



# Audit report

[Phase 2 of this Stage 2 assessment]

**Recertification Audit**

**ISO 9001:2015**

**Recertification Audit**

**ISO 45001:2018**

**Recertification Audit**

**ISO 14001:2015**

## Assmang (Pty) Ltd - Beeshoek Iron Ore Mine

R385 Postmasburg  
8420 Postmasburg  
South Africa

### Single site

**Audit date:**

From: 14 Dec 2020 to: 18 Dec 2020

REF No.: 483538

# 1. Certificate recommendation

Thank you for your cooperation during the recent audit of your organization. This report describes the audit results including strengths, opportunities, and weaknesses. These results were presented to your management at the closing meeting of the audit. You should now use these results to further strengthen your management system. We look forward to continue our partnership towards sustainable business success.

## ISO 9001:2015

### Overall evaluation

The management system is mostly effective and fulfills the requirements of the applied standard(s), except for the identified nonconformities - see action plan(s).

### The audit team recommends to DQS in reference to the applied standard:

The issuance of the certificate as soon as implementation of corrective actions has been demonstrated.

## ISO 45001:2018

### Overall evaluation

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## ISO 14001:2015

### Overall evaluation

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### The audit team recommends to DQS in reference to the applied standard:

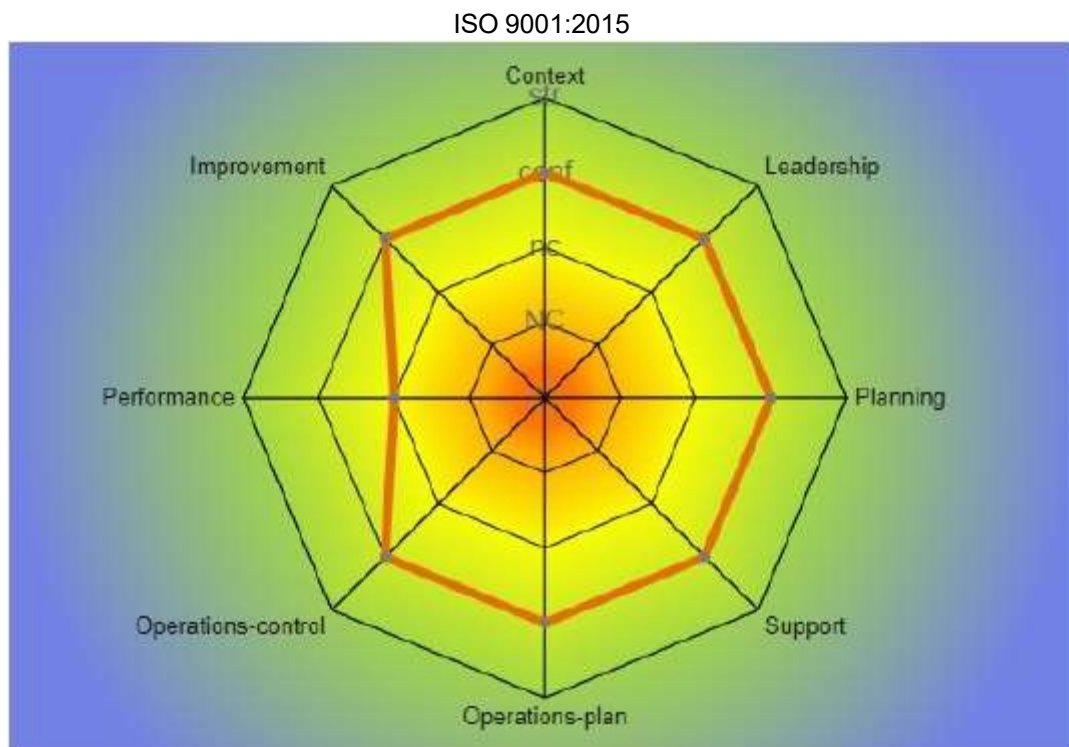
The issuance of the certificate as soon as implementation of corrective actions has been demonstrated.

Both recorded non-conformances were effectively closed out on the last day of the audit and therefor certificate on all three standard may now be issued to the client.

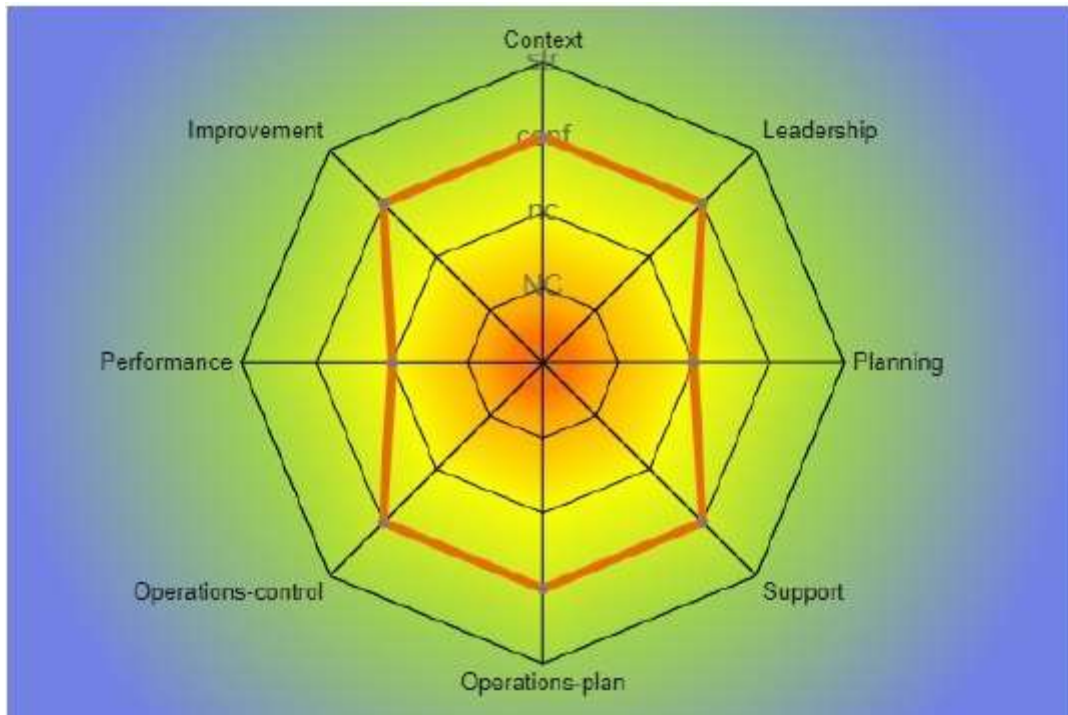
## 2. Audit results

### 2.1 Executive summary

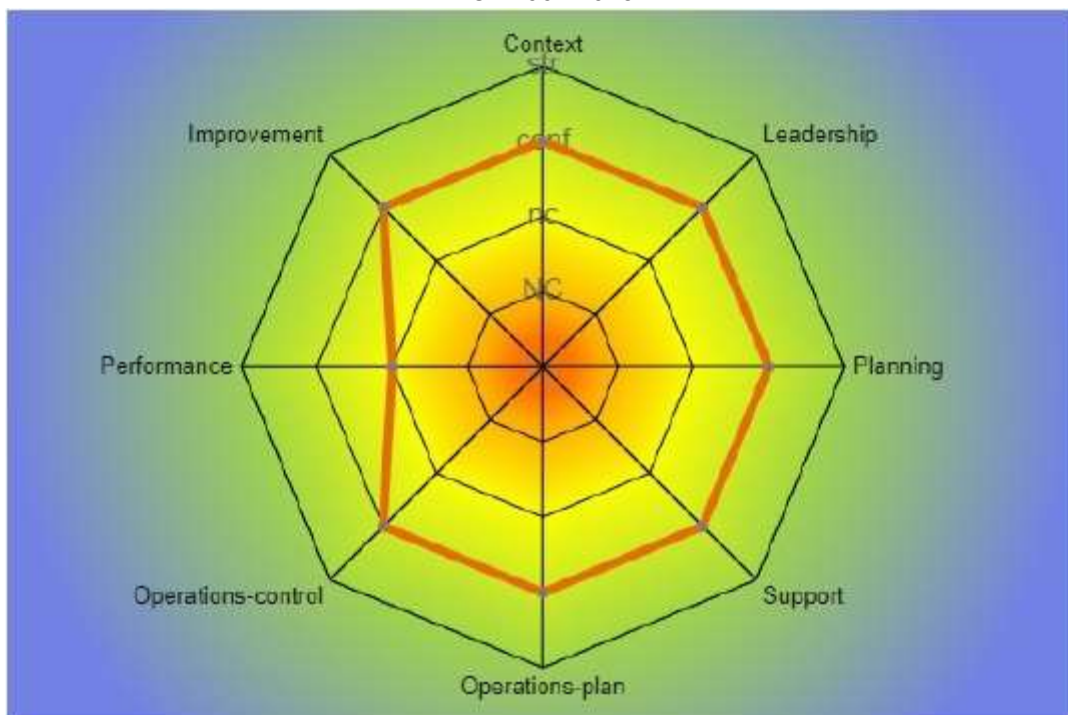
The audit team confirms that the audited company has implemented and maintains a management system in accordance with the applied standard(s). Detailed audit results were presented, explained and, as necessary, discussed with the organization's management during the closing meeting. The following chart provides a graphic overview of the respective audit findings and evaluations, which are stated explicitly in chapter 3 of this audit report.



ISO 45001:2018



ISO 14001:2015



Rating in 4 levels

*NC = major nonconformity was identified, conformity to standard requirement was not evident or potential risk for providing nonconforming product/service to customer*

*nc = minor nonconformity was identified, single or isolated deficiencies were identified without impact onto the system's effectiveness*

*conf = conforming, all requirements are fully met, (with or without potential for improvement)*

*str = conforming, all requirements are fully met and significant strength was identified, evident through excellent results*

All audit findings are based on a sampling process, targeted towards reliable evidence for effective implementation and compliance of the management system. Where applicable findings and required corrective action plans were or will be agreed upon with the responsible managers or management representatives, steps have been or will be

defined to resolve such non-conformity. Further business aspects may exist, positive or negative, which have not been reviewed by the audit team. It is the organization's responsibility to investigate and evaluate the potential impact and scope of findings, thus continuously ensuring full compliance to the applied standard(s).

