

## **4 ORGANIZATION AND RESPONSIBILITIES**

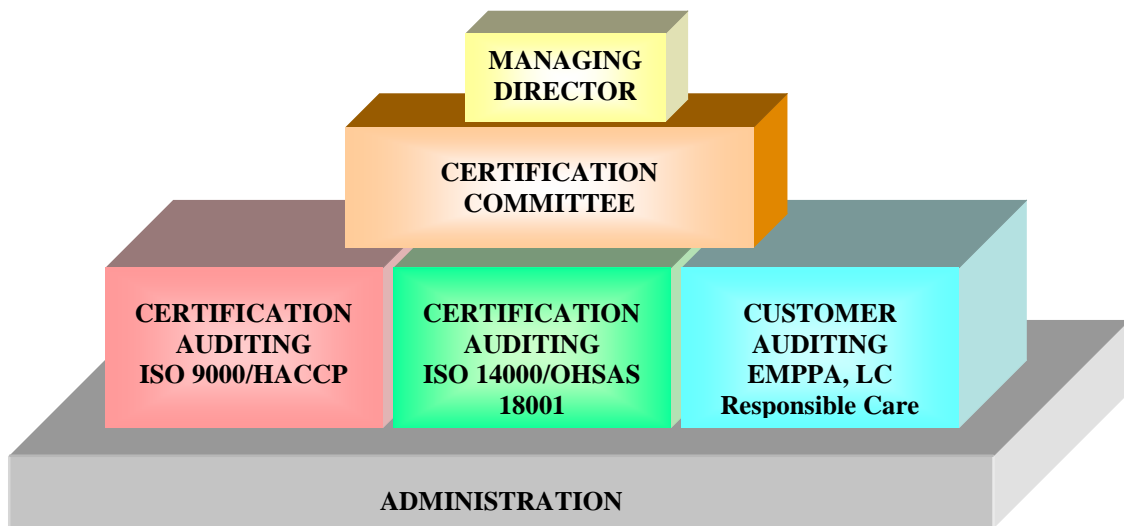
### **4.1 OBJECTIVES**

The organizational structure and responsibilities are established to ensure that the EQCSA business objectives can be achieved in an economic, effective and efficient manner.

The organizational structure will be reviewed and revised if the need arises due to the following events:

- Management review results
- Growth and legal requirements
- Continuous improvement process
- Strategy and management philosophy
- Accreditation requirements

### **4.2 ORGANIZATION STRUCTURE**



### 4.3 RESPONSIBILITIES AND ACCOUNTABILITY

<b>Management</b>		
<b>Qualifications</b>	<b>Responsibilities</b>	<b>Authorities</b>
Management Experience Min. 5 Years in an equivalent position Academic qualifications or equivalent	<ul style="list-style-type: none"> <li>➤ Responsible for all EQCSA issues</li> <li>➤ Personnel</li> <li>➤ Acquisition, Operations</li> <li>➤ Finance</li> <li>➤ Establishment of the QA-System</li> <li>➤ Accreditation and maintenance</li> <li>➤ Complaints</li> </ul>	<ul style="list-style-type: none"> <li>➤ Signing authority</li> <li>➤ Human resource matters</li> <li>➤ Business matters</li> </ul>

<b>Management Representative for Quality (MRQ)</b>		
<b>Qualifications</b>	<b>Responsibilities</b>	<b>Authorities</b>
4 years QA-Experience Academic qualifications or equivalent Auditor qualifications	<ul style="list-style-type: none"> <li>➤ Process design</li> <li>➤ Process control</li> <li>➤ Internal auditing</li> <li>➤ Implementation of the QA-System</li> <li>➤ Report to management on the QA-System performance</li> </ul>	<ul style="list-style-type: none"> <li>➤ Document release</li> <li>➤ New process implementation</li> <li>➤ Veto</li> </ul>

<b>Manager Certifications</b>		
<b>Qualifications</b>	<b>Responsibilities</b>	<b>Authorities</b>
5 years experience in certification management 2 years quality assurance experience Academic qualifications or equivalent Management experience	<ul style="list-style-type: none"> <li>➤ Operations control</li> <li>➤ Human Resource Management</li> <li>➤ Accreditation</li> <li>➤ Interpretation of standards</li> <li>➤ Process development</li> </ul>	<ul style="list-style-type: none"> <li>➤ Signing authority</li> <li>➤ Signing authority for Management System Certificates</li> </ul>

