consequence Classification criteria, or a higher one, and demonstrate that the feasibility, at a proof of concept level, to upgrade to the design for the 'Extreme' classification criteria is maintained throughout the tailings facility lifecycle.

c. If option B.2 is implemented, review the consequence of failure classification at the time of the Dam Safety Review (DSR) and at least every five years, or sooner if there is a material change in the social, environmental and local economic context, and complete the upgrade of the tailings facility to the new Consequence Classification as determined by the DSR within three years. This review shall proceed until the tailings facility has been safely closed according to this Standard.

d. The process described above shall be reviewed by the Independent Technical Review Board (ITRB) or the senior independent technical reviewer, as appropriate for the tailings facility Consequence Classification. Subject to Requirement 4.7, Requirements 4.2.c and 4.2.d shall also apply to existing tailings facilities.

✔ Requirement 4.2.A

Criteria

Prepare preliminary designs for the tailings facility, considering the lifecycle stages, using external loading design criteria consistent with both the consequence of failure classification based on current conditions and higher Consequence Classifications (including 'Extreme').

Discussion

Since its establishment in 2008, the Cerro Corona TSF has undergone rigorous design considerations and reviews. The Independent Technical Review Board (ITRB) has been crucial in assessing the facility's design criteria and considerations since 2006, conducting 54 comprehensive reviews.

Given the significance of the facility's location near the Tingo River Valley, the Tingo community, and a main access road, our team has consistently prioritized safety. Per the Global Industry Standard on Tailings Management (GISTM), we assigned an 'Extreme' Consequence Classification to the Cerro Corona TSF and incorporated extreme loading conditions and design criteria into its design, effectively addressing potential risks and strengthening safety measures.

In line with our commitment to continuous improvement, we engaged an independent consultant to conduct a thorough Dam Safety Review (DSR) in 2022. This review checked the Consequence Classification and enhanced the facility's design and management practices.

The entire design process, including preliminary designs, upgrades, and subsequent reviews, undergoes rigorous scrutiny by the Independent Technical Review Board (ITRB). These external assessments validate that our design and management practices align with industry standards and best practices.

Gold Fields has ranked this Requirement as "Meets".

Assessment Outcome

- ✔ [Meets this Requirement](#)



✓ Requirement 4.2.B

Criteria

Adopt (i) the 'Extreme' Consequence Classification external loading criteria, or (ii) adopt the current Consequence Classification loading criteria or a higher one, and demonstrate that the feasibility, at a proof-of-concept level, to upgrade to the design for the 'Extreme' classification criteria is maintained throughout the tailings facility lifecycle.

Discussion

Gold Fields takes the safety and integrity of our tailings facilities very seriously. In response to the mentioned criteria, we have diligently applied an 'Extreme' Consequence Classification' to the Tailings Storage Facility and incorporated extreme loading criteria into its design.

This adoption is documented in our Failure Mode and Effects Analysis (FMEA), design reports and Design Basis Report.

Therefore, Gold Fields has ranked this Requirement as "Meets".

Assessment Outcome

- ✓ [Meets this Requirement](#)



— Requirement 4.2.C

Criteria

If option b(ii) above is implemented, the Consequence Classification is reviewed at the time of the Dam Safety Review (DSR) and at least every five years, or sooner if there is a material change in the social, environmental and local economic context, and complete the upgrade of the tailings facility to the new Consequence Classification as determined by the DSR within three years. This review shall proceed until the tailings facility has been safely closed according to this Standard.

Discussion

Gold Fields Cerro Corona greatly emphasises the safety and well-being of our communities and environment.

Option b(ii) has not been implemented, as the Cerro Corona TSF has been designed to adopt the most Extreme Consequence Classification loading criteria. As such, Gold Fields has ranked this requirement as 'Not Applicable.' Nonetheless, In 2022, we took a proactive approach to further enhance the safety of our operations by appointing an independent consultant to conduct a comprehensive Dam Safety Review (DSR) of the Cerro Corona TSF and check the selected consequence classification. This independent assessment serves as an additional layer of assurance, checking our tailings facility's integrity and safety. We highly value the expertise and guidance provided by the Independent Consultant, who evaluates our compliance with industry best practices.

Therefore, Gold Fields has ranked this Requirement as “Not Applicable”.

Assessment Outcome

- — Not Applicable



✔ Requirement 4.2.D

Criteria

The process described in a., b., and c. shall be reviewed by the Independent Technical Review Board (ITRB) or the senior independent technical reviewer, as appropriate for the tailings facility Consequence Classification.

Discussion

At Gold Fields Cerro Corona, we prioritize the independent review and validation of our tailings management processes. In accordance with the specified criteria, the Consequence Classification process has undergone a thorough review by the Independent Technical Review Board (ITRB).

The Independent Review Board (ITRB) has had three separate opportunities to review the Consequence Classification assigned to our tailings facilities. The most recent review was undertaken in 2022.

The ITRB has endorsed the assigned classification. This endorsement serves as an important validation of our commitment to following industry best practices and adhering to the highest safety and environmental stewardship standards.

Gold Fields Cerro Corona recognizes the significance of independent oversight in maintaining accountability and transparency. The involvement of the Independent Review Board assures both our stakeholders and the public that our Consequence Classification process is robust, reliable, and aligned with recognized industry guidelines.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



✔ Requirement 4.2.E

Criteria

Subject to Requirement 4.7, Requirements 4.2 c. and 4.2 d. shall also apply to existing tailings facilities.

Discussion

We firmly believe in consistency and maintaining the highest standards across our operations. As the Cerro Corona TSF is an existing facility, we have appointed an Independent Technical Review Board to review our approach and an independent consultant to undertake a Dam Safety Review (DSR) per Requirements 4.2.c and 4.2.d.

By applying rigorous standards and practices to existing and new tailings facilities, we ensure that all our operations meet or exceed industry guidelines for safety, environmental impact, and social responsibility.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



Requirement 4.3 - Self-Assessment Rating Justification

The Accountable Executive shall take the decision to adopt a design for the current Consequence Classification criteria and to maintain flexibility to upgrade the design for the highest classification criteria later in the tailings facility lifecycle. This decision shall be documented.

✔ Requirement 4.3.A

Criteria

Extreme loads are already in place.

Discussion

Gold Fields prioritises the safety of our tailings facilities, and the Cerro Corona Tailings Stewardship team leads this commitment under the guidance of the Accountable Executive. We want to emphasize that being classified as having an "extreme" consequence category does not mean our facility is at risk of failure. Rather, it signifies that our facility is designed to withstand extreme loading conditions that may arise.

We have proactively incorporated extreme loading conditions into the design of our tailings facility. These extreme loading conditions are documented in design reports and summarized in our comprehensive Design Basis Report.

Therefore, Gold Fields has ranked this Requirement as "Meets".

Assessment Outcome

- ✔ Meets this Requirement



— Requirement 4.3.B

Criteria

If Extreme Consequence Classification external loading criteria are not adopted, the Accountable Executive shall take the decision to adopt a design for the current Consequence Classification criteria and maintain flexibility to upgrade the design for the highest classification criteria later in the tailings facility lifecycle.

Discussion

Gold Fields is committed to promoting the utmost safety and integrity of our tailings facility at the Cerro Corona mine. In alignment with this commitment, the Cerro Corona Tailings Stewardship team and the appointed Engineer of Record (EOR) have diligently evaluated and adopted extreme loading criteria during the design process.

We have conservatively assigned the TSF at Cerro Corona an Extreme Consequence Classification to account for the most extreme loading conditions. This classification checks that our facility is designed to withstand the most severe loading scenarios.

Given that our design incorporates extreme loading conditions, based on our current knowledge, the requirement to adopt a design for the current Consequence Classification criteria and maintain flexibility for future upgrades to the highest classification criteria does not apply in this context.

Gold Fields has ranked this Requirement as “Not applicable”.

Assessment Outcome

- — Not Applicable



Requirement 4.4 - Self-Assessment Rating Justification

Select, explicitly identify and document all design criteria that are appropriate to minimise risk for all credible failure modes for all phases of the tailings facility lifecycle.

✔ Requirement 4.4.A

Criteria

Select and identify design criteria that are appropriate to minimise risk for all credible failure modes during each phase of the tailings facility lifecycle.

Discussion

Gold Fields understands the paramount importance of selecting and identifying appropriate design criteria to mitigate risks associated with all credible failure modes throughout the entire lifecycle of our tailings facilities.

To check the effectiveness of the design of the Cerro Corona TSF, we collaborate closely with our Engineer of Record (EOR) partner.

In 2018, the EoR conducted a Failure Mode and Effects Analysis (FMEA) assessment with the Cerro Corona team to select design criteria appropriate for each phase of the tailings facility lifecycle. This FMEA assessment has been progressively updated. Given that our facility has been assigned an Extreme Consequence classification, the team has implemented design criteria and loading conditions that align with this classification. These criteria are based on thorough technical studies and evaluations.

The design criteria for our tailings facilities are documented in a comprehensive Design Basis Report (DBR) initially prepared in 2018. The DBR is a living document that undergoes regular updates to remain current and aligned with the latest industry standards and best practices.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✓ Requirement 4.4.B

Criteria

Document the rationale for the design criteria selected to minimise risk.

Discussion

Our Engineer of Record (EoR) has developed a detailed Design Basis Report (DBR) to document the rationale for the design criteria selected. The DBR is a comprehensive reference that identifies and outlines the design criteria chosen to mitigate risks throughout the entire lifecycle of our tailings facility.

The DBR is a foundational document supporting ongoing monitoring and evaluation by capturing the reasoning behind our design criteria. It enables us to maintain a robust and up-to-date record of our design approach and check that it aligns with evolving best practices and industry standards.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✓ Meets this Requirement



Requirement 4.5 - Self-Assessment Rating Justification

Apply design criteria, such as factors of safety for slope stability and seepage management that consider estimated operational properties of materials and expected performance of design elements, and quality of the implementation of risk management systems. These issues should also be appropriately accounted for in designs based on deformation analyses.

✔ Requirement 4.5.A

Criteria

Develop and apply design criteria, such as factors of safety for slope stability and seepage management, for each lifecycle phase that considers:

- the estimated operational properties of materials and the expected performance of the design elements, and
- the quality of the implementation of the risk management systems.

Discussion

Gold Fields is deeply committed to upholding stringent design criteria throughout the entire lifecycle of the Cerro Corona Tailings Storage Facility. (TSF).

Our Engineer of Record partner (EoR) has prepared a comprehensive Design Basis Report (DBR) for the TSF at the Cerro Corona mine to document and communicate our design criteria effectively. Within the DBR, we outline factors of safety for slope stability and performance objectives for seepage management.

Furthermore, we actively monitor the properties of the facility through live instrumentation monitoring and recurring geotechnical testing and field campaigns. This monitoring program allows the team to check that the observed properties align with the expected performance outlined in our design criteria.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



✔ Requirement 4.5.B

Criteria

Account for these design and implementation issues in assessments based on deformation analyses.

Discussion

Our commitment to robust design and implementation extends to incorporating deformation analyses in our assessments for the TSF at Cerro Corona.

The deformation models are a valuable addition to our existing stability models, enabling us to analyse and evaluate the TSF's performance specifically in terms of deformation. The models are constructed based on comprehensive site investigations and testing conducted over an extended period. These investigations employ various methods and sampling techniques to check accurate data collection and representation of the material properties.

During our recent site investigation field campaigns, we have installed Shape Acceleration Arrays (SAA's) inclinometers to enable real-time measurement of displacement and deformation. These instruments provide us with valuable data that allows us to compare the actual performance of the TSF with the predictions made by the deformation models. Through continuous monitoring, we can promptly identify any deviations or concerns and take proactive measures to maintain the stability and safety of the structures.

This approach greatly enhances our understanding of the TSFs' behaviour and empowers us to optimize our risk management systems. By integrating deformation analyses into our assessments, we can check that we account for design and implementation issues related to slope stability and seepage management.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



Requirement 4.6 - Self-Assessment Rating Justification

Identify and address brittle failure modes with conservative design criteria, independent of trigger mechanisms, to minimise their impact on the performance of the tailings facility.

Requirement 4.6.A

Criteria

An assessment of the potential for brittle failure modes is documented and the analyses are addressed in the Design Basis Report (DBR).

Discussion

The integrity and resilience of our tailings facilities are of utmost importance to us.

A detailed examination of brittle failure modes was conducted through a Potential Failure Mode Assessment (PFMA) and Semi-Quantitative Risk Analysis (SQRA), most recently updated in April 2023. The process to update the SQRA comprised several multi-day workshops with interdisciplinary stakeholders and included a focused review of brittle failure mechanisms independent of specific trigger mechanisms.

To incorporate the identification and mitigation of brittle failure modes into the design process, we have applied conservative design criteria, including low residual shear strength ratio values independent of trigger mechanisms. These criteria proactively address brittle failure modes and help minimize their potential consequences.

The Cerro Corona TSF DBR and documents referenced within the DBR present design criteria adopted to address brittle failure modes. We are committed to maintaining transparency by including this information in the DBR as part of our ongoing efforts to enhance the understanding and management of brittle failure modes in our tailings facility.

Although our assessment of potential brittle failure modes is documented in the SQRA process and DBR, at the time of this assessment, we are concluding a field investigation and laboratory testing report which will document our approach, rationale and analyses.

Therefore, Gold Fields has ranked this Requirement as “Partially Meets”.

Assessment Outcome

-  **Partially Meets this Requirement**



Requirement 4.7 - Self-Assessment Rating Justification

Existing tailings facilities shall conform with the Requirements under Principle 4, except for those aspects where the Engineer of Record (EOR), with review by the ITRB or a senior independent technical reviewer, determines that the upgrade of an existing tailings facility is not viable or cannot be retroactively applied. In this case, the Accountable Executive shall approve and document the implementation of measures to reduce both the probability and the consequences of a tailings facility failure in order to reduce the risk to a level as low as reasonably practicable (ALARP). The basis and timing for addressing the upgrade of existing tailings facilities shall be risk-informed and carried out as soon as reasonably practicable.

Requirement 4.7.A

Criteria

Existing tailings facilities shall conform with the Requirements under Principle 4, except for those aspects where the Engineer of Record (EOR), with review by the ITRB or a senior independent technical reviewer, as appropriate, determines that the upgrade of an existing tailings facility is not required, or viable, or cannot be retroactively applied.

Discussion

Our top priority is checking the safety and integrity of our existing tailings facilities. As demonstrated in previous requirements, the TSF at the Cerro Corona mine conforms with the requirements under Principle 4, based on the knowledge available at the time of this assessment.

However, as the Cerro Corona TSF is classified as having an 'extreme' consequence classification, extreme loading conditions have been incorporated into its design and future upgrades are deemed not to be required, aspects determining an upgrade of the facility are deemed not applicable.

Gold Fields has ranked this Requirement as "Not Applicable".

Assessment Outcome

- **Not Applicable**



– Requirement 4.7.B

Criteria

If the condition in (a.) above applies, the Accountable Executive shall approve and document the implementation of measures to reduce both the probability and the consequences of a tailings facility failure to reduce the risk to a level as low as reasonably practicable (ALARP).

Discussion

In the context of part (a), aspects where the Engineer of Record (EOR), with review by the ITRB or a senior independent technical reviewer, as appropriate, determines that the upgrade of an existing tailings facility is not required or viable, or cannot be retroactively applied,” this requirement has been ranked not applicable.

The Cerro Corona TSF has an ‘extreme’ consequence classification, and extreme loading conditions have been incorporated into its design. Therefore, future upgrades are deemed not to be required.

Gold Fields has ranked this Requirement as “Not Applicable”.

Assessment Outcome

- – Not Applicable



— Requirement 4.7.C

Criteria

The basis and timing for addressing the upgrade of existing tailings facilities shall be risk-informed and carried out as soon as reasonably practicable.

Discussion

Our approach to upgrading existing tailings facilities at Gold Fields is guided by a risk-informed perspective, focusing on timely action.

However, as the Cerro Corona TSF incorporates extreme loading conditions into its design, the need to upgrade the facility is deemed not applicable based on information available at the time of this disclosure.

Therefore, Gold Fields has ranked this Requirement as “Not Applicable”.

Assessment Outcome

- — Not Applicable



Requirement 4.8 - Self-Assessment Rating Justification

The EOR shall prepare a Design Basis Report (DBR) that details the design assumptions and criteria, including operating constraints, and that provides the basis for the design of all phases of the tailings facility lifecycle. The DBR shall be reviewed by the ITRB or senior independent technical reviewer. The EOR shall update the DBR every time there is a material change in the design assumptions, design criteria, design or the knowledge base and check internal consistency among these elements.

✔ Requirement 4.8.A

Criteria

The EOR shall prepare a Design Basis Report (DBR) that details the design assumptions and criteria, including operating constraints, and that provides the basis for the design of all phases of the tailings facility lifecycle.

Discussion

Our Engineer of Record partner has prepared a Design Basis Report (DBR) for the TSF. This report is a detailed documentation of the design assumptions, criteria, and operating constraints that form the foundation for designing all phases of the tailings facility's lifecycle.

By preparing and reviewing the DBR, we strive to establish a solid framework that guides the design and operation of our tailings facilities, fostering safety, sustainability, and responsible practices.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



✓ Requirement 4.8.B

Criteria

The DBR shall be reviewed by the ITRB or senior independent technical reviewer.

Discussion

The DBR is a vital document that outlines the design assumptions, criteria, and operational constraints, establishing a strong framework for designing and operating our tailings facilities. Our Engineer of Record partner (EoR) initially prepared a comprehensive Design Basis Report (DBR) for the Cerro Corona TSF in 2018, encompassing all stages of its lifecycle.

The DBR was recently updated to include findings from key technical studies and has been reviewed by the Independent Technical Review Board (ITRB).

Gold Fields has ranked this requirement as “Meets”.

Assessment Outcome

- ✓ Meets this Requirement



✔ Requirement 4.8.C

Criteria

The EOR shall update the DBR every time there is a material change in the design assumptions, design criteria, design or the knowledge base and check internal consistency among these elements.

Discussion

In 2018, our Engineer of Record prepared a preliminary Design Basis Report. (DBR) This comprehensive document is a cornerstone, outlining key design assumptions and criteria.

Recognizing the dynamic nature of our operations, we are committed to maintaining the currency and accuracy of the DBR. Material changes in design assumptions, design criteria, design, or the knowledge base will prompt an update to the DBR. The DBR was recently updated and reviewed by the Independent Technical Review Board. (ITRB)

It is important to note that when proposing changes to the TSF, its design or components, our "Management of Change" procedure is enacted, involving a comprehensive assessment of the potential impact and implications by all stakeholders. We have recently updated this procedure to include tailings management.

At the time of this disclosure, the DBR is recent and current. **Therefore, Gold Fields has ranked this Requirement as "Meets".**

Assessment Outcome

- ✔ [Meets this Requirement](#)



GISTM Principle 05

Develop a Robust Design That Integrates the Knowledge Base and Minimises the Risk of Failure to People and the Environment for All Phases of the Tailings Facility Lifecycle, Including Closure and Post-Closure.

Principle 05 – Self-Assessment Outcome

The Cerro Corona mine has a single TSF, which has been given an Extreme Consequence Classification. A summary of the self-assessment outcome for Principle 05 of the GISTM is presented in Table 10 below. Further information specific to each requirement part is provided in subsequent sections of this report.

Table 10: Principle 05 – Self-Assessment Outcome Summary

Req.	Part	Criteria	TSF 1
5.1	A	For new tailings facilities, the design incorporates the outcomes of the alternatives analysis (as per Requirement 3.2).	–
	B	For expansions to existing facilities, assess the outcomes of periodic reviews of potential refinements to tailings technologies and design approaches (as per Requirement 3.2)	–
	C	Where the design differs from the alternatives analysis, a rationale incorporates the goal of minimising risks to people and the environment throughout the tailings facility lifecycle.	–
5.2	A	A robust design that considers the following: <ul style="list-style-type: none"> – The technical, social, environmental, and local economic context of the tailings facility. – The Consequence Classification, site conditions, water management, mine plant operations, tailings operational and construction issues. – The design demonstrates the feasibility of safe closure of the tailings facility 	✓
	B	The design is reviewed and updated as performance and site data become available throughout the tailings facility lifecycle and/or in response to material changes.	✓
5.3	A	A water management plan that considers the knowledge base, the mine plan for the current state of the tailings facility lifecycle, upstream and downstream hydrological and hydrogeological basins, and the potential for climate change.	✓
	B	A water balance model that considers the overall water management plan.	✓
	C	The water management plan and water balance address the safety of the tailings facility and the prevention of unintentional releases.	✓
5.4	A	Potential failure modes to the structure, its foundation, abutments, reservoir (tailings deposit and pond), Reservoir rim, and appurtenant structures are identified, categorized by risk assessments, and addressed through preventative measures incorporated into the design and/or through operational controls.	⚠



	B	Risk assessments are used to inform the design to minimise risk to ALARP. Risk assessments should be used to determine whether the potential credible failure mode(s)/scenario is credible.	✓
5.5	A	Designs are conducted for each stage of construction of the tailings facility, including but not limited to start-up, partial raises and interim configurations, final raise, and all closure stages prior to construction. The level of detail of the design should be commensurate with the phase of the tailings facility lifecycle.	✓
5.6	A	The closure design meets all the Requirements of the Standard with sufficient detail to demonstrate the feasibility of the closure scenario.	✓
	B	The closure design allows the implementation of elements of the closure design during construction and operation, as appropriate.	✓
	C	The design includes progressive closure and reclamation during operations.	✓
5.7	A	For a proposed new tailings facility, the Accountable Executive (AE) shall check that the design satisfies ALARP.	–
	B	Approve additional reasonable steps that may be taken downstream, to further reduce potential consequences to people and the environment.	–
	C	Explain and document the decisions with respect to ALARP and additional consequence reduction measures.	–
	D	For an existing tailings facility, the Accountable Executive, at the time of every DSR or at least every five years, shall check that the design satisfies ALARP.	⚠
	E	Seek to identify and implement additional reasonable steps that may be taken to further reduce potential consequences to people and the environment.	✓
	F	Explain and document the decisions with respect to ALARP and additional consequence reduction measures, in consultation with external parties as appropriate.	⚠
5.8	A	Operators who have a facility with a credible failure mode, as per the breach analysis, have exhausted measures to reduce consequences, and cannot avoid pre-emptive resettlement.	⚠
	B	Operator has conformed to international standards for involuntary resettlement.	–



Requirement 5.1 - Self-Assessment Rating Justification

For new tailings facilities, incorporate the outcome of the multi-criteria alternatives analysis including the use of tailings technologies in the design of the tailings facility. For expansions to existing tailings facilities, investigate the potential to refine the tailings technologies and design approaches with the goal of minimising risks to people and the environment throughout the tailings facility lifecycle.

— Requirement 5.1.A

Criteria

For new tailings facilities, the design incorporates the outcomes of the alternatives analysis (as per Requirement 3.2).

Discussion

Gold Fields incorporates multi-criteria analyses at the onset of any new tailings facility project. These analyses help us assess various alternatives and consider different tailings technologies during the design phase.

By incorporating this comprehensive evaluation process, we aim to minimize risks to people and the environment throughout the lifecycle of our tailings facilities.

As the TSF at the Cerro Corona mine is an existing facility with an Extreme Consequence Classification, **Gold Fields has ranked this Requirement as “Not applicable”**. A new in-pit TSF is currently being studied for the mine. However, it has a Low consequence classification and has not been included in this disclosure.

Assessment Outcome

- — **Not Applicable**



— Requirement 5.1.B

Criteria

For expansions to existing facilities, assess the outcomes of periodic reviews of potential refinements to tailings technologies and design approaches (as per Requirement 3.2).

Discussion

The TSF (Tailings Storage Facility) at the Cerro Corona Mine is reviewed comprehensively by the Independent Technical Review Board (ITRB), independent reviewers (IR) and Engineer of Record (EoR).

The Engineer of Record has prepared a tailings technology summary memorandum for Cerro Corona to demonstrate potential refinements to tailings technologies and design approaches. The Cerro Corona Tailings Stewardship team has also completed various technical studies investigating innovative approaches to improve tailings storage.

Furthermore, the Global Tailings Team annually reviews available tailings technologies, including ongoing trials at other Gold Fields mines. Any relevant findings from these technological reviews are promptly shared with the Cerro Corona Tailings Stewardship team. Based on these practices, Gold Fields checks that it meets the requirement for assessing potential refinements to tailings technologies and design approaches for expansions to existing facilities.

However, there have been no expansions to the existing TSF at the Cerro Corona mine.

Gold Fields has ranked this Requirement as “Not Applicable”.

Assessment Outcome

- — **Not Applicable**



— Requirement 5.1.C

Criteria

Where the design differs from the alternatives analysis, there is a rationale that incorporates the goal of minimising risks to people and the environment throughout the tailings facility lifecycle.

Discussion

As the TSF at the Cerro Corona mine is an existing facility that has not been expanded, Gold Fields has determined that this requirement is not applicable in the context of the current TSF.

Therefore, Gold Fields has ranked this Requirement as “Not Applicable”.

Assessment Outcome

- — Not Applicable



Requirement 5.2 - Self-Assessment Rating Justification

Develop a robust design that considers the technical, social, environmental and local economic context, the tailings facility Consequence Classification, site conditions, water management, mine plant operations, tailings operational and construction issues, and that demonstrates the feasibility of safe closure of the tailings facility. The design should be reviewed and updated as performance and site data become available and in response to material changes to the tailings facility or its performance.

✔ Requirement 5.2.A

Criteria

A robust design that considers the following:

- The technical, social, environmental, and local economic context of the tailings facility.
- The Consequence Classification, site conditions, water management, mine plant operations, tailings operational and construction issues.
- The design demonstrates the feasibility of the safe closure of the tailings facility.

Discussion

Our Engineer of Record (EoR) partner is crucial to the Cerro Corona Tailings Stewardship team. Together, we have developed designs that consider the technical, social, environmental, and local economic context of the tailings facility. Our designs also consider factors such as the Consequence Classification, site conditions, water management, mine plant operations, and tailings operational and construction issues.

Importantly, our designs present the feasibility of safely closing the tailings facility, promoting long-term environmental and community safety. These designs have been supported by comprehensive technical studies, which comply with local regulatory requirements. The Cerro Corona team has prepared a closure design to Pre-Feasibility Study (PFS) level, which has been revised twice since its development. The team has also worked with an independent consultant to complete geochemical modelling to demonstrate a safe closure design.

To promote the highest quality and adherence to industry standards, these Design Reports undergo reviews by the Engineer of Record (EoR) and the Independent Technical Review Board (ITRB) annually. This collaborative approach checks that our designs are continuously evaluated and updated as performance and site data become available or in response to any material changes to the tailings facility.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



✓ Requirement 5.2.B

Criteria

The design is reviewed and updated as performance and site data become available throughout the tailings facility lifecycle and/or in response to material changes.

Discussion

The Cerro Corona Tailings Stewardship team is committed to actively monitoring and maintaining the performance of the tailings facilities. We have established a comprehensive monitoring and reporting system to check ongoing safety and effectiveness.

Regular visual inspections are conducted throughout the tailings facilities, and we have installed a network of instruments to collect site-specific data. The findings from these inspections are reported to a dedicated Monitoring and Surveillance centre at the mine, where a dedicated team is appointed to monitor the site in real-time and address any alarms or system warnings. The monitoring system includes real-time instrumentation monitoring and live CCTV of multiple aspects of the TSF.

Should the site team identify any concerns or material changes, we promptly initiate the "Management of Change" procedure, which allows us to take necessary actions to address the concerns. This may involve updating the design to check continued safety and compliance.

The EOR receives monitoring data which they analyse and summarise in a quarterly TSF performance report. In addition to the quarterly TSF performance report prepared by the EoR, the Responsible Tailings Facility Engineer prepares a quarterly TSF performance report, which covers a wide range of factors beyond material dam safety monitoring.

Therefore, Gold Fields has ranked this Requirement as "Meets".

Assessment Outcome

- ✓ Meets this Requirement



Requirement 5.3 - Self-Assessment Rating Justification

Develop, implement and maintain a water balance model and associated water management plans for the tailings facility, taking into account the knowledge base including climate change, upstream and downstream hydrological and hydrogeological basins, the mine site, mine planning and overall operations and the integrity of the tailings facility throughout its lifecycle. The water management programme should be designed to protect against unintentional releases.

✔ Requirement 5.3.A

Criteria

A water management plan that considers the knowledge base, the mine plan for the current state of the tailings facility lifecycle, upstream and downstream hydrological and hydrogeological basins, and the potential for climate change.

Discussion

Responsible water stewardship is a top priority at Gold Fields, and we have developed a comprehensive Water Stewardship Strategy for 2020-2025. This strategy is supported by three-year water management plans that guide our actions.

Our Water Stewardship Strategy is built on three pillars:

- Security of supply
- Water efficiency
- Catchment management

At the Cerro Corona mine, we have conducted climate change baseline studies and developed projected climate variation models. These studies have been reviewed by the Engineer of Record (EoR) and integrated into the TSF's design. The updated hydrologic design criteria calculations for the TSF Dam and blankets include allowances for climate change.

The Cerro Corona Tailings Stewardship team, including the Sustainable Development team, has developed a Water Management Plan which considers all surface water interactions in the basin, inputs and outputs to the system, the underground seepage system, water balance and operating parameters.

The Plan considers the importance of maintaining necessary pumping flows and treatment capacity, seepage, freeboard and operating water levels.

Additionally, the Design Basis Report and individual specifications for design, prepared by our Engineer of Record, include sections on hydrology and hydrogeology. The regulator has endorsed these designs.

Therefore, Gold Fields has ranked this Requirement as "Meets".

Assessment Outcome

- ✔ Meets this Requirement



✔ Requirement 5.3.B

Criteria

A water balance model that considers the overall water management plan.

Discussion

At Cerro Corona, the site-wide water balance was originally developed by the Responsible Tailings Facility Engineer (RTFE) and is managed by a dedicated Water Champion. The water balance is developed in accordance with our group-wide strategy and the Cerro Corona Water Management Plan, as outlined in Requirement 5.3.A

The water balance considers the latest information on site conditions, and studies are updated every 2-3 months. Considering these factors, we ensure our water management plan is robust and aligned with our commitment to responsible water stewardship.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



✓ Requirement 5.3.C

Criteria

The water management plan and water balance address the safety of the tailings facility and the prevention of unintentional releases.

Discussion

At Cerro Corona, we prioritize the safety of our tailings facility and take proactive measures to prevent unintentional releases. Our water management plan and water balance are integral to this effort.

The Cerro Corona Water Balance is regularly calibrated every quarter or sooner where required. This calibration checks that the water balance is up-to-date and that water within the system is effectively managed according to our water management strategy and plan.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✓ Meets this Requirement



Requirement 5.4 – Self-Assessment Rating Justification

Address all potential failure modes of the structure, its foundation, abutments, reservoir (tailings deposit and pond), reservoir rim and appurtenant structures to minimise risk to ALARP. Risk assessments should be used to inform the design.

🟡 Requirement 5.4.A

Criteria

Potential failure modes to the structure, its foundation, abutments, reservoir (tailings deposit and pond), Reservoir rim, and appurtenant structures are identified, categorized by risk assessments, and addressed through preventative measures incorporated into the design and/or through operational controls.

Discussion

Our Engineer of Record (EoR) partner has facilitated several workshops with the Cerro Corona Tailings Stewardship team and subject matter experts (SME) from a range of disciplines to conduct a comprehensive Potential Failure Modes Analysis (PFMA), Failure Mode Effects Analysis (FMEA) assessment and semi-quantitative risk analysis (SQRA). These analyses considered all design aspects, including structures, geometry, foundations, abutments, tailings deposit and pond, and other relevant components.

The analyses allowed the team to identify and evaluate the engineering controls required to manage risk, assess compliance with risk tolerability criteria, and evaluate if risks are reduced to an ALARP level.

The Independent Technical Review Board (ITRB) have reviewed the approach and work undertaken by the Cerro Corona Tailings Stewardship team and Engineer of Record (EoR.)

At the time of this disclosure, the team are awaiting the conclusion of field investigation campaigns which will be incorporated into the SQRA. The SQRA process has not been fully closed out, and the ITRB has not reviewed this final step in the risk journey. **Gold Fields has ranked this Requirement as “Partially Meets”.**

Assessment Outcome

- 🟡 Partially Meets this Requirement



✔ Requirement 5.4.B

Criteria

Risk assessments are used to inform the design to minimise risk to ALARP. Risk assessments should be used to determine whether the potential credible failure mode(s)/scenario is credible.

Discussion

The Cerro Corona Tailings Stewardship team has implemented a comprehensive approach to managing tailings risk and has used risk assessments to inform the design to minimise risk to ALARP. The Global Tailings Management team developed a risk matrix specifically for tailings, allowing risks to be evaluated quantitatively to complement existing risk management systems.

Our Engineer of Record (EoR) partner has facilitated several workshops with the Cerro Corona Tailings Stewardship team and subject matter experts (SME) from a range of disciplines to conduct a comprehensive Potential Failure Modes Analysis (PFMA), Failure Mode Effects Analysis (FMEA) assessment and semi-quantitative risk analysis (SQRA). These analyses considered all design aspects, including structures, geometry, foundations, abutments, tailings deposit and pond, and other relevant components. They were used to estimate risk, assess compliance with risk tolerability criteria, identify controls to reduce risk and evaluate if risks are reduced to an ALARP level.

As such, Gold Fields has rated this requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



Requirement 5.5 - Self-Assessment Rating Justification

Develop a design for each stage of construction of the tailings facility, including but not limited to start-up, partial raises and interim configurations, final raise, and all closure stages.

✔ Requirement 5.5.A

Criteria

Designs are conducted for each stage of construction of the tailings facility, including but not limited to start-up, partial raises and interim configurations, final raise, and all closure stages prior to construction. The level of detail of the design should be commensurate with the phase of the tailings facility lifecycle.

Discussion

Detailed designs for each stage of construction of the Cerro Corona tailings facility, including partial raises, interim configurations, and final raises have been prepared by our Engineer of Record (EoR) partner. The Independent Technical Review Board (ITRB) has comprehensively reviewed these designs since 2006. (ITRB)

To check the adequacy of the designs and address any gaps in historical information, the Cerro Corona Tailings Stewardship team commissioned the EoR to conduct new site investigations. It engaged an independent consultant to perform a Dam Safety Review (DSR) in 2022/2023. This review focused on assessing the stability of the facility based on up-to-date information and industry standards.

Importantly, our designs demonstrate the feasibility of safely closing the tailings facility, promoting long-term environmental and community safety. These designs have been supported by comprehensive technical studies and are documented in a series of endorsed Design Reports, which comply with local regulatory requirements.

In 2019, the Cerro Corona team prepared a closure design to Pre-Feasibility Study (PFS) level, which has been revised twice since its development. The team has also worked with an independent consultant to complete geochemical modelling to demonstrate a safe closure design.

By incorporating these measures, we aim to check that the design of the tailings facility aligns with the specific requirements of each construction stage. The level of detail in the design is appropriately tailored to the corresponding phase of the tailings facility's lifecycle. This approach checks that our construction activities are conducted in a safe and responsible manner, with careful consideration of long-term closure requirements.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



Requirement 5.6 - Self-Assessment Rating Justification

Design the closure phase in a manner that meets all the Requirements of the Standard with sufficient detail to demonstrate the feasibility of the closure scenario and to allow implementation of elements of the design during construction and operation as appropriate. The design should include progressive closure and reclamation during operations.

✔ Requirement 5.6.A

Criteria

The closure design meets all the Requirements of the Standard with sufficient detail to demonstrate the feasibility of the closure scenario.