## 2.2 Strength(s) - Exceed(s) the requirements of the standard/specification

No.	Standard	Requirement	Process	Statement	Evaluation
1	ISO 14001:2015	8.1	Water & Waste Management [[Incl. Tailings Storage Facility (TSF)]; [-Waste Management-]	The mine- wide initiative of waste separation at point of use [placing of smaller waste bins] was also visible in the workplace office passages and in the offices and this awareness initiative ought to be complimented and noted as a strength in the environmental management program.	Strength
2	ISO 9001:2015;ISO 45001:2018;ISO 14001:2015	5.1	Management Commitment	The commitment of the entire Beeshoek's-top management team notes and experienced during this audit.	Strength

## 2.3 Opportunities for improvement and non-conformities

nc = minor nonconformity, NC = Major nonconformity, OFI = Opportunity for improvement

No.	Standard	Requirement	Process	Statement	Evaluation
1	ISO 45001:2018	6.1; 6.1.3	ENGINEERING (Including civil services, plant maintenance, drawings, transport, electrical)	Of the he logbooks [monthly inspection registers] for portable electrical equipment and stepladders sampled and it was noted that the last time the logbooks were signed was in October 2020. The Logbook standard, document number SML_ENG_28052019_14668 in Paragraph 5 Activities, sub-clause 5.1.5.1, dictates that the logbooks shall be signed once a month by an appointed competent person and the Foreman. At the time of the audit the logbooks were not signed as per the standard requirements.	nc closed
2	ISO 9001:2015;ISO 45001:2018;ISO 14001:2015	9.2; 9.1.2	Internal Audits	From an internal audit report, dated 26-30 October 2020, it is not clear whether all clauses of the four relevant standards [as indicated in the scope of the audit] were audited and the audit plan indicates that the internal audit was conducted on the systems documentation and the report only reflects "Findings". No documented evidence of an internal audit on any of the operational processes being conducted available or could be provided. It was also learned that this private company assisted in the guidance of implementation and training on the standard at this Beeshoek Mine and then audited this system documentation, which is a conflict of interest with regards to objectivity and impartiality.	nc closed
3	ISO 45001:2018	7.5	Engineering (Including civil services, plant maintenance, drawings, transport, electrical); [-ENGINEERING WORKSHOPS, PLANT MAINTENANCE-]	All though the organization are in compliance with the internal procedure requirements regarding issuance of lifting equipment/tackle, it was observed that the current format in use for issuing lifting equipment is in duplicate form. The person issued the lifting equipment is given a slip and the slip is returned when the lifting equipment is returned. Due to the nature of the operation, the possibility exists that the slip might be lost or even become wet. It is recommended that the organization could consider designing a bonded book as an issue register for signing in and out of equipment.	OFI
4	ISO 45001:2018	8.1	ENGINEERING (Including civil services, plant maintenance, drawings, transport, electrical); [-ENGINEERING WORKSHOPS, PLANT MAINTENANCE-]	Although the organization are in compliance with legal and other requirements with regards to inspections of lifting equipment/ tackle, it was noted during interviews that there were uncertainties between the employees of the equipment inspection color coding and	OFI

No.	Standard	Requirement	Process	Statement	Evaluation
				<p>there is no indication at any working place of what the color coding should be. [although correctly coded for this specific quarter] It could thus be considered having a color- coding chart indicating what the color coding is for the quarter, posted in workshop areas.</p>	
5	ISO 9001:2015;ISO 45001:2018;ISO 14001:2015	10.2; 7.5	SHERQ [incl. Management System Documentation] [- Incident/Accident investigation documents-]	<p>Although the organization complies with the requirements of the relevant standards and their internal procedural requirements regarding incident/ accident investigations, the following could however be considered [taken into account that the recording of incidents/ NCRs, etc. are done on ISOMatrix] to provide for</p> <p style="padding-left: 20px;">A reference to the initial recorded NCR number on the investigation reports, as in its current format, there is no link between the two.</p> <p style="padding-left: 20px;">A clear statement of decision on environmental incident investigations on the NCR recording sheet, whether investigation is required or not;</p>	OFI
6	ISO 9001:2015;ISO 45001:2018;ISO 14001:2015	9.2	Internal Audits	<p>It is organization's responsibility to ensure competency of auditors outsourced. [in this incident, experience in wellness and disease management, - for auditing SANS 16001:2013 - which differs from Occupational Health and Safety].The 'competency ' - by virtue of training or experience - of the auditors of "Safety Advantage CC" on auditing of SANS 16001:2013 [Wellness and Disease (HIV &amp; Aids included) could not be verified, demonstrated nor provided.]</p> <p>This organization could consider the evaluation of competencies of outsourced auditors as part of their improvement plan.</p>	OFI
7	ISO 14001:2015	6.2	Outsourced Processes including Life Clinic and Security; [CLINIC-]	<p>Although this organization/ Dept. [the Medical Clinic] is in compliance with the relevant standard regarding setting Environmental objectives and Targets, it could be considered by Life Health Care to also set environmental objectives and targets for themselves.</p>	OFI



### 3. Evaluation of the management system

#### 3.1 Context of the organization

##### ISO 9001:2015

	NC	nc	conf	str	not audited
The organization has determined external and internal issues relevant to its purpose and ability to achieve the intended outcome of its management system. (4.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has determined relevant needs and expectations of interested parties and determined which needs and expectations are compliance obligations. (4.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has determined its management system scope considering applicable issues, compliance obligations, boundaries, activities, and functions. (4.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
For every process all standard requirements have been applied effectively (inputs, outputs, criteria, indicators, resources, interaction, authority, risk). (4.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

##### ISO 45001:2018

	NC	nc	conf	str	not audited
The organization has determined external and internal issues relevant to its purpose and ability to achieve the intended outcomes of its OH&S management system. (4.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has determined the needs and expectations of workers and other interested parties relevant to the OH&S management system, and which of those are or could become legal or other requirements. (4.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has considered the external and internal issues and requirements, as well as taken into account planned or performed work related activities and determined the boundaries of the OH&S management system. (4.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has established, implemented, maintains and continually improves an OH&S management system, including the processes needed and their interactions. (4.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

##### ISO 14001:2015

	NC	nc	conf	str	not audited
The organization has determined external and internal issues relevant to its purpose and ability to achieve the intended outcome of its management system. (4.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has determined relevant needs and expectations of interested parties and determined which needs and expectations are compliance obligations. (4.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has determined its management system scope considering applicable issues, compliance obligations, boundaries, activities, and functions. (4.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
To achieve intended outcomes and enhancement of the environmental management system, the organization has established the processes and interactions needed. (4.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### 4.1

The organization has documented a Policy Manual, document reference number SI\_STR\_14082017\_12821, Version 2.93 effective date 17/08/2020 and the manual gives guidelines as to how to determine the context of the

organization, identify internal and external issues as well as understanding the needs and expectations of the interested parties.

The manual lists internal and external issues that are relevant to the strategy of the organization, both positive and negative. The listed issues are amongst others the following; Business processes - Strategic, operational, compliance and Integrated Management System, Strategic direction, processes, people, systems, knowledge, values, culture, infrastructure, equipment, performance, products and services, environmental aspects and emergency situations;

The Context of the organization chart, document number SI\_SIP\_01122020\_16351, version 0.43 dated 8/12/2020 refers to issues that are identified through a SWOT Analysis and that are continuously monitored and reviewed through the Management Review meetings.

The organization has determined relevant needs and expectations of interested parties and determined which needs and expectations are compliance obligations. A Matrix has been defined and it indicates which of those needs compliance obligations are and which action is to be taken in case they are compliance obligations.

The determined and documented internal and external issues that are relevant to the business through conducting a SWOT analysis. The SWOT analysis is monitored and reviewed on an on-going basis and in management reviews. The issues have been documented on SWOT\_- Log- Beeshoek. The Policy Manual, Document Number: SI\_STR\_14082017\_12821 on section 4.1 also gives a highlight of the issues and where in the documented management system these will be documented. Therefore, internal and external issues relevant to the IMS Management System for Beeshoek Iron Ore Mine have been determined and issues identified were incorporated within documented information reviewed during the assessment. It was confirmed that all issues relevant have been determined and those capable of affecting the intended outcome of the management system being: to provide products and services that meet customer requirements, ensure compliance to statutory and regulatory requirements, meet its objectives and targets and ensure commitment towards continual improvement of the IMS.

The Management System implemented and maintained at Beeshoek Iron Ore Mine is aligned with to the ISO 14001:2015, ISO 9001:2015 and ISO 45001:2018 standards and has been developed around the elements effectively. The system design is based on the principles of environmental, occupational health and safety and quality management through implementing policies and programs integrated with company business and planning. The documented policy manual, Document Number: SI\_STR\_14082017\_12821, dated 17th of August 2020 provides overall direction through the management system applying the PDCA cycle.

#### 4.2

Interested and affected parties (stakeholders) have been determined and incorporated within the Policy Manual, Document Number: SI\_STR\_14082017\_12821 on section 4.2 for Interested and Affected parties. The following have been identified in the business: Customers, Employees, Shareholders, Suppliers and contractors, Organized Labor, Community / public / neighbors / Visitors, Regulators and Associations. Their needs and expectations have also been identified and documented as needed. Each of these needs have also been identified as either legal or other requirement in the organization. Document Number: SI\_SIP\_01122020\_16351 on the Context of the organization details what issues need to be monitored.

#### 4.3

With regards to the integrated management system, the scope is defined as as mining and supply of Iron Ore products and internal competency training. The scope ia maintained as documented information Policy Manual, Document Number: SI\_STR\_14082017\_12821 on section 4.3. An opportunity to make the scope available during public participations forums was identified. No concerns noted regarding the scope of the management system as defined.

#### 4.4

The management systems have been established with the intended outcome defined and includes to: provide products and services that meet customer requirements, ensure compliance to statutory and regulatory requirements, meet its objectives and targets and ensure commitment towards continual improvement of the IMS. There is evidence in the documentation provided Policy Manual, Document Number: SI\_STR\_14082017\_12821, that the mine has established a management system that is capable of being implemented, maintained and also continually improved. The business has also determined possible interactions in their integrated management system, as needed. Processes are managed in the business using procedures, and inputs, outputs, criteria for measurement have been determined.

### 3.2 Leadership

#### ISO 9001:2015

	NC	nc	conf	str	not audited
Top management demonstrates leadership and commitment with respect to the management system and take accountability for its effectiveness. (5.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The policy and objectives are established and understood; they are compatible with context and strategic direction of the organization. (5.1, 5.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Top management ensures customer focus, including awareness for requirements, risks, opportunities and customer satisfaction. (5.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Organizational roles, responsibilities and authorities are assigned, communicated, understood and supported by top management. (5.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

The audited company's current quality policy is dated 01 Dec 2020.

#### ISO 45001:2018

	NC	nc	conf	str	not audited
Top management demonstrates leadership and commitment with respect to the management system and takes accountability for its effectiveness. (5.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Top management takes overall responsibility and accountability for the prevention of work-related injury and/or ill health as well as the provision of a safe and healthy workplace(s) and activities (5.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The policy and objectives are established and understood. (5.1) The policy is appropriate to purpose, scope and context and includes commitments to consultation and participation of workers and/or workers reps, fulfill legal and other requirements, eliminate hazards and reduce OH&S risks, and continual improvement. (5.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Organizational roles, responsibilities and authorities are assigned, communicated, understood and supported by top management (5.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has a process(es) for consultation and participation of workers/reps at all applicable levels in the development, planning, implementation, performance evaluation and actions for improvement of the OH&S management system. (5.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### ISO 14001:2015

	NC	nc	conf	str	not audited
Top management demonstrates leadership and commitment with respect to the management system and take accountability for its effectiveness. (5.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The policy and objectives are established and understood; they are compatible with context and strategic direction of the organization. (5.1, 5.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The policy is appropriate to purpose, scope and context and includes commitments to protection of the environment, prevention of pollution, compliance obligations, and continual improvement. (5.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Organizational roles, responsibilities and authorities are assigned, communicated, understood and supported by top management. (5.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

The audited company's current environmental policy is dated 01 Dec 2020.

## 5.1

The Management commitment has been demonstrated by setting the quality objectives as well as ensuring that the Integrated Management System is effective and adequately maintained. The IMS Policy and the objectives have been determined, documented and communicated accordingly.