<b>Lead Auditor ISO 9000/HACCP</b>		
<b>Qualifications</b>	<b>Responsibilities</b>	<b>Authorities</b>
Tertiary education QA/HACCP – Training and basic understanding of relevant laws application Auditor Training (ISO 17021:2015)	<ul style="list-style-type: none"> <li>➤ Audit Management</li> <li>➤ Preparation of audit documentation</li> <li>➤ Confirming scope for certification with client</li> </ul>	<ul style="list-style-type: none"> <li>➤ Participation in the Steering Committee</li> </ul>

<p>2 years business related experience or 10 certification audits in business related environment or 2 years consultancy work in related business environment</p> <p>2 years in management position</p> <p>HACCP: Scope experience 3, 30, 31</p> <p>1 year Audit experience in HACCP</p>		
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<b>Lead Auditor ISO 14000</b>		
<b>Qualifications</b>	<b>Responsibilities</b>	<b>Authorities</b>
<p>“Environmental” science and technology )★</p> <p>3 years technical and environmental aspects of facility operation or 10 environmental audits in related business environment or 1 year consultancy work</p> <p>Relevant requirements of environmental laws, regulations and related documents</p> <p>2 years Environmental management</p> <p>Min. 6 Audits under guidance</p> <p>Academic qualifications or equivalent</p> <p>Auditor Training (ISO 17021:2015)</p>	<ul style="list-style-type: none"> <li>➤ Audit Management</li> <li>➤ Preparation of audit documentation</li> <li>➤ Confirming scope for certification with client</li> </ul>	<ul style="list-style-type: none"> <li>➤ Participation in the Steering Committee</li> </ul>

<b>Audit Team HACCP</b>		
<b>Qualifications</b>	<b>Responsibilities</b>	<b>Authorities</b>
<p>Formal HACCP Training ( 1 week course)</p> <p>EAC Scope 3, 30, 31</p> <p>Auditor Training: ISO 17021:2015</p> <p>Work experience 2 years in the food related environment. Audit experience is acceptable as work experience for 30% of the required work experience, provided that the audit experience has been obtained in fields related to HACCP System issues (such as: Risk Assessment, Food related Audits, Legal Requirements in Audits, Product Control and Trace ability beyond point</p>	<ul style="list-style-type: none"> <li>➤ Audit Management</li> <li>➤ Preparation of audit documentation</li> </ul>	<ul style="list-style-type: none"> <li>➤ Result recommendation</li> <li>➤ Raising and closing NCR's</li> <li>➤ Signing audit reports</li> </ul>

<p>of delivery, Engineering in specific industries such as hygiene related, chemical environment)</p> <p>The summary of team members have to meet the minimum requirements as established in the SANAS requirements.</p>		
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<b>Experts</b>		
<b>Qualifications</b>	<b>Responsibilities</b>	<b>Authorities</b>
<p>2 years appropriate experience in the working environment where their expertise is required on the audit team HACCP experts should have attended a HACCP Course, HACCP management for 1 year, a micro biology background as part of tertiary education, or where food related issues require chemical background , understanding of food related legislation.</p>	<ul style="list-style-type: none"> <li>➤ Provide expert information in the area the audit team requires the specific expertise either for legal or customer specific reasons.</li> </ul>	<ul style="list-style-type: none"> <li>➤ None</li> <li>➤ Experts are providing specific expertise to the audit team during the audit and do not interact actively with the audit customer.</li> <li>➤ Contributions by experts are evaluated by the lead auditor and only by the lead auditor integrated in the audit conduct and feedback process.</li> <li>➤ Experts are permanently supervised by the lead auditor and not be left alone with the audit customer.</li> </ul>

<b>Internal Auditors</b>		
<b>Qualifications</b>	<b>Responsibilities</b>	<b>Authorities</b>
<p>4 years QA-Experience</p> <p>Academic qualifications or equivalent</p> <p>Auditor qualifications (ISO 19011)</p> <p>Systems:</p> <ul style="list-style-type: none"> <li>➤ Process design</li> <li>➤ Process control</li> <li>➤ ISO 9001, 17021</li> <li>➤ Implementation of QA-Systems</li> </ul>	<ul style="list-style-type: none"> <li>➤ Internal auditing</li> </ul>	<ul style="list-style-type: none"> <li>➤ Result recommendation</li> <li>➤ Raising and closing NCR's</li> <li>➤ Signing audit reports</li> </ul>

Generally all audit personnel must comply with the qualification requirements of ISO 19011 (requirement Change 2004) as a minimum. Customer audits such as EMPPA's and legal or strategic audits must be carried out by an ISO 9000 or ISO 14000 Lead Auditor, respective to the audit objective and scope.