Discussion

A Closure Plan has been prepared for the Cerro Corona mine as part of our commitment to responsible mining practices. Our dedicated Sustainable Development Team regularly updates this plan on an annual basis.

The Cerro Corona tailings stewardship team has prepared a closure design to Pre-Feasibility Study (PFS) level, which has been revised twice since its development. The team has also worked with an independent consultant to complete geochemical modelling to demonstrate a safe closure design.

Additionally, the Design Basis Report (DBR) includes design criteria for both the “Active Care” and “Passive Care” phases of life, following definitions of the tailings lifecycle as presented by the Canadian Dam Association and as used by the GISTM.

As this closure design has been completed to the Pre-Feasibility level, **Gold Fields has ranked this Requirement as “Meets”.**

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 5.6.B

Criteria

The closure design allows the implementation of elements of the closure design during construction and operation, as appropriate.

Discussion

At Gold Fields, responsible mining practices are central to our operations, and we prioritize comprehensive closure planning to meet all the requirements of the Global Industry Standard on Tailings Management (GISTM).

At Cerro Corona, our closure plan and design provide the necessary information to demonstrate the practicality of a conceptual closure scenario. The Closure Plan has received approval from the regulatory authorities. The Cerro Corona Tailings Stewardship team carefully consider the implementation of closure elements, considering their suitability during both the construction and operation stages of the tailings facility. Factors like embankment slope geometry and long-term stability are among our considerations.

In line with Requirement 5.5.A, we have developed a dedicated Closure Plan and Pre-Feasibility Study (PFS) level design for the Cerro Corona TSF. The Closure plan undergoes regular updates by our dedicated Sustainable Development Team on an annual basis to check its ongoing effectiveness and alignment with best practices.

We incorporate conceptual closure considerations into our designs throughout the design process, including raises, interim configurations, and the final raise.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



✔ Requirement 5.6.C

Criteria

The design includes progressive closure and reclamation during operations.

Discussion

At Gold Fields, we have developed and maintained a dedicated Closure Plan specifically tailored to the Cerro Corona mine, as outlined in Requirement 5.6.B of this report. Our Sustainable Development Team, a key Cerro Corona Tailings Stewardship team stakeholder, regularly updates this plan to check its ongoing effectiveness and alignment with industry best practices. The regulator has reviewed and approved this plan.

Internally, we have developed a Closure Design in collaboration with a third-party consultant aligned to the Closure Plan and encompassing conceptual closure designs. The design considers progressive closure and reclamation, which can be implemented during the operational phase.

We are committed to fulfilling all closure obligations and checking the responsible and sustainable closure of the Cerro Corona mine. Our team will continue to work diligently in collaboration with regulators to develop further and refine the Closure Plan and check that it aligns with the highest industry standards and meets the site's specific requirements.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



Requirement 5.7 – Self-Assessment Rating Justification

For a proposed new tailings facility classified as ‘High’, ‘Very High’ or ‘Extreme’, the Accountable Executive shall check that the design satisfies ALARP and shall approve additional reasonable steps that may be taken downstream, to further reduce potential consequences to people and the environment. The Accountable Executive shall explain and document the decisions with respect to ALARP and additional consequence reduction measures. For an existing tailings facility classified as ‘High’, ‘Very High’ or ‘Extreme’, the Accountable Executive, at the time of every DSR or at least every five years, shall check that the design satisfies ALARP and shall seek to identify and implement additional reasonable steps that may be taken to further reduce potential consequences to people and the environment. The Accountable Executive shall explain and document the decisions with respect to ALARP and additional consequence reduction measures, in consultation with external parties as appropriate.

– Requirement 5.7.A

Criteria

For a proposed new tailings facility, the Accountable Executive (AE) shall check that the design satisfies ALARP.

Discussion

The Accountable Executive is a key stakeholder in the Cerro Corona Tailings Stewardship team and participates in sessions with the team on a quarterly basis.

However, as there are no new tailings facilities with an Extreme or Very High Consequence Classification at the Cerro Corona mine, this requirement has been rated as not applicable.

Therefore, Gold Fields has ranked this Requirement as “Not Applicable”.

Assessment Outcome

- – **Not Applicable**



— Requirement 5.7.B

Criteria

For a proposed new tailings facility, the Accountable Executive (AE) shall approve additional reasonable steps that may be taken downstream, to further reduce potential consequences to people and the environment.

Discussion

Our team has ranked this requirement as 'Not Applicable' because no new proposed tailings facilities with an Extreme or Very High Consequence classification at the Cerro Corona mine.

However, in the event of future facility designs, the Accountable Executive (AE) would approve additional reasonable measures that can be implemented downstream to further mitigate potential consequences to people and the environment. The AE's decisions regarding the As Low As Reasonably Practicable (ALARP) principle and any additional steps taken would also be carefully explained and documented.

Therefore, Gold Fields has ranked this Requirement as “Not Applicable”.

Assessment Outcome

- — Not Applicable



— Requirement 5.7.C

Criteria

For a proposed new tailings facility, the Accountable Executive (AE) shall explain and document the decisions with respect to ALARP and additional consequence reduction measures.

Discussion

The TSF at the Cerro Corona mine is an existing facility with an Extreme Consequence Classification. A new in-pit TSF is currently being studied, however, as it has a Low consequence classification and is due for GISTM conformance in August 2025.

As the existing facility is not new, **Gold Fields rated this requirement as “Not Applicable”.**

Assessment Outcome

- — Not Applicable



🟡 Requirement 5.7.D

Criteria

For an existing tailings facility, the Accountable Executive, at the time of every DSR or at least every five years, shall check that the design satisfies ALARP.

Discussion

An independent consultant conducted a comprehensive Dam Safety Review (DSR) of the Cerro Corona TSF in 2022 and reported in 2023. A summary of the findings can be found in the Cerro Corona Plain Language Summary section of the Gold Fields Annual Tailings Disclosure report.

To check that the risks associated with the TSF are As Low As Reasonably Practicable (ALARP), the EoR facilitated semi-quantitative risk analysis (SQRA) workshops attended by interdisciplinary Subject Matter Professionals in H1 2023. This SQRA process advances several potential Failure Mode Assessments and Failure Mode Effects Analysis (FMEA) assessments undertaken in 2017 and 2020 and is scheduled to be reviewed by the Independent Technical Review Board (ITRB) in H2 2023. While the SQRA has not been independently reviewed, all risks comply with the tolerable risk limit (based on widely-accepted societal risk tolerability limits).

The Accountable Executive (AE) has been actively involved and meets with the Cerro Corona Tailings Stewardship team and the engineer of record partner on a quarterly basis.

As we await the final DSR report and independent review of the semi-quantitative risk analysis (SQRA) by the Independent Technical Review Board (ITRB) in H2 2023, which will be instrumental in documenting that the design satisfies ALARP, this requirement is currently ranked as "Partially meets."

Therefore, Gold Fields has ranked this Requirement as "Partially Meets".

Assessment Outcome

- 🟡 **Partially Meets this Requirement**



✔ Requirement 5.7.E

Criteria

For an existing tailings facility, the Accountable Executive, at the time of every DSR or at least every five years, shall seek to identify and implement additional reasonable steps that may be taken to further reduce potential consequences to people and the environment.

Discussion

At Gold Fields, we prioritize safety and environmental protection. We conduct regular reviews of our existing tailings facility to maintain these standards. An independent consultant conducted a comprehensive Dam Safety Review (DSR) of the Cerro Corona TSF in 2022, of which the findings were reported in 2023. We requested the consultant to identify and implement additional reasonable measures to further reduce potential consequences for people and the environment and assess the performance of the TSFs considering current site conditions compared to the original design.

To check that the design meets the As Low As Reasonably Practicable (ALARP) standard, the EoR facilitated semi-quantitative risk analysis (SQRA) workshops attended by interdisciplinary Subject Matter Professionals in H1 2023. This SQRA is scheduled to be reviewed by the Independent Technical Review Board (ITRB) in H2 2023. While the SQRA has not been independently reviewed, all risks comply with the tolerable risk limit (based on widely-accepted societal risk tolerability limits).

We are committed to continuously improving our design to meet the As Low As Reasonably Practicable (ALARP) standard, and at a Corporate Level, we have committed to reducing our global active upstream TSFs from 5 to 3. The Accountable Executive (AE) receives feedback from the EOR, which conducts regular reviews of the TSFs and the Independent Technical Review Board (ITRB), which conducts reviews annually. The AE carefully considers the recommendations from the Cerro Corona Tailings Stewardship team and engages with external parties, as needed, to make informed decisions regarding ALARP and additional measures for risk reduction.

Given the active involvement of the AE with the Cerro Corona Tailings Stewardship team and the commitment to implementing reasonable steps for risk reduction, such as approving the facilities' transition to centreline construction, this requirement is considered 'Meets'.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



🟡 Requirement 5.7.F

Criteria

For an existing tailings facility, the Accountable Executive, at the time of every DSR or at least every five years, shall explain and document the decisions with respect to ALARP and additional consequence reduction measures, in consultation with external parties as appropriate.

Discussion

As part of our commitment to safety and environmental protection, the Cerro Corona team, in collaboration with our EoR partner, completed a Potential Failure Mode Assessment (PFMA) and Failure Mode Effects Analysis (FMEA) assessment in 2017.

In 2022, the team engaged an independent consultant to conduct a comprehensive Dam Safety Review (DSR) and evaluate the performance and condition of the TSF. The findings were reported in 2023.

In 2023, on receipt of the DSR and various technical studies, the EoR repeated the FMEA assessment and hosted a series of workshops aimed at semi-quantitatively (SQRA) assessing any risks associated with the TSF.

The SQRA is scheduled to be reviewed by our Independent Technical Review Board (ITRB) in H2 2023 and documents the Cerro Corona team's decisions with respect to ALARP, control measures and additional consequence reduction measures. The Accountable Executive will approve the SQRA after the ITRB has reviewed it.

Therefore, Gold Fields has ranked this Requirement as “Partially Meets”.

Assessment Outcome

- 🟡 Partially Meets this Requirement



Requirement 5.8 – Self-Assessment Rating Justification

Where other measures to reduce the consequences of a tailings facility credible failure mode as per the breach analysis have been exhausted, and pre-emptive resettlement cannot be avoided, the Operator shall demonstrate conformance with international standards for involuntary resettlement.

Requirement 5.8.A

Criteria

Operators who have a facility with a credible failure mode, as per the breach analysis, have exhausted measures to reduce consequences, and cannot avoid pre-emptive resettlement.

Discussion

The Engineer of Record (EoR) for the Cerro Corona TSF has been engaged to perform an extensive scope of work, including, but not limited to:

- Potential failure mode assessments (PFMAs)
- Failure Mode and Effects Analyses (FMEAs)
- Semi-quantitative Risk Assessments (SQRAs)
- Comprehensive site investigations
- Advanced geotechnical testing at international, accredited laboratories
- Stability modelling based on parameters obtained from material testing
- Deformation analyses performed based on material properties obtained from material testing
- The development of critical controls

At the time of this disclosure, based on current knowledge, the outcome of the PFMAs, FMEAs and SQRAs show that all risks identified comply with the tolerable risk limit (based on widely-accepted societal risk tolerability limits.) As such, resettlement is not required.

Therefore, Gold Fields has ranked this Requirement as “Partially Meets”.

Assessment Outcome

-  Partially Meets this Requirement



— Requirement 5.8.B

Criteria

Operator has conformed to international standards for involuntary resettlement.

Discussion

As stated in the Gold Fields' Group Policy Statement for Community, Gold Fields commits to avoiding the involuntary physical or economic displacement of communities. It checks that any resettlement restores or improves displaced people's livelihoods and living standards.

As the risks associated with the Cerro Corona TSF comply with the tolerable risk limit (based on widely-accepted societal risk tolerability limits), re-settlement has not been applied at the time of this disclosure. As such, **Gold Fields has ranked this Requirement as "Not Applicable"**.

Assessment Outcome

- — Not Applicable



GISTM Principle 06

Plan, Build and Operate the Tailings Facility to Manage Risk at All Phases of the Tailings Facility Lifecycle, Including Closure and Post-Closure.

Principle 06 – Self-Assessment Outcome

The Cerro Corona mine has a single TSF, which has been given an Extreme Consequence Classification. A summary of the self-assessment outcome for Principle 06 of the GISTM is presented in Table 11 below. Further information specific to each requirement part is provided in subsequent sections of this report.

Table 11: Principle 06 – Self-Assessment Outcome Summary

Req.	Part	Criteria	TSF 1
6.1	A	The design intent, established in the DBR, is understood and implemented for construction, operation and closure for each phase of the tailings facility lifecycle.	✓
	B	Construction and operating personnel assigned to tailings-related tasks are qualified based on the qualifications defined in the Tailings Management System (TMS).	✓
	C	Throughout all stages of the tailings facility lifecycle the appropriate methodology, equipment and procedures, data acquisition methods, are used and incorporated into the TMS and the Environmental and Social Management System (ESMS) for the mine and associated infrastructure.	✓
	D	The TMS and the ESMS are implemented during construction, operation, and closure.	✓
6.2	A	Quality Control (QC) and Quality Assurance (QA) programmes are established to monitor the quality and adequacy of the construction and operation processes.	✓
	B	A CDIV programme that checks that the design intent is met if site conditions vary from design assumptions.	✓
6.3	A	Construction Records Reports (CRR) 1,2,3 are up to date and are prepared when there is a material change to the tailings facility, its infrastructure, or its monitoring system.	✓
	B	The CRRs are signed by the RTFE and the EOR.	✗
6.4	A	An Operation, Maintenance and Surveillance (OMS) Manual is implemented, covers each tailings facility and includes the requirements for the OMS activities necessary for the effective risk management based on best practice.	✓
	B	The OMS is reviewed annually or more frequently if there are any updates following a material change as defined by the Operator.	✓
	C	The OMS provides clear context and includes the inspection, maintenance and monitoring of the requirements identified including critical controls for safe operation and is reviewed for effectiveness.	✓



	D	The RTFE checks that personnel involved in the TMS have access to the OMS Manual.	✓
	E	The RTFE should provide access to training to all levels of personnel involved in the TMS.	✓
6.5	A	A Change Management System has been established.	✓
	B	The Change Management System includes processes for identifying changes and processes for evaluating, reviewing, approving and documenting changes throughout the facility lifecycle.	✓
	C	The Change Management System addresses and documents material changes to design, construction, operations, or monitoring.	✓
	D	A DAR is periodically prepared and updated by the EOR, addressing the cumulative impact of material changes on the as-constructed facility.	✓
	E	Recommendations from the DAR have been implemented through updates to the construction, operations, design, DBR, OMS Manual and monitoring programme.	✓
	F	The Accountable Executive has endorsed the DAR.	✓
6.6	A	Reviews of new and emerging technologies and approaches for tailings management are carried out considering the tailings facility lifecycle.	✓
	B	Material results of the reviews have been incorporated into refinements of the facility design, construction and operations.	✓



Requirement 6.1 – Self-Assessment Rating Justification

Build, operate, monitor, and close the tailings facility according to the design intent at all phases of the tailings facility lifecycle, using qualified personnel and appropriate methodology, equipment and procedures, data acquisition methods, the Tailings Management System (TMS) and the overall Environmental and Social Management System (ESMS) for the mine and associated infrastructure.

✔ Requirement 6.1.A

Criteria

The design intent, established in the DBR, is understood and implemented for construction, operation and closure for each phase of the tailings facility lifecycle.

Discussion

At the Cerro Corona mine, we prioritize the understanding and implementing the design intent established in the Design Basis Report (DBR) for each phase of the TSF lifecycle. The TSF design has been implemented in accordance with the DBR.

To check the integrity and effectiveness of our tailings facilities, the Engineer of Record (EoR) has developed a comprehensive DBR that outlines the design intent for the construction, operation, and closure of the facilities. The DBR is a crucial reference document that guides our approach to tailings management and checks consistency throughout the entire lifecycle.

The DBR has been reviewed by the Independent Technical Review Board (ITRB). The ITRB, comprised of independent experts in the field of tailings management, provides valuable insights and recommendations to enhance our commitment to the design intent.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✓ Requirement 6.1.B

Criteria

Construction and operating personnel assigned to tailings-related tasks are qualified based on the qualifications defined in the Tailings Management System (TMS).

Discussion

At Gold Fields, we prioritize the safety and competency of our personnel involved in critical tailings-related roles, and we have implemented measures to check that their qualifications align with the expectations defined in our Tailings Management System (TMS).

Gold Fields has developed a comprehensive Tailings Management System encompassing a Tailings Management policy and the recently launched Gold Fields Tailings Management Standard. This Standard serves as a guideline for personnel working in critical roles related to tailings management and sets clear expectations for their qualifications and competencies.

At the operational level, the Cerro Corona Tailings Stewardship team manages the training, competency, and qualification of construction and operating personnel engaged in tailings-related tasks. The team has established a detailed competency training matrix to check compliance with the qualifications defined in the TMS.

This matrix outlines the key skills and competencies required of personnel involved in tailings management. It serves as a guide to assess and develop the qualifications of our team members. Currently, the competency matrix has been populated for all personnel involved in tailings management at the Cerro Corona mine and identifies who has received training, which requires further training and what type of training is required per role and individual.

At the Cerro Corona mine, workers and contractors assigned to the TSF have the right skills and competence to perform their duties. Therefore, the site complies.

Therefore, Gold Fields has ranked this requirement as “Meets”.

Assessment Outcome

- ✓ [Meets this Requirement](#)



✓ Requirement 6.1.C

Criteria

Throughout all stages of the tailings facility lifecycle the appropriate methodology, equipment and procedures, data acquisition methods, are used and incorporated into the TMS and the Environmental and Social Management System (ESMS) for the mine and associated infrastructure.

Discussion

At Gold Fields, we emphasise implementing appropriate methodologies, equipment, procedures, and data acquisition methods throughout every stage of the tailings facility lifecycle at the Cerro Corona mine. Our commitment to excellence is demonstrated through integrating these elements into our company wide Tailings Management System (TMS) and our Environmental and Social Management System (ESMS). The Cerro Corona Tailings Stewardship team comprises interdisciplinary stakeholders from different departments. As such, key data acquisition and equipment are shared by many functions.

From a tailings perspective, in 2023, the Global Tailings team launched a comprehensive Tailings Management Standard and guidance framework for Tailings Management at Gold Fields, forming a key part of our Tailings Management system (TMS). The Global Tailings team also released an Incident guideline to complement the existing environmental incident reporting guideline and system.

The Standard, Framework and Guideline outline the methodology, equipment, procedures, and data acquisition methods to be used throughout the various phases of any tailings facility's lifecycle. It is a valuable resource for our operations, including Cerro Corona, and helps us maintain a consistent approach in tailings management across Gold Fields.

At an operational level, we have developed a Tailings Management Plan, Risk Management Plan, and Operating Maintenance and Surveillance (OMS) Manual for the Cerro Corona TSF. These documents guide our personnel in tailings-related tasks and ensure they have the necessary knowledge and tools to carry out their responsibilities safely and effectively.

By incorporating the appropriate methodologies, equipment, procedures, and data acquisition methods into our TMS and ESMS, we are committed to achieving the highest levels of operational excellence, environmental protection, and social responsibility throughout the lifecycle of our tailings facilities.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✓ [Meets this Requirement](#)



✔ Requirement 6.1.D

Criteria

The TMS and the ESMS are implemented during construction, operation, and closure.

Discussion

As described in Requirement 6.1.C, we implement our Tailings Management System (TMS) and Environmental and Social Management System (ESMS) throughout all stages of the Cerro Corona TSF's lifecycle. This includes the construction, operation, and closure phases. The key overlap in the disciplines from a governance perspective relates to monitoring, incident management and reporting.

Compliance with design intent, qualified personnel, and appropriate methodologies, equipment, and procedures are key components of our approach. Our commitment to the effective implementation of these systems checks the highest standards of safety, environmental protection, and social responsibility.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



Requirement 6.2 – Self-Assessment Rating Justification

Manage the quality and adequacy of the construction and operation process by implementing Quality Control, Quality Assurance and Construction vs Design Intent Verification (CDIV). The Operator shall use the CDIV to check that the design intent is implemented and is still being met if the site conditions vary from the design assumptions.

✔ Requirement 6.2.A

Criteria

Quality Control (QC) and Quality Assurance (QA) programmes are established to monitor the quality and adequacy of the construction and operation processes.

Discussion

We have established robust Quality Control (QC) and Quality Assurance (QA) programs to closely monitor the quality and adequacy of our construction and operation processes at the Cerro Corona mine. Our Engineer of Record (EOR) partner plays a crucial role in conducting comprehensive QA work to verify QC activities and check that construction is performed substantially in conformance with the Technical Specifications and design intent.

The EOR team oversees site inspections, checks daily oversight during construction activities, and conducts routine TSF operational performance reviews. These measures ensure that we adhere to the highest standards of quality and maintain the design intent throughout the process. The results from QA and QC programs are reviewed by the EOR, documented in an annual Construction Records Report and presented to the ITRB for review on an annual basis.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 6.2.B

Criteria

A CDIV programme that checks that the design intent is met if site conditions vary from design assumptions.

Discussion

Our Engineer of Record partner conducts thorough Quality Assurance/Quality Control (QA/QC) activities to monitor the construction and operation processes and check the design intent is consistently achieved. The EOR is present at the site on a daily basis during construction, and other team members also make regular visits to assess progress and TSF operational performance.

If any deviations from the original design intent are identified due to site conditions varying from the initial assumptions, our Engineer of Record diligently records these variations in the Annual Performance Report. These variances are then reviewed by the Responsible Tailings Facility Engineer. When necessary, they are captured and managed through our updated Management of Change procedure, which now incorporates changes specific to tailings-related modifications at the Cerro Corona mine.

To conclude the construction phase, the Engineer of Record prepares a Construction Records Report, which assesses whether the design intent has been met. This report includes approval of any variances that were identified and addressed during the construction process.

The CDIV programme is in place and checks whether the design intent is met if site conditions vary from design assumptions. A framework for the programme is documented in the mine's Tailings Management Plan (TMP).

Therefore, Gold Fields has ranked this Requirement as "Meets".

Assessment Outcome

- ✔ [Meets this Requirement](#)



Requirement 6.3 – Self-Assessment Rating Justification

Prepare a detailed Construction Records Report ('as-built' report) whenever there is a material change to the tailings facility, its infrastructure or its monitoring system. The EOR and the Responsible Tailings Facility Engineer (RTFE) shall sign this report.

✔ Requirement 6.3.A

Criteria

Construction Records Reports (CRR) are current and are prepared when a material changes to the tailings facility, infrastructure, or monitoring system occur.

Discussion

Our Engineer of Record prepares Construction Record Reports annually to check comprehensive documentation of the construction process and any material changes to the tailings facility, infrastructure, or monitoring system.

Whenever a material change occurs, such as modifications or raises to the TSF, the Responsible Tailings Facility Engineer is promptly notified. This triggers our management of change procedure, which involves notifying all relevant stakeholders. The change is thoroughly addressed and closed out, with a record of the change being documented Construction Records Report of the Annual Performance Report.

The Construction Records Report serves as a summary of the construction outcome, providing a certification that the facility has been constructed in accordance with the design. It serves as a valuable record to document the construction process and any significant changes made along the way.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



🟡 Requirement 6.3.B

Criteria

The CRRs are signed by the RTFE and the EOR.

Discussion

The Construction Records Report (CRR) is a detailed report prepared by the Cerro Corona team and verified by the Construction Quality Assurance (CQA) team. The report captures any significant changes to the tailings facility, infrastructure, or monitoring system and is signed off by the Responsible Tailings Facility Engineer. (RTFE)

The EoR is scheduled to sign off on the CRR at the end of the next construction phase as part of the Construction, Design, Intent, Verification (CDIV) programme.

At the time of this disclosure, the EoR has not signed the final CRR as construction is in progress.

Therefore, Gold Fields has ranked this Requirement as “Partially Meets”.

Assessment Outcome

- 🟡 Partially Meets this Requirement



Requirement 6.4 – Self-Assessment Rating Justification

Develop, implement, review annually and update as required an Operations, Maintenance and Surveillance (OMS) Manual that supports effective risk management as part of the TMS. The OMS Manual should follow best practices, clearly provide the context and critical controls for safe operations and be reviewed for effectiveness. The RTFE shall provide access to the OMS Manual and training to all levels of personnel involved in the TMS with support from the EOR.

✔ Requirement 6.4.A

Criteria

An Operation, Maintenance and Surveillance (OMS) Manual is implemented, covers each tailings facility and includes the requirements for the OMS activities necessary for the effective risk management based on best practice.

Discussion

The Cerro Corona Tailings Stewardship team, in collaboration with the Engineer of Record (EOR) partner, has developed an Operating Maintenance and Surveillance (OMS) Manual for the tailings storage facilities (TSFs) at the Cerro Corona mine.

The manual is comprehensive and includes necessary activities for the effective risk management of the Cerro Corona TSF.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



✓ Requirement 6.4.B

Criteria

The OMS is reviewed annually or more frequently if there are any updates following a material change as defined by the Operator.

Discussion

The Operating Monitoring and Surveillance (OMS) Manual has undergone thorough reviews by the Cerro Corona Tailings Stewardship team.

The OMS Manual was most recently reviewed and updated in 2022 and will continue to be reviewed annually to maintain its relevance and alignment with evolving practices. Additionally, any updates deemed necessary following material changes, as defined by the Operator, will be promptly incorporated into the manual and the Management of Change procedure for the mine, which has been updated to reflect tailings.

This commitment to regular review and updates checks that the OMS remains up to date and in line with best practices for effective risk management.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✓ Meets this Requirement



✔ Requirement 6.4.C

Criteria

The OMS provides clear context and includes the inspection, maintenance and monitoring of the requirements identified including critical controls for safe operation and is reviewed for effectiveness.

Discussion

The Cerro Corona Tailings Stewardship team has collaborated with the Engineer of Record (EOR) partner to develop and implement an Operations, Maintenance, and Surveillance (OMS) Manual. This manual provides clear context and encompasses the necessary inspection, maintenance, and monitoring requirements, including critical controls for safe operations.

The OMS Manual has undergone comprehensive reviews by the Cerro Corona Tailings Stewardship team. An Independent Consultant was also appointed to complete the 2022 Dam Safety Review (DSR) to check its effectiveness.

Access to the OMS Manual and the necessary training is provided to all levels of TMS personnel, facilitated by the Responsible Tailings Facility Engineer (RTFE) with support from the EOR.

By adhering to these practices and continuously reviewing and updating the OMS Manual, the Cerro Corona mine checks that clear context is provided, critical controls are in place, and inspections, maintenance, and monitoring activities effectively support safe operations.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 6.4.D

Criteria

The RTFE checks that personnel involved in the TMS have access to the OMS Manual.

Discussion

The Responsible Tailings Facility Engineer (RTFE) provides personnel involved in the Tailings Management, including the Cerro Corona Tailings Stewardship team, with access to the Operations, Maintenance, and Surveillance (OMS) Manual and training to its requirements.

The OMS Manual is readily available through the online Stewardship Portal, and a physical copy is accessible in the RTFE's office. It has been distributed to the Cerro Corona Tailings Stewardship team, so team members can access the necessary resources to effectively implement the TMS.

By facilitating access to the OMS Manual and distributing it to the Cerro Corona Tailings Stewardship team, the RTFE promotes a culture of safety and effective risk management.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 6.4.E

Criteria

The RTFE should provide access to training to all levels of personnel involved in the TMS.

Discussion

The Responsible Tailings Facility Engineer (RTFE) provided three levels of Tailings Management and Safe Operating Procedure (SOP) training: management, supervisor and operator, to personnel between January 2023 and June 2023. The Cerro Corona Tailings Stewardship team maintains training records.

The Cerro Corona Tailings Stewardship team has since established a comprehensive Tailings Competency Matrix designed to allow the RTFE to identify the training status of personnel.

Key stakeholders at the Cerro Corona mine have received ongoing training on the OMS Manual (updated in October 2022) and are trained for their current roles.

As part of our commitment to continuous improvement, we are undergoing a step change to make training more specific to tailings-related roles and have launched a Tailings Training Academy comprising 5 key modules.

Therefore, Gold Fields has ranked this requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



Requirement 6.5 – Self-Assessment Rating Justification

Implement a formal change management system that triggers the evaluation, review, approval and documentation of changes to design, construction, operation or monitoring during the tailings facility lifecycle. The change management system shall also include the requirement for the EOR to prepare a periodic Deviance Accountability Report (DAR) that provides an assessment of the cumulative impact of the changes on the risk level of the as-constructed facility. The DAR shall provide recommendations for managing risk, if necessary, and any resulting updates to the design, DBR, OMS and the monitoring programme. The DAR shall be endorsed by the Accountable Executive.

✔ Requirement 6.5.A

Criteria

A Change Management System has been established.

Discussion

At the Cerro Corona Mine, we have an established "Management of Change" procedure that has been in place for some time. This procedure was recently updated to focus specifically on tailings, recognizing its importance as a standalone discipline. As part of this update, the Responsible Tailings Facility Engineer (RTFE) and the Engineer of Record (EoR) are consulted whenever TSF changes are initiated, and changes should be reviewed and endorsed before implementation.

This change management system checks that any modifications to the design, construction, operation, or monitoring of the tailings facility undergo a thorough evaluation, review, approval, and documentation process.

By implementing this change management system, we prioritize a structured approach to address changes throughout the tailings facility's lifecycle, checking that risks are properly managed and controlled.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 6.5.B

Criteria

The Change Management System includes processes for identifying changes and processes for evaluating, reviewing, approving and documenting changes throughout the facility lifecycle.

Discussion

At the Cerro Corona Mine, we have updated the "Management of Change" to incorporate tailings as a standalone discipline. As part of this update, we added roles such as the Responsible Tailings Facility Engineer (RTFE) and the Engineer of Record (EoR), who are consulted when any changes are initiated.

Our change management system incorporates processes for identifying changes and checks that changes are evaluated, reviewed, endorsed, and properly documented throughout the entire lifecycle of the facility. These processes are followed to maintain a structured and controlled approach to managing changes.

The Corporate Tailings team provided the Cerro Corona Tailings Stewardship team reviewed the Change Management Procedure and provided recommendations, which the team integrated into the mine-wide change management procedure. This integration checks consistency and aligns our practices with industry best practices.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 6.5.C

Criteria

The Change Management System addresses and documents material changes to design, construction, operations, or monitoring.

Discussion

At the Cerro Corona mine, we have updated the management of change procedure to address tailings-related design, construction, operation, or monitoring changes. This procedure will ensure material changes are properly evaluated, reviewed, endorsed, and documented.

Following this change management system, we fulfil the requirements outlined in 6.5.A and B. It enables us to effectively address and document any material changes to the tailings facility and check transparency and accountability in our operations.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



✔ Requirement 6.5.D

Criteria

A DAR is periodically prepared and updated by the EOR, addressing the cumulative impact of material changes on the as-constructed facility.

Discussion

At Gold Fields, we have a well-defined approach to deviance accountability as part of our Tailings Management System. This approach is outlined in the Gold Fields Tailings Management Standard and guidance provided in the Cerro Corona Tailings Management Plan. (TMP)

The Engineer of Record (EOR) is crucial in documenting deviances in the construction records report and captures the full list in the Annual TSF Performance report.

Throughout the construction process, deviances reviewed and checked by our EOR, generally trigger our Management of Change procedure. This procedure outlines the workflow for consulting stakeholders and evaluating and addressing the cumulative impact of material changes.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 6.5.E

Criteria

Recommendations from the DAR have been implemented through updates to the construction, operations, design, DBR, OMS Manual and monitoring programme.

Discussion

Managing deviances is an ongoing, real-time task for the Cerro Corona Tailings Stewardship team. Using the Management of Change procedure, The team promptly evaluates updates and changes to construction, operations, design, the DBR, OMS, and/or monitoring program.

Deviances have been recorded and integrated into the design at the time of this disclosure and are documented in the Annual TSF Performance report.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



✔ Requirement 6.5.F

Criteria

The Accountable Executive has endorsed the DAR.

Discussion

At Cerro Corona, we have implemented a robust process to address deviances from design. The Cerro Corona Tailings Stewardship team thoroughly reviews these deviances via the Management of Change procedure.

To promote accountability, the Accountable Executive (AE) holds regular quarterly meetings with the Cerro Corona Stewardship team. During the meeting, the Accountable Executive is provided with a summary of activities undertaken.

The Engineer of Record documents deviances annually and reports them in the Annual TSF, which the AE and Responsible Tailings Facility Engineer (RTFE) have endorsed.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



Requirement 6.6 – Self-Assessment Rating Justification

Include new and emerging technologies and approaches and use the evolving knowledge in the refinement of the design, construction and operation of the tailings facility.

✔ Requirement 6.6.A

Criteria

Reviews of new and emerging technologies and approaches for tailings management are carried out considering the tailings facility lifecycle.

Discussion

Gold Fields actively review new and emerging technologies and approaches for tailings management as part of our commitment to continuous improvement throughout the tailings facility lifecycle. The Global Tailings Management team completes annual global assessments to identify potential technologies applicable to Gold Fields operations and records findings in an annual technology review register. The team has also engaged the Engineer of Record to prepare a summary memorandum of technologies that could be considered.

To foster collaboration and knowledge sharing, the Global Tailings Management team have formed a community of practice known as the ‘Gold Fields Tailings Working Group’, which convenes quarterly meetings to share and discuss information on new technologies.

Additionally, the Annual General Meeting (AGM) for tailings has been established at an operational level to support the Cerro Corona Tailings Stewardship team with various topics, including detailed discussions about new and emerging technologies. This inclusive approach allows input from various stakeholders and encourages the exploration of technologies beyond traditional tailings engineering.

In addition to our internal efforts, the tailings teams from all Gold Fields operations are encouraged to participate in the wider industry community events actively. Events include providing training to communities or the opportunity to present research papers at international conferences, which contribute to the body of knowledge in tailings management and provide networking opportunities with fellow professionals in the field.

By sharing our research findings and insights at these conferences, we actively contribute to advancing tailings management practices globally. This collaborative engagement allows us to learn from other industry experts, exchange ideas, and stay informed about the latest developments in the field.

By actively seeking advancements and engaging in regular discussions, we stay informed about the latest technologies and approaches available for tailings management.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



✔ Requirement 6.6.B

Criteria

Material results of the reviews have been incorporated into refinements of the facility design, construction and operations.

Discussion

Gold Fields actively promotes the continuous review of new and emerging technologies and approaches for tailings management, as outlined in Requirement 6.6.A. The results of these reviews are shared with our interdisciplinary Cerro Corona Tailings Stewardship teams during quarterly tailings working group sessions.

We have undertaken various initiatives to incorporate the material findings of these reviews into the design, construction, and operation of our tailings facilities. For instance, we are proud to sponsor the Australian Minerals Institute Tailings Storage Facilities (TSF) Monitoring Technologies project, which involves actively testing various monitoring technologies at one of our Australian sites. Additionally, we have installed inclinometers at our Cerro Corona mine to enhance our monitoring capabilities.

Furthermore, we have adopted instrumentation monitoring software packages to optimise monitoring data collection.

These measures demonstrate our commitment to leveraging new technologies and incorporating their findings into refining our facility design, construction, and operations.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



GISTM Principle 07

Design, Implement and Operate Monitoring Systems to Manage Risk at All Phases of the Facility Lifecycle, Including Closure.

Principle 07 – Self-Assessment Outcome

The Cerro Corona mine has a single TSF, which has been given an Extreme Consequence Classification. A summary of the self-assessment outcome for Principle 07 of the GISTM is presented in Table 12 below. Further information specific to each requirement part is provided in subsequent sections of this report.