Beeshoek Iron Ore Mine's Top management has demonstrated leadership and commitment with respect to the IMS management system, this is defined and detailed adequately in the on Leadership and Commitment section in Beeshoek Iron Ore Mine Manual. Leadership commitment has been shown through the implementation of the IMS Policy across the mine and related operations. The management is also involved in the management reviews that enable continual improvement. Line management also participates in regular meetings. The organization has assigned responsibilities and accountability with regards to work related issues including IMS roles and responsibilities. Mine management has provided for the prevention of work-related health injury and ill health as well as the provision of safe and healthy workplaces and activities through IMS budgeting, Health Surveillance, among other initiatives. The organization has also put in place measures that would ensuring that the IMS policy and related SHE objectives are established and are compatible with the strategic direction of the organization. Beeshoek Iron Ore Mine is also supporting the establishment and functioning of health and safety committees as a way to encourage worker participation. Overall performance of the management system is communicated, as well as how workers actions affect production and occupational health, safety and IMS performance.

### 5.1.2.

Management demonstrate its leadership and commitment to customer focus by determining, understanding and consistently ensuring that the regulatory and statutory requirements are met. Opportunities for improvements are determined and addressed through customer satisfaction surveys to ensure customer satisfaction is maintained.

The organization has a customer satisfaction survey form, document reference number F\_SIP\_16022017\_9781, Version 3.0 which has prompting questions to determine customer satisfaction using a score of 1 – 5.

The following customer service surveys were sampled;

- Metallurgical customer survey for quarters 3 & 4 and the average results were excellent.
- HRD Department customer satisfaction survey for quarters 1 & 4 and the average results were good.

## 5.2

Top Management has established, implemented and maintains the Integrated Management System Policy, document number SI\_STR\_17022017\_10324. The policy has been sampled and was found to be appropriate to the purpose and context of the organization and supports its strategic direction, provides a framework for setting quality objectives and it includes a commitment to continual improvement of the integrated management system.

This IMS Policy is signed by the current General Manager and dated 1/12/2020.

The Policy is communicated in diverse forms such as;

- discussing it in meetings,
- sharing it through emails,
- displaying it on notice boards as well as
- making it available to external parties on request.

5.3 Organizational roles, responsibilities and authorities are documented, communicated and understood through job profiles, appointment letters, legal appointments and organograms. The organization has a Standard Procedures- System Information SHERQ Organizational Structure, Roles, Responsibilities and Authorities, document number SP\_SIP\_21022017\_11678 in place. Appended to the Standard Procedure is the RACI MATRIX which defines in details the SHERQ roles and responsibilities of the relevant individuals.

The following legal appointments were sampled, with positive results;

- Engineering Manager.
- Mine Manager and
- Senior General Manager.

#### 5.4 Consultation and participation of workers

The Top Management of Assmang Beeshoek Mine, in consultation with the union representatives, employee representatives, and other interested and affected parties, has established a health and safety committee. This committee serves as a platform for consultation and participation of workers in matters relating to IMS/SHERQ.

Evidence of worker participation was demonstrated in the reviewing of the COVID 19 MCOP (the attendance register of participants was presented and the formation of attendants was inclusive of the employees and their representatives.

### 3.3 Planning

#### ISO 9001:2015

	NC	nc	conf	str	not audited
The organization has determined risks and opportunities considering interested parties and scope of the management system. (6.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has determined and planned suitable actions to assure intended outcomes, including compliance obligations to address risks and opportunities. (6.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Objectives (measurable) have been established at all relevant functions, levels and processes (and are being pursued). (6.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Action planning to achieve quality objectives is deployed effectively, including the need for change (who, when, what, how, resources, evaluation of results). (6.2, 6.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### ISO 45001:2018

	NC	nc	conf	str	not audited
The organization has determined risks and opportunities considering the context, interested parties and scope of the management system. (6.1.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has determined and planned suitable actions to assure intended outcomes, including compliance obligations to address risks and opportunities. (6.1.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has established, implemented and maintained a process(es) for hazard identification that is ongoing and proactive. (6.1.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization's methodology(ies) and criteria for the assessment of OH&S risks and opportunities has been defined with respect to their scope, nature and timing to ensure they are proactive rather than reactive and are used in a systematic way. (6.1.2.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has determined legal requirements and other requirements related to its hazards, OH&S risks and how these legal requirements and other requirements apply to the organization. (6.1.3).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
OH&S objectives have been planned and established at all relevant functions/ levels. (6.2.1) They are consistent with the OH&S policy, measurable (if practicable) or capable of performance evaluation, monitored, communicated, updated as appropriate. (6.2.1) The OH&S objectives take into account applicable requirements, the results of the assessment of risks and opportunities, the results of consultation with workers (see 5.4), and, where they exist, workers representatives. (6.2.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### ISO 14001:2015

	NC	nc	conf	str	not audited
The organization has determined risks and opportunities considering interested parties and scope of the management system. (6.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has determined and planned suitable actions to assure intended outcomes, including compliance obligations to address risks and opportunities. (6.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Objectives (measurable) have been established at all relevant functions, levels and processes (and are being pursued). (6.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	NC	nc	conf	str	not audited
Actions planned to achieve environmental objectives include how results will be evaluated, indicators for progress, determining resources, responsibility and when it will be completed. (6.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has determined compliance obligations related to its environmental aspects and how these compliance obligations apply to the organization (6.1). Life cycle perspective has considered the environmental aspects of activities, products and services. (6.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### 6.1.1

The organization has a standard procedure on risks and opportunities, document number RSK\_TEC\_03102018\_14485, dated 8 December 2020. The procedure gives a detailed outline of how the Risks and Opportunities are assessed from the Enterprise Risk Assessment to the continuous Risk Assessment. A baseline risk assessment was presented for sampling and it is integrated and it includes the quality risks and opportunities. The Baseline Risks Assessment sampled appeared to be integrated into the operation as well as the Integrated Management System.

### 6.1.2

Hazard identification that is ongoing and proactive are documented in the Baseline Risk Assessment and Task Risk assessments (Aura).

Criteria for the assessment of OH&S and Environmental risks and opportunities included

- The likelihood of the hazard or risk concerned occurring.
- The degree of harm that might result from the hazard or risk.
- Knowledge about the hazard or risk and ways of eliminating or minimizing the risk.
- The availability and suitability of ways to eliminate or minimise the risk.

After assessing the extent of the risk and the available ways of eliminating or minimizing the risk, the cost associated with available ways of eliminating or minimizing the risk, including whether the cost is grossly disproportionate to the risk.

### 6.1.3

Legal and other requirements applicable to the company is clearly defined in the Legal Requirements Process flow diagram as referenced in document SP\_TEC\_21022017\_11671.

Detail is available in documents

Legal register

Other requirements register, F-SIP-SYSTEM INFORMATION, F\_SIP\_16022017\_9587

## 6.2

Objectives (measurable) have been established at all relevant functions, levels and processes (and are being pursued). (6.2)

The organization has set objectives and the objectives appeared to be consistent with the quality policy. The organization has the Standard Procedure on IMS, document number SP\_SIP\_21022017\_11677 dated 10/12/2020. The procedure clearly defines that objectives are set from among others, significant risks defined from risk assessments, production requirements, legislative requirements and views of interested parties and stakeholders. The standard procedure also defines how the objectives should be communicated, such as including the objectives in management annual performance reviews and through the relevant IMS Meetings and inductions.

The following are some of the objectives that the organization has set for the year 2019/2020:



- Maintain customer quality specifications.
- Less than 5% deviation on declared tonnages.
- ISO 9001:2015 recertification.

### 3.4 Support

#### ISO 9001:2015

	NC	nc	conf	str	not audited
Necessary resources (people, infrastructure, organizational knowledge, environment for the operation of processes) including monitoring and measuring resources are determined and provided for the establishment, implementation, maintenance and continual improvement of the management system. (7.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Necessary competence and awareness of personnel operating under the organization's control is ensured. (7.2, 7.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Effective internal and external communication is determined (who, how, what, when). (7.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Documented information is determined, available, maintained and controlled, ensuring effectiveness of the management system and its processes. (7.5)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### ISO 45001:2018

	NC	nc	conf	str	not audited
The organization has determined and provided the resources needed for the establishment, implementation, maintenance and continual improvement of the OH&S management system. (7.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has determined the necessary competence and awareness of personnel operating and ensures that workers are competent on the basis of appropriate education, training or experience. (7.2, 7.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Workers have been made aware of the OH&S policy and OH&S objectives. (7.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Effective internal and external communication is determined (what, when, who, how). (7.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has taken into account diversity aspects (e.g. gender, language, culture, literacy, disability), its legal requirements and other requirements when considering its communication needs. (7.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Documented information is determined, available, maintained and controlled, ensuring effectiveness of the management system and its processes. (7.5)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### ISO 14001:2015

	NC	nc	conf	str	not audited
Necessary resources (people, infrastructure) including monitoring and measuring resources are determined and provided for the establishment, implementation, maintenance and continual improvement of the management system. (7.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Necessary competence and awareness of personnel operating under the organization's control is ensured. (7.2, 7.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Effective internal and external communication is determined (who, how, what, when). (7.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Documented information is determined, available, maintained and controlled, ensuring effectiveness of the management system and its processes. (7.5)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## 7.1

### Monitoring and measuring resources

Calibration and verification of plant equipment - Document Number: SP\_OPS\_20022017\_11570 - Version: 4.0

Effective Date: 5/28/2020, Review Date:5/28/2022

- Weightometers are
  - monthly checked and calibrated;
  - calibrated after installation of new conveyor;
  - calibrated after old conveyor splicing;
  - calibrated by the OEM as scheduled;
- The Iron scans and Geoscans are remotely calibrated monthly; and are three-monthly serviced by the OEM.
- Weighbridges are monthly checked.
- Mass Flow Meters - All mass flow meters will be verified and calibrated by the OEM on request.

Crusher Mechanical Maintenance Foreman shall physically measure the crusher gaps and compare to the ASR and SCADA set points. Adjustments are made where any discrepancies arise.

Balances & Scales - As prompted by CMMS; the balances and scales at both wet chemical lab and sampling are calibrated biannually by an external accredited service provider.

Samples of calibrated verified devices:

- Road scale – Verification certificate – VC No: 0000555 – Date of Verification – 29/09/2020 – Certificate Expiry Date – 29/09/2022.
- Railroad Scale – Verification certificate – VC No: 0000556 - Date of Verification – 30/09/2020 – Certificate Expiry Date – 30/09/2022.
- Noise Dosimeters – Calibration certificate – 3865225 – Date of Issue – 31/01/2020 – Certificate Expiry Date – 30/01/2021.
- Acoustic Calibrator – Calibration certificate – 5060708 - Date of Verification – 31/01/2020 – Certificate Expiry Date – 30/01/2021.
- Dust Pump – SKC Certificate of Compliance (AirChek52 – Certificate No. CAL923/2020 – S/N: 981937 – Date of calibration – 23/11/2020 – Expiry date – 23/11/2021.
- Micromanometer (Airflow) – Serial No. PVM621731017 – Certificate No. L76933 – Issue date – 31/01/2020 – Expiry date – 30/01/2021.

The mine determines the organizational knowledge required through a risk management process. Organizational knowledge is maintained through procedures, succession candidates, and management systems such as Isometrix and shared document folders. Due to the Mine's flat resource structure, employees also work closely together ensuring that there is always someone available to assist.

Organizational knowledge includes:

- Intellectual property;
- Experience gained knowledge;
- Lessons learned from non-conformances/incidents/failures;
- Standards; and
- Conferences and gatherings; etc.