<b>Administration</b>		
<b>Qualifications</b>	<b>Responsibilities</b>	<b>Authorities</b>
<p>2 years appropriate experience</p> <p>PC-Experience</p> <p>Bookkeeping experience</p>	<ul style="list-style-type: none"> <li>➤ Appointments, leave, travelling arrangements</li> <li>➤ Typing</li> <li>➤ General administration</li> <li>➤ Documentation and records</li> </ul>	<ul style="list-style-type: none"> <li>➤ Signing authority</li> </ul>

Word processing experience	<ul style="list-style-type: none"> <li>management</li> <li>➤ Stationary orders</li> </ul>	
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<b>Impartiality Committee</b>		
<b>Qualifications</b>	<b>Responsibilities</b>	<b>Authorities</b>
Management Experience  Knowledge of standards	<ul style="list-style-type: none"> <li>➤ Certification process iaw ISO 17021</li> <li>➤ Assist in the establishment of company policy relating to impartiality of the EQCSA certification service</li> <li>➤ Evaluation of business reports</li> <li>➤ Investment</li> <li>➤ Internal audit reviews</li> <li>➤ Safeguard against tendencies by EQCSA to allow commercial or other considerations preventing the consistency of provision of objective certification services.</li> <li>➤ Conduct an annual review of impartiality of the audit, certification and decision making processes of EQCSA</li> </ul>	<ul style="list-style-type: none"> <li>➤ Financial control measures</li> <li>➤ Initiation of internal audits and other improvement measures</li> <li>➤ Threats to Impartiality of EQCSA decisions</li> <li>➤ Report and take independent action where EQCSA Management does not respect the advice of the impartiality committee to inform authorities, accreditation bodies, stakeholders and interested parties.</li> <li>➤ Advice in matters affecting confidence in certification, including openness and public perception</li> </ul>

The Impartiality Committee consists of one of the Directors of the organization and a minimum of two selected members, which have integrity and certification quality interest from our business community and client base (ensure that no single interest predominates). They convene when required by EQCSA when impartiality issues might be raised during audits, Customer complaints or other challenging event which could arise. The certification requirements and initiate action where it is important to ensure that the following business issues are ensured:

- Financial matters are in order
- Certification processes are in compliance with ISO 17021:2015 requirements
- Instructions by the accreditor are implemented
- The company policy is implemented and effective
- Business reports and customer complaints are adequately addressed and client satisfaction is achieved
- Required investments are appropriately evaluated and initiated
- Internal audits are closed with corrective actions or improvement processes
- Appeals and disputes received from organizations and/or other parties about the handling of certification or related matters.
- Threats to the impartiality of EQCSA arising from actions of other persons or organizations are addressed.
- Assistance in the development of EQCSA Policies

The Impartiality Committee will be nominated as required for the above purpose Should any discrepancy occur, the directors will call on independent opinion such as the Company Accountant or partners from other business participations, not compromising impartiality .

Should specific expertise become necessary to provide inputs into the matters discussed by the Impartiality Committee, the directors will agree on a suitable source and will invite the respective personnel to participate in a Committee meeting or where required in a sequence of meetings until the required decisions can be made, based on sound decision making criteria and information.

The meetings of the Impartiality Committee are documented by minutes of the respective meeting. All matters presented to Impartiality Committee Members is to be treated strictly confidential. Related to all matters discussed, Committee

members have the right to take independent action (such as informing authorities, accreditation bodies or stakeholders), should EQCSA not respect advice provided by Committee Members. The impartiality committee will have access to all information necessary to enable the members to fulfil the established functions for EQCSA.

To achieve the impartiality required in certification, impartiality threats are evaluated against any function a person is involved in the certification process. Auditors are adequately instructed should the outcome and information from impartiality reviews be important to the certification process in EQCSA.

(Customer seminars will be arranged as needed for change management and during the seminars, customers are informed of general certification directions. During the seminar customers can discuss understanding, concerns and opinions on certification matters. Should any change in certification standards change with affecting customers, information will be disseminated within appropriate time and comments requested (i.e. change in IAF Mandatory Documents).

EQCSA (Pty) Ltd is operating a web.site to publish important information for the client base. Clients will be reminded to access the web.site by e-mail and during audits.

<b>Referees (Members of the Impartiality Committee)</b>		
<b>Qualifications</b>	<b>Responsibilities</b>	<b>Authorities</b>
Knowledge of standards Audit experience Professional experience	<ul style="list-style-type: none"> <li>➤ Decision on audit results incritical cases</li> <li>➤ Decision in cases of certificate misuse</li> </ul>	<ul style="list-style-type: none"> <li>➤ Decision on certification issue or withdrawal</li> </ul>

Should during the certification process, queries occur (Appeals, Complaints and Disputes), which require resolution by an independent group of people, one of the Steering Committee members can call for a meeting of referees (see also Impartiality Committee). The calling member selects knowledgeable personnel not involved in the audit process, to review the matters of concern and prepares for resolution of the problem.