Table 12: Principle 07 – Self-Assessment Outcome Summary

Req.	Part	Criteria	TSF 1
7.1	A	A comprehensive and integrated performance monitoring programme for the tailings facility and its appurtenant structures has been developed, and forms part of the TMS, and includes activities for inspection, reviews, and monitoring requirements in alignment with the facility OMS.	✓
	B	The ESMS aspects linked to the tailings facility’s performance monitoring are identified and included in the performance monitoring programme.	✓
	C	The performance monitoring programme is integrated and reflects other programmes such as the OMS and is updated in keeping with the principles of Adaptive Management.	✓
7.2	A	A comprehensive and integrated engineering monitoring system has been designed to verify design assumptions and monitor potential failure modes.	✓
	B	Monitoring procedures for non-brittle failure modes are developed and implemented to support the Observational Method.	✓
	C	Brittle failure modes are addressed by conservative design criteria.	✓
7.3	A	Performance objectives, indicators and criteria are set that measure the performance of the tailings facility. These are specific and measurable and included in the monitoring programmes.	✓
	B	Routine and regular inspecting, monitoring, testing, recording, evaluating and reporting of the data from the monitoring programmes are conducted according to the established appropriate frequency.	✓
	C	The monitoring programme is updated throughout the tailings facility lifecycle based on the evaluation of the data to check that the performance objectives, indicators and criteria remain effective in managing risk.	✓
7.4	A	The tailings facility performance is assessed by analysing technical monitoring data at a frequency established by the EOR.	✓



	B	The analysis of tailings facility technical monitoring data identifies and presents evidence of deviations from the expected performance objectives and deterioration of the tailings facility performance over time.	✓
	C	The results from the tailings facility performance monitoring analysis are promptly reported to the EOR.	✓
	D	The EOR promptly reviews the tailings facility performance monitoring analysis results and if required, directs that the risk assessment and design be updated.	✓
	E	Performance expectations are incorporated into Trigger Action Response Plans or critical controls as criteria to state when action is or is not needed.	✓
7.5	A	The results of the monitoring programmes are reported at a frequency that meets company expectations and regulatory requirements and at a minimum is completed annually.	✓
	B	Technical monitoring reports are reviewed and endorsed by the RTFE and the EOR.	✓



Requirement 7.1 – Self-Assessment Rating Justification

Design, implement and operate a comprehensive and integrated performance monitoring programme for the tailings facility and its appurtenant structures as part of the TMS and for those aspects of the ESMS related to the tailings facility in accordance with the principles of Adaptive Management.

✔ Requirement 7.1.A

Criteria

A comprehensive and integrated performance monitoring programme for the tailings facility and its appurtenant structures has been developed, and forms part of the TMS and includes activities for inspection, reviews, and monitoring requirements in alignment with the facility OMS.

Discussion

At Gold Fields, we have developed a comprehensive and integrated performance monitoring program for the Cerro Corona TSF. This program is an essential part of our Tailings Management System (TMS) and aligns with the principles of Adaptive Management.

Our performance monitoring program includes various activities to check the ongoing assessment and evaluation of the TSF's performance. Here are some key components:

- Regular Shift Inspections: Our shift operators conduct inspections of the TSF on a daily basis. Any issues or concerns identified during these inspections are promptly reported to their supervisors and the Responsible Tailings Facility Engineer (RTFE).
- Ongoing Monitoring - The Cerro Corona Tailings Stewardship team monitors instrumentation data to verify compliance with normal levels defined in the Trigger Action Response Plan (TARP) for the TSF. In the case of any exceedances, the actions defined in the TARP are implemented.
- Weekly Instrumentation Data Review: The Cerro Corona Tailings Stewardship team reviews data from the TSF's performance monitoring instrumentation and compares the data to limits defined in the Cerro Corona TSF TARP. This information is provided to the EOR and RTFE for review.
- Monthly Instrumentation Data Review: The Cerro Corona Tailings Stewardship team reviews data from the TSF's performance monitoring instrumentation on a monthly basis. This allows us to monitor and identify any discrepancies or variances in the TSF's performance. Criteria monitored include freeboard, deposition, rate of rise, rainfall, piezometer pressures, beach length, inclinometer deformation and factor of safety performance. Data is compared to limits defined in the Cerro Corona TSF TARP. This information is provided to the EOR and RTFE for review.
- Quarterly Instrumentation Data Review: The Engineer of Record (EOR) reviews the data collected by our site team from the TSF's performance monitoring instrumentation quarterly. The EOR performs a detailed review of data trends and variations and compares the data to levels defined in the TSF TARP. The results of this review are detailed in the quarterly EOR report.
- Quarterly Inspections and Reports: The EOR conducts comprehensive inspections of the facility on a quarterly basis, or more frequently if construction quality assurance activities are underway. They prepare a detailed quarterly report highlighting their findings and observations.
- Internal Quarterly Reporting: The RTFE also prepares a quarterly report that provides an internal overview of the TSF's performance. This report is distributed to the VP: Global Tailings Management to check effective communication and oversight.
- Instrumentation and Measurement: The Cerro Corona Tailings Stewardship team has installed a range of instrumentation across the TSFs. This includes vibrating wire piezometers, inclinometers, standpipe piezometers, and monitoring of water and groundwater quality. Additionally, we utilize InSAR readings to monitor ground movement.
- Digitization and Automation: To enhance efficiency and effectiveness, we have established a dedicated TSF monitoring and surveillance centre and appointed a dedicated team to address any issues or concerns. This allows for automated trigger-level alerts checking timely responses to potential issues.



- Independent Review: The site surveillance system and instrumentation data and interpretations are presented to the ITRB on at least an annual basis. This provides additional assurance that the system meets industry best practices and that the facility's performance meets expectations.

Through our comprehensive performance monitoring program, we are committed to continuously assessing our TSFs' performance and checking their safe and responsible management. This proactive approach enables us to promptly identify and address any potential concerns, aligning with our commitment to sustainable tailings facility operations.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

-  Meets this Requirement



✔ Requirement 7.1.B

Criteria

The performance monitoring programme identifies and includes the ESMS aspects linked to the tailings facility's performance monitoring.

Discussion

Gold Fields has established a comprehensive performance monitoring program for the Cerro Corona TSF, as outlined in requirement 7.1.A. As part of this program, we have identified and included aspects of our Environmental and Social Management System (ESMS) that are linked to the tailings facility's performance monitoring.

Site-wide monitoring data is monitored from a centralized Tailings Monitoring Centre, where a dedicated team review and check for any alarms across the site.

The site team monitor a range of criteria, including but not limited to surface and groundwater quality, water levels, flow rates, geochemical and environmental criteria, dust, noise, vibration, and grievances.

By integrating the ESMS aspects into our performance monitoring program, we check a holistic approach to monitoring the performance of our TSFs and addressing any environmental and social considerations associated with the facilities.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✓ Requirement 7.1.C

Criteria

The performance monitoring programme is integrated and reflects other programmes such as the OMS and is updated in keeping with the principles of Adaptive Management.

Discussion

Our performance monitoring program for the tailings facility at Cerro Corona mine is fully integrated and aligned with other relevant programs, such as the Tailings Management System (TMS) and the Environmental and Social Management System (ESMS). This integration checks that monitoring activities are consistent and cohesive across different aspects of our operations. The Cerro Corona Tailings Stewardship team, composed of various experts, oversees the monitoring program and checks its effectiveness.

In case of any observed variances or changes, the RTFE or change initiator will promptly notify the Cerro Corona Tailings Stewardship team and raises the matter in project meetings or initiate the management of change procedures when required. This proactive approach enables us to address any deviations from expected performance and implement appropriate actions in a timely manner, in line with the principles of Adaptive Management. As appropriate, the Cerro Corona TSF TARP is updated to reflect new instrumentation or updated performance objectives.

An OMS Manual is in place for the Cerro Corona TSF, including detailed guidelines for monitoring tasks and inspections and ensuring standardised procedures are followed.

Additionally, the RTFE prepares a quarterly report to summarise integrated TSF performance. This report is distributed to the VP: Global Tailings Management who will also initiate change or action where required.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✓ Meets this Requirement



Requirement 7.2 – Self-Assessment Rating Justification

Design, implement and operate a comprehensive and integrated engineering monitoring system that is appropriate for verifying design assumptions and for monitoring potential failure modes. Full implementation of the Observational Method shall be adopted for non-brittle failure modes. Brittle failure modes are addressed by conservative design criteria.

✔ Requirement 7.2.A

Criteria

A comprehensive and integrated engineering monitoring system has been designed to verify design assumptions and monitor potential failure modes.

Discussion

We have designed and implemented a comprehensive and integrated engineering monitoring system for the TSF at the Cerro Corona mine to check and verify design assumptions and provide for the continuous monitoring of potential failure modes. This monitoring system plays a vital role in upholding the safety and stability of our TSFs. The system is housed in the Monitoring and Surveillance Centre, where a dedicated team monitors integrated performance across the site.

Instrumentation has been installed and incorporated into the TSF TARP to monitor potential failure modes, as discussed in the OMS Manual.

In accordance with industry best practice, we have adopted the Observational Method for non-brittle failure modes, which allows us to dynamically adjust our strategies based on real-time monitoring data and observations. We have implemented conservative design criteria for brittle failure modes to check a robust and resilient approach.

Our engineering monitoring system encompasses a range of sophisticated instrumentation and technologies that enable us to collect accurate and timely data. This includes monitoring instruments such as vibrating wire piezometers, inclinometers, and standpipe piezometers. These instruments are strategically installed to cover critical areas and provide comprehensive insights into the behaviour and performance of our tailings facility.

Regular assessments and reviews are conducted to verify design assumptions and assess the effectiveness of our monitoring system. Any deviations or potential concerns identified are swiftly addressed by our Cerro Corona Tailings Stewardship team, who collaborate closely with the Engineer of Record (EOR) and other stakeholders. This proactive approach allows us to take appropriate measures to mitigate risks and check the ongoing safety and stability of our facility.

Our EOR has prepared instrumentation and monitoring plans to document the location of installed instrumentation which integrates with the real-time monitoring and surveillance center dashboards.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 7.2.B

Criteria

Monitoring procedures for non-brittle failure modes are developed and implemented to support the Observational Method.

Discussion

We have developed and implemented monitoring procedures tailored to support the Observational Method for non-brittle failure modes at our facility. These procedures play a critical role in checking the effectiveness and reliability of our monitoring efforts. The Cerro Corona team have developed a comprehensive ‘training and competency matrix’ which centralizes the procedures operators should be trained to and presents the status of their current training profile.

Instrumentation has been installed and incorporated into the TSF Trigger Action Response Plan (TARP) to monitor potential failure modes as discussed in the Operations, Monitoring and Surveillance (OMS) Manual, and these failure modes are included as key discussion points in staff training programs.

The Observational Method is essential for monitoring and responding to potential failure modes dynamically and adaptively. It allows us to continuously evaluate and adjust our strategies based on real-time data and observations.

Our monitoring procedures encompass a range of activities, including regular inspections, data collection, and analysis. We have deployed various monitoring instruments and technologies strategically throughout our facility to gather relevant data and monitor key parameters. These instruments may include vibrating wire piezometers, inclinometers, and other specialized equipment. The collected data is then analyzed to assess the performance and behaviour of the tailings facility.

Our Cerro Corona Tailings Stewardship team, in collaboration with the Engineer of Record (EOR) and other stakeholders, diligently follows these monitoring procedures to check that any deviations or potential concerns are promptly identified and addressed. This proactive approach allows us to mitigate risks and take appropriate measures to maintain the safety and stability of our operations.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



✔ Requirement 7.2.C

Criteria

Brittle failure modes are addressed by conservative design criteria

Discussion

We have employed conservative design criteria to address brittle failure modes as part of our comprehensive approach to tailings facility management. In the current design, we have considered analyses where tailings are characterized by a lower-bound liquefied shear strength. The design criterion prioritizes safety and reliability by implementing robust engineering standards that exceed minimum requirements, and is well documented in the Cerro Corona Mine Design Basis Report.

By adopting conservative design criteria, we check that our facilities are constructed and operated with a sufficient margin of safety. This approach considers potential risks and uncertainties associated with brittle failure modes, such as sudden and catastrophic structural failures.

Our Engineer of Record (EoR) partner, industry experts and the Independent Technical Review Board (ITRB) has carefully evaluated and integrated these conservative design criteria into the planning, construction, and ongoing operation of TSF at Cerro Corona. This proactive measure enhances the resilience and stability of the facility, minimizing the potential for brittle failure.

At the time of this disclosure, we are in the process of completing a geotechnical test campaign to provide further assurance of our selected criteria. This is due to be closed out by H2 2023.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



Requirement 7.3 – Self-Assessment Rating Justification

Establish specific and measurable performance objectives, indicators, criteria, and performance parameters and include them in the design of the monitoring programmes that measure performance throughout the tailings facility lifecycle. Record and evaluate the data at appropriate frequencies. Based on the data obtained, update the monitoring programmes throughout the tailings facility lifecycle to check that they remain effective to manage risk.

✔ Requirement 7.3.A

Criteria

Performance objectives, indicators and criteria are set that measure the performance of the tailings facility. These are specific and measurable and included in the monitoring programmes.

Discussion

At Cerro Corona, we have established clear and measurable performance objectives, indicators, and criteria to assess the performance of our TSF. These performance elements are integral to our monitoring programs, checking that we systematically measure and evaluate the facility's performance throughout its lifecycle. The objectives are documented in our Cerro Corona Tailings Management Plan. (TMP)

The Cerro Corona Tailings Stewardship team convenes annually for an Annual General Meeting (AGM) dedicated to tailings to facilitate effective performance management. During this important gathering, interdisciplinary stakeholders review recent and past learnings. This collaborative approach checks that our objectives are aligned with the expertise and perspectives of our diverse team.

Our monitoring programs are designed to capture relevant real-time data, summarising daily, monthly, quarterly and annually. This data is carefully evaluated to assess compliance with the defined performance indicators and criteria set by the Cerro Corona Tailings Stewardship team in collaboration with the Engineer of Record (EoR). Performance objectives are summarized in the DBR and the Cerro Corona TSF TARP.

Regarding geotechnical performance, we utilise up-to-date stability and deformation models for our TSFs. These models help us define the indicators and criteria for geotechnical performance, providing a clear framework to evaluate the facility's stability. The criteria include well-defined trigger levels for monitoring instrumentation that serves as benchmarks to assess performance and initiate appropriate actions when necessary.

We understand that performance management is an ongoing process. As part of our commitment to continuous improvement, we regularly update our monitoring programs based on the data obtained. This checks that our programs manage risk effectively throughout the tailings facility's lifecycle.

By setting specific and measurable performance objectives, indicators, and criteria, and involving interdisciplinary stakeholders in the AGM, we uphold our commitment to transparency and accountability. Using up-to-date stability models and clear trigger levels further enhances our ability to evaluate and maintain the geotechnical performance of our facilities.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



✓ Requirement 7.3.B

Criteria

Regularly inspecting, monitoring, testing, recording, evaluating and reporting data from the monitoring programmes is conducted according to the established appropriate frequency.

Discussion

At Cerro Corona, we prioritize the routine and regular inspection, monitoring, testing, recording, evaluation, and reporting of data from our TSF monitoring programs. This allows us to check the ongoing performance and risk management of our TSFs diligently and systematically.

To achieve this, our TSFs undergo inspections at various frequencies. Daily, weekly, monthly, quarterly, and annual inspections are conducted to cover different aspects of facility performance, and monitoring data is captured in real-time. Additionally, we conduct emergency inspections promptly whenever necessary and check a comprehensive monitoring approach.

During these inspections, we employ visual observations and instrumentation to record performance monitoring data. Our knowledgeable Cerro Corona Tailings Stewardship team evaluates this data in close collaboration with the Engineer of Record (EOR). The EOR prepares quarterly reports documenting observations from quarterly facility inspections and quarterly instrumentation data reviews.

To enhance our monitoring capabilities and enable real-time evaluation and alerts, we have integrated tailings monitoring into the mine-wide monitoring and surveillance center, where data is collated automatically and visualized on real-time monitors. This technological advancement allows us to continuously monitor the performance of our facilities and receive immediate notifications if any potential issues arise. By embracing this proactive approach, we can swiftly intervene and take corrective actions, minimising potential risks. It's important to note that while the digital system is in its pilot phase, we also continue to utilize physical data capture and transmission methods.

Given the nature of our operations and the importance of maintaining a vigilant approach, monitoring data is recorded throughout each shift. This means that monitoring devices, such as vibrating wire piezometers and inclinometers, provide data at near minute intervals or in real-time. This level of monitoring granularity allows us to promptly detect any deviations from expected performance and take swift action when necessary.

At Cerro Corona, we remain committed to conducting routine and regular inspections, monitoring, testing, recording, evaluating, and reporting data from our monitoring programs. By adhering to established frequencies and utilizing advanced digital technologies, we continuously evaluate the performance of our TSFs, check effective risk management and maintain the highest standards of safety and environmental stewardship.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✓ Meets this Requirement



✔ Requirement 7.3.C

Criteria

The monitoring programme is updated throughout the tailings facility lifecycle based on the evaluation of the data to check that the performance objectives, indicators and criteria remain effective in managing risk.

Discussion

Our monitoring program is a dynamic and evolving process continuously updated throughout the Cerro Corona TSF lifecycle. We rigorously evaluate the data collected from our monitoring activities to check that our performance objectives, indicators, and criteria effectively manage risk, as described in early requirements.

Based on the insights gained, we make necessary adjustments and refinements to our monitoring programs. This proactive approach enables us to maintain the highest level of effectiveness in managing risk and checks the ongoing safety and sustainability of our operations. The monitoring programme has evolved with time to manage risk and incorporate best practice technologies such as vertical SAAs and InSAR technology.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



Requirement 7.4 – Self-Assessment Rating Justification

Analyse technical monitoring data at the frequency recommended by the EOR, and assess the performance of the tailings facility, clearly identifying and presenting evidence on any deviations from the expected performance and any deterioration of the performance over time. Promptly submit evidence to the EOR for review and update the risk assessment and design, if required. Performance outside the expected ranges shall be addressed promptly through Trigger Action Response Plans (TARPs) or critical controls.

✔ Requirement 7.4.A

Criteria

The tailings facility performance is assessed by analysing technical monitoring data at a frequency established by the EOR.

Discussion

The performance of our tailings facility undergoes thorough assessment through the analysis of technical monitoring data. This critical task is carried out by the Engineer of Record (EOR), who can review the information in real time using our online surveillance platform.

The Cerro Corona Tailings Stewardship team provide the EOR with a weekly monitoring report. Additionally, the EOR performs a thorough instrumentation review every quarter and documents the results of this review in the Quarterly EOR Report. In cases where a discrepancy or concern arises, the frequency of analysis is promptly increased to check a proactive approach to addressing potential issues.

The performance of the TSF is also reported annually in the EOR Annual TSF performance report.

The EOR plays a crucial role in providing comprehensive insights into the performance of the facility. The findings and reports generated by the EOR are then shared with the Cerro Corona Tailings Stewardship team, checking a collaborative approach to monitoring and managing the facility's performance.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 7.4.B

Criteria

The analysis of tailings facility technical monitoring data identifies and presents evidence on deviations from the expected performance objectives and deterioration of the tailings facility performance over time.

Discussion

The analysis of technical monitoring data for our tailings facility plays a crucial role in identifying and presenting evidence of any deviations from expected performance objectives and the potential deterioration of TSF performance over time. This process is enhanced by applying the Cerro Corona TSF Trigger Action Response Plan (TARP), which defines monitoring threshold levels for selected instruments and defines actions if these levels are exceeded.

This analysis is carried out by the Engineer of Record (EOR) partner, who analyses the information and prepares a Quarterly EOR Report, which documents this review. Compliance with the Cerro Corona TARP is evaluated monthly and presented in the monthly surveillance dashboard. The Cerro Corona Tailings Stewardship team actively reviews this dashboard, enabling us to promptly identify and address any performance issues and check our tailings facility's continued safe and efficient operation.

The EOR collates the information in the monthly dashboards and summarises performance in an annual TSF performance report.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 7.4.C

Criteria

The results from the tailings facility performance monitoring analysis are promptly reported to the EOR.

Discussion

We are dedicated to checking prompt and efficient reporting of the tailings facility performance monitoring data to the Engineer of Record (EOR). In our pursuit of continuous improvement, our team recognized the need to enhance monitoring data transmission to the EOR and integrated tailings monitoring instrumentation into the mine-wide monitoring and surveillance centre, which is accessible to the EOR on a real-time basis via our online platform. A dedicated team is responsible for the oversight of any activated trigger alarms.

When trigger levels are breached, our Cerro Corona Tailings Stewardship team initiates the Trigger Action Response Plan where required. (TARP) This proactive approach checks timely interventions and a comprehensive understanding of the facility's performance.

Through these advancements, we continue to reinforce our commitment to transparency, accountability, and continuous improvement in the monitoring and reporting of our tailings facility performance.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



✔ Requirement 7.4.D

Criteria

The EOR promptly reviews the tailings facility performance monitoring analysis results and if required, directs that the risk assessment and design be updated.

Discussion

Reviewing and acting on tailings facility performance monitoring analysis results are paramount to us. In line with our commitment to continuous improvement, we have recognized the need to enhance the efficiency of transmitting monitoring data to the Engineer of Record (EOR).

The Cerro Corona Tailings Stewardship team has successfully implemented a digital system for capturing and transmitting instrumentation monitoring data. This system enables real-time data transmission and incorporates trigger levels and alerts. When trigger levels are exceeded, our Cerro Corona Tailings Stewardship team will notify the EOR partner, who thoroughly analyses the data.

The EOR then coordinates with the RTFE and other Cerro Corona Tailings Stewardship team members to address any alerts. This includes verifying the reading, reviewing nearby instruments, and performing inspections.

To fulfil the requirement of prompt review, the EOR diligently assesses the tailings facility performance data and produces comprehensive reports routinely. These reports are summarized in the quarterly EOR TSF and annual TSF performance reports. Our Independent Technical Review Board (ITRB) further reviews the findings and outcomes, an additional measure to check thorough analysis and oversight.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



✔ Requirement 7.4.E

Criteria

Performance expectations are incorporated into Trigger Action Response Plans or critical controls as criteria to state when action is or is not needed.

Discussion

In close collaboration with our Cerro Corona Tailings Stewardship team, our Engineer of Record (EoR) partner developed a Trigger Action Response Plan (TARP) to check effective risk management and operational control of the TSF at the Cerro Corona site. This TARP is routinely updated to incorporate additional instruments and/or updated performance objectives.

The TARP incorporated specific and measurable performance objectives, indicators, criteria, and performance parameters, such as phreatic surface levels and beach lengths, which were carefully chosen to promote effective operational management. These criteria were based on the latest stability and deformation models for the TSF and were designed to align with industry best practices.

Within the TARP, we established clear performance criteria that clearly state when action is or is not needed. This enables us to effectively manage risk and promptly respond to potential deviations or concerns. As outlined in our monitoring programs, regular monitoring and evaluation of the TSFs ensure that performance is continually assessed and aligned with the established criteria.

Our commitment to maintaining the highest safety standards and environmental stewardship is exemplified by integrating performance expectations into our Trigger Action Response Plan (TARP). In line with this commitment, the Trigger Levels defined in the TARP have been seamlessly incorporated into our digitized monitoring and instrumentation surveillance center. This integration enables real-time communication of alerts and checks prompt action when necessary.

By incorporating these performance expectations into our TARP and aligning them with our digitized monitoring system, we check that potential deviations or concerns are identified and communicated in real-time. This proactive approach allows us to respond swiftly, mitigating any risks and checking the safety of our operations.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



Requirement 7.5 – Self-Assessment Rating Justification

Report the results of each of the monitoring programmes at the frequency required to meet company and regulatory requirements and, at a minimum, on an annual basis. The RTFE and the EOR shall review and approve the technical monitoring reports.

✔ Requirement 7.5.A

Criteria

The results of the monitoring programmes are reported at a frequency that meets company expectations and regulatory requirements and at a minimum is completed annually.

Discussion

The results of our monitoring programs at the Cerro Corona mine are reported in accordance with our company's expectations and regulatory requirements. The Gold Fields Tailings Management Standard outlines our commitment to effective monitoring, establishing criteria and expectations for TSF monitoring activities.

To check transparency and timely reporting, the Cerro Corona Tailings Stewardship team prepares a monthly surveillance dashboard for the Engineer of Record. (EoR) The EoR then reviews this information and documents performance in a quarterly EOR Report and the Annual Performance Report. This comprehensive reporting mechanism allows us to assess the performance of our TSFs on an ongoing basis.

The annual report provides a detailed analysis of the monitoring results and is made available to the regulator for review and assessment. Additionally, the Responsible Tailings Facility Engineer (RTFE) at Cerro Corona summarizes interdisciplinary TSF performance on a quarterly basis. A copy of this report is provided to the VP: Global Tailings Management, promoting comprehensive oversight across our operations.

At Cerro Corona, we are proud to state that our performance monitoring program meets the expectations set by the Gold Fields Tailings Standard.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



✔ Requirement 7.5.B

Criteria

Technical monitoring reports are reviewed and endorsed by the RTFE and the EOR.

Discussion

At the Cerro Corona mine, we prioritize thoroughly reviewing and approving technical monitoring reports to check robust and reliable performance assessments. The Responsible Tailings Facility Engineer (RTFE) and the Engineer of Record (EOR) play integral roles in this process.

The Cerro Corona Tailings Stewardship team prepares a dashboard that presents comprehensive TSF monitoring data and performance indicators to facilitate effective monitoring and reporting. This monthly dashboard is a valuable tool for tracking performance trends and identifying potential areas of concern. The RTFE and the EOR diligently review and approve these monthly dashboard reports to check accuracy and reliability.

In addition to the monthly reports, the EOR compiles performance summaries in quarterly and annual reports, which provide a comprehensive overview of the TSF performance over specific timeframes. These reports serve as important references for evaluating the effectiveness of our monitoring programs and identifying opportunities for improvement. The annual report is made available to the regulator for review and assessment, demonstrating our commitment to transparency and regulatory compliance.

Furthermore, the RTFE summarizes interdisciplinary TSF performance on a quarterly basis, providing a concise and consolidated assessment of the TSF's overall performance. A copy of this report is shared with the VP: Global Tailings Management, checking that a higher-level review is conducted to validate the findings and recommendations.

At Cerro Corona, we prioritize thoroughly reviewing and approving technical monitoring reports by involving key stakeholders, including the RTFE, EOR, and the VP: Global Tailings Management.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



GISTM Principle 08

The Board of Directors shall adopt and publish a policy on or commitment to the safe management of tailings facilities, to emergency preparedness and response, and to recovery after failure.

Principle 08 Self-Assessment Outcome

The Cerro Corona mine has a single TSF, which has been given an Extreme Consequence Classification. A summary of the self-assessment outcome for Principle 08 of the GISTM is presented in Table 13 below. Further information specific to each requirement part, is provided in subsequent sections of this report.

Table 13: Principle 08 – Self-Assessment Outcome Summary

Req.	Part	Criteria	TSF 1
8.1	A	A documented corporate tailings management policy that commits the Operator to the safe management of tailings, development of emergency response plans, and mechanisms for recovery after a failure. This may be a standalone policy or embedded in a document that the Board of Directors adopts.	✓
	B	The policy and its endorsement by the Board of Directors are in writing and are publicly available.	✓
8.2	A	A performance-based TMS, follows established Plan-Do-Check-Act processes and is suitable for the organisation and its tailings facilities.	✓
	B	Accountabilities, responsibilities and associated competencies for implementing that framework are defined to support the appropriate identification and management of tailings facility risks.	✓
	C	The governance framework supports the TMS, its relevant critical systems and other related ESMS.	✓
	D	The linkages between the TMS and other systems, such as the ESMS, are clear to check the effective integrated management of the tailings facility.	✓
8.3	A	For persons responsible for tailings facilities, their performance reviews and/or incentive payments are partly based on public safety and the integrity of the tailings facilities.	✓
	B	Where incentive payments are used, they are based on the degree to which public safety and tailing facility integrity are a component of that role.	–
	C	As part of executive compensation, long-term incentives consider tailings management, facility performance, and public safety.	✓
8.4	A	Accountable Executive(s) who are directly answerable to the CEO have been identified and assigned the safety aspects of a tailings facility and for avoiding or minimising the social and environmental consequences of a failure.	✓



Req.	Part	Criteria	TSF 1
	B	The accountability referred to in (a) includes developing and implementing a programme of tailings management training, and for emergency preparedness and response.	✓
	C	The Accountable Executive(s) has regular and scheduled communications with the EOR and Board of Directors which can be initiated either by the Accountable Executive or the Board.	✓
	D	The process by which the Board of Directors holds the Accountable Executive(s) responsible is documented.	✓
8.5	A	A Responsible Tailings Facility Engineer (RTFE) is appointed.	✓
	B	Roles and responsibilities are clearly defined and documented for the RTFE position, including accountability for the integrity of the tailings facility.	✓
	C	The RTFE liaises with the EOR and internal teams.	✓
	D	The RTFE should be familiar with the DBR, relevant design reports, and the tailings facility's construction and operations/performance.	✓
	E	Communication occurs between the RTFE and the Accountable Executive, or designee.	✓
8.6	A	Qualification and experience requirements for all personnel with critical safety roles are clearly defined and appropriate to the position's level of responsibility. This includes but is not limited to critical roles such as the RTFE, EOR and Accountable Executives.	✓
	B	Succession plans are developed for safety-critical roles.	✓
8.7	A	For a tailings facility with a consequence classification of failure of 'Very High' to 'Extreme', the Operator has appointed an Independent Technical Review Board (ITRB)	✓
	B	For a tailings facility with a consequence classification of failure of 'High' or lower, in the absence of an ITRB, the Operator has appointed a senior independent technical reviewer.	⊖
	C	The ITRB or a senior independent technical reviewer reports to the tailings facility's accountable executive or delegate.	✓
	D	The ITRB or a senior independent technical reviewer is appointed during the early phase of tailings facility site investigation and design engineering (suggested pre-feasibility).	✓



Req.	Part	Criteria	TSF 1
	E	The ITRB members and a senior independent technical reviewer have certified in writing the absence of a conflict of interest with the tailings facility as defined by best practice.	



Requirement 8.1 – Self-Assessment Rating Justification

The Board of Directors shall adopt and publish a policy on or commitment to the safe management of tailings facilities, to emergency preparedness and response, and to recovery after failure.

✔ Requirement 8.1.A

Criteria

A documented corporate tailings management policy that commits the Operator to the safe management of tailings, development of emergency response plans, and mechanisms for recovery after a failure. This may be a standalone policy or embedded in a document that the Board of Directors adopts.

Discussion

In 2020, the Board of Directors of Gold Fields adopted a comprehensive policy focusing on the safe management of tailings facilities, emergency preparedness and response, as well as recovery strategies following any unfortunate failures. This policy reflects our commitment to responsible and sustainable mining practices.

At Gold Fields, we understand the critical importance of tailings management and its potential risks. Therefore, we have taken proactive measures to ensure our operations adhere to the highest safety standards. Our tailings management policy serves as a guiding framework to effectively mitigate risks, protect the environment, and prioritize the safety of our employees, communities, and stakeholders.

To check transparency and accessibility, we have made our tailings management policy readily available to the public. It can be accessed on our corporate website, providing a comprehensive overview of our commitment to responsible tailings management. Additionally, we have taken steps to display hard copies of the policy at each operation and operating centre, allowing all stakeholders to access and familiarize themselves with its contents. The policy has also been translated into Spanish for the Latin American region.

Adopting this documented tailings management policy by the Gold Fields Board of Directors signifies a significant milestone in our ongoing journey towards responsible mining. We remain dedicated to maintaining a transparent and accountable approach to our operations, driven by the highest safety standards and a commitment to environmental stewardship.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 8.1.B

Criteria

The policy and its endorsement by the Board of Directors are in writing and are publicly available.

Discussion

Gold Fields has made our tailings management policy accessible to the public. It is available for viewing and download on our corporate website, allowing stakeholders to gain insight into our commitment to responsible tailings management practices.

Recognizing stakeholders' diverse natures and preferences, we have also taken proactive measures to distribute hard copies of the policy across all our operations and operating centres. This checks that all members of our workforce, neighbouring communities, and interested individuals have convenient access to the policy, regardless of their digital capabilities. The policy has also been translated into Spanish for the Latin American region.

By disseminating the policy across our operations and operating centres, we aim to create a culture of awareness and understanding regarding our commitment to responsible tailings management.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



Requirement 8.2 – Self-Assessment Rating Justification

Establish a tailings governance framework and a performance based TMS and check that the ESMS and other critical systems encompass relevant aspects of the tailings facility management.

✔ Requirement 8.2.A

Criteria

A performance based TMS, follows established Plan-Do-Check-Act processes and is suitable for the organisation and its tailings facilities.

Discussion

Gold Fields has established a comprehensive and performance-based Tailings Management System (TMS) that aligns with established Plan-Do-Check-Act (PDCA) processes. This TMS has been implemented across all our regions, reflecting our commitment to check the safe management of tailings facilities. The Global Tailings Management team has developed and implemented various components within the TMS to facilitate effective tailings management. These components include a Tailings Management Policy, a Tailings Framework, a Tailings Standard, an Incident Reporting System, and an online platform that serves as a centralized source of information.

At the site level, our operations maintain a tailored Tailings Management Plan (TMP), and a Trigger Action Response Plan (TARP), and conduct monitoring activities. The PDCA process, embedded in our practices, is stated in the Gold Fields Tailings Standard. This approach emphasizes continuous improvement and checks that our operations align with international best practices in tailings management.

We have established a robust monitoring system for our Tailings Storage Facilities (TSFs) to promote the PDCA process. This monitoring system involves daily assessments by operators, routine inspections by the Responsible Tailings Facility Engineer (RTFE), and monthly or quarterly evaluations conducted by the Engineer of Record. These regular assessments enable us to identify and promptly address potential issues or deviations. The Cerro Corona team has integrated TSF monitoring equipment into the mine's Monitoring Centre, where a dedicated team actively tracks and monitors any real-time alerts on live monitors.

Our Management of Change procedure, updated to include tailings, is promptly enacted if issues or deviations are detected. We have also implemented various reporting practices to check transparency and accountability. These include EoR quarterly reviews, inspections conducted by the VP: Global Tailings Management, quarterly reports presented to the Board, and daily shift inspections. By integrating reporting mechanisms throughout our operations, we foster a culture of continuous monitoring and improvement. Furthermore, we have established a comprehensive review process to evaluate the operational performance of our site Tailings Storage Facilities (TSFs) annually. The engineer of record conducts this review, which includes a thorough assessment of the TSFs' performance and compliance with the established standards and procedures. The findings of this review are distributed to the Cerro Corona Tailings Stewardship Team and the Independent Technical Review Board for their review and input.

The Cerro Corona Tailings Stewardship Team holds an Annual General Meeting (AGM) for tailings to foster collaboration and check collective decision-making. During this meeting, team members gather to discuss the annual review findings and collectively determine the necessary actions and improvements for the following year. This collaborative approach allows us to benefit from diverse perspectives, share best practices, and strengthen our commitment to responsible tailings management. The AGM serves as a valuable platform for knowledge exchange, fostering open discussions, and promoting continuous improvement within our tailings management practices. By actively engaging with the Cerro Corona Tailings Stewardship Team and the Independent Technical Review Board, we check that our decisions and actions align with industry best practices and the expectations of our stakeholders. **Therefore, Gold Fields has ranked this Requirement as "Meets".**

Assessment Outcome

- ✔ **Meets this Requirement**



✔ Requirement 8.2.B

Criteria

Accountabilities, responsibilities and associated competencies for implementing that framework are defined to support the appropriate identification and management of tailings facility risks.