## 7.2.

Assmang (Pty) Ltd – Beeshoek Iron Ore Mine has determined the necessary competence of persons doing work under its control that affects the performance and effectiveness of the IMS. Competency details are documented and maintained by the HRD department.

The Mine ensures that competent people are recruited and those needing development are sent to the relevant internal/external courses.

Methods used:

- Employee and contractor training files
- Competency matrix
- Planned task observations
- Appointments - (Documentation No. F ENG-02102018 – 14474) – Authorisation to Operate and Clean Conveyor System – In terms of Regulation 8.9(1) as a competent person (MHSA)
- Individual Development Plan (IDP) - refers to a signed off document indicating the individual's competency and formal educational qualification gaps in terms of his/her (1) current role, and (2) the next hierarchical role in the same discipline in order for the relevant and appropriate learning/training/exposure interventions to take place / be scheduled to close his/her competency gap.

IDP (Individual Development Plan) – Sample checked and verified - Appointment date 25/05/201 – Belt Attendant.

### 7.3.

All persons entering the Mine are made aware of the Integrated Policy Statement, IMS objectives, what role they play in the IMS and the penalties regarding noncompliance. This is done through induction (upon entry and then annually) and various sets of SHERQ communication

- Induction records – Induction set out as per each individual – Cover sheet – F\_HUM\_15022017\_9541 – sample taken confirmed 08/12/2020
- SHERQ flashes
- Talk topic Main topic: December 2020 Topic INTEGRATED Management system audits.

Workers have been made aware of the OH&S policy and OH&S objectives:

- IMS Training - Training History Report – 01/09/202020 – 14/12/2020.
- Training on LMS – Covers Policy – Mandatory Training on Induction.
- Integrated Policy statement – SI – STR- 17022017 – 10324 – effective date 01/12/2020 – Review 12/01/22.
- Policy Manual – SI-STR-14082017-12821 – 14/12/2020. Expiry 14/12/2024.
- IMS Objectives – SP\_SIP\_21022017\_11677 – Effective date – 10/12/2020 – Review Date – 17/12/2024.

All objectives are communicated to all levels of staff through the relevant IMS Meetings and inductions.

- Objectives are included in management annual performance reviews.
- Objective reviews are conducted at least annually and results discussed at the IMS Meetings

### 7.4

To be read with 5.4 as combined in one procedure.

7. 5 Documented information - Document Number: SP\_TEC\_12092017\_13004 - The purpose of this procedure is to create guidelines for the control and maintenance of document information (in any format or media and from any source) and the mediums on which it is contained.

- Legal and other requirements.
- SHERQ Accident, Nonconformance Investigations, Corrective and Preventive Action Implementation
- Communication and Consultation (SP\_SIP\_20022017\_11639)



### 3.5 Operation

#### a) Operational planning and control

##### ISO 9001:2015

	NC	nc	conf	str	not audited
All operational processes needed to meet product and service requirements, including customer-specific requirements, are planned, implemented and controlled effectively. (8.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Effective customer communication ensures that all relevant requirements related to product and service are determined, reviewed and confirmed. (8.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has established, implemented and maintains an effective design and development process, ensuring subsequent provision of compliant product and services. (8.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Externally provided processes, products and services are effectively controlled, including selection and evaluation of external providers. (8.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

##### ISO 45001:2018

	NC	nc	conf	str	not audited
The organization has planned, implemented, controls and maintains the processes needed to meet requirements of the OH&S management system by establishing criteria and controls. (8.1.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has a process for elimination of hazards and reduction of OH&S risks using a hierarchy of control (> eliminate, substitute, engineering controls, administrative controls, personal protective equipment). (8.1.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has a process for managing change that can impact OH&S performance (including: products, services and processes, legal requirements and other requirements, knowledge or information about hazards and OH&S risks and technology). (8.1.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has a process to control procurement of products and services to ensure their conformity to OH&S management system (8.1.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization coordinates procedure processes with its contractors activities and operations that can impact the organization, their workers, interested parties, and the contractors workers. (8.1.4.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization controls outsourced functions and processes. The type and degree of control to be applied is defined within the OH&S management system and are consistent with legal requirements and other requirements. (8.1.4.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

##### ISO 14001:2015

	NC	nc	conf	str	not audited
A life cycle perspective is evident in the processes for design and development, procurement of products and services, and in external communication processes. (8.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The type and extent of controlling outsourced processes are defined and controlled or influenced. (8.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	NC	nc	conf	str	not audited
The organization has established controls, as appropriate, to ensure that its environmental requirement(s) is (are) addressed in the design and development process. (8.1, 8.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization communicates its relevant environmental requirement(s) to external providers, including contractors (8.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## 8.1

IMS Planning Procedure - Document Number: SP\_SIP\_21022017\_11680 - Effective Date: 12/12/2020 Review Date: 12/12/2024

To ensure that planning of processes is carried out in order to meet the requirements of the Assmang Beeshoek mine IMS as well as the IMS objectives and also to ensure that the integrity of the SHERQ MS is maintained when changes are planned and implemented.

The plant design, nature of the ore body, customer requirements and statutory requirements are considered during the processing of the product. All stages of the process follow a PDCA approach to ensure that all required tests are done to produce the desired yield.

The organisation has established a procurement management process where there are various systems in place to conform to legal and other requirements. The details on how the processes are managed are covered in the following procedures and other corporate standards as guidelines:

- Stores procedure SP\_FIN\_19022017\_10861
- Return to supplier SP\_FIN\_19022017\_10855
- General conditions of purchase SP\_FIN\_27022017\_12009
- Stores Purchasing SP\_FIN\_19022017\_10874

### Outsourcing

Assmang (Pty) Ltd – Beeshoek Iron Ore Mine controls outsourced processes through the following:

- Procurement evaluations;
- Contracts – SLA;
- Audits and inspections;
- Safety files;
- Communication, participation and consultation forums.

Sample in Action Management of an audit finding:

Clause 8.3 - Mine Design to be included within the IMS System where required. Certain processes for design are outsourced, however some departments do conduct design within their area of functionality. I.e. HRD

External - Internal Audits - IMS- 26 October 2020 - 26 Oct 2020

## OPERATIONAL: SITE/PROCESSES VISIT:

### METALLURGICAL OPERATIONS (Cleaning, washing and screening, Jig, loading);

The plant is operating a 3-shift cycle and fatigue is strictly monitored to ensure that people are not exposed to fatigue. The fatigue management Mandatory COP; reference number L\_TEC\_21042017\_12379 dated 29 June 2017 has been adopted by the Mine. At the washing and screening plant the noise levels are displayed as Minimum 71Decibels and Maximum 103 Decibels and the last survey was done 01/09/2020. The jig lumpy conveyor belt, CV07 was inspected and it was found that the emergency trip wire is fitted for the entire length of the belt. The guarding at the head pulley, take up pulley and tail pulley was also found to be up to standard.

To ensure that there is no contamination of the product, the ore separation is fitted with the monitoring cutters. All the belts are fitted with weightometers and all weightometers were found to have been calibrated. The following calibration certificates were sampled:

- DWC No: 163701, dated 25 August 2020
- DWC No: 163702, dated 26 August 2020
- DWC No: 163727, dated 27 August 2020

The control room operator was interviewed and he demonstrated a satisfactory knowledge and understanding of the Integrated Management System. All the documents in the control room were up to date and compliance was observed.

- CH 26 Static Lumpy Screen

The two overhead cranes, B19 5-ton crane and B20 5-ton crane appeared to have been inspected for the quarter. It was also demonstrated that load testing was also done on the cranes. The following load test certificates were submitted as evidence.

- CB 19 overhead crane Certificate number: NK3021-8 Date tested: 19/03/2020
- CB 20 overhead crane Certificate number: NK3021-7 Date tested: 19/03/2020

The plant has a dedicated waste station and waste is separated at source. The general house keeping at the plant is commendable.

### ENGINEERING (Including civil services, plant maintenance, drawings, transport, electrical); [- ENGINEERING WORKSHOPS, PLANT MAINTENANCE-]

Employees were observed using the electrical equipment and the step ladder with no evidence that the equipment has been inspected. It is recommended that the organization could consider designing a pre-use checklist for the equipment.

The book that is used for issuing lifting equipment is in duplicate form. The person issued the lifting equipment is given a slip and the slip is returned when the lifting equipment is returned. Due to the nature of the operation, the possibility exists that the slip might be lost or even become wet. It is recommended that the organization could consider designing a bonded book as an issue register.

On a number of occasions there were uncertainties between the employees of the equipment inspection color coding and there is no indication at any working place of what the color coding should be. It is recommended that the organization could consider having a color-coding chart indicating what the color coding is for the quarter.

The logbooks were sampled and it was observed that the last time the logbooks were signed was in October 2020. The Logbook standard, document number SML\_ENG\_28052019\_14668 in Paragraph 5 Activities, sub-clause 5.1.5.1 dictates that the logbooks shall be signed once a month by an appointed competent person and the Foreman. At the time of the audit the logbooks were not signed as per the standard requirements.



MINING (Drill, Depot and blasting, Load and Haul, Exploration/ Product and Mobile Equipment); [- DRILL, DEPOT AND BLASTING, LOAD AND HAUL-]

#### The Village Pit

The following procedures were sampled before proceeding to the pit.

- Standard Procedures: Mining-Drill & Blast, Blasting arrangement, document number SP\_MIN\_19022017\_11180, Revision 5.23 due for review 05 June 2021.
- Standard Procedures- Mining-TMM, Brake testing procedure document number SP\_MIN\_18022017\_10407 due for review on 25 March 2022.
- MANDATORY CODE OF PRACTICE TO COMBAT ROCK FALL AND SLOPE INSTABILITY RELATED ACCIDENTS IN SURFACE MINES, Reference number L\_MIN\_17022017\_10222 Effective due for review 17 April 2022.

Based on the information gathered from the above-mentioned documents, a site visit for verification of compliance to the requirements of the guiding documents and the following was observed;

- The haul roads are even and well maintained and the following distance coves, the center berms are up to standard and they have the delenator poles.
- The brake test ramps for the LDVs was audited and it was designed as per the standard requirements. The necessary signage such as the speed limit, the following distance was clearly and visibly displayed right across the pit.

The procedure requires that that drilling must be done 2 meters from the crest and five meters from the high wall and this requirement was complied with. The necessary drilling boards were in place as required by the standard.

Front end loader ASM FL0034 was stopped and the following documents were sampled;

The checklist, was sampled and was found to be properly filled in. The operator had a machine license and the PDP license as per the prescripts of the procedure. The machine operator's license is valid until the 28/05/2021 whilst the PDP expires on the 01/12/2021

The Safety Officer's schedule was audited and the inspections are done as per the schedule. The previous three month's reports were sampled and all the deviations raised were closed out.

#### Rock Engineering

The monthly Geotech audits are outsourced and done by Midindi Consulting (Pty) Ltd. The report for the inspection that was done in November 2020, report number MDI2018\_0112, dated 27 November 2020 was submitted for sampling. Evidence of the closure of the identified deviations was submitted and an action plan of those that were still open was also submitted. The competence of the Rock Engineer was also sampled and the following certificates were produced.

- BSc Honns Engineering and Environmental Geology, University of Pretoria
- Strata Control Certificate, Chamber of Mines, certificate number SCM 833
- Certificate in Rock Mechanics, Open Pit, certificate number RMC 561.