The process can also include the interview of the involved parties to ensure that all views are considered in the decision making process.

Should the member of the impartiality committee be involved in the critical case to be discussed, the member requests initiation of the process by one of the members of the Impartiality Committee. Thereby it must be ensured, that the member approached is not involved in the same problem area.

Any matter must be processed within 14 days after receipt of the matter. Clients, accreditor, and concerned parties must be informed about the receipt of the matter and it's processing through EQCSA within 5 days after receipt of the matter.

All matters involving the complaint from anybody regarding the certification process must be reported to the accreditor within two days after receipt of the complaint.

<b>Certification Committee</b>		
<b>Qualifications</b>	<b>Responsibilities</b>	<b>Authorities</b>
Knowledge of standards: minimum ISO 9001:2015 and ISO 14001:2015 if possible other management system standards such as Responsible Care, OHSAS 18001:2007 or TS 16949 would be an advantage  3 years professional management	<ul style="list-style-type: none"> <li>➤ Decision on audit results</li> <li>➤ Supervision on surveillance and re-certification audits</li> <li>➤ Decision on certificate misuse</li> </ul>	<ul style="list-style-type: none"> <li>➤ Certificate issue</li> <li>➤ Certificate withdrawal</li> <li>➤ Certificate issue with limitations</li> <li>➤ Suspension of certificate</li> <li>➤ Denial of certificate (Amendment 2/2005)</li> </ul>

experience		
3 years Audit Process Experience		

The Certification Committee consists of the Managing Director (if not involved in an audit to be decided on), one and/or one director (minimum members for certification decisions are one EQCSA member not involved in the audit). The Certification Committee meets regularly to decide on certificate issue. The frequency is dependent on the certification audits performed and a reasonable time to ensure that the client will receive certification in an acceptable time period after the certification audit. This process will be reviewed, as soon as more customers are certified and consideration is given to a more assuring process in regard with impartiality.

Certification is granted, denied, suspended or withdrawn by the Certification Committee. This is documented by using the Certification Release Form. In case of denial, suspension and withdrawal of certification, the Certification Committee documents their decision and motivation in form of "Minutes of Meeting" which have to be documented in those exceptional cases.

Reasons for denial, suspension or withdrawal of certification are:

- The audit result indicates a severe non-compliance to either standard or regulatory requirements
- Non-conformities are not corrected in agreement with the audit team.
- Client is not ready with a reasonable acceptable time for the audit as agreed or required for Surveillance audits. Surveillance audits should be conducted within 12 month of the certification audit and only in exceptions an extension can be accepted, provided the extension is based on reasonable ground for delay.
- The client is changing ownership with expressed non-commitment to the certified management system.
- The client is changing his business framework outside of the scope of certification without notification and adjustments of the system to the new business scope.
- The company discontinues its registered business activities.
- The company dismisses the system coordinator and there is justified concern that the system will not be appropriately used.
- Any concern arises that the client's business reputation is becoming harmful to EQCSA's reputation.

For the issue of a certificate the certification committee records the certification decision on the available certification release form. Where the Certification Committee decides against certification, the decision must be respected by EQCSA. The client shall be immediately informed of the decision and expected corrective action or discontinuation of EQCSA services. Should EQCSA not respect the Committee decision and go ahead with further certification proceedings, The Chairman or any member of the Certification Committee or the Administration manager instructed to continue proceedings shall notify SANAS, should there be no other means before to stop proceedings.

Should for the time being business partners from EQCSA (Pty) Ltd be involved in the same audit, and hence none of the Directors is available for the certification Committee, the committee members will be drawn from the Steering Committee and selected as such as to ensure impartiality in regard with the certification decision. (Amendment 2/2005)

#### 4.4 STATUTES OF INCORPORATION

Environmental Quality Certification Services Africa's (Pty) Ltd primary business will be to develop human resources competent to carry out certification audits and to provide certification services to industry and commerce with the purpose of certifying management systems to international standards.

Content of Agreement between the Directors of EQCSA:

★ "Environmental" Science and Technology must be understood in the wider context of it's young age as a discipline. It must be noted that environmental education formed part of scientific and engineering studies prior to the use of the present terminology.

**4.5 ORGANIZATION CHART (2016)**