Discussion

Gold Fields has developed robust tools and mechanisms to check clear accountabilities, responsibilities, and associated competencies for implementing our tailings management framework. These tools support the appropriate identification and management of tailings facility risks while promoting a culture of safety and responsible practices.

One of the key tools we have implemented is the RACI (Responsible, Accountable, Consulted, Informed) matrix specifically designed for the Cerro Corona Tailings Stewardship Team. This matrix clearly defines the roles and responsibilities of team members involved in tailings management. It outlines who is responsible for specific tasks, who is accountable for their execution, who should be consulted for their expertise, and who should be informed of progress and outcomes.

The Cerro Corona Tailings Stewardship Team is an interdisciplinary group comprising various stakeholders, including the Responsible Tailings Facility Engineer (RTFE), Safety team, Community Relations team, and Sustainable Development team. Each team member's role and responsibilities are clearly outlined in the RACI matrix, checking a comprehensive understanding of their specific contributions to safe tailings management.

In addition to the RACI matrix, Gold Fields has developed a comprehensive training and competency matrix directly linked to tailings operational procedures. This matrix checks that individuals involved in tailings management possess the necessary skills, knowledge, and competencies to fulfil their roles effectively. We prioritize ongoing training and development to enhance the expertise of our team members and maintain a high level of competency across all relevant disciplines.

In line with our commitment to excellence in tailings management, the Gold Fields Tailings Management Team has established the Gold Fields Tailings Standard. This comprehensive standard serves as a guiding framework, outlining the overarching responsibility and accountability criteria our operations aim to conform to.

By implementing these tools, we strive to create a shared responsibility and accountability culture, where all team members understand their specific roles and contribute to effectively identifying and managing tailings facility risks. Regular communication, collaboration, and continuous improvement are integral components of our approach, enabling us to enhance our capabilities and adapt to emerging challenges.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✓ Requirement 8.2.C

Criteria

The governance framework supports the TMS, its relevant critical systems and other related ESMS.

Discussion

At Gold Fields, we have established a governance framework that underpins our commitment to responsible tailings management. This framework strongly supports our Tailings Management System (TMS), its relevant critical systems, and other related Environmental and Social Management Systems (ESMS). We prioritize the safe management of tailings and the protection of our stakeholders and the environment.

The Gold Fields Tailings Management System (TMS) is documented in our 'Tailings Framework' document, which serves as a cornerstone for our approach. The 'Tailings Framework' document defines and describes all the essential elements of our tailings management system and checks consistency and effectiveness across our site, regional, and corporate operations.

This comprehensive document outlines the necessary components, processes, and procedures that guide our practices in managing tailings. It encompasses key aspects such as risk identification and assessment, monitoring and reporting, emergency response planning, and mechanisms for recovery in the event of failure. By following the guidelines and principles outlined in the 'Tailings Framework' document, we check that our TMS is implemented and executed to mitigate risks and safeguard the well-being of our employees, communities, and the environment.

Our governance framework extends beyond the 'Tailings Framework' document and incorporates a range of critical systems and processes. We integrate tailings management into our broader ESMS, recognizing the interconnectedness of environmental, social, and governance considerations. Doing so checks that our approach to tailings management aligns with industry best practices, international standards, and regulatory requirements.

A demonstration of collaboration within our governance framework can be seen in the close partnership between our Tailings and Environmental disciplines, particularly in incident reporting. Recognizing the interconnected nature of these functions, we prioritize open collaboration and coordination between the two groups.

We have established specific guidelines for environmental and tailings-related incidents to check effective incident reporting. This collaboration involves ongoing communication and information sharing between the Tailings and Environmental teams. If incidents occur, both groups work together to ensure all relevant information is captured, analysed, and appropriately reported. This collaborative effort helps us comprehensively understand the incident, its potential impacts, and the necessary mitigation measures.

The governance framework establishes clear accountabilities and responsibilities, promoting a culture of ownership and transparency. It checks that relevant teams and individuals understand their roles and actively contribute to implementing and continuously improving our tailings management practices. Regular monitoring, auditing, and reporting mechanisms are embedded within the framework to assess performance, identify areas for enhancement, and maintain compliance.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✓ Meets this Requirement



✔ Requirement 8.2.D

Criteria

The linkages between the TMS and other systems such as the ESMS check the effective integrated management of the tailings facility.

Discussion

At Gold Fields, we recognize the importance of effective integration and clear linkages between our Tailings Management System (TMS) and other critical systems, such as our Environmental and Social Management Systems (ESMS). This integration checks our tailings facilities' comprehensive and coordinated management, safeguarding the environment and stakeholders.

To establish these linkages, we have developed three central documents that serve as key references for understanding the integration of our TMS with other systems. Firstly, our Gold Fields Tailings Standard consolidates industry best practices, including the Global Industry Standard on Tailings Management (GISTM) and international design criteria. This standard provides a comprehensive framework for the safe and responsible management of tailings facilities and outlines the requirements for effective integration with other systems.

Secondly, our Gold Fields Tailings Framework is crucial in defining how our Tailings Management System (TMS) components work together and integrate with other systems. This document serves as a guiding resource for our teams, outlining the processes, procedures, and responsibilities for tailings management across our operations. The Tailings Framework checks that our efforts are aligned and integrated across all relevant disciplines by clearly articulating the linkages between the TMS and other systems.

Additionally, our Tailings Incident guideline integrates with our Gold Fields Environmental Incident Reporting guideline, establishing a seamless connection between incident reporting for tailings-related events and broader environmental incidents. This integration enhances our ability to capture and analyse relevant data, facilitating a comprehensive understanding of incidents and enabling us to take prompt and appropriate actions.

By clearly defining these linkages in our central documents, we promote a holistic approach to tailings management that recognizes the interconnectedness of various systems within our operations. This integrated approach enables us to effectively identify, assess, and manage risks associated with our tailings facilities, fostering a culture of proactive risk mitigation and continuous improvement.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



Requirement 8.3 – Self-Assessment Rating Justification

For roles with responsibility for tailings facilities, develop mechanisms such that incentive payments or performance reviews are based, at least in part, on public safety and the integrity of the tailings facility. These incentive payments shall reflect the degree to which public safety and the integrity of the tailings facility are part of the role. Long-term incentives for relevant executive managers should take tailings management into account.

✔ Requirement 8.3.A

Criteria

For persons with responsibility for tailings facilities, their performance reviews and or incentive payments are based in part, on public safety and the integrity of the tailings facilities.

Discussion

At Gold Fields, we prioritize public safety and the integrity of our tailings facilities as fundamental components of our performance evaluation and incentive programs. We recognize that the responsibility for tailings management lies with specific individuals within our organization, and it is crucial to align their performance reviews and incentive payments with these critical aspects.

We have incorporated these objectives into our short-term and long-term incentive plans (LTIPs) to check accountability and drive performance in tailings management. As part of our ongoing commitment to continuous improvement, we have recently updated our incentive plans to reflect strategic initiatives, including our commitment to effective tailings management.

At Gold Fields, every employee participates in the creation of a balanced scorecard (BSC) on an annual basis. The BSC serves as a framework for setting goals and evaluating performance, aligning with our corporate strategic objectives. As we strive to fully conform with the Global Industry Standard on Tailings Management (GISTM) across all our operations, our commitment to conformance becomes a measurable criterion within the individual BSCs.

By incorporating the requirements of the GISTM as a specific goal and performance indicator in the BSCs of relevant employees, we can provide the necessary incentives and rewards for our employees, reflecting their performance and contributions towards tailings management, facility performance, and public safety. These incentives serve as a means to encourage long-term commitment and dedication to the responsible management of our tailings facilities.

Furthermore, our long-term incentive plans for executive managers also consider the strategic significance of tailings management. This checks that our top leadership is incentivized to promote and uphold best practices in tailings management, fostering a culture of responsible stewardship and long-term sustainability.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



— Requirement 8.3.B

Criteria

Where incentive payments are used, they are based on the degree to which public safety and tailing facility integrity are a component of that role.

Discussion

At Gold Fields, we have implemented a company-wide approach to check conformance with the Global Industry Standard on Tailings Management (GISTM). We believe that upholding the highest standards of tailings management is a collective effort that spans all regions where we operate. As such, our incentive programs are designed to reward and recognize the performance of each region in alignment with these global standards.

Our incentive plans have recently been updated to incorporate strategic initiatives, including our steadfast commitment to tailings management. We understand the critical role that regional performance plays in achieving our overall objectives, and we have tailored our incentive structure accordingly.

We utilise a balanced scorecard approach to drive adherence to the GISTM and encourage continuous improvement. Each region establishes its own performance goals and criteria that reflect its specific challenges and opportunities. These goals are aligned with the corporate strategic objectives and the requirements set forth by the GISTM.

By applying incentives at the regional level, we foster a sense of ownership and responsibility within each region. This approach empowers regional teams to prioritize tailings management and actively contribute to achieving our company-wide goals.

Gold Fields does not use incentive payments for individuals based on the degree to which public safety and tailings facility integrity is a component of their role. Due to the interdisciplinary nature of the GISTM, we have promoted regional-level incentives inclusive of all stakeholders.

Therefore, Gold Fields has ranked this Requirement as “Not Applicable”.

Assessment Outcome

- — Not Applicable



✔ Requirement 8.3.C

Criteria

As part of executive compensation, long-term incentives consider tailings management, facility performance, and public safety.

Discussion

Our incentive plans have been carefully designed to align with our strategic initiatives, including our commitment to tailings management. We recognize the significant influence that key roles within our organization, such as the Accountable Executive, Global Tailings Management team, and responsible tailings facility engineers, have on the strategic implementation of the Global Industry Standard on Tailings Management (GISTM).

Our incentives are applied to check a consistent and company-wide approach based on each region's performance in conforming to the GISTM. This approach allows us to emphasize the importance of tailings management across all operating regions. We foster a culture of accountability and continuous improvement throughout our organisation by aligning our incentive structure with our commitment to the highest public safety and facility integrity standards.

Our long-term incentive plans form an integral part of executive compensation. They provide the necessary incentives and rewards for our accountable executives, reflecting their performance and contributions towards tailings management, facility performance, and public safety. These incentives serve as a means to encourage long-term commitment and dedication to the responsible management of our tailings facilities.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



Requirement 8.4 – Self-Assessment Rating Justification

Appoint one or more Accountable Executives who is/are directly answerable to the CEO on matters related to this Standard. The Accountable Executive(s) shall be accountable for the safety of tailings facilities and for avoiding or minimising the social and environmental consequences of a tailings facility failure. The Accountable Executive(s) shall also be accountable for a programme of tailings management training, and for emergency preparedness and response. The Accountable Executive(s) should have scheduled communication with the EOR and regular communication with the Board of Directors, which can be initiated either by the Accountable Executive(s), or the Board. The Board of Directors shall document how it holds the Accountable Executive(s) accountable.

✔ Requirement 8.4.A

Criteria

Accountable Executive(s) who are directly answerable to the CEO have been identified and assigned the safety aspects of a tailings facility and for avoiding or minimising the social and environmental consequences of a failure.

Discussion

At Gold Fields, we recognize the critical importance of an identified and accountable leadership role for tailings management. In alignment with industry best practices and our commitment to safety and environmental stewardship, we have appointed Accountable Executives who directly report to the CEO.

Our company's Regional Executive Vice-presidents (EVPs) have been assigned the role of Accountable Executives for tailings management. These individuals possess extensive experience and expertise in our operations and have established relationships with various levels of the organization, from operational teams to the Board of Directors. They assume direct responsibility for the safety of our tailings facilities and are dedicated to avoiding or minimizing the social and environmental consequences of a potential tailings facility failure.

As part of their accountabilities, the Accountable Executives oversee a comprehensive program of tailings management training throughout our organization. They are also responsible for checking emergency preparedness and response plans to effectively address potential incidents. Regular communication with the Engineer of Record (EOR) and the Board of Directors is a key aspect of their role, allowing for the exchange of critical information and insights. The Board of Directors, in turn, documents the mechanisms through which they hold the Accountable Executives accountable.

By entrusting this important role to our regional executives, we check that tailings management remains a top priority across our operations. These individuals bring a wealth of knowledge and a deep understanding of our company's operations, enabling them to effectively champion safety and environmental sustainability in managing our tailings facilities.

We remain committed to maintaining open lines of communication, fostering a culture of collaboration and transparency. Our Accountable Executives work closely with all relevant stakeholders to drive continuous improvement in our tailings management practices, striving to uphold the highest standards of safety, social responsibility, and environmental stewardship.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



✔ Requirement 8.4.B

Criteria

The accountability referred to in (a) includes developing and implementing a programme of tailings management training, and for emergency preparedness and response.

Discussion

At Gold Fields, we prioritize our accountability for tailings management, which encompasses crucial aspects such as training, emergency preparedness, and response. The Accountable Executive overseeing tailings management within their region has delegated responsibilities to respective discipline heads and key roles, such as the Gold Fields Global Tailings Management team and the Responsible Tailings Facility Engineer. (RTFE) This accountability and responsible persons are included in the Responsibility, Accountability, Consulted and Informed (RACI) matrix prepared for the TSF.

The Global Tailings Management team has developed a comprehensive corporate-wide training program for all employees to further strengthen our commitment to tailings management. This program, scheduled for delivery throughout H2 2023, will complement the training activities already provided on an ad hoc basis by the Cerro Corona EOR. By offering this training at a corporate level, we demonstrate our dedication to fostering a culture of safety and responsible tailings management across our organization.

Site-specific training needs and gaps have been detailed in the Cerro Corona Tailings Training Competency Matrix. This matrix clearly defines the training required of all personnel, the current status and a completion record.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



✔ Requirement 8.4.C

Criteria

The Accountable Executive(s) has regular and scheduled communications with the EOR and Board of Directors which can be initiated either by the Accountable Executive or the Board.

Discussion

The Accountable Executive holds quarterly meetings with the Engineer of Record (EOR) and our Board of Directors.

These meetings offer an opportunity to discuss tailings management, safety measures, and relevant updates. Additionally, the Accountable Executive maintains ongoing communication with the CEO, fostering a strong partnership and alignment on critical matters.

By establishing these scheduled meetings, we check that the Accountable Executive remains connected and engaged with key stakeholders, allowing for timely updates, proactive decision-making, and alignment with corporate objectives. This structured approach enables open dialogue and the exchange of valuable insights, supporting our commitment to safety, environmental responsibility, and the effective management of tailings facilities.

To further support the Accountable Executive in their role, the VP: Global Tailings Management provides quarterly independent submissions to the Board. These submissions are based on thorough reviews conducted by the Engineer of Record and the responsible tailings facility engineer. By incorporating these technical perspectives, we check that the Accountable Executive receives comprehensive and sound guidance on tailings management.

The VP: Global Tailings Management plays a critical role in assessing the performance and integrity of our tailings facilities. Their quarterly submissions provide valuable insights into the effectiveness of our tailings management practices, highlighting any areas that require attention or improvement. This rigorous review reinforces our commitment to safety, environmental stewardship, and avoiding social and environmental consequences of tailings facility failure.

By maintaining a close working relationship between the Accountable Executive, the VP: Global Tailings Management, and the Board of Directors, we create a robust framework for oversight and decision-making. This collaborative approach checks that our tailings management strategy integrates technical expertise and sound engineering practices.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 8.4.D

Criteria

The process by which the Board of Directors holds the Accountable Executive(s) responsible is documented.

Discussion

The role of the Cerro Corona Accountable Executive is documented and officially outlined in a comprehensive role description. This document serves as a guiding framework that clearly defines the specific responsibilities and obligations of the Accountable Executive. Furthermore, the appointment of the Accountable Executive is checked and formalized through an official letter that emphasizes the significance of their role within our organization.

At Gold Fields, we prioritize transparency and effective governance. The Board of Directors plays a crucial role in checking accountability and oversight. The process by which the Board holds the Cerro Corona Accountable Executive responsible is diligently documented and aligned with our commitment to best practices.

The Board's endorsement of the Gold Fields Tailings Standard further underscores the importance of the Accountable Executive role. This standard serves as a foundational reference point for tailings management, outlining the required measures to check our tailings facilities' safety, minimise social and environmental impacts, implement comprehensive training programs, and establish robust emergency preparedness and response protocols.

Through regular and scheduled communication, the Board of Directors actively engages with the Accountable Executive, fostering a collaborative relationship that supports accountability and enables effective decision-making.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



Requirement 8.5 – Self-Assessment Rating Justification

Appoint a site-specific Responsible Tailings Facility Engineer (RTFE) who is accountable for the integrity of the tailings facility, who liaises with the EOR and internal teams such as operations, planning, regulatory affairs, social performance, and environment, and who has regular two-way communication with the Accountable Executive. The RTFE should be familiar with the DBR, the design report and the construction and performance of the tailings facility.

✔ Requirement 8.5.A

Criteria

A Responsible Tailings Facility Engineer (RTFE) is appointed to the role.

Discussion

We have appointed a qualified and dedicated Responsible Tailings Facility Engineer (RTFE) at the Gold Fields' Cerro Corona mine. This individual is critical in checking our tailings facility's integrity and safety. The RTFE is a key point of contact, liaising with various internal teams such as operations, planning, regulatory affairs, social performance, and environment. The RTFE checks that all relevant stakeholders are engaged and informed by fostering effective communication and collaboration.

The RTFE holds a pivotal position within the Cerro Corona Tailings Stewardship team, which comprises the RTFE, Manager for Water and Tailings, Community Relations, Sustainable Development, Safety, Closure Management, Engineer of Record, and VP: Global Tailings Management. This team, consisting of local and international experts, provides comprehensive support to the RTFE from technical and operational perspectives. This collaborative approach checks that all aspects of tailings management are thoroughly addressed.

To facilitate transparent and accountable governance, the RTFE maintains a direct line of communication with the Accountable Executive, VP: Global Tailings Management, Engineer of Record, and Independent Technical Review Board. This two-way communication checks that information flows efficiently and that key decisions are made with full consideration of technical expertise and operational realities.

The RTFE role involvement spans the lifecycle of the tailings facility. By embedding themselves in all aspects of tailings management, the RTFE checks a comprehensive understanding of the facility's design, construction, operation, monitoring, and management.

To maintain alignment and foster ongoing collaboration, the RTFE fortnightly facilitates regular project meetings with the Cerro Corona Tailings Stewardship team. These meetings provide an opportunity to update and synchronize the team on all relevant aspects of planning, design, construction, operation, monitoring, and management. This iterative process allows us to address emerging challenges, share best practices, and ensure the team is well-informed and aligned.

Every quarter, the RTFE prepares a comprehensive operational review report. This report, submitted to the VP: Global Tailings Management, provides a comprehensive assessment of the facility's performance, highlighting achievements, identifying areas for improvement, and proposing relevant recommendations. This regular reporting mechanism allows the team to maintain a robust and transparent accountability system, allowing for continuous improvement in our tailings management practices.

Gold Fields remains committed to the highest standards of tailings management. By appointing a Responsible Tailings Facility Engineer and implementing robust communication channels and reporting mechanisms, we reinforce our dedication to safety, environmental stewardship, and responsible operations. Through effective collaboration and continuous improvement, we strive to check the integrity and sustainability of our tailings facilities to benefit our communities, the environment, and all stakeholders involved.

Therefore, Gold Fields has ranked this Requirement as “Meets”.



Assessment Outcome

-  Meets this Requirement



✔ Requirement 8.5.B

Criteria

Roles and responsibilities are clearly defined and documented for the RTFE position including accountability for the integrity of the tailings facility.

Discussion

At Gold Fields, we recognize the importance of clearly defining and documenting roles and responsibilities, particularly for the position of Responsible Tailings Facility Engineer (RTFE). The RTFE holds a critical role in checking our tailings facility's integrity and reliability, and we have taken significant steps to establish a robust framework for accountability.

The role of the RTFE is explicitly outlined in the Gold Fields Tailings Standard, a comprehensive document that serves as our guiding framework for tailings management. This standard provides a detailed description of the RTFE's responsibilities, including their accountability for maintaining the integrity of the tailings facility. Adhering to this standard checks a consistent and well-defined approach to tailings management across our operations.

In addition to the Tailings Standard, we have developed a comprehensive job description for the RTFE position. This document outlines the specific duties, qualifications, and expectations for the role and checks clarity and alignment in understanding the responsibilities associated with the position. By providing a detailed job description, we set clear expectations and provide a solid foundation for effective performance in the role.

Furthermore, the appointment of the RTFE is checked and documented through a formal letter. This letter checks the individual's appointment to the role, further reinforcing the clarity and transparency in the process. It checks that the RTFE and relevant stakeholders know the appointment and the significance of the position.

By clearly defining the role of the RTFE in the Gold Fields Tailings Standard, providing a comprehensive job description, and checking the appointment through a formal letter, we demonstrate our commitment to accountability and transparency. These measures establish a strong foundation for effective tailings management and check that the RTFE is well-positioned to fulfil their responsibilities in upholding the integrity and safety of our tailings facility.

Gold Fields remains dedicated to continuous improvement and the highest standards of tailings management. Through clearly defined roles and responsibilities, we strive to maintain a robust system of accountability and foster a culture of safety, environmental stewardship, and responsible operations across our organization.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✓ Requirement 8.5.C

Criteria

The RTFE liaises with the EOR and internal teams.

Discussion

The Responsible Tailings Facility Engineer (RTFE) at Gold Fields operates within a robust support structure that checks effective collaboration and expertise sharing. As the lead engineer in the Cerro Corona Tailings Stewardship team, the RTFE receives significant support from a diverse and highly skilled local and international tailings team.

Given the complex nature of our operations at the Cerro Corona site, which involves multiple operational Tailings Storage Facilities (TSFs), ongoing construction of buttresses to facilitate downstream raising, and exploration of the life of mine transformation concepts, the RTFE's role demands higher support. The expertise and contributions of the local and international tailings team are instrumental in providing this support.

Of particular importance is the involvement of the Engineer of Record (EOR), who has been integrated into Gold Fields as an extension of our team. The EOR is vital in providing technical support and oversight for tailings management activities. On a daily basis, the EOR actively participates in monitoring activities, construction quality assurance, and site investigations. Their technical knowledge and experience greatly contribute to the integrity and safety of our tailings facilities.

The RTFE and the Cerro Corona Tailings Stewardship team regularly engage with the EOR to check seamless coordination and knowledge sharing. During meetings, the EOR collaborates with the team to discuss various aspects of tailings management. This includes leading technical studies, sharing insights, addressing challenges, and providing guidance to check compliance with best practices and regulatory requirements.

The involvement of the EOR and the close collaboration with the Cerro Corona Tailings Stewardship team enable a comprehensive and well-rounded approach to tailings management. By tapping into the technical expertise and experience of the EOR and leveraging the support of the wider tailings team, we can effectively address the complexities and demands associated with our tailings facilities.

Gold Fields is committed to maintaining high technical support and oversight for our RTFEs. By nurturing a culture of collaboration and knowledge sharing, we strive to continuously enhance our tailings management practices and check the safety, integrity, and responsible operation of our tailings facilities.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✓ [Meets this Requirement](#)



✓ Requirement 8.5.D

Criteria

The RTFE should be familiar with the DBR, relevant design reports, and the tailings facility's construction and operations/performance.

Discussion

As the head of the Cerro Corona Tailings Stewardship team, the Responsible Tailings Facility Engineer (RTFE) plays a crucial role in overseeing the comprehensive management of the tailings facilities at the Cerro Corona mine. One of the key responsibilities of the RTFE is to thoroughly understand the Design Basis Report (DBR), relevant design reports, and the tailings facility's construction and operations/performance. The RTFE actively reviews and contributes to these documents, providing comments to the EOR as they are developed and updated.

Collaboration and coordination with various interdisciplinary stakeholders, both local and international, are essential aspects of the RTFE's role. Together with these stakeholders, the RTFE works diligently to drive the implementation of relevant designs, monitor construction activities, and optimize the operational performance of the TSFs at the Cerro Corona mine. This collaborative approach checks that all stakeholders are actively involved in the decision-making process and are well-informed about the progress made in tailings management.

In addition to the ongoing collaboration and coordination with various stakeholders, the RTFE at the Cerro Corona mine maintains a strong reporting mechanism to check continuous monitoring of the operational performance of the tailings storage facilities (TSFs). This reporting process is vital in keeping the entire team well-informed and up to date.

On a quarterly basis, the RTFE diligently prepares a comprehensive report on the operational performance of the TSFs. This report provides a detailed analysis of key metrics, performance indicators, and any notable observations or trends. By reporting directly to the VP: Global Tailings Management, the RTFE checks that the highest level of oversight is maintained, allowing for timely identification of any areas that require attention or improvement.

Furthermore, the Cerro Corona mine receives a quarterly on the TSF's performance from the Engineer of Record. (EOR) The EoR analyses available monitoring data to provide valuable insights into the performance of the TSFs, including factors such as stability, seepage, and other critical parameters. Regularly receiving this summary allows the RTFE and the Cerro Corona Tailings Stewardship team to stay informed about the current state of the TSFs and take necessary actions based on the findings.

The combination of quarterly operational performance reporting by the RTFE and the EOR checks a comprehensive and proactive approach to managing the TSFs.

Therefore, Gold Fields has ranked this Requirement as "Meets".

Assessment Outcome

- ✓ Meets this Requirement



✓ Requirement 8.5.E

Criteria

Communication occurs between the RTFE and the Accountable Executive, or designee.

Discussion

Effective communication and collaboration between the Responsible Tailings Facility Engineer (RTFE) and the Accountable Executive, or their designated representative, is a key priority at the Cerro Corona mine.

Recognizing the importance of maintaining a strong line of communication, regular quarterly meetings are facilitated by the RTFE, bringing together the Accountable Executive, the Engineer of Record and the VP: Global Tailings Management. Additionally, Cerro Corona Tailings Stewardship team members are invited to attend these sessions, checking a comprehensive and inclusive approach to discussions.

These scheduled meetings serve as a platform for open dialogue, enabling timely updates, sharing of information, and swift resolution of any potential issues or concerns. The RTFE is vital in facilitating effective communication channels between all stakeholders involved in tailings management, promoting collaboration and alignment across the team.

By fostering regular and structured communication, the RTFE checks that the Accountable Executive, as well as the Engineer of Record and the VP: Global Tailings Management, are kept well-informed about the ongoing activities, challenges, and progress related to the tailings facilities. This proactive approach allows for effective decision-making, timely interventions, and the implementation of necessary measures to maintain the safety, integrity, and environmental performance of the TSFs.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✓ Meets this Requirement



Requirement 8.6 – Self-Assessment Rating Justification

Identify appropriate qualifications and experience requirements for all personnel who play safety-critical roles in the operation of a tailings facility, including, but not limited to the RTFE, the EOR and the Accountable Executive. Check that incumbents of these roles have the identified qualifications and experience, and develop succession plans for these personnel.

✔ Requirement 8.6.A

Criteria

Qualification and experience requirements for all personnel with critical safety roles are clearly defined and appropriate to the position's level of responsibility. This includes but is not limited to critical roles such as the RTFE, EOR and Accountable Executives.

Discussion

The qualifications and experience requirements for personnel in safety-critical roles, including the Responsible Tailings Facility Engineer (RTFE), Engineer of Record (EOR), and Accountable Executives, are clearly defined and aligned with the level of responsibility associated with each position. We have developed the Gold Fields Tailings Standard, consolidating the criteria outlined by the Global Industry Standard on Tailings Management (GISTM), ANCOLD, and other international best practices.

This comprehensive document is a central reference point, checking a consistent and standardized approach to tailings management across all Gold Fields operations worldwide. Within the Gold Fields Tailings Standard, specific roles such as the Accountable Executive, RTFE, and EOR are outlined, providing a clear understanding of their responsibilities and expectations.

Role-specific job descriptions have been developed to further emphasize the qualifications and experience required for these critical roles. These descriptions outline the specific competencies, knowledge, and skills necessary to fulfil the responsibilities associated with each position. We also have a robust training and competency matrix at the Cerro Corona mine, known as the Cerro Corona Training Competency Matrix. This matrix not only defines the qualifications and training competencies required for each role but also serves as a tool to track and monitor the current training status of individuals and completed training programs.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 8.6.B

Criteria

Succession plans are developed for safety-critical roles.

Discussion

Gold Fields has developed a succession plan for safety-critical roles in the Cerro Corona Tailings Stewardship team to check the continuity of sound tailings management. The succession plan is designed to provide adequate coverage and support for key positions, including the Engineer of Record (EOR), Responsible Tailings Facility Engineer (RTFE), and Accountable Executive.

The succession plan for the EOR includes a deputy EoR who is well-versed in the technical aspects and responsibilities of the role. Similarly, the RTFE is supported by a site engineer who serves in a deputy capacity, providing additional expertise and support.

The EoR has prepared a detailed succession plan for the Cerro Corona EOR role, providing in-depth detail to promote smooth transition and communication of technical information.

In addition, the VP: Global Tailings Management, who oversees the overall tailings management function, is supported by a Senior Tailings Engineer. This checks that a qualified individual is ready to step in if necessary.

In cases where the Accountable Executive position needs to be temporarily filled, the role can be formally reassigned to the company CEO until a suitable replacement is identified. This promotes continued leadership and accountability for our tailings facilities' safety and environmental performance.

The succession plans are documented in the Cerro Corona Tailings Management Plan (TMP), which serves as a guide outlining the strategies, protocols, and procedures for effective tailings management. By having these plans in place, we can mitigate any potential disruptions and maintain the highest standards of safety and environmental stewardship throughout our operations.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



Requirement 8.7 – Self-Assessment Rating Justification

For tailings facilities with Consequence Classification of ‘Very High’ or ‘Extreme’, appoint an Independent Technical Review Board (ITRB). For all other facilities, the Operator may appoint a senior independent technical reviewer. The ITRB or the reviewer shall be appointed early in the project development process, report to the Accountable Executive and certify in writing that they follow best practices for engineers in avoiding conflicts of interest.

✔ Requirement 8.7.A

Criteria

For a tailings facility with a consequence classification of failure of ‘Very High’ to ‘Extreme’, the Operator has appointed an Independent Technical Review Board (ITRB).

Discussion

In line with our commitment to maintaining the highest safety and environmental stewardship standards, Gold Fields has appointed an Independent Technical Review Board (ITRB) for the tailings facilities at the Cerro Corona mine. The decision to establish the ITRB is based on the classification of the facilities as having a consequence classification of ‘Very High’, signifying the potential severity of the consequences of failure.

The ITRB has a long-standing relationship and was formally appointed in 2006. At the time of this disclosure, the ITRB has prepared 54 review reports for the Cerro Corona TSF and has attended the site regularly to gain firsthand insights into their design, construction, and ongoing operations.

We value the expertise and guidance provided by the ITRB, and their participation strengthens our overall approach to tailings management at the Cerro Corona mine.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



— Requirement 8.7.B

Criteria

For a tailings facility with a consequence classification of failure of 'High' or lower, in the absence of an ITRB, the Operator has appointed a senior independent technical reviewer.

Discussion

We have implemented a rigorous review process for our tailings facilities at the Cerro Corona mine with multiple layers of defence. However, as the Cerro Corona TSF falls under the "Extreme" consequence category, we have appointed an Independent Technical Review Board (ITRB). The team have ranked this requirement as not applicable.

Therefore, Gold Fields has ranked this Requirement as "Not Applicable".

Assessment Outcome

- — Not Applicable



✔ Requirement 8.7.C

Criteria

The ITRB or a senior independent technical reviewer reports to the tailings facility's accountable executive or delegate.

Discussion

At Gold Fields, we prioritize robust governance and accountability in our tailings management practices. To facilitate effective reporting and communication channels, the Independent Technical Review Board (ITRB) and Independent Reviewers are formally appointed by the Cerro Corona Responsible Tailings Facility Engineer, acting on behalf of the Accountable Executive. Throughout the selection process and scope development, the VP: Global Tailings Management also plays a vital role in checking alignment with the overarching Gold Fields framework.

The insights and expertise provided by the ITRB are effectively communicated to the accountable executive overseeing the safety and integrity of our tailings facilities. The Accountable Executive receives copies of the ITRB finding reports and regular briefings from the RTFE.

At Gold Fields, we believe in fostering a culture of transparency, accountability, and continuous improvement. By engaging independent experts and establishing clear reporting lines to the Accountable Executive and RTFE, we remain committed to upholding the highest safety standards, environmental stewardship, and responsible tailings management across our operations.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✓ Requirement 8.7.D

Criteria

The ITRB or a senior independent technical reviewer is appointed during the early phase of tailings facility site investigation and design engineering (suggested pre-feasibility).

Discussion

Gold Fields acknowledges the importance of independent technical review and oversight in checking tailings storage facilities' robustness and safety. Following best practices and industry standards, we have appointed an Independent Technical Review Board (ITRB) for our tailings facilities with an Extreme and Very High Consequence classification.

The Cerro Corona ITRB comprises highly experienced professionals with extensive expertise overseeing, designing, constructing, and managing tailings storage facilities. They bring valuable insights and independent perspectives to the project development process. The inaugural ITRB meeting was conducted on the 7th of December 2006, ahead of the initial operation of the facility in 2008. The ITRB has undertaken 54 reviews to date.

Gold Fields recognizes the significance of independent technical review and values the expertise and oversight provided by the ITRB. We remain committed to transparent and responsible practices and check the highest safety and environmental stewardship standards in our tailings management. By engaging an independent technical reviewer early in the project development process, we adhere to industry best practices and proactively mitigate potential risks.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✓ [Meets this Requirement](#)



✔ Requirement 8.7.E

Criteria

The ITRB members and a senior independent technical reviewer have certified in writing the absence of a conflict of interest with the tailings facility as defined by best practice.

Discussion

At Gold Fields, we emphasise the integrity and objectivity of our Independent Technical Review Board (ITRB) members and senior independent technical reviewers. As part of their commitment to upholding the highest professional standards, they have provided written certification of their independence and the absence of any conflicts of interest with the tailings facility, as defined by industry best practices.

The certification of the absence of conflict of interest is a critical component of our comprehensive approach to checking transparency and impartiality in the review process. By aligning with the guidelines and protocols outlined in industry best practices, our ITRB members and senior independent technical reviewers check that their assessments, recommendations, and findings are free from any biases or influences that could compromise the integrity of the review.

The ITRB has certified in writing that they do not have a conflict of interest, reinforcing our commitment to maintaining the highest levels of professional conduct and our stakeholders' confidence in the integrity and independence of our tailings management processes.

At Gold Fields, we recognize the significance of an impartial and objective review process in checking our tailings facilities' safety, environmental sustainability, and responsible management. We remain dedicated to engaging highly qualified and independent experts who adhere to best practices, providing valuable insights and guidance for our ongoing commitment to continuous improvement and excellence in tailings management.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



GISTM Principle 09

Appoint and Empower an Engineer of Record

Principle 09 Self-Assessment Outcome

The Cerro Corona mine has a single TSF, which has been given an Extreme Consequence Classification. A summary of the self-assessment outcome for Principle 09 of the GISTM is presented in Table 14 below. Further information specific to each requirement part, is provided in subsequent sections of this report.