#### Engineering:

The service schedule was sampled and it is reasonably complied with. The waste is sorted at source and all the waste stations are properly managed. The workshop area is a bunded area and the water from the workshops is channeled to the oil separator. The water is recirculated for re use whilst the oil is disposed off by the appointed service provider.

The service provider; Olegra, certificate of registration was produced and all the relevant waste manifests and safe disposal certificates were submitted as evidence.

The diesel tanks are in a well bunded area. The signage is adequate and visible, the capacities are indicated both on the tanks and the bund walls. The capacity of the bund wall meets the requirements of the bund wall standard. The relevant MSDSses were posted at the point of use.

## WATER & WASTE MANAGEMENT [Incl. Tailings Storage Facility (TSF)]; [-WATER MANAGEMENT-]

This is a shared responsibility between engineering and the environmental department. The water management function is the business manages surface water, ground water reserves, process water and portable water at the mine, which is used throughout the mine for day to day use. Based on the provisions provided for by the water use license, Beeshoek Iron Ore Mine, License Number: 10/D73A/ABGJ/2592, dated 01 December 2014, the organization is permitted to draw approximately 5.6 million cubic liters per month. The organization is currently abstracting less from all its sources cumulatively.

The section is responsible for treatment of water at the water treatment plant, manage storage at the reservoirs and finally for the distribution of water to various users.

The organization's water quality tests show that the water consumed at the site has adequate residual chlorine and the water is safe for consumption. The organization has established sampling points on the distribution line. Sampling is conducted after treatment, in this case when chlorine dosing has been done. Sampling is also conducted along the distribution line to ensure the business is aware all the time of the quality of drinking water. Water samples are also taken to an external laboratory to confirm results of local monitoring.

With regards to risk assessment the organization could consider risks related to partial treated water supplied to the employees and the risk related to sabotage by disgruntled employees at the mine. This has been documented as an opportunity for improvement.

The chlorine dosing process has not been modelled enough in order to be in a position to respond to shocks related to water sampling should water along the distribution channel should not have enough residual chlorine. Emergency response testing with regards to poor water quality supply and sabotage issues have not been conducted in the business. This has been documented as an opportunity for improvement.

### Documents Reviewed:

- Scope of Work – Annual Environmental Compliance Audits and Performance Assessments Beeshoek Iron Ore Mine
- Beeshoek Iron Ore Mine, License Number: 10/D73A/ABGJ/2592, dated 01 December 2014 – evidence
- Storm Water Dam License
- Change management process, ACCR 0020-20 and ACCR 0020-20
- Aquatico Water Quality Report for December 2020,
- Verification Certificate – Flow meter- SN: 5142275,
- Storm water management plan,
- Water Conservation Management Plan
- EMP Amendment

Apart from the issues documented in this assessment as opportunities this process is managed adequately.

## WATER & WASTE MANAGEMENT [Incl. Tailings Storage Facility (TSF)]; [-WASTE MANAGEMENT-]

The salvage yard or temporary Site transfer is responsible for the sorting of waste from different operational areas of the mine. The yard is under the supervision of a Interwaste (License, GPF-00-010). Waste segregation is evident, and different categories have been allocated and these are: Hazardous Containing Waste, General Waste, Wood, etc. Different contractors are used to carry different waste. The operation is managed effectively. Waste manifests and waste disposal records have been reviewed. Inspections of the site is evident in the business. The organization has put in a waste inventory detailing the quantities and type of waste available, the mine gets the information from the contractor on site monthly, Interwaste. With regards to wood, garden waste, food waste the organization has established a landfill. The organization is currently managing adequately hazardous waste that include used oil, used rags, soil contaminated with hydrocarbons.

## Documents Reviewed

- Waste Management Procedure, SP\_TEC\_05062018\_14255, dated 2nd of April 2020
- Waste Permit, Number: 12/9/11/P49
- Interwaste Registration certificate: GPF, valid until 29 April 2022
- Waste Management License for the Vlakfontein Waste Management Facilities, 12/9/11/L444/3
- E-Waste Management process
- Registration Letter for Desco Electronic Recyclers
- Desco Electronic Waste registration: GPT-02-039
- Waste Management License for Reclite SA Pty Ltd, License Number: 12/9/11/I44253/3
- Interwaste Registration, waste storage facilities, License Number: 12/9/11/ST33/9, dated 01 April 2015
- Storm Water Management and Sediment Control Procedure, SP\_ENG\_08072020\_16153
- Precious Metal refining License, 1988/034572/23

This process is managed adequately in the business.

## STORES & PROCUREMENT (Including Contract Management); [-STORES & PROCUREMENT-]

Operational procedures in place:

- Stores Procedure – SP\_FIN\_19022017\_10861 - Daily store control through Cycle counting – Procedure – PD\_FIN\_20022017\_11457 – Sample No 710 – approved through cycle status and signed off.
- Issuing Process – Procedure – PD\_FIN\_20022017\_11459 – Effective date – 18/03/2020 – Revision date - 18/03/2022
  - Added control (best practice) – Yellow Pick up slip control. Sample No 54022 – checked and signed off. Process entails 3 material handlers. – do the picking. Papers handed to the issuing clerk.
  - Sample – Stock No. 210-206-04 – 09/12/2020 – order No. 20-621. Order type SU – Line No. 1.000 – Customer No. 61471 – issued by 6147 – amounts finalised.
- Receiving Process – Procedure – PD\_FIN\_20022017\_11462 – Effective date – 3/10/2017 – Revision date – 3/10/2019
- Consignment Stock Process – Procedure - PD\_FIN\_20022017\_11466 – Effective date – 3/10/2017 – Revision date – 3/10/2019
- Order Process – Procedure - PD\_FIN\_20022017\_11468 – Effective date – 3/10/2017 – Revision date – 3/10/2019
- Key Control – Procedure - SP\_TEC\_21022017\_11806 – Effective date – 20/04/2020 – Revision date -20/04/2022
  - Security hold the store keys and monitors the alarms after hours. And controlled with a key control register
  - The key control for vehicles in the store is locked in a box in the store.
- Appraisal and Approval of Suppliers Procedure – SP\_FIN\_19022017\_10877 – Effective date – 5/2/2019 – Revision date – 5/2/2020.
  - It must be noted that all tenders have to have the Engineering Service involved before making any final decisions.
- Contract Procedure – SP\_FIN\_11112020\_16332 – Effective date – 16/11/2020 – Revision date – 16/11/2022
  - Process flow – Contract buyer and Repair buyers and Expeditors. Total system used is the JDE Electronic system, whereby the end user loads the order – HOD approves electronically to buyer on the system.
- Contract Management – Sample – AD HOC Maintenance at Beeshoek Mine – Woman on Edge – Civil Contractors
  - CC – process and contract in order – Tender evaluation report – No. FEO039/21

Communication and awareness through Induction – training matrix, morning meetings, Indabas every month, Talk Topics – up to December, integrated management Systems audits, Flash files.

Risk Assessment – Daily task risks – RSK\_G\_12042017\_12362 – Effective date -20/2/2018 – Revision date – 20/2/2020

- Binning – (stacking and packing) at store.
- Loading and transporting.
- Loading, conveying and off-loading of material using a forklift.
- Operate a Telescopic Boom handler.

Appointments Sampled:

- Chief Storekeeper – S3(I) (a) – MHSA – Valid – 18/04/2014 – in order
- Safety Representative – Sect. 29(4) MHSA – Valid 18/03/2019 – 31/04/2021 – in order

It must be noted that the Procurement & Stores have had no injuries in the last 12 years.

Continual Improvement – Stores are changing their systems to a more electronic system – JDE 9.2 – next year – bar coding, scanners etc.

Fire systems – Smoke detectors in the store areas, camera and alarm. Fire extinguishers checked and all in order. Hose reels and dedicated fire water available.

It must be noted that the Receiving Area at the store has a layout and space problem, although there is control it could improve as it imposes a housekeeping issue and room for error, especially when moving so much goods.

On inspection in the yard it must be noted that the general load out area and stacking of material was not to standard and not conducive to a safe environment – poor housekeeping. In need of different stacking areas and parking facilities for TMM's.

Bunding area for Mono Ethylene Glycol (Anti – freeze) damaged and no capacity indication – NCR investigation on damage.

Overall, although MSDS's are provided, but not readily available, suggested to have the MSDS's more visible, especially in the event of an injury.

It was found in an area the mixing of materials – Batteries with thinners – suggested to ensure separation is maintained, especially with chemicals.

First aid boxes and emergency eyewash kits are available.

Movement of material (repairs) are controlled by a waybill process.

Sampled:

- Waybill No. SN: T6N00507 (torque converter) – repair instructions – Security for clearance and release – on release sent to Supplier (3 copies in process). Process is positive.

PTO – 6 monthly schedule. Spread sheet on portal flags expiry.

## RAIL TRANSPORT

Operational procedures noted in place:

- Rail Operating Procedure – No SP\_OPS\_20022017 – Effective date – 31/3/2020 – Review date – 31/3/2022
- Legal- Operational- Rail Safety Regulator – L\_OPS\_18022017\_10409 – Effective date 10/10/2017 – Review date 10/10/2019

Report as follows - Surface Railways – Private siding no: 242799 – Safety Management System Report – Date compiled: April 2005 – will need to be reviewed.

The department consist of 3 locomotives (Funkeys) – couple up wagons at a designated point. TFR only take the wagons to a specific point and do not enter the Company designated area. TFR are in control of the Logistics and consignments and act on requests from the Company with consignment numbers.

Weekly schedule compiled with allocated consignment numbers – schedule noted and in practice – Sample No. 8095900428 – consignment 105 wagons.

The set consignment daily tasks are one to two trains per day – Export – 114 wagons and Inland – 105 wagons.

It must be noted that the last Locomotive derailment was 2 years previous. Lines are separated for specific functions - Line 8 – workshop, Line 7&6 – Station (full load), Line 5 – Main Line empties to loading station scales.

Calibration Samples: Lumpy scale verification Certificate – VC No: 0000556 – Date of Verification 30/09/2020 – Certificate Expiry Date – 30/09/2022.

Maintenance on the rail lines – Kopanelo Rails – Daily Patrol Inspections – Sample – Section North Siding – 23/11/2020.

Risk Assessment – Critical Task Analysis Report – Sample taken the performance of shunting Operation from station to loading station. Step followed and found in order. It must be noted that the Critical Task Analysis Reports checked did not indicate headings – this needs to be followed up on.

Training of Locomotive Drivers checked – Sample – Certificate of Competence – Locomotive Driver – 04/06/2020 – Certificate No. 004226. In order.

PTO Template – Doc. No. – P\_OPS\_15012018\_13951 – Effective Date – 10/07/2020 – Review Date – 10/7/2022

- PTO checked – Sample – Shunting & Operation of Hand Point – 30/08/2020. In order.
- PTO checked – Sample – Coupling & Uncoupling of Wagons – 04/09/2020. In order.

Conveyor systems connected through to the Load out Box checked for safeties – pull wires, fire water and reels, fire extinguishers in order – do not have water suppression sprayers on the belt.

It must be noted that the Load out Box indicate cracking in the concrete roof structure – it has been noted and the Engineering department are already in the process of the repair project.

## 8.2

### 8.2.1

Information regarding products and services are provided to internal and external customers. This shall include enquiries or changes. Customer feedback is obtained through surveys with various internal and external customers and include complaints. Should customer property be handled in any process that information will be provided as well? Requirements for contingency actions are also established.

