



POLICY FOR IMPARTIALITY

Sancert top management and staff are committed to ensuring continuous impartiality is upheld during all aspects of the certification process, we see impartiality as an important part of the certification process to ensure that confidence in Sancert by external and internal interested parties, to ensure this the following has been identified as important for impartiality: -

- Sancert will not certify any wholly owned subsidiaries.
- Sancert will not certify another certification body
- Sancert will not offer management system consultancy to any of our clients or prospective clients
- Sancert will not do any Internal Audit on our clients or certify a client that has had an internal audit done by Sancert.
- Sancert will not certify a client that it has consulted to.
- Sancert will not outsource to consultancy firms.
- Sancert will not market or link it's certification services with any other product or service and in any way imply that using one service will benefit the other.
- Sancert will not use any auditor that has consulted to a client within two years.
- Sancert will take action to respond to any threats to its impartiality
- Sancert will ensure that all personnel shall act impartially, and will ensure no other factors compromise impartiality
- Sancert personnel have the responsibility to report any situation that could have an influence on impartiality
- Sancert will not certify a management system that we have consulted to, provided internal audits, or where the relationship between Sancert and the consultancy organization poses an unacceptable threat to the impartiality. A minimum of two years must elapse

All possibilities for conflict of interests arising from certification will be identified, analyzed and documented, and Sancert will demonstrate how it eliminates or minimizes the treat to impartiality, this information will be available to the committee for safeguarding impartiality.

The Objective of Sancert is to ensure that we eliminate / control to the best of our abilities all areas where impartiality could be identified.

Threats to impartiality could include but are not limited to:-

- *Self-interest threats* – Sancert will ensure that no party or body involved is financially influenced or personally can gain from certification being provided.
- *Self-review Threats* – Sancert will ensure that no auditor has been involved / consulted with the client to be audited within two years, and therefore eliminating the auditor reviewing work he/she implemented.
- *Familiarity Threats* – Sancert auditors have to review documented evidence for all areas audited, procedures, dates and notes need to be written on auditor's notes to verify that actual evidence has been seen.
- *Intimidation Threats* – Sancert will ensure that all auditors will not tolerate intimidation and have the right and protection of Sancert to report all intimidations received. The audit will be aborted if this is found to happen

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SANCERT EMPLOYEES:

- Sancert has a Code of Ethics which all employees have access to.
- Employees and top management will not have any ties or affiliation with any other organisation at any time.
- Procedures and Policies must be followed at all times.
- All Processes are reviewed and the various committees assess the process followed.
- If it is found that a staff member has favoured a client in any way that is outside the company practice, a disciplinary hearing will be held to investigate and correct the situation.

SANCERT COMMITTEES:

- The various committees have been set up in such a manner to ensure fair and impartial decisions are made. Voting in favoured or against an issue is the right of a committee member and no pressures will be exerted to change a vote.
- All committee members are from various backgrounds and are professional in their own capacity.
- If at any time a committee member has had dealings with a "CLIENT PACK" which is being assessed, he must make this known to the other members, who will considered whether to allow his vote.

SUB-CONTRACTORS TO SANCERT (PTY) LTD:

- Various control documents have been implemented to ensure impartiality when using sub-contractors.
- An Auditor's Agreement allows for control of impartiality.
- Any work carried out by Auditors is reviewed by the committee to ensure all processes have been followed.

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