Table 14: Principle 09 – Self-Assessment Outcome Summary

Req.	Part	Criteria	TSF 1
9.1	A	For all operating tailings facilities and closed facilities with consequence categories of 'High', 'Very High' and 'Extreme' an engineering firm with the design and construction expertise for tailings facilities of comparable complexity has been engaged.	✓
	B	The appointed Engineer of Record (EOR) has experience and expertise commensurate with the complexity of the tailings facility and the consequence class, and the Operator has endorsed the appointment.	✓
	C	A DOR, if appropriate either due to selection of an EOR internal to the Operator or other circumstances, is appointed that meets the essential qualifications and requirements of the EOR.	–
9.2	A	An EOR is appointed and in place at all times throughout the tailings facility lifecycle. The appointed EOR may change during the tailings facility lifecycle.	✓
	B	The EOR is appointed through a written agreement that clearly describes their authority, role and responsibilities throughout the tailings facility lifecycle, and during change of ownership of mining properties.	✓
	C	The written agreement clearly describes the obligations of the Operator to the EOR, to support the effective performance ¹ of the EOR during the tailings facility lifecycle.	✓
9.3	A	A programme is established to manage the quality of all engineering work and interactions between the EOR, the RTFE and the Accountable Executive.	✓
	B	The established programme is implemented to manage the quality of all engineering work and the interactions between the EOR, the RTFE and the Accountable Executive.	✓
	C	The programme, developed by the Operator, covers the involvement of the EOR, the RTFE and the Accountable Executive in the tailings facility lifecycle as necessary to check that both the implementation of the design and the design intent are met.	✓
9.4	A	The Accountable Executive considers the risks and associated potential impacts with a tailings facility in selecting the EOR.	✓
	B	The Accountable Executive and informed ¹ shall decide the EOR selection, but not by procurement personnel.	✓



Req.	Part	Criteria	TSF 1
	C	EOR selection is consistent with Requirement 9.1.	✓
9.5	A	A succession plan is in place when it is necessary to change the EOR1 (whether a firm or within a firm, or an in-house employee)	✓
	B	The succession plan includes the comprehensive transfer of data, information, knowledge and experience with the construction procedures and materials.	✓



Requirement 9.1 – Self-Assessment Rating Justification

Engage an engineering firm with expertise and experience in the design and construction of tailings facilities of comparable complexity to provide EOR services for operating the tailings facility and for closed facilities with ‘High’, ‘Very High’ and ‘Extreme’ Consequence Classification, that are in the active closure phase. Require that the firm nominate a senior engineer, endorsed by the Operator, to represent the firm as the EOR, and verify that the individual has the necessary experience, skills and time to fulfil this role. Alternatively, the Operator may appoint an in-house engineer with expertise and experience in comparable facilities as the EOR. In this instance, the EOR may delegate the design to a firm (‘Designer of Record’) but shall remain thoroughly familiar with the design in discharging their responsibilities as EOR. Whether the EOR or the DOR is in-house or external, they should be competent and have experience appropriate to the Consequence Classification and complexity of the tailings facility

✔ Requirement 9.1.A

Criteria

For all operating tailings facilities and closed facilities with consequence categories of ‘High’, ‘Very High’ and ‘Extreme’ an engineering firm with the design and construction expertise for tailings facilities of comparable complexity has been engaged.

Discussion

Gold Fields understands the importance of enlisting an engineering firm with the requisite expertise and experience to check the safe and responsible management of our tailings facilities. With this in mind, we have formally appointed an Engineer of Record (EOR) firm for the TSF at the Cerro Corona site. The EOR firm brings extensive experience and expertise to the table, and its involvement spans various stages of tailings management, including planning, design, construction, operation, and closure.

The EoR has a longstanding history of collaboration with the Cerro Corona site and brings a wealth of knowledge and expertise. They are supported by a team with experience that extends before the construction of the TSF. Comprising local and international professionals, the firm possesses advanced capabilities in supporting Gold Fields in designing, constructing and monitoring tailings facilities of comparable complexity.

The EOR team is actively involved in various technical studies and initiatives, ranging from design considerations, GISTM work packages and field investigation to tailings reduction strategies. They play a crucial role in checking that our tailings management practices align with the industry's best standards, including the requirements set forth by the Global Industry Standard on Tailings Management.

By engaging an experienced EOR firm, we can leverage their technical proficiency, multidisciplinary approach, and extensive track record in delivering complex projects. This strategic partnership enables us to continually enhance our tailings facilities' safety, efficiency, and environmental performance.

At Gold Fields, we remain committed to upholding the highest standards in tailings management and continually seek opportunities to collaborate with industry-leading experts who share our dedication to responsible mining practices. By engaging knowledgeable and competent EOR firms, we further strengthen our capabilities in designing and operating tailings facilities that meet the highest standards of safety, environmental stewardship, and regulatory compliance.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 9.1.B

Criteria

The appointed Engineer of Record (EOR) has experience and expertise commensurate with the complexity of the tailings facility and the consequence class, and the Operator has endorsed the appointment.

Discussion

The Gold Fields Global Tailings Management team has developed a comprehensive Gold Fields Tailings Standard, which incorporates key criteria from international best practices, including the Global Industry Standard on Tailings Management.

This Gold Fields Standard is a reference document, outlining the qualifications and experience requirements for the EOR role. It provides clear guidelines to check that the appointed EOR possesses the necessary skills, knowledge, and proficiency commensurate with the specific tailings facility's complexity and consequence class. These requirements are further detailed in our site-specific training and competency matrix, which provides a comprehensive overview of the qualifications and training needed for each critical role, including the EOR.

At Gold Fields, we prioritize the selection of an Engineer of Record (EOR) with the necessary experience and expertise that aligns with the complexity and consequence classification of our tailings facilities. At the Cerro Corona mine, the EOR appointment is aligned to the Gold Fields Tailings Standard and the EOR firm's representative is supported by an EOR team with experience that extends prior to the start of construction of the TSF. The appointment of the EOR for the Cerro Corona site has undergone a thorough approval process. The VP: Global Tailings Management, in alignment with the requirements specified in the Gold Fields Standard, has endorsed the selection of the EOR. This selection process adheres to the guidelines and criteria outlined in the Gold Fields Standard, which has received approval from our Board of Directors.

At Gold Fields, transparency and accountability are of utmost importance to us. In line with our commitment to openness, copies of the Engineer of Record's (EOR) curriculum vitae (CVs) have been made readily available to support the rigorous selection process. These CVs provide detailed information about the qualifications, expertise, and experience of the EOR candidates. By making this information accessible, we aim to check that the selection of the EOR is based on a comprehensive evaluation of their capabilities and suitability for the role. This practice underscores our commitment to maintaining a robust and transparent process in all aspects of our tailings management operations.

By establishing these stringent requirements and approval procedures, we check that the EOR possesses the necessary competence and expertise to fulfil its critical role in tailings facility design, construction, and ongoing management. We are committed to upholding the highest standards of engineering excellence and continuously improving our tailings management practices to safeguard the environment, communities, and our operations.

At Gold Fields, we prioritize the safety, sustainability, and responsible management of our tailings facilities, and the appointment of a qualified and experienced EOR is an integral part of our commitment to maintaining the highest standards in tailings management.

Therefore, Gold Fields has ranked this Requirement as "Meets".

Assessment Outcome

- ✔ [Meets this Requirement](#)



— Requirement 9.1.C

Criteria

A DOR, if appropriate either due to selection of an EOR internal to the Operator or other circumstances, is appointed that meets the essential qualifications and requirements of the EOR.

Discussion

At Gold Fields, our approach to tailings facility management is guided by industry best practices and a commitment to check the highest standards of safety and expertise. In accordance with these principles, an Engineer of Record (EOR) has been appointed for the TSF.

Given the presence of an EOR, the need for a Designer of Record (DOR) is not applicable in this context. The appointment of the EOR signifies the presence of a qualified and experienced engineer who will oversee and take responsibility for the design and construction of the tailings facilities.

Our rigorous selection process checks that the EORs possess the necessary competence and experience commensurate with the complexity and consequence classification of the tailings facility. This approach aligns with our commitment to upholding the highest standards in tailings management and underscores our dedication to the safety and integrity of our operations.

Therefore, Gold Fields has ranked this Requirement as “Not Applicable.”

Assessment Outcome

- — Not Applicable



Requirement 9.2 – Self-Assessment Rating Justification

Empower the EOR through a written agreement that clearly describes their authority, role and responsibilities throughout the tailings facility lifecycle, and during change of ownership of mining properties. The written agreement should clearly describe the obligations of the Operator to the EOR, to support the effective performance of the EOR.

✔ Requirement 9.2.A

Criteria

An EOR is appointed and in place at all times throughout the tailings facility lifecycle. The appointed EOR may change during the tailings facility lifecycle.

Discussion

At Gold Fields, we prioritize appointing an Engineer of Record (EOR) throughout the entire lifecycle of our tailings facilities. The EOR plays a crucial role in checking the effective and responsible management of our tailings operations. As mentioned in Requirement 9.1, an EOR has been appointed for the TSF at the Cerro Corona site. The EOR firm brings extensive experience and expertise to the table, and its involvement spans various stages of tailings management, including planning, design, construction, operation, and closure.

The work undertaken by the EOR firm is in accordance with the terms and conditions presented in their proposal for the scope of works for EoR services.

By adhering to these practices and engaging with qualified EORs, Gold Fields upholds its commitment to responsible tailings management and demonstrates our dedication to our operations' long-term safety, sustainability, and success.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 9.2.B

Criteria

The EOR is appointed through a written agreement that clearly describes their authority, role and responsibilities throughout the tailings facility lifecycle, and during change of ownership of mining properties.

Discussion

At Gold Fields, we recognize the importance of establishing clear guidelines and responsibilities for our Engineer of Record (EOR) to check effective performance throughout the entire lifecycle of our tailings facilities, including periods of change in ownership of mining properties.

To facilitate this, the EoR for the Cerro Corona site has been formally engaged under the terms defined for EoR services. The terms and conditions define the authority, role, and obligations of the EOR, while also outlining the corresponding commitments of the Operator. Through this approach, we strive to promote transparency, accountability, and the successful execution of our tailings management practices.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 9.2.C

Criteria

The written agreement clearly describes the obligations of the Operator to the EOR, to support the effective performance of the EOR during the tailings facility lifecycle.

Discussion

At Gold Fields, we prioritize the establishment of clear and comprehensive written agreements that define the obligations of the Operator to the Engineer of Record (EOR) throughout the entire lifecycle of our tailings facilities. The appointment of the Engineer of Record (EoR) firm is generally defined in the terms and conditions set out in each proposal submitted.

By adhering to these agreements, we actively support both EORs at the Cerro Corona mine in their crucial role of checking the safe and responsible operation of our tailings facilities. We remain committed to upholding the highest standards of tailings management practices and fostering a collaborative partnership with our EORs to achieve these objectives.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



Requirement 9.3 – Self-Assessment Rating Justification

Establish and implement a programme to manage the quality of all engineering work, the interactions between the EOR, the RTFE and the Accountable Executive, and their involvement in the tailings facility lifecycle as necessary to check that both the implementation of the design and the design intent are met

✔ Requirement 9.3.A

Criteria

A programme is established to manage the quality of all engineering work and interactions between the EOR, the RTFE and the Accountable Executive.

Discussion

At Gold Fields, we have established a comprehensive program to check the quality management of all engineering work and facilitate effective interactions between the Engineer of Record (EOR), the Responsible Tailings Facility Engineer (RTFE), and the Accountable Executive (AE).

The EOR has established a Quality Management Plan (QMP) to guide the work performed by our EOR partner.

The cornerstone of this program is the Cerro Corona Tailings Management Plan (TMP), which has been developed in strict adherence to the Gold Fields Tailings Standard and the requirements outlined by the Global Industry Standard on Tailings Management (GISTM).

As part of the program, regular quarterly meetings are held, bringing together the RTFE, AE, and EOR to discuss and address all aspects of tailings management. These meetings serve as a platform for collaborative decision-making and check that the implementation of the design aligns with the intended objectives. By fostering open communication and coordination, we prioritize the effective management of our tailings facilities and uphold the highest standards of safety and environmental stewardship.

In addition to the established program, regular and proactive collaboration is fostered among key Cerro Corona stakeholders involved in tailings management. The Responsible Tailings Facility Engineer (RTFE) and Engineer of Record (EOR) actively engage with the Cerro Corona Tailings Stewardship team, VP: Global Tailings Management, and the Group Tailings team on a fortnightly basis at a minimum, checking consistent communication and alignment. These meetings are essential forums to inform all stakeholders about the status and progress of tailings-related work packages and projects. By convening regularly, we check that everyone stays updated with the latest developments and can promptly address any emerging challenges or opportunities.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 9.3.B

Criteria

The established programme is implemented to manage the quality of all engineering work and the interactions between the EOR, the RTFE and the Accountable Executive.

Discussion

The established program to manage the quality of engineering work and facilitate interactions between the Engineer of Record (EOR), Responsible Tailings Facility Engineer (RTFE), and the Accountable Executive is fully implemented and has been in operation for three years. This program was initiated concurrently with introducing key tailings roles, including the RTFE and Accountable Executive, to check effective oversight throughout the tailings facility lifecycle. Regularly scheduled meetings are held on a quarterly basis, providing a platform for comprehensive discussions and updates on all pertinent aspects of tailings management.

Our EOR partner has implemented a Quality Management Plan (QMP), which guides internal review processes and includes regular internal audits to verify compliance and identify room for improvement.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



✓ Requirement 9.3.C

Criteria

The programme, developed by the Operator, covers the involvement of the EOR, the RTFE and the Accountable Executive in the tailings facility lifecycle as necessary to check that both the implementation of the design and the design intent are met.

Discussion

The Operator has developed and implemented a comprehensive program that encompasses the involvement of the Engineer of Record (EOR), Responsible Tailings Facility Engineer (RTFE), and the Accountable Executive (AE) throughout the entire tailings facility lifecycle.

This program checks that the design implementation and intent are effectively addressed. Regular quarterly meetings are conducted among the RTFE, AE, and EOR to facilitate communication and collaboration. In support of these meetings, the EOR prepares a quarterly monitoring report, while the RTFE compiles a quarterly performance report for technical review by the VP: Global Tailings Management.

Annually, the EOR provides an annual performance report summarizing the overall performance and progress against the original design intent. These reports play a vital role in monitoring and tracking progress throughout the lifecycle of the tailings facility. Additionally, upon completion of any construction activity, the Engineer of Record provides a "Construction Design Intent Verification" note for the record, affirming that the construction has been carried out in accordance with the design intent.

This process is described within the Cerro Corona Tailings Management Plan, further reinforcing our commitment to upholding design integrity and checking responsible tailings management practices.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✓ **Meets this Requirement**



Requirement 9.4 – Self-Assessment Rating Justification

Given its potential impact on the risks associated with a tailings facility, the selection of the EOR shall be decided by the Accountable Executive and informed, but not decided, by procurement personnel.

✔ Requirement 9.4.A

Criteria

The Accountable Executive considers the risks and associated potential impacts with a tailings facility in selecting the EOR.

Discussion

At Gold Fields, the Engineer of Record (EOR) selection is a carefully considered process that aligns with the requirements outlined in the Gold Fields Tailings Standard. The ultimate responsibility for tailings management at the Cerro Corona site rests with the Accountable Executive, who works closely with the interdisciplinary Cerro Corona Tailings Stewardship team and the VP: Global Tailings Management to make informed decisions regarding selecting the EOR.

Given the significant potential impact and risks associated with tailings facilities, particular attention is given to the EOR's ability and experience in effectively managing these risks and mitigating potential impacts.

Considering the Extreme Consequence classification assigned to the Cerro Corona site's TSF, the selection of the EOR is based on their demonstrated expertise and track record in addressing the specific challenges and complexities involved. This checks that the EOR is well-equipped to navigate and manage the risks associated with the tailings facility, ultimately contributing to the safe and responsible operation of the site.

The EOR representative nominated by the EOR firm for the Cerro Corona TSF has considerable experience and is supported by an EOR team with experience that extends before the TSF's construction.

The Accountable Executive has signed off on a contract to engage the EOR for engineering services, demonstrating their endorsement.

Therefore, Gold Fields has ranked this Requirement as "Meets".

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 9.4.B

Criteria

The selection of the EOR shall be decided by the Accountable Executive and informed, but not decided, by procurement personnel.

Discussion

The Cerro Corona Tailings Stewardship team has appointed an Engineer of Record (EOR) firm to design and oversee the mine's TSF. The EOR has a close and longstanding relationship with the site.

The EOR appointment was reviewed and endorsed by the site Responsible Tailings Facility Engineer and VP: Global Tailings Management following the release of the GISTM. Their selection is documented in the appointment justification form submitted to the procurement team. The selection process was conducted based on their extensive years of experience in tailings engineering and successful track record in delivering projects with similar technical complexity.

As per the specified criteria, the selection of the EOR firm was the responsibility of the Responsible Tailings Facility Engineer and VP: Global Tailings Management, acting on behalf of the Accountable Executive, with procurement personnel being informed about the decision without having a decisive role in the selection process.

The primary focus behind the appointment of the EOR firm was to manage the risks associated with our tailings facility effectively. Their intimate knowledge of the site and their expertise in tailings engineering were critical factors in their selection. We remain fully committed to upholding the highest standards of safety and environmental practices, aligning ourselves with the principles outlined in the GISTM.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 9.4.C

Criteria

EOR selection is consistent with Requirement 9.1.

Discussion

The appointment of the Cerro Corona Engineer of Record (EOR) firm was based on their proven expertise and extensive experience in designing and constructing tailings facilities of comparable complexity. This selection process aligns with the requirements outlined in Requirement 9.1, which emphasize engaging an engineering firm with the necessary skills and experience to provide EOR services for tailings facilities with Extreme Consequence Classifications.

To fulfil their obligations as EOR, the engineers appointed have undergone a thorough assessment and approval process by the VP: Global Tailings Management. It has been verified that these individuals possess the required experience, skills, and availability to effectively fulfil their roles. The qualification requirements are stated in our Gold Fields Tailings Standard and incorporated into the Cerro Corona Tailings Competency Matrix.

We want to emphasize that the EOR has demonstrated competence and relevant experience suitable for the Consequence Classification and complexity of the Cerro Corona TSF.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



Requirement 9.5 – Self-Assessment Rating Justification

Where it becomes necessary to change the EOR (whether a firm or an in-house employee), develop a detailed plan for the comprehensive transfer of data, information, knowledge and experience with the construction procedures and materials.

✔ Requirement 9.5.A

Criteria

A succession plan is in place when it is necessary to change the EOR (whether a firm or within a firm, or an in-house employee)

Discussion

The Cerro Corona Tailings Stewardship team, comprising various key stakeholders, including the EOR partner, recognizes the importance of checking continuity and a seamless transition in case of a necessary change in the EOR position, whether it involves a firm or an in-house employee.

To facilitate a smooth succession process, the EOR project team at Cerro Corona includes a deputy EoR actively involved in the project who possesses the expertise to fulfil the responsibilities of the EOR role, should the need arise.

In line with our commitment to comprehensive planning, Gold Fields has developed detailed 'welcome packs' for the EOR position and incorporated the succession plan into the overarching Cerro Corona Tailings Management Plan (TMP), encompassing all project team roles. Integrating the succession plan into our Tailings Management framework promotes a systematic approach to transferring critical data, information, knowledge, and experience pertaining to construction procedures and materials.

The EOR has prepared a comprehensive, detailed succession plan to allow the smooth transition of technical information should the need arise.

Therefore, Gold Fields has ranked this requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



✓ Requirement 9.5.B

Criteria

The succession plan includes the comprehensive transfer of data, information, knowledge and experience with the construction procedures and materials.

Discussion

As part of Gold Fields' commitment to effective tailings management and operational excellence, we have implemented a company-wide Tailings Management System (TMS).

The TMS comprises various components, including a Tailings Policy, Tailings Standard, Tailings Framework, training materials, references, and incident reporting guidance. At the operational level, the TMS encompasses a Tailings Management Plan (TMP), Tailings Risk Management Plan, and related design and technical studies. These documents and resources are hosted on an internally developed cloud-based system, providing accessibility to all Gold Fields employees and granting access to external stakeholders when necessary.

Within this system, the "Tailings Management Hub" is a centralized source for all general tailings-related information, while the Cerro Corona Tailings Stewardship team portal is a dedicated platform for individual operations.

Data, information, knowledge, and documentation relevant to tailings management are stored within the Cerro Corona Tailings Stewardship portal, integrated with existing Environmental and Social Management Systems (ESMS) and site-level document control systems. This comprehensive and centralized approach checks that all necessary information is readily available, enabling a smooth transition between EOR partners or employees, should the need arise.

The Succession Plan for the EOR role at the Cerro Corona mine is embedded within the Tailings Management Plan (TMP), which serves as a comprehensive guide to tailings management at the mine. This plan includes a checklist for transferring data, information, and knowledge, checking that critical insights related to construction procedures and materials are systematically passed on to the incoming EOR. Integrating the succession plan into the broader tailings management framework checks that the transfer process is thorough, organized, and aligned with our commitment to operational excellence. The EOR has subsequently developed a comprehensive, detailed succession plan for the EOR to allow the smooth transition or handover where required.

To further facilitate a seamless transition, Gold Fields has actively engaged the deputy EOR within the project team. This individual has been involved in the project from an early stage and has had the opportunity to visit the Cerro Corona mine site, gaining firsthand experience and fostering relationships with site stakeholders. This proactive approach checks that succession planning is well-prepared and that, if required, the incoming EOR would be equipped with the necessary knowledge and understanding of site-specific conditions.

By implementing a robust and integrated Tailings Management System, Gold Fields demonstrates its commitment to effective risk management, safety, and environmental stewardship. We remain dedicated to transparency and accountability in all aspects of our operations, and the comprehensive transfer of data and knowledge during a change in the EOR position is a vital component of our tailings management practices.

Therefore, Gold Fields has ranked this requirement as "Meets".

Assessment Outcome

- ✓ Meets this Requirement



GISTM Principle 10

Establish and Implement Levels of Review as Part of a Strong Quality and Risk Management System for All Phases of the Tailings Facility Lifecycle, Including Closure.

Principle 10 Self-Assessment Outcome

The Cerro Corona mine has a single TSF, which has been given an Extreme Consequence Classification. A summary of the self-assessment outcome for Principle 10 of the GISTM is presented in Table 15 below. Further information specific to each requirement part, is provided in subsequent sections of this report.

Table 15: Principle 10 – Self-Assessment Outcome Summary

Req.	Part	Criteria	TSF 1
10.1	A	A risk assessment process is in place for the tailings facility and is based on an up-to-date knowledge base for the tailings facility.	✓
	B	The risk assessment is updated at least every three years and more frequently whenever there is a material change either to the tailings facility or to the social, environmental and local economic context.	✓
	C	Risk assessment scope to include the full potential area of influence of the tailings facility, and to actively incorporate industry experience in risk assessment.	✓
	D	Sources of risk are regularly identified, assessed and managed at all phases of the tailings facility lifecycle, including projected climate change impacts under a range of credible future climate scenarios.	✓
	E	A multi-disciplinary team is qualified to undertake the risk assessment specific to the phase of the tailings facility lifecycle (i.e., construction, operation, suspension, expansion, closure) and can apply best practice methodology in a cross-functional manner.	✓
	F	Following review by the ITRB or senior independent technical reviewer, action plans are prepared, implemented and reported when risk assessments identify unacceptable tailings facility risks.	⚠
10.2	A	The TMS and components of the ESMS are reviewed sufficiently often to check that the tailings facility management system is effective and applicable to the risks across the full lifecycle of the facility.	✓
	B	The outcomes of the TMS and ESMS reviews are documented and reported to the Accountable Executive, Board of Directors and project-affected people.	✓
	C	The review shall be undertaken by senior technical reviewers with the appropriate qualifications, expertise and resources.	✓
	D	The review is conducted at least every three years for tailings facilities with 'High', 'Very High' or 'Extreme' Consequence Classifications.	✓



Req.	Part	Criteria	TSF 1
10.3	A	Internal audits are completed frequently to check consistent implementation of established requirements related to company procedures, guidelines and corporate governance requirements consistent with the TMS and aspects of the ESMS relating to tailings facility risks.	✓
10.4	A	An annual tailings facility review is conducted throughout the construction and operational periods to assess condition and performance. The reviews are performed by the EOR or the senior independent technical reviewer, as assigned for the tailings facility, and the review is documented. Reviews may be conducted more frequently if required by identified issues or the implementation of necessary corrective measures.	✓
10.5	A	DSRs are conducted and documented: — every five years for tailings facilities with ‘Very High’ or ‘Extreme’ Consequence Classifications. — every 10 years for all other facilities, or, — more frequently as recommended by the ITRB	✓
	B	DSRs include the tailings facility's technical, operational and governance aspects and shall be completed according to best practice.	✓
	C	DSR individuals cannot conduct consecutive DSRs on the same tailings facility.	✓
	D	DSR individuals certify in writing that they follow best practices for engineers in avoiding conflicts of interest.	✓
10.6	A	For tailings facilities with ‘Very High’ or ‘Extreme’ Consequence Classifications, the ITRB, reporting to the Accountable Executive provides ongoing senior independent technical review of the planning, siting, design, construction, operation, water and mass balance, maintenance, monitoring, performance and risk management at appropriate intervals across all phases of the tailings facility lifecycle.	✓
	B	For tailings facilities with other Consequence Classifications, this review can alternatively be performed by a senior independent technical reviewer.	—
	C	The ongoing reviews are conducted at appropriate intervals across all phases of the tailings facility lifecycle.	✓
10.7	A	Process and governance mechanisms have been established for closure planning and cost estimating.	✓
	B	A closure plan for the tailings facility has been established and associated closure cost estimates have been prepared.	✓
	C	Closure cost estimates are reviewed periodically, and public disclosure is made annually to check that adequate financial capacity (including insurance, to the extent	✓



Req.	Part	Criteria	TSF 1
		commercially reasonable) is in place to meet the closure requirements and the expected timing for the tailings facility in its current state.	
	D	If any of an Operator's assets involving a tailings facility changed Ownership since the last review, the Operator should provide documentation that they assessed and took into account the capability of an acquirer to maintain this Standard (subject to provisions of local/national regulations).	⊖



Requirement 10.1 – Self-Assessment Rating Justification

Conduct and update risk assessments with a qualified multi-disciplinary team using best practice methodologies at a minimum every three years and more frequently whenever there is a material change either to the tailings facility or to the social, environmental and local economic context. Transmit risk assessments to the ITRB or senior independent technical reviewer for review, and address with urgency all unacceptable tailings facility risks

✔ Requirement 10.1.A

Criteria

A risk assessment process is in place for the tailings facility and is based on an up-to-date knowledge base for the tailings facility.

Discussion

At the Cerro Corona mine, we have established a robust risk management framework to check the effective identification and mitigation of risks associated with our tailings facilities. Our Tailings Risk Management Plan (RMP) serves as a guiding document that outlines our approach to addressing risks comprehensively. These will be progressively developed over time as our knowledge base grows.

The Cerro Corona Tailings Stewardship team and Engineer of Record (EoR) partner completed a potential Failure Mode Assessment (PFMA) and Failure Mode and Effects Analysis (FMEA) assessment in 2018 to check that sufficient engineering controls had been built into the design. The assessments have been updated several times as the knowledge base has grown.

In H1 2023, the Engineer of Record (EoR) facilitated workshops with the Cerro Corona Tailings Stewardship team and Subject Matter leads. The workshops were used to perform a semi-quantitative risk analysis (SQRA) for each potential Failure Mode and check that the facility has sufficient engineering controls to address the risk. At the time of this disclosure, all risks comply with the tolerable risk limit (based on widely-accepted societal risk tolerability limits).

The SQRA workshops were undertaken using the most up-to-date knowledge base for the tailings facility.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ **Meets this Requirement**



✔ Requirement 10.1.B

Criteria

The risk assessment is updated at least every three years and more frequently whenever there is a material change either to the tailings facility or to the social, environmental and local economic context.

Discussion

At Gold Fields, we prioritise conducting regular and comprehensive risk assessments for our tailings facilities. We recognize the importance of maintaining an up-to-date understanding of the risks associated with our operations and the surrounding social, environmental, and local economic context.

Our risk assessments are conducted by a qualified multi-disciplinary team, utilizing industry-leading methodologies and best practices. The findings and results of these assessments are then transmitted to our Independent Technical Review Board (ITRB) or senior independent technical reviewer for a comprehensive and independent review. We value the knowledge and insights these external reviewers provide, as it helps us check the robustness and accuracy of our risk assessments.

Our tailings-related risks are documented in the mine's operational risk register and the semi-quantitative risk analysis undertaken by our Engineer of Record (EoR) in H1 2023.

At Gold Fields, we take the responsibility of managing risks associated with our tailings facilities seriously. We are committed to conducting regular and timely risk assessments to identify, evaluate, and address unacceptable risks with utmost urgency.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 10.1.C

Criteria

Risk assessment scope to include the full potential area of influence of the tailings facility, and to actively incorporate industry experience in risk assessment.

Discussion

At Gold Fields, we understand the critical importance of conducting comprehensive risk assessments that encompass the full potential area of influence of our tailings facilities. Our approach to risk assessment goes beyond the immediate dam safety considerations and includes a wide range of factors that may impact the environment, society, and governance aspects.

In H1 2023, the Cerro Corona Tailings Stewardship team participated in semi-quantitative risk workshops to identify and evaluate all potential risks associated with the Cerro Corona TSF and aims to have adequate controls in place. The team examined risks during the workshops during typical operational conditions and extreme scenarios. The extreme scenarios encompassed hypothetical failures of the tailings storage facility, leading to the assessment of worst-case inundation scenarios and the full potential area of influence of the tailings facility.

A qualified multi-disciplinary team conducts our risk assessments and comprehensively evaluates the potential risks. We follow best practice methodologies and adhere to stringent standards to check the objectivity and reliability of our risk assessment outcomes.

We transmit our risk assessments to the Independent Technical Review Board (ITRB) or senior independent technical reviewer for a thorough review. This external validation process further enhances the robustness of our risk assessments.

At Gold Fields, we recognize the value of industry experience in conducting risk assessments. We actively incorporate industry best practices and insights into our risk assessment processes. By leveraging the knowledge and expertise gained from the broader industry, we enhance the rigor and accuracy of our risk assessments.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 10.1.D

Criteria

Sources of risk are regularly identified, assessed and managed at all phases of the tailings facility lifecycle, including projected climate change impacts under a range of credible future climate scenarios.

Discussion

At Gold Fields, we strongly emphasise identifying, assessing, and managing sources of risk throughout all phases of the tailings facility lifecycle. Our approach checks that potential risks are thoroughly evaluated and appropriately addressed to enhance the safety and resilience of our operations.

The Cerro Corona mine has developed a comprehensive operational risk register encompassing risks associated with the site's Tailings storage facility and climate vulnerability.

In 2022, Gold Fields initiated a climate change and physical resilience study for the Cerro Corona mine. This study involved an analysis of available climate records from the mine, government agencies, and national and international sources. The team developed a climate change model using statistical analysis and modelling techniques to project fluctuations and climate metrics variations up to 2080. This model formed the basis of our assessment of potential climate change impacts on the TSF. By understanding and integrating these projections, the team can effectively evaluate the associated risks and implement appropriate measures to enhance the resilience of our facilities.

The outcomes of the climate change and physical resilience study were shared with our engineer of record partner at Cerro Corona, and this valuable information was incorporated into our design and Design Basis Report. (DBR) By integrating these findings into our engineering and operational processes, we check that our facilities are designed and managed with a comprehensive understanding of the potential climate change-related risks.

To maintain the currency of our risk assessments, regular updates and revisions are conducted by a qualified multi-disciplinary team using best practice methodologies. We adhere to a minimum three-year review cycle and conduct more frequent assessments whenever material changes to the tailings facility, or the social, environmental, and local economic context occur. These risk assessments undergo an objective review process by the Independent Technical Review Board (ITRB) or a senior independent technical reviewer.

Our most recent risk analysis was undertaken in H1 2023.

At Gold Fields, our commitment to proactive risk assessment and management underscores our dedication to the safety of our operations, the protection of the environment, and the well-being of the communities in which we operate.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



✔ Requirement 10.1.E

Criteria

A multi-disciplinary team is qualified to undertake the risk assessment specific to the phase of the tailings facility lifecycle (i.e., construction, operation, suspension, expansion, closure) and can apply best practice methodology in a cross-functional manner.

Discussion

In H1 2023, our Engineer of Record (EoR) facilitated a series of workshops to perform a Semi-quantitative Risk Assessment (SQRA) of the Cerro Corona TSF. Representatives from various departments were invited to attend, including safety, community relations, sustainable development, management, and key roles such as the Responsible Tailings Facility Engineer. The outcome of the workshops is documented in an SQRA report.

Recognizing the interconnected nature of tailings management, we emphasise collaboration among cross-functional groups. By harnessing diverse expertise and perspectives, we check that our risk assessments benefit from a holistic understanding of the different phases of the tailings facility lifecycle, including construction, operation, suspension, expansion, and closure. This multidisciplinary approach allows us to apply best practice methodologies in a cross-functional manner, incorporating the most relevant knowledge and expertise throughout the risk assessment process.

At Cerro Corona, we foster a culture of collaboration and knowledge sharing among our teams, promoting open communication and active participation from all stakeholders involved in tailings management. This collaborative approach checks that our risk assessments are comprehensive, rigorous, and aligned with industry best practices.

By leveraging the collective expertise and experience of our multidisciplinary team, we demonstrate our commitment to robust and responsible risk assessment practices. Our efforts are focused on checking the safety and integrity of our tailings facilities while protecting the well-being of our communities and the environment in which we operate. We continuously strive to enhance our risk assessment capabilities and apply best practices to address the unique challenges and opportunities in each phase of the tailings facility lifecycle.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



🟡 Requirement 10.1.F

Criteria

Following review by the ITRB or senior independent technical reviewer, action plans are prepared, implemented and reported when risk assessments identify unacceptable tailings facility risks.

Discussion

At the Cerro Corona mine, we prioritize identifying and managing tailings facility risks. Following a rigorous review process conducted by the Independent Technical Review Board (ITRB), we take action when unacceptable risks are identified in our risk assessments.

Our Engineer of Record (EoR) partner completed a preliminary Failure Mode and Effects Analysis (FMEA) assessment in 2018. This assessment was subsequently reviewed and updated since the Independent Technical Review Board (ITRB) reviewed our progress.

To check ongoing oversight and progress, the ITRB conducts annual site visits. During these visits, they review the progress made against the actions identified in the previous year. This regular review helps us maintain accountability and implement measures to address unacceptable risks.

At the time of this disclosure, the ITRB are scheduled to attend the site in August and review the most recent update to the risk management approach and semi-quantitative risk analysis (SQRA). The team has taken a conservative decision to rank this requirement as partially meets, but this will be addressed and closed out following the upcoming review.

Therefore, Gold Fields has ranked this Requirement as “Partially Meets”.

Assessment Outcome

- 🟡 Partially Meets this Requirement



Requirement 10.2 – Self-Assessment Rating Justification

Conduct regular reviews of the TMS and of the components of the ESMS that refer to the tailings facility to assure the effectiveness of the management systems. Document and report the outcomes to the Accountable Executive, Board of Directors and project-affected people. The review shall be undertaken by senior technical reviewers with the appropriate qualifications, expertise and resources. For tailings facilities with 'High', 'Very High' or 'Extreme' Consequence Classification, conduct the review at least every three years.

✔ Requirement 10.2.A

Criteria

The TMS and components of the ESMS are reviewed sufficiently often to check that the tailings facility management system is effective and applicable to the risks across the full lifecycle of the facility.

Discussion

Gold Fields has emphasised developing a robust and comprehensive Tailings Management System (TMS) to check the effective management of our tailings facilities. The TMS includes a Tailings Management Policy, Tailings Standard, Tailings Management Framework, guidance notes, and training resources. At the operational level, we have prepared Tailings Management Plans, Tailings Risk Management Plans, and other technical documentation to support our management practices.