When the requirements for products and services are set by the internal/ external customer all regulatory and statutory as well as own requirements are taken into account.

The Mine shall ensure that it has the ability to meet customer requirements. Should any customer requirement change, the relevant documented information shall be amended and all relevant parties shall be informed of the change.

The communication will be handled as per communication procedure.

#### References:

- Contracts with external customers.
- Arrangements with internal customers.
- Internal/external customer surveys.
- Communication procedure.

### 8.2.2

Beeshoek mine follows a risk based approach, market guidelines and customer requirements in determining the requirements for the product and services. The mine also has an obligation to ensure compliance to legal and other requirements. The mine ensures that the product and services requirements meet the customer specification through the quality determination and blending processes. The IMS ensures compliance to the legal and other requirements through internal and external audits.

### 8.2.3

The customer requirements relating to quantities, qualities and delivery related requirements are included in the service level agreements. The monitory requirement is reviewed on annual basis. The other contractual commitments are reviewed with the contract on a three yearly basis or as required. The statutory and regulatory requirements are taken into consideration for any changes that takes place relating to product and services.

Any other requirements differing from the contract are negotiated, and the outcome of the negotiations is documented as agreed, signed by parties involved and retained as per the document control procedure.

### 8.2.4 Changes to requirements for products and services

All contractual changes relating to products and services are discussed, documented, communicated and approved by all the parties involved.

## 8.3

Although design & development for the product are not applicable to this activity of mining iron ore, it is however covered for where design for infrastructure are required.

## 8.4

Appraisal and Approval of Suppliers Procedure – SP\_FIN\_19022017\_10877 – Effective date – 5/2/2019 – Revision date – 5/2/2020.

It must be noted that all tenders have to have the Engineering Service involved before making any final decisions.

- Contract Procedure – SP\_FIN\_11112020\_16332 – Effective date – 16/11/2020 – Revision date – 16/11/2022
- Outsourcing: - Sample - Contract Management – AD HOC Maintenance at Beeshoek Mine – Woman on Edge – Civil
- Contractors CC – process and contract in order – Tender evaluation report – No. FEO039/21. Process followed and in order.

Rail maintenance external contract on the rail lines – Kopanelo Rails. It must be noted that TFR is external and logistically assists the Company with wagons.

Contractor Management Guidelines - Document Number: SP\_HUM\_07032017\_12120 Effective Date: 13/08/2020 – Review Date: 13/08/2022.

The purpose of this procedure is to ensure that all on-mine contractors/service providers contracted by Beeshoek Mine are managed in accordance with company specific policies, procedures, the MSHA and other applicable legislative requirements.

- Assmang (Pty) Ltd Beeshoek Iron Ore Mine SHERQ File Minimum Requirements: SI\_STR\_20012017\_6598.
- Assmang (Pty) Ltd Beeshoek Iron Ore Mine SHERQ Contractors Safety Files Minimum Requirements: SI\_STR\_17022017\_10354.
- Contract and Tender Procedure

All contractors must comply with the relevant contract and tender procedures (Refer to SharePoint)

- Contract Procedure – SP\_FIN\_19022017\_10897
- Tender Procedure - SP\_FIN\_19022017\_10861
- General Conditions of Purchase – SP\_FIN\_27022017\_12009

Mining Charter Requirements:

All contractors are to comply with the following, so that Beeshoek mine in turn may comply with the Mining Charter BBBEE Registration (should the said company qualify). Valid Tax Clearance Certificate

Sampled: - Contract Management – AD HOC Maintenance at Beeshoek Mine – Woman on Edge – Civil Contractors CC – process and contract in order – Tender evaluation report – No. FEO039/21. Process followed and in order.

## b) Emergency preparedness and response

### ISO 9001:2015

	NC	nc	conf	str	not audited
The organization has ensured controlled conditions for all production and service provision operations, including post-delivery activities. (8.5)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Monitoring and measuring activities are suitable to support controlled conditions, including prevention of human error. (8.5)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization ensures release of conforming product and service by planned arrangements effectively. (8.6)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Nonconforming process output is identified and controlled to prevent unintended use or delivery. (8.7)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### ISO 45001:2018

	NC	nc	conf	str	not audited
The organization has a process for preparing and responding to potential emergency situations, including periodic testing, planned response to emergency situations, the provision of first aid. (8.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### ISO 14001:2015

	NC	nc	conf	str	not audited
The organization has established and implemented processes for preparing and responding to emergency situations. (8.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has planned actions to prevent or mitigate adverse environmental impacts from emergency situations. (8.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Planned emergency response processes and actions have been periodically reviewed and tested, in particular after the occurrence of emergency situations or tests. (8.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Relevant interested parties have been provided relevant information and training related to emergency preparedness and response. (8.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### 8.5

The organization has ensured controlled conditions for all production and service provision operations, including post-delivery activities. (8.5)

This process is managed using various tools in the business to ensure that the product that is released in the business meet the internal specification and customers' requirements. These documents specify how the characteristics needed to achieve product specification will be enhanced. Provision to have these put in place has been provided for in the Policy Manual, Document Number: SI\_STR\_14082017\_12821 on section 8.5. During the assessment, procedures, codes of practice, standards to ensure that production and service provision are conducted under controlled conditions were reviewed. The products, as given in the product specification sheet: Beeshoek Product Specifications, Document: F\_SIP\_16022017\_9779, includes:

- DR Lump (Min Fe Content – 64%, Size - 6.3 mm-18 mm)
- Lump (Minimum Fe Content – 64.5%, Size - 6.3mm- 31.5mm)
- Fines Product (Minimum Fe Content – 63.5%, Size - 0.212mm- 8mm)

The business has therefore adequately determined what products they can produce and offer to their clients.



Beeshoek Mine has documented processes and procedure to ensure that the products are within the specifications as required. These include the Technical Quality Surveillance and Assurance procedure with acquisitions, SP\_ENG\_18022017\_10525 which was reviewed during the assessment.

The organization has adequately provided for suitable monitoring and measuring resources to ensure that the product specifications are met. These include in-process monitoring where needed. Monitoring is based on product specification, and is based on both the client's specification and internal product specification. Reviewed orders show the product specification as needed by the client, reference is made to the following orders that have been reviewed during the audit:

- Order Number: SUPERFINES/FINES BLEND - L-FORB-2020-005.
- Order Number: FINES L-FORB-2020-007.
- Order Number: L-FORB-2020-006.
- Order Number: L-FORB-2020-002.
- Order Number: L-FORB-2020-003 (RAIL).
- Order Number: L-FORB-2020-RV3 (ROAD).
- Order Number: L-FORB-2020-RN3 (ROAD).

Through the use of in process sampling the organization provides for: Sample Crushing, Pulverizing, Spectrometric Analysis and Wet Chemical Analysis of Samples. These processes are meant to ensure that the organization effectively implement the necessary monitoring and measurement activities at appropriate stages to verify the criteria for control of processes or outputs. In the same processes the above referenced processes are also used as acceptance criteria for the iron ore.

The business has also provided adequately suitable infrastructure and environment for the operation of processes.

There is evidence in the business that shows that the necessary appointments of competent persons have been done to meet the minimum requirements for product conformance in the organization. Control of product quality is maintained using various activities and interlinked processes, these are managed adequately in the business. These monitoring activities are well documented and they include:

- Exploration (input) to ensure the grade of ore is as needed.
- Analysis of samples at the laboratory.
- In-process sampling.
- Final Product Sampling.
- In-transit sampling.

Once production is done, the different products are stored at the stockpiles, and are separated by product as required ready for transportation.

#### Documents Reviewed

- Product Quality Product Sampling SP\_TEC\_21022017\_11756
- Product Specification, Beeshoek Product Specifications Document: F\_SIP\_16022017\_9779
- PTO for Preparation of sample
- PTO for Road truck sampling
- SP Blast Hole Sampling (SP\_TEC\_21022017\_11764)
- Control of Non-Conforming Output, Document Number: SP\_STR\_05012018\_13925
- SP on Sample Crushing and Pulverizing
- SP on Spectrometric Analysis of Samples
- SP on Wet Chemical Analysis of Samples
- Stockpile Management: Document Number: SP\_OPS\_26022018\_14066
- Order Number: SUPERFINES/FINES BLEND- L-FORB-2020-005

This process is managed adequately in the business to enabling the organization to achieve its intended outcomes.

The Implementation of monitoring and measurement activities at appropriate stages to verify that criteria for control of processes or outputs, and acceptance criteria for products and services have been met and are as follows:

Monitoring & Measurement Procedure - Document Number: SP\_TEC\_21022017\_11675 - Effective Date: 12/12/2020  
Review Date: 12/12/2024.

Conformity to product requirements is monitored through sampling at appropriate stages of the product realization process and samples analyzed specific to the criteria for product acceptance such as; but in no way limited to:

- First point sampling: Blast hole sampling
- In process sampling: Wash & Screen and Jig plant
- sampling: Load out sampling
- Wet chemical analysis
- Sizing analysis

Information relating to customer perception as to whether customer requirements whereet is monitored through the annual customer satisfaction surveys and regular customer Communications.

Progress on objectives and targets is monitored through regular departmental meetings, Management meetings and through biannual performance reviews (individual modifiers).

Ability of processes to achieve planned results is monitored through the use of suitable methods such as; but in no way limited to:

- Risk assessment and management.
- Production reports (e.g. production plan; loading reports; availability reports; production efficiency; planned maintenance reports;

## 8.6

During various steps of each process the results of the output are verified to ensure that requirements are met. A product/service shall not be released to a customer until the requirements have been met satisfactorily and signed off by the responsible person.

Technical quality surveillance and assurance procedure with acquisitions - SP\_ENG\_18022017\_10525, Effective Date: 5/13/2016, Review Date: 10/3/2019.

The purpose of this procedure is to describe and define the quality management (quality surveillance and quality assurance) measures to ensure the final product received (delivered to the mine) meet the requirements (needs) of the given standard set by the requesting stakeholder with all acquisitions

The ways employed by the mine to ensure that what was asked for was received are:

- Upfront evaluations of the prospective supplier;
- Surveillances and/or progress inspections; and
- Final inspections

## 8.7

When a product/service does not meet set requirements, their use/delivery shall be prohibited.

Once a non-conformance has been identified, the product/service should be identified, documented and removed from unintended use. Depending on the nature of the non-conforming item, the issue can be corrected, returned or accepted with concession.

Documented evidence is retained in this regard for monitoring and measuring purposes. As follows:

- NCR – Isometrix
- Customer Complaints
- Communication from Assore
- Daily Pit Schedule Minutes
- Product Quality Results
- Customer Spec Loading Results
- Stakeholder feedback Register

### References:

Control of non-conforming products SP\_SIP\_05012018\_13925, Effective Date: 12/15/2020, Review Date: 12/15/2024

### 3.6 Performance evaluation

#### ISO 9001:2015

	NC	nc	conf	str	not audited
The organization has determined adequate measuring and monitoring provisions to evaluate performance and effectiveness of its management system, including customer satisfaction. (9.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has determined and implemented processes needed to evaluate fulfilment of its compliance obligations and maintains knowledge and understanding of its compliance status. (9.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
An internal audit program is planned and deployed effectively by competent personnel, ensuring compliance and suitability of the management system. (9.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Top management performs management review to ensure continuing suitability, adequacy and effectiveness of its management system, including alignment with the strategic direction of the organisation. (9.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

The last management review was performed on 11 Dec 2020.