To check the effectiveness and applicability of our management systems, Gold Fields is committed to conducting regular reviews of the TMS and its components that pertain to the tailings facility. These reviews are undertaken by senior technical reviewers who possess the appropriate qualifications, expertise, and resources. For tailings facilities classified as having 'High,' 'Very High,' or 'Extreme' consequences, the review is conducted at least every three years. The 2022 Dam Safety Review (DSR) also included a high-level review of the Gold Fields Tailings Management System. (TMS)

Our most recent tri-annual review was conducted in 2020. The next assessment is scheduled for H2 2023. Gold Fields has appointed a third-party consultant with a global footprint to conduct the review to check an independent and comprehensive assessment. The scope of this review is twofold: first, to assess the operational compliance of the tailings storage facilities (TSFs) across the Gold Fields portfolio, and second, to evaluate the status of the TSFs against the Gold Fields Tailings Standard. By benchmarking against our rigorous standards, we gain valuable insights into any gaps or areas for improvement within our Tailings Management System and the components of our Environmental and Social Management System (ESMS).

Our TMS is accessible through a cloud-based system, enabling all Gold Fields employees to access relevant information and resources. Additionally, we can provide access to external vendors as needed and check transparency and collaboration in our management practices.

Gold Fields recognizes the importance of documenting and reporting the outcomes of these reviews to our Accountable Executive, Board of Directors, and project-affected stakeholders. By undertaking regular reviews and continuously improving our TMS and ESMS, we demonstrate our commitment to effective tailings facility management across the entire lifecycle. Through these comprehensive reviews, we aim to maintain the highest governance and management standards and check our operations' safety, environmental sustainability, and social responsibility.

The 2023 global tri-annual review findings will be diligently reported to the Board of Directors and Accountable Executives of Gold Fields. This responsibility falls under the purview of the VP: Global Tailings Management, who oversees the tailings management function within the organization. The VP: Global Tailings Management will compile and present the outcomes of the review in the quarterly tailings board report. This reporting mechanism checks that the Board and Accountable Executives know the findings, progress, and actions taken to enhance our tailings management systems. By providing this transparent and structured reporting framework, Gold Fields demonstrates our commitment to accountability, continuous improvement, and the highest standards of tailings facility management.



Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

-  Meets this Requirement



✓ Requirement 10.2.B

Criteria

The outcomes of the TMS and ESMS reviews are documented and reported to the Accountable Executive, Board of Directors and project-affected people.

Discussion

Gold Fields places great importance on regular reviews of our Tailings Management System (TMS) and components of our Environmental and Social Management System (ESMS) that pertain to our tailings facility. These reviews are crucial in checking our management systems' effectiveness and maintaining the highest safety and environmental stewardship standards.

We have conducted tri-annual reviews of our Gold Fields tailings management system to fulfil this requirement. The first review took place in 2017, followed by another in 2020. For our upcoming review in 2023, we have engaged the services of a reputable third-party consultant to provide an independent assessment. These reviews are conducted by senior technical experts with the qualifications, expertise, and resources to thoroughly evaluate our management systems.

The outcomes of the past tri-annual reviews have been diligently documented and reported to our senior management, executives, and Board of Directors. These reports have provided valuable insights into the performance and effectiveness of our tailings management practices. Additionally, for the 2023 review, we have expanded the reporting audience to include the Accountable Executive for Cerro Corona, the Cerro Corona Tailings Stewardship team, and project-affected people. This checks that the findings are shared with key stakeholders directly interested in managing our tailings facilities.

To check effective communication and engagement, our community relations team at the Cerro Corona mine will integrate the communication of review findings into their ongoing consultations with the community. We believe in transparent and open dialogue, and sharing the outcomes of these reviews is an essential part of our commitment to community engagement.

The outcomes of the tri-annual reviews conducted in 2017, 2020, and the upcoming 2023 review will be thoroughly documented in separate reports. These reports serve as a comprehensive record of our review process, capturing the findings, recommendations, and actions taken to address any identified areas for improvement. By documenting and reporting the outcomes, we check transparency and accountability within our organization and assure project-affected people, our stakeholders, and the wider community.

Gold Fields remains committed to continuously improving our tailings management practices through regular reviews and ongoing monitoring. We will use the findings from these reviews to inform our decision-making processes, implement necessary enhancements, and reinforce our commitment to the responsible management of our tailings facilities.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✓ Meets this Requirement



✔ Requirement 10.2.C

Criteria

The review shall be undertaken by senior technical reviewers with the appropriate qualifications, expertise and resources.

Discussion

At Gold Fields, we recognize the critical importance of conducting thorough and unbiased reviews of our Tailings Management System (TMS) and the relevant components of our Environmental and Social Management System (ESMS). These reviews are crucial for assessing our management systems' effectiveness and checking the highest safety and environmental stewardship standards.

In accordance with the requirement outlined in 10.2.b, we have engaged an independent third-party consultant to undertake a tri-annual review of our performance against our internal Standards. The consultants are carefully selected based on their expertise, qualifications, and experience in tailings management and related disciplines. Their independence checks an objective evaluation of our systems, free from potential conflicts of interest.

The senior technical reviewers assigned to conduct these reviews possess the appropriate qualifications, expertise, and resources to thoroughly evaluate our TMS and ESMS. They bring a wealth of knowledge and experience in tailings facility management, engineering, environmental science, and other relevant fields. This checks that the reviews are conducted by professionals who deeply understand the complexities and intricacies of tailings management.

Additionally, a third-party consultant is engaged to complete an independent review on an annual basis. In 2022, a Dam Safety Review was completed to support the Independent Review process.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 10.2.D

Criteria

For tailings facilities with ‘High’, ‘Very High’ or ‘Extreme’ Consequence Classifications, the review is conducted at least every three years.

Discussion

At Gold Fields, we prioritize the safety and environmental integrity of our tailings facilities. As part of our commitment to continuous improvement, we regularly review our Tailings Management System (TMS) and the relevant components of our Environmental and Social Management System (ESMS). These reviews are crucial in assessing our management systems' effectiveness and ensuring we meet the highest safety and sustainability standards.

In line with this commitment, Gold Fields has established a comprehensive framework for conducting these reviews. As outlined in our recently released Gold Fields Tailings Management Standard, which consolidates guidelines from reputable organizations such as the Australian National Committee on Large Dams (ANCOLD), the Mining Association of Canada (MAC), the South African National Standards on Mine Residue (SANS), and the Global Industry Standard on Tailings Management (GISTM), we have committed to conducting tri-annual reviews of our facilities across our global portfolio.

To check the robustness and objectivity of these reviews, we engage senior technical reviewers with the appropriate qualifications, expertise, and resources. Their extensive knowledge and experience in tailings management, engineering, and related fields enable them to comprehensively evaluate our TMS and ESMS. This rigorous review process allows us to identify areas for improvement and implement necessary measures to enhance the safety and environmental performance of our tailings facilities.

As part of our commitment to transparency and accountability, the outcomes of these tri-annual reviews are documented and reported to key stakeholders, including the Accountable Executive, the Board of Directors, and project-affected people. This reporting mechanism communicates the findings, recommendations, and actions to address any identified gaps or risks effectively. By involving project-affected people, we recognize the importance of their input and strive to address their concerns in our ongoing efforts to strengthen our management systems.

We conduct these reviews at least every three years. This heightened frequency reflects our recognition of the potential risks associated with these facilities and our commitment to proactive risk management.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



Requirement 10.3 – Self-Assessment Rating Justification

Conduct internal audits to verify consistent implementation of company procedures, guidelines, and corporate governance requirements consistent with the TMS and aspects of the ESMS developed to manage tailings facility risks.

✔ Requirement 10.3.A

Criteria

Internal audits are completed frequently to check consistent implementation of established requirements related to company procedures, guidelines and corporate governance requirements consistent with the TMS and aspects of the ESMS relating to tailings facility risks.

Discussion

At Gold Fields, we prioritize consistently implementing established requirements across our operations, encompassing company procedures, guidelines, and corporate governance. To check this consistency, we have established Gold Fields Internal Audit (GFIA), an independent function responsible for assuring the effectiveness of our governance, risk management, and control processes.

GFIA strictly complies with the Institute of Internal Auditors' International Standards for the Professional Practice of Internal Auditing. This commitment checks that our internal audit function maintains integrity, objectivity, and independence in its assurance responsibilities.

We have implemented a robust quality assurance program to further strengthen the quality and effectiveness of our internal audit function. This program includes conducting thorough quality review assessments to evaluate GFIA's performance and adherence to professional standards. In 2020, we underwent an External Quality Assurance review, assessing our compliance with the International Professional Practices Framework and the Code of Ethics the Institute of Internal Auditors set forth.

The External Quality Assurance review results affirmed GFIA's dedication to professionalism, adherence to international standards, and ethical conduct in its operations. It recognized the effectiveness of our internal audit function in providing independent assurance of our governance, risk management, and control processes.

Cerro Corona has established an Internal Audit program as part of the EHS Management System (ISO 14001 and ISO 45001), including a yearly review of the Tailings Facility. The scope of this audit considers technical aspects, governance, roles, risks, and legal requirements, among others. The latest audit was conducted in March 2023. Given that the Tailings Standard was released in January 2023, our team has evaluated this requirement as partially meeting our current status. However, we are fully committed to conducting an internal audit in the near future to assess our compliance with the Tailings Standard. We strive to continuously enhance our practices and check alignment with the highest industry standards in tailings management.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



Requirement 10.4 – Self-Assessment Rating Justification

The EOR or senior independent technical reviewer shall conduct tailings facility construction and performance reviews annually or more frequently, if required.

✔ Requirement 10.4.A

Criteria

An annual tailings facility review is conducted throughout the construction and operational periods to assess condition and performance. The reviews are performed by the EOR or the senior independent technical reviewer, as assigned for the tailings facility, and the review is documented.

Reviews may be conducted more frequently, if required by identified issues or the implementation of necessary corrective measures.

Discussion

At Gold Fields, we prioritize the safety and environmental integrity of our tailings storage facilities.

Gold Fields has established a comprehensive framework for conducting regular reviews per this commitment. As outlined in our recently released Gold Fields Tailings Management Standard, which consolidates guidelines from reputable organizations such as the Australian National Committee on Large Dams (ANCOLD), the Mining Association of Canada (MAC), the South African National Standards on Mine Residue (SANS), and the Global Industry Standard on Tailings Management (GISTM), we have committed to conducting tri-annual governance and management reviews of our facilities across our global portfolio.

Additionally, the Cerro Corona TSF is reviewed annually by an Independent Consultant and our Engineer of Record and Responsible Tailings Facility Engineer (RTFE) quarterly.

To check the robustness and objectivity of these reviews, we engage senior technical reviewers with the appropriate qualifications, expertise, and resources. Their extensive knowledge and experience in tailings management, engineering, and related fields enable them to comprehensively evaluate our systems.

As part of our commitment to transparency and accountability, the outcomes of these reviews are documented and reported to key stakeholders, including the Accountable Executive and Board of Directors. This reporting mechanism communicates the findings, recommendations, and actions to address any identified gaps or risks effectively. By involving project-affected people, we recognize the importance of their input and strive to address their concerns in our ongoing efforts to strengthen our management systems.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



Requirement 10.5 – Self-Assessment Rating Justification

Conduct an independent DSR at least every five years for tailings facilities with ‘Very High’ or ‘Extreme’ Consequence Classifications and at least every 10 years for all other facilities. For tailings facilities with complex conditions or performance, the ITRB may recommend more frequent DSRs. The DSR shall include technical, operational and governance aspects of the tailings facility and shall be completed according to best practices. The DSR contractor cannot conduct consecutive DSRs on the same tailings facility and shall certify in writing that they follow best practices for engineers in avoiding conflicts of interest.

✔ Requirement 10.5.A

Criteria

The TMS and components of the ESMS are reviewed sufficiently often to check that the tailings facility management system is effective and applicable to the risks across the full lifecycle of the facility.

DSRs are conducted and documented:

- Every five years for tailings facilities with ‘Very High’ or ‘Extreme’ Consequence Classifications.
- every 10 years for all other facilities, or,
- more frequently as recommended by the ITRB

Discussion

At Gold Fields, we emphasise checking the effectiveness and applicability of our Tailings Management System (TMS) and components of our Environmental and Social Management System (ESMS) throughout the entire lifecycle of our tailings facilities. To achieve this, we conduct regular reviews and independent Dam Safety Reviews (DSRs) to assess the facilities' technical, operational, and governance aspects every 5 years, as documented in the Cerro Corona Operating Manual.

The Cerro Corona Tailings Stewardship team appointed an Independent Consultant with extensive expertise in dam safety to undertake a comprehensive DSR for the TSF at the Cerro Corona mine site. The purpose of the DSR is to evaluate the material dam safety risks associated with the facilities. The outcomes of the DSR were documented in a detailed report, which serves as a valuable reference for our ongoing tailings management efforts.

The findings and recommendations from the DSR were shared with our dedicated Cerro Corona Tailings Stewardship team. These insights have played a crucial role in informing our decision-making processes and enhancing the design of our tailings facilities to address any identified risks and improve safety measures.

By conducting regular DSRs, we check that our TSFs at the Cerro Corona mine site meet the highest safety standards and align with industry best practices. It demonstrates our commitment to proactive risk management and our dedication to safeguarding the environment, communities, and our operations.

Gold Fields remains committed to upholding the principles of transparency, accountability, and continuous improvement in our tailings management practices. We will continue to monitor and review our TMS and ESMS components regularly to check their ongoing effectiveness and suitability, considering each facility's unique characteristics and requirements.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



✓ Requirement 10.5.B

Criteria

DSRs include technical, operational and governance aspects of the tailings facility and shall be completed according to best practice.

Discussion

At Gold Fields, we prioritize the thorough evaluation of our tailings facilities to check the highest standards of safety and performance. To achieve this, we conduct independent Dam Safety Reviews (DSRs) that comprehensively assess various critical aspects, including technical, operational, and governance considerations.

The Cerro Corona Tailings Stewardship team appointed an Independent Consultant to undertake these DSRs, adhering strictly to best practices and industry standards. They possess the necessary expertise and experience to thoroughly evaluate the performance and integrity of our tailings facilities. During the DSR process, the consultant reviewed the technical design and specifications, operational practices, and governance framework associated with the tailings facility.

The DSRs are conducted per established best practices, checking a robust and comprehensive evaluation of all relevant aspects. These practices encompass internationally recognized guidelines and standards that govern dam safety and tailings management. By adhering to these best practices, we demonstrate our commitment to maintaining the highest level of safety, operational efficiency, and environmental stewardship across our tailings facilities.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✓ Meets this Requirement



✔ Requirement 10.5.C

Criteria

DSR individuals cannot conduct consecutive DSRs on the same tailings facility.

Discussion

Gold Fields is committed to checking integrity and independence in our tailings facilities' Dam Safety Reviews (DSRs). As outlined in the Global Industry Standard on Tailings Management (GISTM) and our internal Gold Fields Tailings Standard, we strictly adhere to the requirement that the same individuals cannot conduct consecutive DSRs on the same tailings facility.

We engage a diverse team of experts and professionals to conduct our DSRs to check an unbiased assessment and avoid potential conflicts of interest. An Independent Consultant prepared DSR for the tailings storage facilities at the Cerro Corona mine site in 2022 with the report issued in 2023.

By adhering to this requirement, we check that multiple perspectives and expertise are applied during the evaluation process, promoting a comprehensive and robust review. This approach supports transparency, objectivity, and accountability in assessing the technical, operational, and governance aspects of our tailings facilities.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 10.5.D

Criteria

DSR individuals certify in writing that they follow best practices for engineers in avoiding conflicts of interest.

Discussion

At Gold Fields, we strongly emphasise checking the highest standards of professional conduct and integrity in our tailings facilities' Dam Safety Reviews (DSRs). As part of this commitment, the Independent Consultant who performed the DSR for the TSFs at the Cerro Corona mine, adhered to a comprehensive set of terms and conditions specifically designed for the nature and scope of the work.

In line with best practices for engineers and to avoid potential conflicts of interest, the individuals involved in conducting the DSRs certified in writing that they followed the established guidelines and protocols. This certification is included in the Dam Safety Report, providing a documented assurance of their commitment to upholding best practices and maintaining the highest ethical standards throughout the review process.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



Requirement 10.6 – Self-Assessment Rating Justification

For tailings facilities with ‘Very High’ or ‘Extreme’ Consequence Classifications, the ITRB, reporting to the Accountable Executive shall provide ongoing senior independent review of the planning, siting, design, construction, operation, water and mass balance, maintenance, monitoring, performance and risk management at appropriate intervals across all phases of the tailings facility lifecycle. For tailings facilities with other Consequence Classifications, this review can be done by a senior independent technical reviewer

✔ Requirement 10.6.A

Criteria

For tailings facilities with ‘Very High’ or ‘Extreme’ Consequence Classifications, the ITRB, reporting to the Accountable Executive provides ongoing senior independent technical review of the planning, siting, design, construction, operation, water and mass balance, maintenance, monitoring, performance and risk management at appropriate intervals across all phases of the tailings facility lifecycle.

Discussion

Gold Fields is deeply committed to promoting the highest level of safety and environmental stewardship in our tailings storage facilities (TSFs) at the Cerro Corona mine. As part of our dedication to transparency and independent oversight, we have established an Independent Technical Review Board (ITRB) to provide ongoing senior independent technical reviews across all phases of the TSF lifecycle.

The ITRB, reporting directly to the Accountable Executive, is crucial in checking the robustness and effectiveness of the TSFs at the Cerro Corona mine.

To facilitate comprehensive reviews, the ITRB has been actively engaged in on-site activities at the Cerro Corona mine. The inaugural ITRB session took place in December 2006. The team has reviewed the facility 54 times there since. During their visits, the ITRB members spend time on site, engaging with our Engineer of Record (EoR) and the dedicated Cerro Corona Tailings Stewardship team. These interactions enable in-depth discussions, knowledge sharing, and the exchange of best practices in tailings management.

At Gold Fields, we view the ITRB as a critical component of our commitment to the highest industry standards and best practices. The independent expertise and insights provided by the ITRB play a vital role in guiding our decision-making processes and checking the continual improvement of our TSFs' safety and performance.

We are grateful for the expertise and dedication of the ITRB members who diligently review and assess the planning, siting, design, construction, operation, water and mass balance, maintenance, monitoring, performance, and risk management of our TSFs. Their independent oversight enhances transparency, reinforces accountability, and underscores our unwavering commitment to the safety of our employees, communities, and the environment.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



— Requirement 10.6.B

Criteria

For tailings facilities with other Consequence Classifications, this review can alternatively be performed by a senior independent technical reviewer.

Discussion

As the TSF at our site has been classified as 'Extreme' Consequence dams and an Independent Technical Review Board (ITRB) has been appointed to oversee their management, the team has rated this requirement as 'not applicable.' This is because the ITRB already provides ongoing senior independent review of the planning, siting, design, construction, operation, water and mass balance, maintenance, monitoring, performance, and risk management for these tailings facilities. We have implemented these measures to check the highest level of safety and compliance.

Therefore, Gold Fields has ranked this Requirement as “Not Applicable”.

Assessment Outcome

- — Not Applicable



✔ Requirement 10.6.C

Criteria

The ongoing reviews are conducted at appropriate intervals across all phases of the tailings facility lifecycle.

Discussion

Our appointed Independent Technical Review Board (ITRB) conducts comprehensive reviews of the planning, siting, design, construction, operation, water and mass balance, maintenance, monitoring, performance, and risk management of our tailings facilities. These ongoing reviews are conducted on an annual basis, at a minimum and consider all lifecycle stages of the TSF. Additional intermediate reviews are also performed as appropriate based on project needs.

The ITRB members visit our site annually to undertake their review and check that the necessary assessments and evaluations are performed in a timely manner. This review timeframe aligns with the requirements outlined in our Gold Fields Tailings Standard, demonstrating our commitment to maintaining a robust and proactive approach to tailings management.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



Requirement 10.7 – Self-Assessment Rating Justification

The amount of estimated costs for planned closure, early closure, reclamation, and post-closure of the tailings facility and its appurtenant structures shall be reviewed periodically to check that adequate financial capacity (including insurance, to the extent commercially reasonable) is available for such purposes throughout the tailings facility lifecycle, and the conclusions of the review shall be publicly disclosed annually. Disclosure may be made in audited financial statements or in public regulatory filings. Subject to the provisions of local or national regulations on this matter, Operators shall use best efforts to assess and take into account the capability of an acquirer of any of its assets involving a tailings facility (through merger, acquisition, or other change in ownership) to maintain this Standard for the tailings facility lifecycle.

✔ Requirement 10.7.A

Criteria

A process and governance mechanisms have been established for closure planning and closure cost estimating.

Discussion

At Gold Fields, we prioritize establishing robust processes and governance mechanisms for closure planning and closure cost estimating. These important aspects are overseen at a corporate level by our Sustainable Development Group. The Cerro Corona Sustainable Development team, a key stakeholder in the Cerro Corona Tailings Stewardship team, receives guidance and support from this group.

Regarding closure planning and closure cost estimating, the Cerro Corona Sustainable Development team follows a diligent approach:

They regularly review and update their closure plans in line with our Group's closure guidance aligned with the International Council on Mining and Metals (ICMM) standards.

They develop rigorous closure cost estimates, which undergo internal and external reviews on an annual basis.

They set annual performance targets for progressive rehabilitation plans and check a proactive approach to closure's environmental and social aspects.

Our commitment to responsible closure practices is evident through our Gold Fields Group Policy Statements for Sustainable Development and Environment. These policies, accompanied by our Mine Closure Management Guideline and Closure Cost Estimate Guideline, require us to engage in thorough planning and design processes in consultation with relevant authorities and stakeholders. We also implement measures to address closure-related environmental and social aspects. Additionally, we check that adequate financial provision is made to fulfil our closure and post-closure commitments, as mandated by the guidelines.

By adhering to these comprehensive processes and governance mechanisms, we demonstrate our commitment to responsible and sustainable closure practices across our operations.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✓ Requirement 10.7.B

Criteria

A closure plan for the tailings facility has been established and associated closure cost estimates have been prepared.

Discussion

At the Cerro Corona mine, we have established a comprehensive mine-wide Closure Plan encompassing the tailings storage facilities (TSFs) on-site. This plan addresses the necessary provisions and considerations for closure, including aspects of the TSFs. As part of our commitment to responsible closure practices, associated closure cost estimates have been prepared and underwent external reviews to check accuracy and transparency.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✓ Meets this Requirement



✔ Requirement 10.7.C

Criteria

Closure cost estimates are reviewed periodically, and public disclosure is made annually to check that adequate financial capacity (including insurance, to the extent commercially reasonable) is in place to meet the closure requirements and the expected timing for the tailings facility in its current state.

Discussion

At Gold Fields, we prioritize the periodic review and assessment of closure cost estimates to check that we have adequate financial capacity to meet the closure requirements and the expected timing for our tailings facilities in their current state. These estimates encompass the costs associated with planned closure, early closure, reclamation, and post-closure activities.

On an annual basis, our assets diligently review and update their closure cost estimates, adhering to the specific requirements and guidelines set forth by local regulations, financial reporting obligations, and Gold Fields' Group guidance. This process involves internal and external review and assurance to uphold transparency and accuracy.

The internal review of closure cost estimates involves a comprehensive assessment by our dedicated team at the Cerro Corona mine. The team evaluates various factors, including the current condition of the tailings facility, the anticipated closure requirements, and the projected timing of closure activities. This internal review checks that our closure cost estimates align with our commitment to responsible closure practices and meet the highest standards of financial prudence.

Additionally, we engage external or independent parties to thoroughly review our closure cost estimates. This external review process provides an objective and unbiased assessment of our estimates, enhancing their credibility and reliability. These external reviews are crucial in validating the adequacy of our financial capacity for closure-related activities throughout the lifecycle of our tailings facilities.

In line with our commitment to transparency, we publicly disclose the conclusions of these periodic reviews on an annual basis. This disclosure may be made through audited financial statements or public regulatory filings, checking that relevant stakeholders, including investors, regulatory bodies, and the public, have access to this information.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



– Requirement 10.7.D

Criteria

If any of an Operator’s assets involving a tailings facility changed Ownership since the last review, the Operator should provide documentation that they assessed and considered the capability of an acquirer to maintain this Standard (subject to provisions of local/national regulations)

Discussion

There have been no changes in ownership of assets at the Cerro Corona mine involving our tailings facility. Therefore, the team has rated this Requirement as, ‘Not applicable.’

We remain committed to upholding the highest standards of environmental stewardship and sustainability in our operations. Should any ownership changes occur, we will fulfil our obligations to assess the acquirer's ability to meet these standards, as mandated by local and national regulations.

Therefore, Gold Fields has ranked this Requirement as “Not Applicable”.

Assessment Outcome

- – Not Applicable



GISTM Principle 11

Develop an Organisational Culture That Promotes Learning, Communication and Early Problem Recognition

Principle 11 Self-Assessment Outcome

The Cerro Corona mine has a single TSF, which has been given an Extreme Consequence Classification. A summary of the self-assessment outcome for Principle 11 of the GISTM is presented in Table 16 below. Further information specific to each requirement part, is provided in subsequent sections of this report.

Table 16: Principle 11 – Self-Assessment Outcome Summary

Req.	Part	Criteria	TSF 1
11.1	A	The Operator has developed an educational programme inclusive of job procedures and responsibilities for preventing failure.	✓
	B	Those with roles for preventing a failure in any phase of the tailing facility lifecycle are included in the education programme.	✓
11.2	A	Mechanisms incorporating workers’ experience-based knowledge into planning, design and operations for all stages of the tailings facility lifecycle have been established.	✓
11.3	A	The Operator has established mechanisms that promote cross-functional collaboration to support public safety and the integrity of the tailings facility through: <ul style="list-style-type: none"> • effective data and knowledge sharing, • effective communication, and • implementation of management measures. 	✓
11.4	A	The Operator has identified and implemented lessons from internal incident investigations.	✓
	B	The Operator has identified and implemented lessons from relevant external incident reports.	✓
	C	Internal and external incident lessons learned pay particular attention to human and organisational factors.	✓
11.5	A	The Operator has established a documented mechanism that recognises, rewards and protects employees and contractors who report problems or identify opportunities for improving tailings facility management.	✓
	B	The Operator has responded promptly and communicated to employees and contractors the actions taken in response to concerns and opportunities raised.	✓



Requirement 11.1 – Self-Assessment Rating Justification

Educate personnel who have a role in any phase of the tailings facility lifecycle about how their job procedures and responsibilities related to preventing a failure.

✔ Requirement 11.1.A

Criteria

The Operator has developed an educational programme inclusive of job procedures and responsibilities for preventing a failure.

Discussion

At Gold Fields, we recognize the crucial role that education and training play in preventing TSF failures. As such, our Responsible Tailings Facility Engineer (RTFE) has provided three levels of revised Tailings Management and Safe Operating Procedure (SOP) training: management, supervisor and operator, to personnel in 2023. The Cerro Corona Tailings Stewardship team maintains training records.

Key stakeholders at the Cerro Corona mine have received ongoing training on the OMS Manual (updated in October 2022) and are trained for their current roles.

We have implemented a Training and Competency Matrix to enhance our training efforts. This matrix offers a comprehensive overview of personnel who require additional training and tracks the status of their completed training. It serves as a detailed record, checking that all individuals receive the appropriate training and possess the necessary competencies in relation to tailings.

The Competency Matrix incorporates all new roles introduced by the Global Industry Standard on Tailings Management (GISTM), such as the Responsible Tailings Facility Engineer (RTFE), Accountable Executive, and Engineer of Record (EoR).

We have developed the Gold Fields Tailings Training Academy to enhance tailings risk awareness as part of our commitment to continuous improvement. This academy provides a series of bite-sized modules specifically designed to raise awareness and foster a comprehensive understanding of tailings risk and tailings management. Through this initiative, we aim to empower our personnel with the knowledge and skills required to mitigate risks and contribute to preventing failures.

By prioritizing education and training, we aim to foster a safety culture and excellence in tailings management.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 11.1.B

Criteria

Those with roles for preventing a failure in any phase of the tailing facility lifecycle are included in the education programme.

Discussion

At Gold Fields, we prioritize the education and training of personnel involved in any phase of the tailings facility lifecycle to ensure they understand the importance of their job procedures and responsibilities in preventing failures. As outlined in Requirement 11.1A, our Engineer of Record partner has delivered tailings risk awareness training to on-site personnel.

To enhance the training process, we have developed a comprehensive tailings training academy that is accessible to all employees across the company. This academy is supplemented by in-person training sessions conducted by our engineer of record partners as needed.

To check competency and accountability, we have established the Cerro Corona Competency Matrix, which defines the training requirements and identifies key roles within the tailings facility. The matrix tracks the training status, identifies training needs, and sets completion dates for each individual.

We have checked that those with roles in preventing failures in any phase of the tailings facility are included in both the operational tailings management and Safe Operating Procedure (SOP) based training and the company-wide tailings training academy. This comprehensive approach checks that our personnel have the necessary knowledge and skills to fulfil their responsibilities effectively.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



Requirement 11.2 – Self-Assessment Rating Justification

Establish mechanisms that incorporate workers' experience-based knowledge into planning, design and operations for all phases of the tailings facility lifecycle.

✔ Requirement 11.2.A

Criteria

Mechanisms have been established that incorporate workers' experience-based knowledge into planning, design and operations for all phases of the tailings facility lifecycle.

Discussion

Gold Fields has established effective mechanisms to incorporate workers' experience-based knowledge into the planning, design, and operations of our tailings facilities throughout their lifecycle. These mechanisms check that valuable insights and lessons learned from our experienced workforce are integrated into our processes.

Firstly, we have established a quarterly working group within the Gold Fields. This group brings together interdisciplinary stakeholders across our organization, including each site's responsible tailings facility engineer. The purpose of this forum is to facilitate knowledge sharing and the exchange of lessons learned. It provides a platform for nominated individuals to contribute their expertise, share valuable insights, and discuss best practices related to tailings management.

In addition, the Cerro Corona Tailings Stewardship team organizes an Annual General Meeting (AGM) for Tailings. This meeting gathers interdisciplinary stakeholders from our Cerro Corona site and our engineer of record partner. The AGM offers an opportunity to review lessons learned throughout the year and consider important considerations moving forward. This collaborative approach checks that worker experience and perspectives are considered when making decisions related to tailings facility planning, design, and operations.

The Operating, Surveillance and Monitoring (OSM) manual developed for the Cerro Corona mine also specifically requests improvement suggestions from workers.

The Global Tailings Management team capture and disseminate lessons learned across all our operations. They maintain an annual lessons learned register that consolidates findings from various sites. This register serves as a valuable resource for identifying common challenges, best practices, and innovative solutions related to tailings management. By regularly updating this register, we check that our operations' collective experience and knowledge are shared, enabling continuous improvement and informed decision-making in the planning, design, and operations of our tailings facilities.

To further encourage engagement and feedback, we have established an online platform called the "Tailings Hub." While the process is still in the early stages and hasn't been fully rolled out to operations at the time of this disclosure, the Tailings Hub provides a space for users to submit innovation ideas and comments. This platform will create a comprehensive feedback loop, allowing workers to contribute their knowledge and suggestions for continuous improvement in tailings management.

Therefore, Gold Fields has ranked this Requirement as "Meets".

Assessment Outcome

- ✔ [Meets this Requirement](#)



Requirement 11.3 – Self-Assessment Rating Justification

Establish mechanisms that promote cross-functional collaboration to check effective data and knowledge sharing, communication and implementation of management measures to support public safety and the integrity of the tailings facility.

✔ Requirement 11.3.A

Criteria

The Operator has established mechanisms that promote cross-functional collaboration to support public safety and the integrity of the tailings facility through:

- effective data and knowledge sharing,
- effective communication,
- and implementation of management measures.

Discussion

Gold Fields recognizes the importance of cross-functional collaboration in supporting public safety and checking the integrity of our tailings facilities. To facilitate effective collaboration, the Global Gold Fields Tailings Management team has established an international quarterly working group. This platform brings together interdisciplinary stakeholders from all our operations across the globe. The primary focus of this working group is to promote effective data and knowledge sharing, enhance communication channels, and drive the implementation of management measures. Each quarter, a Tailings Champion Award is issued, most recently awarded to the Community Relations Manager at the Cerro Corona mine for their commitment to evaluating the human rights risks associated with the TSFs

Through this collaborative forum, participants share their experiences, lessons learned, and best practices related to tailings management. The knowledge shared during these sessions is a valuable resource, fostering innovation and continuous improvement across our operations. By leveraging the expertise and insights of peers from different regions and operations, we enhance our ability to identify and implement effective measures to support public safety and maintain the integrity of our tailings facilities.

The cross-functional collaboration facilitated by the Gold Fields Global Tailings Management Team contributes to a culture of shared responsibility and proactive risk management. It allows us to leverage the collective knowledge and expertise of our workforce to address challenges, exchange ideas, and check the highest standards of safety and environmental stewardship in all phases of the tailings facility lifecycle.

Additionally, the Cerro Corona Tailings Stewardship team facilitate an Annual General Meeting (AGM) for tailings with interdisciplinary stakeholders to promote cross-functional learning from the past year. Further to this session, the Responsible Tailings Facility Engineer and Engineer of Record hold meetings with the Accountable Executive.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



Requirement 11.4 – Self-Assessment Rating Justification

Identify and implement lessons from internal incident investigations and relevant external incident reports, paying particular attention to human and organisational factors

✔ Requirement 11.4.A

Criteria

The Operator has identified and implemented lessons from internal incident investigations.

Discussion

Gold Fields is committed to proactive risk management and continuous improvement. In alignment with our stringent safety practices, all tailings incidents are promptly reported to the VP: Global Tailings Management, mine management, and Cerro Corona Tailings Stewardship team following the guidelines outlined in our Tailings Incident Guideline. At the Cerro Corona mine, the Responsible Tailings Facility (RTFE) oversees the reporting process, but incident reporting is open to anyone who identifies an issue or concern related to tailings.

Once an incident occurs, our Global Tailings Management team collaborates closely with the site team to conduct a comprehensive review. This review process aims to identify key lessons that can be learned from the incident. These lessons are documented in the Gold Fields Tailings Incident Lessons Learned Register, which is reviewed on an annual basis. The insights gained from incident investigations are then implemented into group and company-wide operating practices, guidance, and standards.

For instance, one significant lesson learned from the industry is eliminating using pipes through embankments in future design. This lesson, which eliminates the risks associated with piping, has been integrated into our Tailings Management Standard as a critical measure to mitigate piping risk.

By systematically identifying and implementing lessons from internal incident investigations, we strive to continuously enhance the safety and effectiveness of our tailings operations, check the well-being of our employees and surrounding communities

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 11.4.B

Criteria

The Operator has identified and implemented lessons from relevant external incident reports.

Discussion

As part of our commitment to continuous improvement and best practices, Gold Fields actively reviews relevant external incident reports in addition to internal incident investigations. These reviews are conducted annually as part of our comprehensive assessment of lessons learned and incident registers.

The findings from these external incident reports are carefully analysed and incorporated into our tailings management framework. The insights and recommendations are communicated to our Tailings Working Group, which comprises international personnel from our global operations. This collaborative platform integrates the lessons learned into our operating practices, procedures, guidance, and standards.

By leveraging internal incident investigations and external incident reports, we check that a broad range informs our approach to tailings management of experiences and industry knowledge. This proactive approach allows us to continually enhance the safety, sustainability, and effectiveness of our tailings operations across the organization

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 11.4.C

Criteria

Internal and external incident lessons learned pay particular attention to human and organisational factors.