#### ISO 45001:2018

	NC	nc	conf	str	not audited
The organization has established, implemented and maintains a process(es) for monitoring, measurement, analysis and performance evaluation. (9.1.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has determined and implemented processes needed to evaluate fulfilment of its legal requirements and other requirements and maintains knowledge and understanding of its compliance status. (9.1.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
An internal audit program is planned and deployed effectively by competent personnel, ensuring conformance and suitability of the management system. (9.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Top management performs management review to ensure continuing suitability, adequacy and effectiveness of its management system, including alignment with the strategic direction of the organization. Top management communicates the relevant outputs of management reviews to workers, and, where they exist, workers' representatives. (9.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### ISO 14001:2015

	NC	nc	conf	str	not audited
The organization has determined adequate measuring and monitoring provisions to evaluate performance and effectiveness of its management system. (9.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has determined and implemented processes needed to evaluate fulfilment of its compliance obligations and maintains knowledge and understanding of its compliance status. (9.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
An internal audit program is planned and deployed effectively by competent personnel, ensuring compliance and suitability of the management system. (9.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Top management performs management review to ensure continuing suitability, adequacy and effectiveness of its management system, including alignment with the strategic direction of the organisation. (9.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

The last management review was performed on 11 Dec 2020.

### 9.1.1

The organization has a documented manual in place, Document Number: SI\_STR\_14082017\_12821 and procedure Document Number: SP\_TEC\_21022017\_11675 to manage the monitoring, measurement and evaluation process. An effective monitoring, measuring and reporting system based on statistical approach and analysis has been established and maintained thus resulting in demonstrated continual improvement of IMS performance.

Monitoring parameters have been verified but are limited in terms of what monitoring and reporting matrices could be established for the management system including the following: what is monitored, when such monitoring is undertaken, how (method), criteria established including referencing to relevant standards, and how results are evaluated for analysis purposes including as applicable reporting requirements. It is also limited in terms of the characteristics to be monitored, monitoring frequency and reporting requirements.

The procedures, Document Number: SP\_TEC\_21022017\_11675 was verified for objective evidence. With regards to the quality management system, customer complaints and product NCR's are monitored and reported in the management review process. The following product quality related parameter are provided for:

- First point sampling: Blast hole sampling
- In process sampling: Wash & Screen and Jig plant
- Final sampling: Load out sampling
- Wet chemical analysis and
- Sizing analysis

#### Documents Reviewed:

- Monitoring and measuring register.
- Baseline Risk Assessment.
- Management Review Minutes, dated November 2020.
- Standard Procedures-Administration Management Accounts Cost management SP\_FIN\_18022017\_10772.
- Product Specification, Beeshoek Product Specifications Document: F\_SIP\_16022017\_9779.

The monitoring and measurement process in the business is not addressing all the monitoring and measurement parameters that being reported in the Management Review (MR). Beeshoek Mine has not adequately documented the process to effectively manage this process. The organization has partially implemented monitoring, measurement and evaluation as required by the standard, the organization could consider how to determine what needs to be monitored and measured, the methods for monitoring, measurement, analysis and evaluation needed to ensure valid results and when the monitoring and measuring shall be performed with regards to the Quality Management System.

The following have not been captured in the procedure, Document Number: SP\_TEC\_21022017\_11675 as some of the parameters that needs to be monitored and measured: Production and Sales, Customer Quality Specifications, Geological Sample Integrity Monitoring, Deviation on declared Tonnages and Certificate of Analysis (COA) turn-around. Reference: Business Risks, Monitoring and Measurement Procedure: Document Number: SP\_TEC\_21022017\_11675, Quality Management Review 2020. This has been documented as an opportunity for improvement.

### 9.2

Document Number: SI\_STR\_14082017\_12821, version 3.0, dated 12/14/2020 [Documented Policy Manual] has reference to the purpose of internal audits and further reference to a procedure "SHERQ audits SP\_SIP\_20022017\_11635".

Several parts of the internal audit processes are defined and documented in a flow diagram format within the above mentioned procedure, "SHERQ audits SP\_SIP\_20022017\_11635".

An internal audit report, compiled by "Safety Advantage CC", together with an internal audit program, was provided. The scope of this audit, as indicated on the report, included SANS 16001:2013.

From the above mentioned internal audit report, dated 26-30 October 2020, it is not clear whether all clauses of the four relevant standards [as indicated in the scope of the audit] were audited and the audit plan indicates that the internal audit was conducted on the systems documentation and the report only reflects "Findings". No documented evidence of an internal audit on any of the operational processes being conducted available or could be provided. It was also learned that this private company assisted in the guidance of implementation and training on the standard at this Beeshoek Mine and then audited this system documentation, which is a conflict of interest. All of the above were combined in recording a non-conformance

Further more is it this organization's responsibility to ensure competency of auditors outsourced. [in this incident, experience in wellness and disease management, which differs from Occupational Health and Safety]The competency of the auditors of "Safety Advantage CC" on auditing of SANS 16001:2013 [Wellness and Disease (HIV & Aids included) could not be verified, demonstrated nor provided. An OFI [Opportunity for improvement] was recorded in this regard.

The internal audit report reflects nine (9) minor non-conformances and nine (9) major non-conformances, of which some reflects issues from operations.

The procedure "SHERQ audits SP\_SIP\_20022017\_11635" noted to be in compliance with the relevant standards requirements.

### 9.3

Document Number: SI\_STR\_14082017\_12821, version 3.0, dated 12/14/2020 [Documented Policy Manual] has reference to the purpose of Management Review meetings in Parr. 9.3, page 24 and with further reference to a procedure "Management review SP\_SIP\_21022017\_11672".

The procedure on "Management Review" has the process for conducting management review meeting in a flow diagram format documented. The procedure is in compliance with the requirements of the relevant standards and the Management Review Meeting conducted on 11 Nov. 2020 reflects all the required inputs and final conclusion of top management of the IMS.

Documented evidence of the Management Review Meeting conducted made available included

- 2020 Management Review – Hygiene
  - Environmental Management Review 2020.
- Attendance Register Management Review 2020.
- Management Review 2020 Occupational Health and Wellness.
- Management review meeting agenda.
- Management Review Safety 2020.
- Minutes management review meeting Nov 2020.
- Quality Management review 2020.

### 3.7 Improvement

#### ISO 9001:2015

	NC	nc	conf	str	not audited
The organization determines and selects opportunities for improvement and implements necessary actions to achieve the intended outcomes of its management system. (10.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Complaints and improvement proposals are registered and treated effectively. (10.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Corrective action is implemented effectively and appropriately, eliminating causes for nonconformity with risk identification and evaluation of corrective action effectiveness. (10.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
When nonconformities have occurred the organization has reacted to control and provide correction. Defined corrective action from previous audit has been implemented effectively. (10.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Considering the results from analysis, evaluation and management review, the organization continually improves suitability, adequacy and effectiveness of its management system. (10.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### ISO 45001:2018

	NC	nc	conf	str	not audited
The organization determines and selects opportunities for improvement and implements necessary actions to achieve the intended outcomes of its management system. (10.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has established, implemented and maintains a process(es), including reporting, investigating and taking action, to determine and manage incidents and nonconformities. The organisation reviews existing assessments of OH&S risks and other risks, assesses OH&S risks that relate to new or changed hazards prior to taking action and reviews the effectiveness of any action taken. (10.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has reacted in a timely manner when an incident or nonconformity occurred, takes action to control and dealt with consequences. (10.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has evaluated, with participation of workers, and involvement of other related interested parties, the need for corrective action to eliminate root cause. (10.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization continually improves suitability, adequacy and effectiveness of its management system by enhancing OHS performance, promoting a culture supporting an OH&S management system, promoting participation of workers, and communicating relevant results of continual improvement to workers. (10.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### ISO 14001:2015

	NC	nc	conf	str	not audited
The organization determines and selects opportunities for improvement and implements necessary actions to achieve the intended outcomes of its management system. (10.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Complaints and improvement proposals are registered and treated effectively. (10.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	NC	nc	conf	str	not audited
Corrective action is implemented effectively and appropriately, eliminating causes for nonconformity with risk identification and evaluation of corrective action effectiveness. (10.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
When nonconformities have occurred the organization has reacted to control and provide correction. Defined corrective action from previous audit has been implemented effectively. (10.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Considering the results from analysis, evaluation and management review, the organization continually improves suitability, adequacy and effectiveness of its management system. (10.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## 10.2

Document number Si\_STR\_14082017\_12821 [POLICY MANUAL] have limited information recorded on the requirements of this clause, however, refers to standard procedure SP\_STR\_05012018\_13925. "CONTROL OF NON-CONFORMING OUTPUTS" [Provided version 19.27, dated 12/16/2020

Document SP\_TEC\_21022017\_11878, Version 4.35, dated 12/16/2020 for "SHERQ NCR REPORTING PROCEDURE" and the procedure for "SHERQ NON- CONFORMANCE INVESTIGATION AND CORRECTIVE ACTION IMPLEMENTATION"

Examples of incidents/accidents randomly sampled from the available registers provided, for the last 12 months to date, were from [with specific number of recording in brackets]

### Environmental NCRs:

- 15267 - Hydrocarbon spillage at South mine primary crusher. Spillage caused when flushing pipe lines. Pipe lines was full of rocks which could damage the crusher oil seals. – 4 Sept. 2020 - Completed on 23-Oct-2020.
- 15315 - Excessive oil spilled at the Primary and Secondary Crushers on South mine as well as the Tertiary crusher North mine without urgent action. None adherence to section 28 of the NEMA Act in terms of duty of care. – 23 Sep 2020.– Closed out 29-Sep-2020.
- 15300 - Diesel Workshop South Mine Wash bay Water Smell very bad this was report to Engineer TMM and due date is 18/09/2020, the problem is still there, our Problem is employees is Exposed every day to the Hazard Section 5(1) MHSa 29 OF 1996 Section 2(A)(B) MHSa 29 OF 1996 - 23 Jul 2020. Safety Incidents

### Dangerous occurrences:

- 15093- It was reported that on 11 June 2020 a Mine Employee Operating DT 22 observed something burning Underneath DT16. He immediately reported it to the Operator who parked DT16 and saw oil dripping on the wheel that was burning on the hub and rim of the left front wheel. He then extinguished it with the fire extinguisher. The incident was reported to the Foreman and Emergency number. Closed out 25-Aug-2020.
- 14757- It was reported that on 13 February 2020 a Mine employee observed smoke coming from the HF-Pit pump station. He immediately reported it to the Emergency control room. It was found that a Pump Electrica supply cable flashed and set the field alight. Completed on 14-Apr-2020

### Personal injuries: [LTI] – 11/09/2020

- 15215- In the process of doing fault finding on an Excavator the now injured was checking the airflow at the Hydraulic cooling fan Cowling when the fan struck his left hand causing an open fracture on his left ring finger distal phalanx with minimal displacement and laceration, nail intact.



- 15215- In the process of doing fault finding on an Excavator the now injured was checking the airflow at the Hydraulic coolingfan Cowling when the fan struck his left hand causing an open fracture on his left ring finger distal phalanx with minimal displacement and laceration, nail intact.