Discussion

At Gold Fields, we recognize the critical importance of understanding and addressing human and organizational factors in our incident investigations and lessons learned processes. When conducting internal incident investigations and reviewing external incident reports, we pay specific attention to these factors to gain valuable insights into the root causes and contributing factors of incidents.

Our comprehensive approach involves thoroughly analysing incidents, identifying any human and organizational factors involved, and extracting key lessons to inform our practices and procedures. We aim to enhance our understanding of human behaviour, decision-making processes, communication, and organizational systems by emphasising these factors.

Integrating these lessons into our operations allows us to proactively mitigate risks and improve our safety culture. We believe addressing human and organizational factors can create a safer and more resilient working environment for our employees and stakeholders.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



Requirement 11.5 – Self-Assessment Rating Justification

Establish mechanisms that recognise, reward and protect from retaliation, employees and contractors who report problems or identify opportunities for improving tailings facility management. Respond in a timely manner and communicate actions taken and their outcomes.

✔ Requirement 11.5.A

Criteria

The Operator has established a documented mechanism that recognises, rewards and protects employees and contractors who report problems or identify opportunities for improving tailings facility management.

Discussion

Gold Fields is committed to establishing mechanisms that recognize, reward, and protect employees and contractors who report problems or identify opportunities for improving tailings facility management. Our approach aligns with our Human Rights Policy Statement, which includes providing on-site grievance mechanisms for our workforce and communities.

In line with international standards such as the UN Guiding Principles on Business and Human Rights, the conventions of the International Labour Organization, and the UN Universal Declaration of Human Rights, we have internal grievance mechanisms in place that allow employees and contractors to raise concerns. These mechanisms are not limited to tailings-related issues. Grievances are handled by Gold Fields' HR function in consultation with legal teams, checking a fair and confidential process.

To further promote transparency and accountability, we have implemented a confidential third-party whistleblowing hotline for stakeholders. This hotline provides an additional avenue for reporting concerns related to tailings facility management or other matters and is also described in Requirement 12.1.

We updated the Grievance Register for Cerro Corona in 2023 to allow for the future reporting of tailings-related grievances. This enhancement checks that individuals have a dedicated platform to raise concerns specifically related to tailings facility management. By adding a tailings identifier to Grievance Register, we aim to facilitate the reporting process and further strengthen our commitment to addressing and resolving tailings-related issues promptly and effectively.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



✔ Requirement 11.5.B

Criteria

The Operator has responded in a timely manner and communicated to employees and contractors the actions taken in response to concerns and opportunities raised.

Discussion

As part of our commitment to creating a transparent and accountable work environment, Gold Fields promptly responds to concerns raised by employees and contractors and checks effective communication regarding the actions taken. We have established internal grievance mechanisms that allow individuals to raise any type of concern, not limited to tailings-related issues. Our dedicated HR function handles these grievances in collaboration with our legal teams.

In 2022, our operations addressed a total of 92 grievances lodged by our communities, reflecting an increase from the previous year's 65 grievances. Of these, 16 were related to jobs and procurement, 29 pertained to social matters, and 48 were associated with environmental concerns. We successfully resolved 84% of these grievances within the agreed timeframes, demonstrating our commitment to timely and efficient resolution.

While we strive to address grievances promptly, we acknowledge that certain cases involving contractors and suppliers may require additional time for resolution. However, we remain dedicated to resolving all concerns fairly and on time and check that our employees and contractors are informed about the progress and outcomes of their raised issues.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



GISTM Principle 12

Establish a Process for Reporting and Addressing Concerns and Implement Whistle-blower Protections.

Principle 12 Self-Assessment Outcome

The Cerro Corona mine has a single TSF, which has been given an Extreme Consequence Classification. A summary of the self-assessment outcome for Principle 12 of the GISTM is presented in Table 17 below. Further information specific to each requirement part, is provided in subsequent sections of this report.

Table 17: Principle 12 – Self-Assessment Outcome Summary

Req.	Part	Criteria	TSF 1
12.1	A	The Accountable Executive has established a formal, confidential and written process to receive, investigate and promptly address concerns from employees and contractors related to the tailings facility, including possible permit violations or other matters related to regulatory compliance, public safety, tailings facility integrity or the environment.	
12.2	A	The Operator maintains whistle-blower protection practices that do not discharge, discriminate or retaliate against a whistle-blower who, in good faith, reports possible violations relating to regulatory compliance, public safety, tailings facility integrity or the environment.	



Requirement 12.1 – Self-Assessment Rating Justification

The Accountable Executive shall establish a formal, confidential and written process to receive, investigate and promptly address concerns from employees and contractors about possible permit violations or other matters relating to regulatory compliance, public safety, tailings facility integrity or the environment.

✔ Requirement 12.1.A

Criteria

The Accountable Executive has established a formal, confidential and written process to receive, investigate and promptly address concerns from employees and contractors related to the tailings facility, including possible permit violations or other matters related to regulatory compliance, public safety, tailings facility integrity or the environment.

Discussion

At Gold Fields, we prioritize establishing robust processes that allow us to address concerns of our valued employees and contractors.

To facilitate the reporting of such concerns, Gold Fields has implemented two key mechanisms: the Whistleblowing hotline and the internal grievance mechanism. These channels enable our employees and contractors to express their concerns regarding possible permit violations, regulatory compliance, public safety, tailings facility integrity, or environmental matters.

To emphasize commitment to these processes, the appointed Accountable Executive, who also holds the position of Executive for the Peru region, has personally reviewed and endorsed the policies and procedures for use in Peru. This reinforces our commitment to upholding the highest standards of accountability and transparency across our operations.

It is important to note that our reporting mechanisms are not limited solely to tailings concerns. We encourage our employees and contractors to utilize these channels to raise any concerns they may have, regardless of whether they are related to compliance, safety, tailings, or the environment. We are fully dedicated to addressing all concerns promptly and with the utmost seriousness they deserve.

The internal grievance mechanism operates under the oversight of Gold Fields' HR function, in consultation with our legal teams. This mechanism has recently been updated to allow grievances to be catalogued to include 'Tailings.' This checks that all reported concerns are appropriately handled and thoroughly investigated. Furthermore, our confidential third-party whistleblowing hotline serves as an additional avenue for stakeholders to report their concerns with complete confidentiality.

We are committed to addressing community issues and concerns relating to our operations timeously and effectively, where possible. We rely on an external grievance reporting system to maintain confidence and transparent communication with our stakeholders. This mechanism enables and encourages community members to voice their complaints freely while obligating our mines to address the grievances within an agreed period. Where our team cannot resolve grievances, they are escalated to independent mediation.

We believe in continuous improvement, and as part of our commitment to maintaining a safe and responsible work environment, we regularly review and enhance our processes. In 2023, we will comprehensively review these mechanisms based on the insights and feedback gathered through our workforce culture review. This will enable us to address any areas of improvement and further strengthen our processes.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



Requirement 12.2 – Self-Assessment Rating Justification

In accordance with international best practices for whistle-blower protection, the Operator shall not discharge, discriminate against, or otherwise retaliate in any way against a whistle-blower who, in good faith, has reported possible permit violations or other matters relating to regulatory compliance, public safety, tailings facility integrity or the environment.

✔ Requirement 12.2.B

Criteria

The Operator maintains whistle-blower protection practices that do not discharge, discriminate or retaliate against a whistle-blower who, in good faith, reports possible violations relating to regulatory compliance, public safety, tailings facility integrity or the environment.

Discussion

At Gold Fields, we hold ourselves to the highest standards of corporate governance and business ethics, checking that our operations align with our Vision of being the global leader in sustainable gold mining. We firmly believe that operational excellence and integrity should go hand in hand. To maintain this commitment, we have established whistleblower protection practices that safeguard individuals who, in good faith, report possible violations pertaining to regulatory compliance, public safety, tailings facility integrity, or the environment.

Our core Values are the unwavering foundation of our organizational culture, guiding our actions and behaviours. We embrace these Values in all aspects of our operations, both through our conduct and by holding others accountable for theirs. Through this collective dedication, we create an environment where integrity thrives.

Gold Fields actively encourages and requires the reporting of any actual or suspected unethical, illegal, fraudulent, or undesirable conduct within our business. We believe that transparency and accountability are paramount, and we are committed to checking that individuals who make reports can do so without fear of retaliation, victimization, disadvantage, or reprisal.

Our Whistleblowing Policy applies to all directors, officers, and employees of the Gold Fields Group, as well as to other individuals such as applicants for employment, contractors, suppliers, and any other third parties who have dealings with our organization, visit our premises, or attend our events. This policy is designed to facilitate the detection, reporting, prevention, and eradication of instances of reportable conduct.

In accordance with our policy, we conduct thorough investigations and promote a culture that encourages responsible disclosure of information regarding reportable conduct. We are committed to protecting whistleblowers from retaliation, victimization, or disadvantage resulting from their protected disclosure. We recognize the importance of providing remedies to whistleblowers who have suffered such negative consequences due to their courageous actions.

At Gold Fields, we firmly believe that everyone has a role to play in upholding our Values and maintaining the highest standards of integrity. By fostering a culture that values and protects whistleblowers, we create an environment where individuals can come forward with confidence, knowing that their concerns will be addressed and that they will be shielded from any adverse repercussions.

We are dedicated to continuously improving our whistleblower protection practices and checking their effectiveness. As part of our commitment to transparency and accountability, we regularly review and enhance our policies and procedures to align with international best practices.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



GISTM Principle 13

Prepare for Emergency Response to Tailings Facility Failures.

Principle 13 Self-Assessment Outcome

The Cerro Corona mine has a single TSF, which has been given an Extreme Consequence Classification. A summary of the self-assessment outcome for Principle 13 of the GISTM is presented in Table 18 below. Further information specific to each requirement part, is provided in subsequent sections of this report.

Table 18: Principle 13 – Self-Assessment Outcome Summary

Req.	Part	Criteria	TSF 1
13.1	A	The Tailings Management System (TMS) includes a site-specific tailings facility Emergency Preparedness and Response Plan (EPRP). The EPRP includes specific actions to prepare, manage an escalating event, and respond after an event has occurred.	⚠
	B	The tailings facility EPRP is responsive to credible flow failure scenarios and the assessment of potential consequences, and clearly identifies potentially affected areas and the approximate degree of expected consequences.	⚠
	C	The EPRP was developed with input from appropriate expertise in emergency response, site operation and project-affected people using best practices.	⚠
	D	The tailings facility EPRP for operating facilities is tested and reviewed based on the process and frequency specified in the plan, every 3 years or more frequently if triggered by a material change to the tailings facility or the social, environmental or economic context occurs. Reference R. 13.2 and R. 13.3.	⚠
	E	EPRP development and updates involve meaningful engagement of employees, contractors, community emergency response providers, and project-affected people engaged to co-develop community-focused emergency preparedness and communication of the plan to project-affected people.	⚠
13.2	A	Operator has identified public sector agencies, first responders, local authorities and institutions that would participate in any emergency response to tailings facility failures.	✅
	B	Operator has engaged with identified organisations.	⚠
	C	Operator has taken reasonable steps to assess the capability of identified organisations to address the hazards identified in the tailings facility EPRP, to identify gaps in capability, and to use this information to support the development of a collaborative plan to improve preparedness if gaps are identified.	⚠
13.3	A	The Operator incorporates knowledge of community focused measures and public sector capacity when establishing a state of readiness in the EPRP	⚠



Req.	Part	Criteria	TSF 1
	B	The Operator has taken all reasonable steps to maintain a shared state of readiness by engaging with public sector agencies, first responders, local authorities, and institutions which would participate in an emergency response (as identified in 13.2).	
	C	The Operator has secured and maintains resources in a state of readiness to respond to tailings facility credible flow failure scenarios if such apply to their facility.	
	D	Annual internal and community-focused training and exercises on the EPRP are conducted.	
	E	The Operator has a programme to conduct emergency response simulations with emergency service providers and project-affected people at a frequency defined in the EPRP.	
	F	For facilities with credible flow failure scenarios, the Operator conducted emergency response simulations at least every 3 years for those tailings facility credible flow failure scenarios, which may result in loss of life. Simulations can range from tabletop exercises to field exercises of an emergency and include testing multiple credible flow failure scenarios.	
13.4	A	The EPRP includes specific actions to immediately respond if a catastrophic tailings facility failure has occurred (refer to Requirements in 13.1).	
	B	An immediate response from a catastrophic tailings facility failure prioritises saving lives, providing humanitarian aid, and minimising environmental harm.	



Requirement 13.1 – Self-Assessment Rating Justification

As part of the TMS, use best practices and emergency response expertise to prepare and implement a site-specific tailings facility Emergency Preparedness and Response Plan (EPRP) based on credible flow failure scenarios and the assessment of potential consequences. Test and update the EPRP at all phases of the tailings facility lifecycle at a frequency established in the plan, or more frequently if triggered by a material change either to the tailings facility or to the social, environmental and local economic context. Meaningfully engage with employees and contractors to inform the EPRP, and co-develop community focused emergency preparedness measures with project-affected people.

Requirement 13.1.A

Criteria

The Tailings Management System (TMS) includes a site-specific tailings facility Emergency Preparedness and Response Plan (EPRP). The EPRP includes specific actions to prepare, manage an escalating event, and respond after an event has occurred.

Discussion

At Gold Fields, we prioritize proactive emergency preparedness and response planning as a fundamental component of our Tailings Management System (TMS) across all levels of our organization, from corporate to regional and site-specific operations.

Our team is well-trained and well-versed in responding to Emergencies, but our commitment to improvement has led to a progressive update of our plans.

At the Cerro Corona mine, we maintain a strong focus on comprehensive risk management and emergency preparedness. This includes implementing a robust catastrophic risk management system, a mine-wide Emergency Management and Response Plan, and a dedicated Tailings Emergency Management and Response Plan (EPRP) contained within the Operations, Monitoring and Surveillance (OMS) manual. The Tailings EPRP undergoes regular testing and refinement to check its effectiveness in addressing tailings-related emergencies.

We understand the importance of preparedness and have an emergency plan embedded into our Operations, Monitoring and Surveillance manual. The OMS forms part of the training and competency matrix established for the mine, and over 400 of the Gold Fields operations employees are from the local community.

We have a well-established Catastrophic Risk Management System to strengthen our emergency preparedness further. This system enables teams to respond swiftly and efficiently to critical risks. As part of our continuous improvement efforts, we conducted a comprehensive desktop-based tailings emergency response scenario, allowing us to identify areas for further enhancement.

At the time of this disclosure, our Tailings EPRP is being updated to reflect the outcomes of the semi-quantitative risk analysis workshops hosted by our Engineer of Record (EOR) in H1 2023. The team will integrate learnings from the recent desktop drill exercise to fully satisfy this requirement.

Therefore, Gold Fields has ranked this Requirement as “Partially Meets”.

Assessment Outcome

-  **Partially Meets this Requirement**



🟡 Requirement 13.1.B

Criteria

The tailings facility EPRP is responsive to credible flow failure scenarios and the assessment of potential consequences, and clearly identifies potentially affected areas and the approximate degree of expected consequences.

Discussion

At Gold Fields, we place significant importance on the responsiveness of our tailings facility Emergency Preparedness and Response Plan (EPRP) to credible flow failure scenarios and assessing potential consequences. Our approach is based on best practices and leverages our expertise in emergency response, ensuring we are well-prepared to address potential risks.

We understand the importance of preparedness and have an emergency plan embedded into our Operations, Monitoring and Surveillance manual. The OMS forms part of the training and competency matrix established for the mine, and over 400 of the Gold Fields operations employees are from the local community.

Our team is well-trained and well-versed in responding to Emergencies, but our commitment to improvement has led to a progressive update of our plans.

As part of our commitment to proactive risk management, our team has established a Trigger Action Response Plan (TARP) directly correlated to alert levels for our instrumentation and monitoring equipment installed in the TSF. We have constructed a Tailings Monitoring centre on-site with live dashboards to allow the site team to rapidly execute the site's TARP. This integration checks a well-defined, responsive framework to identify potential flow failure triggers.

In H1 2023, the Cerro Corona Tailings Stewardship team facilitated a desktop emergency scenario with operators. In this instance, a hypothetical overtopping failure was selected. The workshop allowed the team and EOR to establish gaps in the knowledge base and workshop the steps required to manage this type of failure mode.

At the time of this disclosure, our Tailings EPRP is being updated to reflect the outcomes of the semi-quantitative risk analysis workshops hosted by our Engineer of Record (EOR) in H1 2023. The team will integrate learnings from the recent desktop drill exercise to fully satisfy this requirement.

Therefore, Gold Fields has ranked this Requirement as “Partially Meets”.

Assessment Outcome

- 🟡 Partially Meets this Requirement



🔍 Requirement 13.1.C

Criteria

The EPRP was developed with input from appropriate expertise in emergency response, site operation and project-affected people using best practices.

Discussion

At Gold Fields, we recognize the importance of incorporating appropriate expertise and best practices into our Emergency Preparedness and Response Plan (EPRP).

We understand the importance of preparedness and have an emergency plan embedded into our Operations, Monitoring and Surveillance manual. The OMS forms part of the training and competency matrix established for the mine, and over 400 of the Gold Fields operations employees are from the local community.

Our team is well-trained and well-versed in responding to Emergencies, but our commitment to improvement has led to a progressive update of our plans.

Further, we have collaborated with the Peruvian Defensa Civil, which has undertaken extensive work in the Tingo River Valley to address the catastrophic risks of Natural Flood Hazards. The Defensa Civil has prepared extensive inundation and stakeholder maps for the region and has completed preliminary evacuation drills with the communities.

Gold Fields has issued copies of its Emergency Response procedures and technical studies to an NGO with sound local knowledge and community awareness to support its rollout to communities. The scope of work has been developed in stage 1, integration with the NGO and stage 2, integration with the overarching Defensa Civil works.

At the time of this disclosure, our Tailings EPRP is being updated to reflect the outcomes of the semi-quantitative risk analysis workshops hosted by our Engineer of Record (EOR) in H1 2023. An interdisciplinary team is undertaking this update. Substantial efforts have been made to collaborate with external stakeholders, site operators and communities, but the journey is incomplete.

Therefore, Gold Fields has ranked this Requirement as “Partially Meets”.

Assessment Outcome

- 🔍 Partially Meets this Requirement



🟡 Requirement 13.1.D

Criteria

The tailings facility EPRP for operating facilities is tested and reviewed based on the process and frequency specified in the plan, every 3 years or more frequently if triggered by a material change to the tailings facility or the social, environmental or economic context occur. Reference R. 13.2 and R. 13.3.

Discussion

At Gold Fields, we acknowledge the need for frequent tests and reviews of the Tailings EPRP.

We understand the importance of preparedness and have an emergency plan embedded into our Operations, Monitoring and Surveillance manual. The OMS forms part of the training and competency matrix established for the mine, and over 400 of the Gold Fields operations employees are from the local community.

Our team is well-trained and well-versed in responding to Emergencies, but our commitment to improvement has led to a progressive update of our plans.

Our tailings EPRP was developed to incorporate insights from the technical studies conducted during the Global Industry Standard for Tailings Management (GISTM) implementation. As the Tailings EPRP has not yet undergone testing, our team has rated this requirement as partially meeting the criteria. We anticipate closing this gap shortly after August 2023.

To identify and refine our emergency response processes, we have undertaken desktop Emergency Response exercises for hypothetical events such as overtopping with our operators. However, this is not a true test of the EPRP.

At the time of this disclosure, our Tailings EPRP is being updated to reflect the outcomes of the semi-quantitative risk analysis workshops hosted by our Engineer of Record (EOR) in H1 2023. The team will integrate learnings from the recent desktop drill exercise, re-distribute the EPRP and provide further training to satisfy this requirement fully.

Therefore, Gold Fields has ranked this Requirement as “Partially Meets”.

Assessment Outcome

- 🟡 Partially Meets this Requirement



🔍 Requirement 13.1.E

Criteria

EPRP development and updates involve meaningful engagement of employees, contractors, community emergency response providers, and project-affected people engaged to co-develop community-focused emergency preparedness and communication of the plan to project-affected people.

Discussion

At Gold Fields, we understand the importance of meaningful engagement in developing and updating our Emergency Preparedness and Response Plan (EPRP). We have taken a comprehensive approach that involves active participation from various stakeholders, including risk and emergency management consultants, the Cerro Corona Tailings Stewardship team, our Engineer of Record partner, local NGOs and the Defensa Civil.

We understand the importance of preparedness and have an emergency plan embedded into our Operations, Monitoring and Surveillance manual. The OMS forms part of the training and competency matrix established for the mine, and over 400 of the Gold Fields operations employees are from the local community.

Our team is well-trained and well-versed in responding to Emergencies, but our commitment to improvement has led to a progressive update of our plans.

Throughout the process, we have collaborated closely with a local NGO, community relations and sustainable development team representatives, the responsible tailing facility engineer, the engineer of record, and the site safety team. Their expertise and input have been instrumental in shaping the EPRP.

We believe in fostering collaborative relationships with the community and are dedicated to conducting the necessary engagements thoroughly and inclusively. At the time of this disclosure, our Tailings EPRP is being updated to reflect the outcomes of the semi-quantitative risk analysis workshops hosted by our Engineer of Record (EOR) in H1 2023. The team will integrate learnings from the recent desktop drill exercise and provide revised training to satisfy this requirement fully.

Therefore, Gold Fields has ranked this Requirement as “Partially Meets”.

Assessment Outcome

- 🔍 Partially Meets this Requirement



Requirement 13.2 – Self-Assessment Rating Justification

Engage with public sector agencies, first responders, local authorities and institutions and take reasonable steps to assess the capability of emergency response services to address the hazards identified in the tailings facility EPRP, identify gaps in capability and use this information to support the development of a collaborative plan to improve preparedness.

✔ Requirement 13.2.A

Criteria

Based on the nature of the emergency preparedness and response requirements for a given facility, following conformance with Requirement 13.1, the operator has identified public sector agencies, first responders, local authorities and institutions that would participate in any emergency response to tailings facility failures.

Discussion

At Gold Fields, we understand the significance of collaborating and coordinating with public sector agencies, first responders, local authorities, and institutions to check effective emergency preparedness and response.

We understand the importance of preparedness and have an emergency plan embedded into our Operations, Monitoring and Surveillance manual. The OMS forms part of the training and competency matrix established for the mine, and over 400 of the Gold Fields operations employees are from the local community.

Our team is well-trained and well-versed in responding to Emergencies, but our commitment to improvement has led to a progressive update of our plans.

In our commitment to community engagement and preparedness, we have partnered with a local NGO to involve and support the communities. Together, we are developing an early alert warning system to enhance our emergency response capabilities.

Furthermore, we are actively supporting the efforts of Defensa Civil, who have conducted Emergency Response Drills and Disaster Management Planning for natural flood events in the Tingo Valley region. Defensa Civil has engaged the communities through these drills, conducted evacuation exercises, and shared vital information such as shoulder points with our team. This collaboration has allowed us to better understand the knowledge and expertise of public sector agencies, first responders, local authorities, and institutions near the mine.

We are integrating the learnings from the Defensa Civil exercises and stakeholder maps into our plans to improve our emergency management processes continuously.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



🟡 Requirement 13.2.B

Criteria

The operator has engaged with identified organisations

Discussion

At Gold Fields, we prioritize engaging with relevant organizations to check effective collaboration and preparedness in addressing the hazards identified in our tailings facility Emergency Preparedness and Response Plan (EPRP). We have made significant efforts to engage with various stakeholders and foster strong relationships within the Cerro Corona community.

Our Cerro Corona Sustainable Development and Community Relations teams play a pivotal role in maintaining these relationships. They actively manage the Cerro Corona Mine Stakeholder register, which includes a comprehensive list of stakeholders, including community members, regulatory agencies, and other organizations. We work diligently to keep these connections strong and check open lines of communication.

Furthermore, our Safety team engages with local public sector agencies and governmental departments on a regular basis.

In our commitment to community engagement and preparedness, we have partnered with a local NGO to involve and support the communities. Together, we are developing an early alert warning system to enhance our emergency response capabilities.

Furthermore, we are actively supporting the efforts of Defensa Civil, who have conducted Emergency Response Drills and Disaster Management Planning for natural flood events in the Tingo Valley region. Defensa Civil has engaged the communities through these drills, conducted evacuation exercises, and shared vital information such as shoulder points with our team. This collaboration has allowed us to better understand the knowledge and expertise of public sector agencies, first responders, local authorities, and institutions nearby.

While we have taken significant steps to engage with an NGO, communities and Defensa Civil, we acknowledge that further dedicated sessions focused specifically on tailings-related risks will be necessary with broader organisations to fully satisfy this requirement.

Therefore, Gold Fields has ranked this Requirement as “Partially Meets”.

Assessment Outcome

- 🟡 **Partially Meets this Requirement**



🟡 Requirement 13.2.C

Criteria

The Operator has taken reasonable steps to assess the capability of identified organisations to address the hazards identified in the tailings facility EPRP, to identify gaps in capability, and to use this information to support the development of a collaborative plan to improve preparedness if gaps are identified.

Discussion

In our commitment to community engagement and preparedness, we have partnered with a local NGO to involve and support the communities.

Together, we are developing an early alert warning system to enhance our emergency response capabilities. Furthermore, we are actively supporting the efforts of Defensa Civil, who have conducted Emergency Response Drills and Disaster Management Planning for natural flood events in the Tingo Valley region.

Defensa Civil has engaged the communities through these drills, conducted evacuation exercises, and shared vital information such as shoulder points and learnings with our team. This collaboration has allowed us to better understand the knowledge and expertise of public sector agencies, first responders, local authorities, and institutions near the mine.

We are in the process of integrating the lessons learned from the Defensa Civil exercises into our Emergency Response and Preparedness Plan. (EPRP)

Therefore, Gold Fields has ranked this Requirement as “Partially Meets”.

Assessment Outcome

- 🟡 Partially Meets this Requirement



Requirement 13.3 – Self-Assessment Rating Justification

Considering community-focused measures and public sector capacity, the Operator shall take all reasonable steps to maintain a shared state of readiness for tailings facility credible flow failure scenarios by securing resources and carrying out annual training and exercises. The Operator shall conduct emergency response simulations at a frequency established in the EPRP but at least every 3 years for tailings facilities with potential loss of life.

Requirement 13.3.A

Criteria

The Operator incorporates knowledge of community focused measures and public sector capacity when establishing a state of readiness in the EPRP

Discussion

Gold Fields greatly emphasises its relationship with the community and public sector agencies. We recognize the need to incorporate community-focused measures and consider the capacity of the public sector when establishing a state of readiness in our Emergency Preparedness and Response Plan (EPRP).

We understand the importance of preparedness and have an emergency plan embedded into our Operations, Monitoring and Surveillance manual. The OMS forms part of the training and competency matrix established for the mine, and over 400 of the Gold Fields operations employees are from the local community.

Our team is well-trained and well-versed in responding to Emergencies, but our commitment to improvement has led to a progressive update of our plans.

In our commitment to community engagement and preparedness, we have partnered with a local NGO to involve and support the communities. Together, we are developing an early alert warning system to enhance our emergency response capabilities.

Furthermore, we are actively supporting the efforts of Defensa Civil, who have conducted Emergency Response Drills and Disaster Management Planning for natural flood events in the Tingo Valley region. Defensa Civil has engaged the communities through these drills, conducted evacuation exercises, and shared vital information such as shoulder points with our team. This collaboration has allowed us to gain knowledge and expertise on the capacity of public sector agencies, first responders, local authorities, and institutions.

We are updating our Emergency Response and Management Plan (EPRP) with the learnings and knowledge from these exercises to incorporate knowledge of community-focused measures and public sector capacity.

Therefore, Gold Fields has ranked this Requirement as “Partially Meets”.

Assessment Outcome

-  **Partially Meets this Requirement**



Requirement 13.3.B

Criteria

The Operator has taken all reasonable steps to maintain a shared state of readiness by engaging with public sector agencies, first responders, local authorities, and institutions which would participate in an emergency response (as identified in 13.2).

Discussion

Gold Fields is committed to maintaining a shared state of readiness and fostering strong collaboration with public sector agencies, first responders, local authorities, and institutions involved in emergency response efforts. Our safety and community team has established a solid relationship with these stakeholders and actively engages with them through routine training and emergency exercises.

We understand the importance of preparedness and have an emergency plan embedded into our Operations, Monitoring and Surveillance manual. The OMS forms part of the training and competency matrix established for the mine, and over 400 of the Gold Fields operations employees are from the local community.

Our team is well-trained and well-versed in responding to Emergencies, but our commitment to improvement has led to a progressive update of our plans.

In our commitment to community engagement and preparedness, we have partnered with a local NGO to involve and support the communities. Together, we are developing an early alert warning system to enhance our emergency response capabilities.

Furthermore, we are actively supporting the efforts of Defensa Civil, who have conducted Emergency Response Drills and Disaster Management Planning for natural flood events in the Tingo Valley region. Defensa Civil has engaged the communities through these drills, conducted evacuation exercises, and shared vital information such as shoulder points with our team. This collaboration has allowed us to gain knowledge and expertise on the capacity of public sector agencies, first responders, local authorities, and institutions.

We are updating our Emergency Response and Management Plan (EPRP) with the learnings and knowledge from these exercises to incorporate knowledge of community-focused measures and public sector capacity.

Therefore, Gold Fields has ranked this Requirement as “Partially Meets”.

Assessment Outcome

-  Partially Meets this Requirement



Requirement 13.3.C

Criteria

The Operator has secured and maintains resources in a state of readiness to respond to tailings facility credible flow failure scenarios if such apply to their facility.

Discussion

Gold Fields is fully committed to maintaining a state of readiness and checking that adequate resources are secured to respond effectively to tailings facility credible flow failure scenarios. We understand the importance of preparedness and have an emergency plan embedded into our Operations, Monitoring and Surveillance manual. The OMS forms part of the training and competency matrix established for the mine, and over 400 of the Gold Fields operations employees are from the local community.

Our team are well trained and well-versed in responding to Emergencies, but our commitment to improvement has led to a progressive update of our plans.

In our commitment to community engagement and preparedness, we have partnered with a local NGO to involve and support the communities. Together, we are developing an early alert warning system to enhance our emergency response capabilities.

Furthermore, we are actively supporting the efforts of Defensa Civil, who have conducted Emergency Response Drills and Disaster Management Planning for natural flood events in the Tingo Valley region. Defensa Civil has engaged the communities through these drills, conducted evacuation exercises, and shared vital information such as shoulder points with our team. This collaboration has allowed us to gain knowledge and expertise on the capacity of public sector agencies, first responders, local authorities, and institutions.

We are in the process of updating our Emergency Response and Management Plans with the learnings and knowledge taken from these exercises.

At Gold Fields, we recognize that the safety of our employees, surrounding communities, and the environment is paramount. We are dedicated to maintaining a shared state of readiness and continuously improving our response capabilities. Our ongoing efforts to secure resources, conduct training and exercises, and evaluate our emergency response procedures reflect our unwavering commitment to safety and preparedness.

Therefore, Gold Fields has ranked this Requirement as “Partially Meets”.

Assessment Outcome

-  [Partially Meets this Requirement](#)



🟡 Requirement 13.3.D

Criteria

Annual internal and community-focused training and exercises on the EPRP are conducted.

Discussion

Gold Fields places great importance on maintaining a state of readiness and checking effective emergency response for emergencies. As part of our commitment to preparedness, we conduct routine internal and community-focused training and exercises covering general catastrophic risk topics, such as Cyanide, Fire, Explosion and tailings.

At the Cerro Corona mine, we strongly emphasise comprehensive risk management and emergency preparedness. Our approach includes maintaining a robust catastrophic risk management system, a mine-wide Emergency Management and Response Plan, and a dedicated Tailings Emergency Management and Response Plan (EPRP) embedded in our Operating, Maintenance and Surveillance (OMS) manual.

The community relations and safety team actively engages with the community through routine training and emergency exercises. The most recent training sessions were held in H1 2023, where the Cerro Corona Tailings Stewardship team facilitated a Tailings Emergency Management and Response workshop with interdisciplinary stakeholders, including the EoR at the mine. It is important to note that over 400 of our employees involved in the TSF's construction reside in the local communities.

Although substantial progress has been made, our work concerning this requirement is incomplete.

Therefore, Gold Fields has ranked this Requirement as “Partially Meets”.

Assessment Outcome

- 🟡 [Partially Meets this Requirement](#)



🟡 Requirement 13.3.E

Criteria

The Operator has a programme to conduct emergency response simulations with emergency service providers and project-affected people at a frequency defined in the EPRP.

Discussion

Gold Fields recognizes the importance of conducting emergency response simulations with emergency service providers and project-affected people to maintain a state of. We are committed to engaging in regular simulations as part of our comprehensive emergency preparedness program and most recently conducted a desktop simulation with our operators on a hypothetical scenario of overtopping. It is important to note that 400 of our operating personnel reside in the local community.

We understand the importance of preparedness and have an emergency plan embedded into our Operations, Monitoring and Surveillance manual. The OMS forms part of the training and competency matrix established for the mine, and over 400 of the Gold Fields operations employees are from the local community. Our team is well-trained and well-versed in responding to Emergencies, but our commitment to improvement has led to a progressive update of our plans.

In our commitment to community engagement and preparedness, we have partnered with a local NGO to involve and support the communities. Together, we are developing an early alert warning system to enhance our emergency response capabilities.

Furthermore, we are actively supporting the efforts of Defensa Civil, who have conducted Emergency Response Drills and Disaster Management Planning for natural flood events in the Tingo Valley region. Defensa Civil has engaged the communities through these drills, conducted evacuation exercises, and shared vital information such as shoulder points with our team. This collaboration has allowed us to gain knowledge and expertise on the capacity of public sector agencies, first responders, local authorities, and institutions.

We are in the process of updating our Emergency Response and Management Plans with the learnings and knowledge taken from these exercises, and in the second stage of our work with the NGO, we intend to test the revised plan with communities.

Therefore, Gold Fields has ranked this Requirement as “Partially Meets”.

Assessment Outcome

- 🟡 Partially Meets this Requirement



✔ Requirement 13.3.F

Criteria

The Operator conducted emergency response simulations for facilities with credible flow failure scenarios at least every 3 years for those tailings facilities with credible flow failure scenarios, which may result in loss of life. Simulations can range from tabletop exercises to field exercises of an emergency and include testing multiple credible flow failure scenarios.

Discussion

At the Cerro Corona mine, we prioritize implementing a robust catastrophic risk management system, a mine-wide Emergency Management and Response Plan, and a dedicated Tailings Emergency Management and Response Plan (EPRP) embedded into the TSF OMS. The OMS forms a component in the site's training, skills and competency matrix.

Our plans are being updated to incorporate learnings from recent work undertaken by the Defensa Civil and a local NGO. However, our safety and risk team conducts routine training sessions and emergency exercises to check preparedness, fostering engagement and collaboration. We recently completed a desktop simulation of an unwanted tailings scenario with our operators in July 2023. This exercise allowed us to assess and evaluate our approach.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



Requirement 13.4 – Self-Assessment Rating Justification

In the case of a catastrophic tailings facility failure, provide immediate response to save lives, supply humanitarian aid and minimise environmental harm.

✔ Requirement 13.4.A

Criteria

The EPRP includes specific actions to immediately respond if a catastrophic tailings facility failure has occurred (refer to Requirements in 13.1).

Discussion

At the Cerro Corona mine, we have developed a comprehensive Catastrophic Risk Management System, Mine Wide Emergency Management and Response plan and dedicated Tailings EPRP, which is embedded into the OMS for the TSF, which set out the actions to undertake in the event of catastrophic tailings failure.

Our plans check a swift and effective response to save lives, provide humanitarian aid, and minimize environmental harm. They are supported by trigger action response plans that outline the steps to be taken based on the severity and nature of the failure.

To facilitate a rapid response, we have implemented advanced instrumentation and monitoring systems that continuously track and assess the conditions of our tailings storage facilities (TSF). These systems enable us to detect any signs of potential failure, trigger the necessary actions to mitigate the risk and respond promptly.

Our plans are continuously reviewed and updated to align with industry best practices and evolving standards and are currently being reviewed to integrate learnings from recent work undertaken by Defensa Civil and a local NGO.

In the event of a catastrophic tailings facility failure, we are prepared to take immediate action in accordance with our plan, mobilizing resources and coordinating efforts to save lives, provide necessary aid, and minimize any potential harm to the environment. Our goal is to respond swiftly and effectively to mitigate the impacts of such an event.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



🟡 Requirement 13.4.B

Criteria

An immediate response from a catastrophic tailings facility failure prioritises saving lives, providing humanitarian aid, and minimising environmental harm.

Discussion

At the Cerro Corona mine, we have implemented a robust Catastrophic Risk Management and Mine Wide Emergency Management and Response plan, and our OMS contains a dedicated tailings-related EPRP. This comprehensive plan prioritizes immediate response actions after a catastrophic tailings facility failure, focusing on saving lives, providing humanitarian aid, and minimizing environmental harm.

The safety and well-being of our employees, the surrounding communities, and the environment are paramount to us. In the event of a catastrophic tailings facility failure, our immediate response actions are carefully designed to address these priorities.

Our Tailings Emergency Response Plan is underpinned by trigger action response plans (TARPs) that provide clear guidance on the actions to be taken based on the severity and nature of the failure.

Furthermore, we have implemented advanced instrumentation and monitoring systems to continuously assess the conditions of our tailings storage facilities (TSF). These systems actively monitor the TSF, allowing us to detect any signs of potential failure and enabling us to take immediate action to minimize environmental harm.

By incorporating these immediate response actions into our Emergency Management and Response Plan, we demonstrate our unwavering commitment to saving lives, providing humanitarian aid, and minimising environmental harm in the event of a catastrophic tailings facility failure.

Therefore, Gold Fields has ranked this Requirement as “Partially Meets”.

Assessment Outcome

- 🟡 Partially Meets this Requirement



GISTM Principle 14

Prepare for Long-Term Recovery in the Event of Catastrophic Failure.

Principle 14 Self-Assessment Outcome

The Cerro Corona mine has a single TSF, which has been given an Extreme Consequence Classification. A summary of the self-assessment outcome for Principle 14 of the GISTM is presented in Table 19 below. Further information specific to each requirement part, is provided in subsequent sections of this report.

Table 19: Principle 14 – Self-Assessment Outcome Summary

Req.	Part	Criteria	TSF 1
14.1	A	Based on those scenarios and assessing potential consequences for facilities with credible flow failure scenarios, the operator has identified public sector agencies and other organisations that would participate in medium and long-term social and environmental post-failure response strategies.	✓
	B	The Operator has taken reasonable steps to meaningfully engage with such organisations.	⚠
14.2	A	The Operator has undertaken a post-incident impact assessment that addresses social, environmental and local economic impacts.	⊖
	B	The post-incident impact assessment has been undertaken as soon as possible after people are safe and short-term survival needs have been met.	⊖
14.3	A	In the event of a catastrophic tailings facility failure, the Operator has developed plans, in conjunction with public sector agencies and other stakeholders, to address the medium-and long-term social, environmental and local economic impacts of the failure.	⊖
	B	The following are demonstrated in the event of a catastrophic tailings facility failure: The Operator has provided for disclosure of the reconstruction, restoration, reclamation and recovery plans if permitted by public authorities.	⊖
	C	The following are demonstrated in the event of a catastrophic tailings facility failure: The Operator has implemented the plans in collaboration with public sector agencies and other stakeholders.	⊖
14.4	A	The Operator has enabled the participation of affected people in reconstruction, restoration, and recovery works and ongoing monitoring activities.	⊖
14.5	A	The Operator facilitates monitoring and public reporting of post-failure outcomes.	⊖
	B	Monitoring and public reporting of post-failure outcomes are aligned with the thresholds and indicators outlined in the reconstruction, restoration and recovery plans.	⊖
	C	Monitoring and public reporting of post-failure outcomes activities are adapted in response to findings and feedback.	⊖



Requirement 14.1 – Self-Assessment Rating Justification

Based on tailings facility credible flow failure scenarios and assessing potential consequences, take reasonable steps to meaningfully engage with public sector agencies and other organisations that would participate in medium- and long-term social and environmental post-failure response strategies.

✔ Requirement 14.1.A

Criteria

Based on those scenarios and assessing potential consequences for facilities with credible flow failure scenarios, the operator has identified public sector agencies and other organisations that would participate in medium and long-term social and environmental post-failure response strategies.

Discussion

Gold Fields emphasises proactive risk management and recognizes the importance of engaging with public sector agencies and other organizations. Our Cerro Corona Sustainable Development and Community Relations team maintain a robust stakeholder register that includes local communities, government agencies, emergency response providers, and interdisciplinary partners to check effective stakeholder engagement.

Recently, Defensa Civil completed comprehensive emergency and disaster planning activities in the Tingo Valley, specifically evaluating responses to Natural Flood Hazards. The insights provided our Cerro Corona Safety team with information instrumental in identifying relevant public sector agencies and other organizations that would participate in medium and long-term social and environmental post-failure response strategies.

As of this disclosure, Gold Fields is integrating the knowledge gained from Defensa Civil's work to check that the identified stakeholders and their capacities align with those defined in our Emergency Preparedness and Response Plans (EPRPs).

The Cerro Corona mine currently has an EPRP for the mine operations and a dedicated TSF plan, with personnel receiving appropriate training. We are committed to continuously improving our processes, and our team is actively updating this work to incorporate the latest developments.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



🟡 Requirement 14.1.B

Criteria

The Operator has taken reasonable steps to meaningfully engage with such organisations.

Discussion

Gold Fields is fully committed to proactive catastrophic risk management and continuously strives to enhance our emergency response capabilities. The Cerro Corona Risk and Safety team maintains positive relationships with internal stakeholders and external organizations, fostering collaboration and knowledge sharing on the topic of catastrophic risk. As part of our comprehensive risk management approach, we address various risks, including fire, cyanide, and tailings.

We have collaborated with the National Institute of Civil Defense (Defensa Civil) on Emergency Response and Preparedness (EPRP) throughout the first half of 2023. We have had valuable opportunities to exchange knowledge and expertise and check that we remain at the forefront of best practices in social and environmental post-failure response strategies. We also engaged an international NGO to support us with an initial phase of an early alert warning system with downstream communities.

Our approach to Emergency and Risk Management has been twofold: to understand the stakeholders and support local and government initiatives on the topic of Natural Flood and Disaster Management and to launch a second phase campaign to fully integrate an early alert warning system with the downstream communities.

Gold Fields embraces this requirement as an opportunity for continuous improvement but has evaluated this requirement as "Partially meets."

We are confident in our positive trajectory and our dedication to transparency and accountability. Working closely with our stakeholders and external partners will further enhance our catastrophic risk management and emergency response capabilities.

Therefore, Gold Fields has ranked this Requirement as “Partially Meets”.

Assessment Outcome

- 🟡 Partially Meets this Requirement



Requirement 14.2 – Self-Assessment Rating Justification

In the event of a catastrophic tailings facility failure, assess social, environmental and local economic impacts as soon as possible after people are safe and short-term survival needs have been met.

– Requirement 14.2.A

Criteria

In the event of a catastrophic tailings facility failure, the Operator has undertaken a post-incident impact assessment that addresses social, environmental and local economic impacts.

Discussion

Gold Fields has not experienced a catastrophic tailings facility failure. As such, the team has rated this requirement as ‘Not applicable.’

However, Gold Fields recognizes the importance of assessing the social, environmental, and local economic impacts of a catastrophic tailings facility failure. While we are grateful to report that we have not experienced such an incident, we understand the significance of preparedness.

Given the potential risks associated with tailings management, we have taken proactive measures to integrate a post-incident impact assessment procedure into our updated Emergency Preparedness and Response Plan. (EPRP) This comprehensive approach checks that we are well-prepared to address any unforeseen circumstances and conduct an assessment as soon as possible after ensuring the safety of individuals and meeting their immediate survival needs.

Although the need for a post-incident impact assessment has not been triggered, we prioritize proactive measures and comprehensive planning to safeguard the well-being of our employees, communities, and the environment. Incorporating this procedure into our emergency management plan demonstrates our commitment to responsible and sustainable practices.

While we have not encountered a catastrophic tailings facility failure, we remain vigilant to prevent and mitigate risks. Gold Fields will continue to prioritize the safety and well-being of all stakeholders, implementing proactive measures and ensuring that we are well-prepared to address any potential impacts that may arise.

Therefore, Gold Fields has ranked this Requirement as “Not applicable”.

Assessment Outcome

- – Not Applicable



— Requirement 14.2.B

Criteria

The post-incident impact assessment has been undertaken as soon as possible after people are safe and short-term survival needs have been met.

Discussion

Gold Fields has not experienced a catastrophic tailings facility failure, so the team has rated this requirement as not applicable. However, we remain committed to proactive risk management and comprehensive planning. In line with our dedication to preparedness, our team has developed a post-incident impact assessment procedure that aligns with the Gold Fields risk management framework.

While we have not experienced the need to conduct a post-incident impact assessment, we understand the critical importance of promptly assessing the social, environmental, and local economic impacts following such an unfortunate event. Our proactive approach ensures we are as prepared as possible to respond swiftly and comprehensively should a catastrophic tailings facility failure occur.

The post-incident impact assessment procedure has been designed to be initiated as soon as people are confirmed safe, and their short-term survival needs have been met.

Although this requirement is currently rated as not applicable, we will remain vigilant in our efforts to prevent and mitigate risks associated with tailings facility management. Our commitment to transparency and responsible practices drives us to improve our emergency response capabilities continually. Should the unfortunate event of a catastrophic tailings facility failure occur, we will swiftly implement our post-incident impact assessment procedure to assess and mitigate the social, environmental, and local economic impacts.

Therefore, Gold Fields has ranked this Requirement as “Not Applicable”.

Assessment Outcome

- — Not Applicable



Requirement 14.3 – Self-Assessment Rating Justification

In the event of a catastrophic tailings facility failure, work with public sector agencies and other stakeholders to develop and implement reconstruction, restoration and recovery plans that address the medium- and long-term social, environmental and local economic impacts of the failure. The plans shall be disclosed if permitted by public authorities.

– Requirement 14.3.A

Criteria

The following are demonstrated in the event of a catastrophic tailings facility failure: in the event of a catastrophic tailings facility failure, the Operator has developed plans, in conjunction with public sector agencies and other stakeholders, to address the medium- and long-term social, environmental and local economic impacts of the failure.

Discussion

Gold Fields recognizes the significance of addressing the medium- and long-term social, environmental, and local economic impacts in the event of a catastrophic tailings facility failure.

However, Gold Fields has not experienced a catastrophic failure. The team has ranked this requirement as not applicable.

To effectively address the potential impacts, our team is in the process of updating the Emergency Preparedness and Response (EPRP) plan with the learnings from recently completed technical studies. This EPRP has been designed to include post-incident assessment and recovery procedures, encompassing the social, environmental, and local economic aspects.

Collaboration with public sector agencies and stakeholders is essential in formulating effective reconstruction, restoration, and recovery plans. While we have not encountered a catastrophic tailings facility failure, we have rated this requirement as not applicable, but we are committed to working closely with relevant authorities and stakeholders to develop and implement these plans should the need arise.

Therefore, Gold Fields has ranked this Requirement as “Not Applicable”.

Assessment Outcome

- – Not Applicable



— Requirement 14.3.B

Criteria

The Operator has provided for disclosure of the reconstruction, restoration, reclamation and recovery plans if permitted by public authorities.

Discussion

Gold Fields is fully committed to compliance and cooperation with public authorities. However, Gold Fields has not experienced a catastrophic failure. The team has ranked this requirement as not applicable.

However, Gold Fields recognizes the importance of providing for disclosure of the reconstruction, restoration, reclamation and recovery plans in the event of a catastrophic tailings facility failure.

Transparency and accountability are fundamental principles for us. Disclosing these plans can increase public awareness, understanding, and confidence in our efforts. However, it is crucial to adhere to the regulations and permissions set forth by public authorities regarding the disclosure of sensitive information related to emergency response and recovery plans.

By actively engaging with stakeholders and authorities, we aim to foster a collaborative approach incorporating diverse perspectives and expertise into our planning and decision-making processes. This inclusive approach helps to check the effectiveness, sustainability, and resilience of our reconstruction, restoration, reclamation, and recovery plans.

Therefore, Gold Fields has ranked this Requirement as “Not Applicable”.

Assessment Outcome

- — **Not Applicable**



— Requirement 14.3.C

Criteria

The Operator has implemented the plans in collaboration with public sector agencies and other stakeholders.

Discussion

Gold Fields is committed to implementing comprehensive plans in collaboration with public sector agencies and stakeholders to effectively address the risks associated with tailings management. We recognize the importance of engaging independent consultants to provide valuable industry insights and check the relevance and status of our plans.

Gold Fields has not suffered a catastrophic tailings facility failure, so the team has rated this requirement as 'Not applicable.' However, Gold Fields acknowledges that the robust implementation of these plans with public sector agencies requires time and continuous improvement. The complexity and scale of our operations necessitate careful coordination and cooperation. While we have made significant progress, we recognize the need for ongoing collaboration and refinement to check the utmost effectiveness of our emergency response efforts.

Therefore, Gold Fields has ranked this Requirement as “Not Applicable”.

Assessment Outcome

- — Not Applicable



Requirement 14.4 – Self-Assessment Rating Justification

In the event of a catastrophic tailings facility failure, enable the participation of affected people in reconstruction, restoration and recovery works and ongoing monitoring activities.

– Requirement 14.4.A

Criteria

The Operator has enabled the participation of affected people in reconstruction, restoration, and recovery works and ongoing monitoring activities.

Discussion

Gold Fields acknowledges that, fortunately, we have not experienced a catastrophic tailings facility failure. As a result, the team has evaluated this requirement as, 'Not applicable.' However, despite the absence of such an event, we maintain a strong commitment to proactive risk management and continuously strive to enhance our emergency response capabilities.

By actively engaging with the affected communities, we will check that their voices are heard, their needs are considered, and their involvement is sought in all stages of the recovery process.

Furthermore, our commitment extends beyond the immediate recovery phase. We understand the significance of ongoing monitoring activities to assess the long-term impacts of any incident. If a catastrophic tailings failure were to occur, we would actively involve the affected people in these monitoring activities, empowering them to contribute their insights and perspectives.

Therefore, Gold Fields has ranked this Requirement as “Not Applicable.”

Assessment Outcome

- – Not Applicable



Requirement 14.5 – Self-Assessment Rating Justification

Facilitate the monitoring and public reporting of post-failure outcomes that are aligned with the thresholds and indicators outlined in the reconstruction, restoration and recovery plans and adapt activities in response to findings and feedback.

– Requirement 14.5.A

Criteria

The Operator facilitates monitoring and public reporting of post-failure outcomes.

Discussion

Gold Fields acknowledges that we have not experienced a catastrophic tailings facility failure. As such, the team has rated this requirement as ‘Not applicable.’

However, we understand the importance of being prepared and taking proactive measures to check the safety and well-being of our operations and surrounding communities. To this end, the Cerro Corona Tailings Stewardship Team are updating the Tailings Emergency Preparedness and Response Plan, specifically addressing tailings risk and plans for reconstruction, restoration, and recovery in the event of a failure.

Although these plans are based on hypothetical scenarios, they serve as valuable tools to guide our preparedness and response efforts. One crucial aspect outlined in these plans is the establishment of meaningful thresholds and indicators that allow for ongoing monitoring and public reporting of post-failure outcomes. We recognize the significance of transparency and accountability in providing stakeholders with accurate and up-to-date information.

Should a catastrophic tailings facility failure occur, our monitoring activities will align with the thresholds and indicators defined in our reconstruction, restoration, and recovery plans. We will adapt our monitoring activities based on the findings and feedback received, ensuring we address any identified issues and continuously improve our response measures.

While we have not encountered a catastrophic tailings failure to date, our proactive approach and the development of robust plans enable us to effectively facilitate monitoring and public reporting of post-failure outcomes. We remain committed to upholding our operations' highest transparency, accountability, and stakeholder engagement standards.

Therefore, Gold Fields has ranked this Requirement as “Not Applicable”.

Assessment Outcome

- – Not Applicable



— Requirement 14.5.B

Criteria

Monitoring and public reporting of post-failure outcomes are aligned with the thresholds and indicators outlined in the reconstruction, restoration and recovery plans.

Discussion

Gold Fields acknowledges the importance of monitoring and public reporting of post-failure outcomes, as outlined in the criteria. While we have not experienced a catastrophic tailings facility failure, we have taken proactive measures to address this requirement.

We are updating our Emergency Preparedness and Response Plan (EPRP) to include a post-incident recovery plan with established thresholds and indicators that serve as benchmarks for monitoring the impacts and progress in the aftermath of a hypothetical failure. It is crucial to emphasize that our focus is on prevention and preparedness, and it is important to note that these plans and associated monitoring activities are based on hypothetical scenarios and have not been tested by an actual failure event.

Our ultimate goal is to prevent catastrophic failures, as we know such incidents have immense human, environmental, and economic consequences. We are fully committed to ongoing improvement, learning from best practices in the industry, and continuously enhancing our risk management strategies.

Therefore, Gold Fields has ranked this Requirement as “Not Applicable.”

Assessment Outcome

- — Not Applicable



— Requirement 14.5.C

Criteria

Monitoring and public reporting of post-failure outcomes activities are adapted in response to findings and feedback.

Discussion

Gold Fields acknowledges the importance of monitoring and public reporting of post-failure outcomes and the need to adapt activities based on findings and feedback. While we have not experienced a catastrophic tailings facility failure, we recognize the significance of this requirement and have taken proactive measures to address it.

Although a catastrophic tailings facility failure has not occurred, we are in the process of updating our Emergency Preparedness and Response Plans (EPRPs) to include provisions for monitoring and public reporting of post-failure outcomes. These provisions are aligned with the thresholds and indicators outlined in our reconstruction, restoration, and recovery plans. This approach enables us to gather valuable data and insights in a hypothetical scenario, which can be used to adapt our activities and response strategies based on the findings and feedback received.

While the current application of this requirement may not be relevant due to the absence of a real-world incident, we are prepared to implement our plans and adapt our monitoring and reporting activities should such an event occur. We aim to check the safety of our operations, protect the well-being of our employees and surrounding communities, and minimize the potential social, environmental, and economic impacts of future incidents.

Therefore, Gold Fields has ranked this Requirement as “Not Applicable”.

Assessment Outcome

- — Not Applicable



GISTM Principle 15

Publicly Disclose and Provide Access to Information About the Tailings Facility To Support Public Accountability.

Principle 15 Self-Assessment Outcome

The Cerro Corona mine has a single TSF, which has been given an Extreme Consequence Classification. A summary of the self-assessment outcome for Principle 15 of the GISTM is presented in Table 20 below. Further information specific to each requirement part, is provided in subsequent sections of this report.

Table 20: Principle 15 – Self-Assessment Outcome Summary

Req.	Part	Criteria	TSF 1
15.1	A	<p>a. For new tailings facilities for which the regulatory authorisation process has commenced, or that are otherwise endorsed by the Operator, the Operator shall publish and update, in accordance with Principle 21 of the UNGP, the following information:</p> <ol style="list-style-type: none"> 1. A plain language summary of the rationale for the basis of the design and site selected as per the multi-criteria alternatives analysis, impact assessments, and mitigation plans (Information may be obtained from the output of multiple Requirements including, but not limited to, Requirements 3.2, 3.3, 5.1, 5.3, 6.4, 6.6, 7.1 and 10.1); and 2. The Consequence Classification. (Requirement 4.1). <p>b. For each existing tailings facility and in accordance with Principle 21 of the UNGP, the Operator shall publish and update at least on an annual basis, the following information:</p> <ol style="list-style-type: none"> 1. A description of the tailings facility (information may be obtained from the output of Requirements 5.5 and 6.4); 2. The Consequence Classification (Requirement 4.1); 3. A summary of risk assessment findings relevant to the tailings facility (Information may be obtained from the output of Requirement 10.1); 4. A summary of impact assessments and human exposure and vulnerability to tailings facility credible flow failure scenarios (Information may be obtained from the output of Requirements 2.4 and 3.3); 5. A description of the design for all phases of the tailings facility lifecycle, including the current and final height (Information may be obtained from the output of Requirement 5.5); 6. A summary of material findings of annual performance reviews and dam safety reviews (DSR), including implementation of mitigation measures to reduce risk to ALARP (Information may be obtained from the output of Requirements 10.4 and 10.5); 7. A summary of material findings of the environmental and social monitoring programme, including implementation of mitigation measures (Requirement 7.5); 8. A summary version of the tailings facility EPRP for facilities that have a credible failure mode(s) that could lead to a flow failure event that: (i) informed by credible flow failure scenarios from the tailings facility breach analysis; (ii) includes emergency 	



Req.	Part	Criteria	TSF 1
		<p>response measures that apply to project affected people as identified through the tailings facility breach analysis and involve cooperation with public sector agencies; and (iii) excludes details of emergency preparedness measures that apply to the Operator’s assets, or confidential information (Requirements 13.1 and 13.2);</p> <p>9. Dates of most recent and next independent reviews (Requirement 10.5); and</p> <p>10. Annual confirmation that the Operator has adequate financial capacity (including insurance to the extent commercially reasonable) to cover estimated costs of planned closure, early closure, reclamation, and post-closure of the tailings facility and its appurtenant structures (Requirement 10.7).</p> <p>All of the disclosures specified in 15.1(A) and (B) above are addressed*</p>	
	B	<p>Provide local authorities and emergency services with sufficient information derived from the breach analysis to enable effective disaster management planning (Information may be obtained from the output of Requirement 2.3).</p> <p>The disclosures specified in 15.1(item C) above are addressed.</p>	
15.2	A	The Operator maintains a systematic and timely approach to responding to requests from project-affected people for information material to the public safety and integrity of a tailings facility.	
	B	When the Operator denies such requests, an explanation shall be provided to the requesting project-affected people in a reasonable timeframe, and records shall be kept of relevant explanations provided to the requesting project-affected people.	
15.3	A	Contribute information to credible global transparency initiatives relating to the safety and integrity of tailings facilities.	
	B	Update disclosed information relating to the safety and integrity of tailings facilities periodically, as a minimum, in line with requirements in 15.1.	



Requirement 15.1 – Self-Assessment Rating Justification

Publish and regularly update information on the Operator's commitment to safe tailings facility management, implementation of its tailings governance framework, its organisation-wide policies, standards or approaches to the design, construction, monitoring and closure of tailings facilities. Such disclosures shall be made directly, unless subject to limitations imposed by regulatory authorities.

✔ Requirement 15.1.A

Criteria

a. For new tailings facilities for which the regulatory authorisation process has commenced, or that are otherwise endorsed by the Operator, the Operator shall publish and update, in accordance with Principle 21 of the UNGP, the following information:

1. A plain language summary of the rationale for the basis of the design and site selected as per the multi-criteria alternatives analysis, impact assessments, and mitigation plans (Information may be obtained from the output of multiple Requirements including, but not limited to, Requirements 3.2, 3.3, 5.1, 5.3, 6.4, 6.6, 7.1 and 10.1); and
2. The Consequence Classification. (Requirement 4.1).

b. For each existing tailings facility and in accordance with Principle 21 of the UNGP, the Operator shall publish and update at least on an annual basis, the following information:

1. A description of the tailings facility (information may be obtained from the output of Requirements 5.5 and 6.4);
2. The Consequence Classification (Requirement 4.1);
3. A summary of risk assessment findings relevant to the tailings facility (Information may be obtained from the output of Requirement 10.1);
4. A summary of impact assessments and human exposure and vulnerability to tailings facility credible flow failure scenarios (Information may be obtained from the output of Requirements 2.4 and 3.3);
5. A description of the design for all phases of the tailings facility lifecycle, including the current and final height (Information may be obtained from the output of Requirement 5.5);
6. A summary of material findings of annual performance reviews and dam safety review (DSR), including implementation of mitigation measures to reduce risk to ALARP (Information may be obtained from the output of Requirements 10.4 and 10.5);
7. A summary of material findings of the environmental and social monitoring programme, including implementation of mitigation measures (Requirement 7.5);
8. A summary version of the tailings facility EPRP for facilities that have a credible failure mode(s) that could lead to a flow failure event that: (i) informed by credible flow failure scenarios from the tailings facility breach analysis; (ii) includes emergency response measures that apply to project affected people as identified through the tailings facility breach analysis and involve cooperation with public sector agencies; and (iii) excludes details of emergency preparedness measures that apply to the Operator's assets, or confidential information (Requirements 13.1 and 13.2);
9. Dates of most recent and next independent reviews (Requirement 10.5); and
10. Annual confirmation that the Operator has adequate financial capacity (including insurance to the extent commercially reasonable) to cover estimated costs of planned closure, early closure, reclamation, and post-closure of the tailings facility and its appurtenant structures (Requirement 10.7).



c. Provide local authorities and emergency services with sufficient information derived from the breach analysis to enable effective disaster management planning (Information may be obtained from the output of Requirement 2.3).

All of the disclosures specified in 15.1(A) and (B) above are addressed*

Discussion

At Gold Fields, the safety and integrity of our tailings storage facilities (TSFs) are paramount, and we strongly emphasise transparently sharing information about our tailings management practices. In alignment with Principle 21 of the United Nations Guiding Principles (UNGP), we have made a firm commitment to publishing and regularly updating crucial information concerning our TSFs on an annual basis.

To fulfil this commitment, we have prepared our inaugural Annual Tailings Disclosure report, which comprises two sections: Section 1 features a concise and accessible plain language summary, while Section 2 provides a comprehensive self-assessment report. This report is a testament to our adherence to all the disclosure requirements outlined in Requirement 15.1.A.

By presenting this comprehensive report, we uphold transparency and accountability in our pursuit of safe tailings management. We are deeply dedicated to upholding the highest standards and continually enhancing our practices. The Annual Disclosure Report is an invaluable resource for our stakeholders, enabling them to stay well-informed about the safety and integrity of our TSFs.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

-  [Meets this Requirement](#)



🟡 Requirement 15.1.B

Criteria

Provide local authorities and emergency services with sufficient information derived from the breach analysis to enable effective disaster management planning (Information may be obtained from the output of Requirement 2.3).

The disclosures specified in 15.1(item C) above are addressed.

Discussion

At Gold Fields, we recognize the significance of proactive engagement with the community and local emergency service providers to promote effective disaster management planning. At the Cerro Corona mine, we actively collaborate with these stakeholders to enhance emergency preparedness and response measures.

The Cerro Corona Tailings Stewardship team and communities surrounding the mine have supported the Peruvian Defensa Civil with robust and comprehensive catastrophic risk and disaster resilience planning for Natural Flood Hazards along Tingo River Valley. The Defensa Civil has prepared detailed stakeholder and inundation maps for the valley and has identified agencies and their capacity to respond in a Natural Flood event. Through this initiative, the Tingo community and communities close to the mine have adequately responded to natural flood hazards and participated in emergency evacuation drills.

The Cerro Corona team has worked closely with an NGO to workshop emergency planning activities to develop an early alert system for communities downstream of the mine, intending to collaborate with the Defensa Civil.

The Cerro Corona Sustainable Development, Community Relations, and Management team maintain regular and ongoing communication with local authorities and emergency service providers, fostering strong relationships and facilitating the exchange of critical information.

As we have completed the second phase of work, which involves integrating tailings hazards into the Defensa Civil work programs, we have ranked this requirement as, “Partially Meets.”

Therefore, Gold Fields has ranked this Requirement as “Partially Meets”.

Assessment Outcome

- 🟡 Partially Meets this Requirement



Requirement 15.2 – Self-Assessment Rating Justification

Respond in a systematic and timely manner to requests from interested and affected stakeholders for additional information material to the public safety and integrity of a tailings facility. When the request for information is denied, provide an explanation to the requesting stakeholder

✔ Requirement 15.2.A

Criteria

The Operator maintains a systematic and timely approach to responding to requests from project-affected people for information material for the public safety and integrity of a tailings facility.

Discussion

At Gold Fields, we maintain a systematic and timely approach to responding to requests from project-affected people for information material to the public safety and integrity of our tailings facilities. We recognize the importance of providing transparent and accessible information to interested and affected stakeholders, and we are committed to upholding this principle.

Our Human Rights Policy Statement is embedded in our Code of Conduct, which applies to everyone associated with Gold Fields, including directors, contractors, and suppliers. This policy commits us to provide on-site grievance mechanisms for our workforce and communities, checking that concerns and information requests are addressed appropriately.

At an operational level, we have established grievance mechanisms that allow employees and contractors to raise human rights concerns. Our HR function oversees these mechanisms in consultation with our legal teams to check a comprehensive and fair resolution process. Additionally, we have implemented a confidential third-party whistleblowing hotline that provides stakeholders with a secure platform to voice their concerns.

For project-affected people seeking further information about the public safety and integrity of our tailings facilities, they can contact our dedicated Cerro Corona Community Relations team. This team will diligently document the request on the grievance register per our site grievance procedure, checking that the relevant personnel within our organization appropriately manages the request.

Furthermore, any requests submitted to Gold Fields will be directed to the VP: Global Tailings Management for general inquiries concerning our tailings storage facilities' public safety and integrity. The VP: Global Tailings Management will respond to these inquiries promptly and systematically, check that the requested information is provided, and provide any necessary explanations to the requesting stakeholders.

We are committed to maintaining open lines of communication with project-affected people and interested stakeholders, recognizing their right to access relevant information pertaining to the safety and integrity of our tailings facilities. Through our established grievance mechanisms and dedicated teams, we strive to address requests promptly, transparently, and in a manner that upholds the principles of accountability and stakeholder engagement.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)



— Requirement 15.2.B

Criteria

When the Operator denies such requests, an explanation shall be provided to the requesting project-affected people in a reasonable timeframe, and records shall be kept of relevant explanations provided to the requesting project-affected people.

Discussion

At Gold Fields, we prioritize open and transparent communication with interested and affected stakeholders regarding the public safety and integrity of our tailings storage facilities. We understand the importance of addressing requests for additional information systematically and on time.

If a request for information is denied, we are committed to providing a clear and comprehensive explanation to the requesting stakeholder within a reasonable timeframe. We understand the importance of informing stakeholders and properly understanding the reasons behind the denial.

Furthermore, we recognize the significance of keeping records of these relevant explanations provided to requesting project-affected people. This practice allows us to maintain transparency and accountability and check a documented record of our responses and decisions.

Our commitment to open dialogue and transparency remains unwavering. We are dedicated to fostering positive relationships with our stakeholders and addressing their information needs to the best of our ability. If an information request is denied, we will explain clearly, upholding our commitment to effective communication and responsible tailings facility management.

Gold Field meet this requirement. However, at the time of this disclosure, we have not encountered any instances where we have denied information requests.

Therefore, Gold Fields has ranked this Requirement as “Not Applicable”.

Assessment Outcome

- — Not Applicable



Requirement 15.3 – Self-Assessment Rating Justification

Commit to cooperate in credible global transparency initiatives to create standardized, independent, industry-wide and publicly accessible databases, inventories or other information repositories about the safety and integrity of tailings facilities

✔ Requirement 15.3.A

Criteria

Contribute information to credible global transparency initiatives relating to the safety and integrity of tailings facilities.

Discussion

Gold Fields is committed to actively participating in credible global transparency initiatives that focus on the safety and integrity of tailings storage facilities (TSFs). We firmly believe in fostering transparency in the mining sector by creating standardized, independent, industry-wide, and publicly accessible databases, inventories, or other information repositories.

Gold Fields has implemented robust measures to check transparency and disclosure regarding our tailings facilities and our approach to tailings management to fulfil this commitment. We have made this information readily available to the public on our official website, providing comprehensive and accessible details. We aim to empower stakeholders from diverse technical backgrounds to develop a comprehensive understanding of our tailings management practices.

Gold Fields actively responds to requests for disclosures from esteemed organizations such as the Church of England and the Global Tailing Review (GTR) to support our dedication to transparency and contribution to global initiatives. By cooperating with these entities and providing the requested information, we contribute to developing a global database that enriches the knowledge base surrounding the safety and integrity of TSFs worldwide.

In addition to our engagement in global transparency initiatives, Gold Fields actively collaborates with academic institutions, industry conferences, and the insurance sector to share invaluable case studies, lessons learned, and best practices related to our tailings storage facility projects. Participating in these avenues contributes to the academic discourse, provides insights for future research and industry practices, and fosters meaningful dialogue among industry experts, researchers, and students.

Furthermore, our involvement in local and international conferences allows us to present detailed case studies concerning our TSFs. By sharing our project experiences, discussing challenges encountered, and showcasing successful strategies implemented, we actively contribute to the collective knowledge base of the industry.

Moreover, we recognize the significance of engaging with the insurance sector. By presenting pertinent information about our assets and tailings management practices, we collaborate with insurance industry professionals to enhance risk assessment and mitigation strategies, thereby contributing to the overall improvement of tailings management practices.

At Gold Fields, we firmly believe that disseminating knowledge and promoting transparency are instrumental in driving continuous improvement in tailings management practices within our organization and across the industry. By actively participating in credible global transparency initiatives and collaborating with various stakeholders, we are committed to fostering a culture of transparency, sharing best practices, and shaping a safer and more sustainable future for TSFs.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ Meets this Requirement



✔ Requirement 15.3.B

Criteria

Update disclosed information relating to the safety and integrity of tailings facilities periodically, as a minimum, in line with the requirements in Requirement 15.1.

Discussion

Gold Fields is fully committed to maintaining transparency and disclosure regarding the safety and integrity of our tailings facilities. We actively engage in credible global transparency initiatives to foster the creation of standardized, independent, industry-wide, and publicly accessible databases, inventories, and information repositories that promote responsible tailings management practices.

In line with this commitment, we understand the importance of periodic updates to check the accuracy and relevance of the disclosed information. We regularly update the information on our public website to meet this requirement and provide stakeholders with up-to-date information. Through this platform, we offer details about our tailings facilities and approach to tailings management, ensuring the information is easily accessible to all interested parties.

In addition, we have prepared this inaugural version of our annual tailings disclosure report. This report is a crucial resource for stakeholders and includes a plain language summary to facilitate comprehension for readers with varying technical backgrounds. Furthermore, the report incorporates a detailed self-assessment that delves into the specifics of our tailings management practices, showcasing our commitment to operational excellence and continuous improvement.

Moving forward, we are committed to regularly issuing the annual tailings disclosure report in adherence to the Global Industry Standard on Tailings Management (GISTM) requirements. Doing so checks that the information provided to the public remains accurate, reliable, and in line with the industry's evolving standards and best practices.

Gold Fields recognizes the significance of periodic updates in maintaining transparency and enhancing stakeholder confidence. We are dedicated to sharing accurate and timely information through standardized channels, contributing to developing a comprehensive knowledge base that promotes the safety and integrity of tailings facilities industry-wide.

Therefore, Gold Fields has ranked this Requirement as “Meets”.

Assessment Outcome

- ✔ [Meets this Requirement](#)