#### Property Damages:

- 15171- On Saturday 11 July 2020 at 07:00, the employee reported for duty at Booyesen Bore as a Low bed Driver for Booyesen Bore. In the process of being escorted from South Mine Village Pit Level 610 to South Mine Main Gate the employee noticed when arriving at the curve that the steering wheel could not turn, the employee took his foot off the accelerator and applied to the retarder slightly, the Low bed came to a standstill onto the dividing berm. Completed on 28-Jul-2020.

#### Business Risk:

- Management Action
- NCR

From the above sampled, and that were fully investigated due the magnitude thereof, investigations noted being well investigated, with root causes and identified required controls for implementation well documented.

The following could however be considered [taken into account that the recording of incidents/NCRs, etc. are done on ISOMatrix] to provide for

- A reference to the NCR number on the investigation reports, as in its current format there is no link between the two.
- A clear statement of decision on environmental incident investigations on the NCR recording sheet, whether investigation is required or not;

OFIs [Improvement Opportunities] was recorded with regards to the above.

### 10.3

#### Continual improvement:

- Waste bins: As part of continual improvement Beeshoek Mine took the initiative of introducing smaller waste bins in all work areas, which are displayed and used accordingly to waste separation at point of use, creating environmental awareness.

#### Anonymous Leadership Perception Analyses

- IDP.
- IMS.
- Induction more interactive.

## 4. Further audit results

### 4.1 Sampling bases for employees

Management personnel	12	thereof interviewed	10	= 83%
Employees without management authority	1023	thereof interviewed	117	= 11%
Total employees	1035	thereof interviewed	127	= 12%

Since time of audit planning, total number of employees has not changed.

### 4.2 Audited shifts

Does the organization work in multiple shifts?  Yes  No

Working shift	Process	Start	End	Audited	Reason if not audited
Day Shift [8 hour shift]	Outsourced Processes including Life Clinic and Security; Metallurgical Operations (Cleaning, washing and screening, Jig, loading); Product Quality and Laboratory; Mining (Drill, Depot and blasting, Load and Haul, Exploration / Product and Mobile Equipment); Tailings Storage Facility (TSF); Engineering (Including civil services, plant maintenance, drawings, transport, electrical); Fire and Emergency Services	06:00	14:00	yes	
Afternoon Shift [8 hour shift]	Metallurgical Operations (Cleaning, washing and screening, Jig, loading); Product Quality and Laboratory; Mining (Drill, Depot and blasting, Load and Haul, Exploration / Product and Mobile Equipment); Water & Waste Management; Engineering (Including civil services, plant maintenance, drawings, transport, electrical); Fire and Emergency Services	14:00	22:00	yes	
Night Shift [8 hour shift]	Metallurgical Operations (Cleaning, washing and screening, Jig, loading); Product Quality and Laboratory; Mining (Drill, Depot and blasting, Load and Haul, Exploration / Product and Mobile Equipment); Engineering (Including civil services, plant maintenance,	22:00	06:00	no	* No visitors allowed on site after normal working hours due to internal Covid-19 restrictions and protocols. * Accommodations 90km from site and to big a risk to travel in the dark.

Working shift	Process	Start	End	Audited	Reason if not audited
	drawings, transport, electrical); Fire and Emergency Services				
Administrative	Outsourced Processes including Life Clinic and Security; Product Quality and Laboratory; Mining (Drill, Depot and blasting, Load and Haul, Exploration / Product and Mobile Equipment); Survey; Human Resource Development Centre; IT ; SHERQ; Stores & Procurement (Including Contract Management); Water & Waste Management; Engineering (Including civil services, plant maintenance, drawings, transport, electrical); Fire and Emergency Services	06:45	16:00	yes	
Day Shift [12 hour shifts]	Mining (Drill, Depot and blasting, Load and Haul, Exploration / Product and Mobile Equipment); Engineering (Including civil services, plant maintenance, drawings, transport, electrical)	07:00	19:00	yes	
Night shift [12hour shift]	Mining (Drill, Depot and blasting, Load and Haul, Exploration / Product and Mobile Equipment); Engineering (Including civil services, plant maintenance, drawings, transport, electrical); Fire and Emergency Services	19:00	07:00	no	* No visitors allowed on site after normal working hours due to internal Covid-19 restrictions and protocols. * Accommodations 90km from site and to big a risk to travel in the dark.

Is any part of this audit based on remote auditing?  Yes  No

### 4.3 List of relevant processes

Process:	Performance indicator(s):	Remarks	Audited
SHERQ [incl. Management System Documentation]	Implementation and maintenance of the EMS, QMS & OHS		yes
Stores & Procurement (Including Contract Management)	Management of procured equipment and product		yes
Water & Waste Management [[Incl. Tailings Storage Facility (TSF)]	Managing, monitoring & measurement of water and waste		yes
Metallurgical Operations (Cleaning, washing and screening, Jig, loading)	Ore handling, grading, stockpiling & Analysis of the product		yes

Process:	Performance indicator(s):	Remarks	Audited
Engineering (Including civil services, plant maintenance, drawings, transport, electrical)	Repair & Maintenance of equipment - 95% machine availability	Minor over-inspection issues that requires attention	yes
Mining (Drill, Depot and blasting, Load and Haul, Exploration / Product and Mobile Equipment)	Mining of the ore body	LTIFR is evident of controls to mitigate risks, are effective.	yes
Outsourced Processes including Life Clinic and Security	Medical Care and monitoring of employees	Safety record of no accidents in 11 years speaks for itself in this department.	yes
Human Resource Development Centre [HR & Training]	Training matrixes 100% received from HODs by Dec. 2020.	Training Centre is also MQA certified	yes
Rail Transport	Maintain a 100% Rail regulator survey result.	Clear RTR report received.	yes
Product Quality and Laboratory	Analysis and report on product quality to specifications.	Well-equipped and managed process available	yes
Fire and Emergency Services	Attend to large scale emergency conditions on the mine with good response time	Records of sufficient and effective response, within mine premises and assistance to local community, available	yes
Support Services [ IT, Geology, Survey]		Due to Covid restrictions, IT personnel are working from home and not available at the time of the audit.	no

#### 4.4 Further locations of certificate scope

None



#### 4.5 Relevant environmental aspects of certificate scope

Activities or products or services	Related process(es)
Depletion of natural resources	Mining (Drill, Depot and blasting, Load and Haul, Exploration / Product and Mobile Equipment)
Hydrocarbon spillage	Metallurgical Operations (Cleaning, washing and screening, Jig, loading); Mining (Drill, Depot and blasting, Load and Haul, Exploration / Product and Mobile Equipment); Engineering (Including civil services, plant maintenance, drawings, transport, electrical)

## 5. Next steps

### 5.1 Process to resolve nonconformities / findings

Nonconformities, identified during an audit, shall be closed with evidence of effectiveness within defined time lines. Open nonconformities jeopardize the conformity of the certified management system. When nonconformities cannot be resolved, existing certifications may be suspended or withdrawn.

	During the audit nonconformities may be identified. They are recorded and reported to the customer as soon as possible, at the latest during the closing meeting. It is the customer's responsibility to define and implement corrective action for resolving the nonconformity.	18 Dec 2020
	As soon as possible and within 20 days after the audit, immediate measures, root cause analyses and planned correction action(s) shall be forwarded to the Lead Auditor for evaluation, along with the respective evidence.	07 Jan 2021
	As soon as possible and within 60 days after the audit, systemic corrective actions carried out and evidence of their verification shall be forwarded to the Lead Auditor for evaluation, along with the respective evidence.	16 Feb 2021
	As soon as possible and within 90 days after the audit, the Lead Auditor shall evaluate the effectiveness of systemic corrective actions by reviewing evidence. For major nonconformities such review shall be performed by a follow-up audit at the organization's site. For minor nonconformities such review may be performed either by a follow-up audit on site or by remote review of evidence, such as records.	18 Mar 2021

Nonconformance were effectively closed out on the last day of the audit.

Verification of nonconformities needed through follow-up audit:  Yes  No

Identified potential opportunities for improvement shall be evaluated internally and incorporated into the continual improvement process as deemed beneficial.

### 5.2 Next regular audit planning

Type of audit:	1 <sup>st</sup> Surveillance Audit
Planned date for next audit: (non-binding estimate of audit days)	23 Aug 2021 - 27 Aug 2021 (week or month, if appropriate) For ISO 9001:2015: 4.5, ISO 45001:2018: 6.5, ISO 14001:2015: 6.5 audit day(s) in total, performed by 3 auditor(s). For applicable standards calculated as 100% value of IAF mandatory document for audit duration.
The estimated amount of time for verification of action plans for the next audit/year is:	0 hour(s)
Main emphasis will be on the following subjects:	The full effectiveness of the corrective actions on recorded non-conformances.
None	

## 6. Audit and Certification Data

### 6.1 Certification data

Current scope of certification/registration	ISO 9001:2015: Mining, supply of iron ore and training services.
	ISO 45001:2018: Mining, supply of iron ore and training services.
	ISO 14001:2015: Mining, supply of iron ore and training services.
Primary IAF / EA code	EAC02 EAC37

### 6.2 Certificate, logos and their use

- The symbols and logos of DQS, the accreditation bodies and IQNet are being used appropriately

### 6.3 Changes, identified during the audit

Basic data changes identified during the audit (if applicable) are incorporated into the audit report and are automatically transmitted to DQS.

- \* Where IT department was not available, additional department was audited.  
\* Address remained the same, just elaborated more to indicate Province and country  
\* When submitting the basic data sheet, client was under the impression the only the two main production shifts were required and thus also just listed the two shifts on the basic data sheet. This was rectified in this auditor's report to 6 different shifts.  
\* The addresses on the different certificates were rectified during this recertification assessment to add a more specific location to the address.

Please remember to inform DQS immediately of any significant changes to your management system. We will analyse the changes and inform you about the possible impact to your certification.

### 6.4 Fulfillment of audit objectives and audit schedule

- Audit objectives and audit schedule were fulfilled without changes.

### 6.5 Audit data

Name of the organisation(client):	Assmang (Pty) Ltd - Beeshoek Iron Ore Mine
Division	
Main address:	R385 Postmasburg, Northern Cape 8420 South Africa



Ref. No.:	483538
Audit order number (PO):	PO19 164-229
Audit type:	Recertification Audit
Surveillance frequency (mth):	12
Date of audit:	14 Dec 2020 to 18 Dec 2020
Total number of audit days:	26
Date of previous stage2 / initial audit:	21 Oct 2019 to 25 Oct 2019
Exclusions, if applicable:	
Total number of employees of ref.no. above:	1035

## 6.6 Contact data

Top management:	Maryka Burger
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Report last version date: 04 Jan 2021

Lead Auditor: Jan F. Strydom

This report was provided to the management of the audited organization on 30 Dec. 2020

by personal handover  electronically  by other means (please specify)



## Disclaimer

DQS maintains ownership of this report. The content of this report and all information received in relation to the audit and certification of the audited organization will be treated confidential and not disclosed to third parties. For exceptions e.g. disclosure to accreditation body refer to DQS Certification and Assessment Regulations.

This report is considered as final by the audit team, if you do not get any adverse information from DQS within 14 days after the last audit day. The recommendation of the audit team is subject to review and approval by DQS technical certification experts, who take binding certification decision. An appeal process is defined in DQS Certification and Assessment Regulations. Should DQS obtain any information indicating nonconformity of the certified management system, DQS will notify the certified organization timely and initiate investigation and evaluation of such information.

### Distribution:

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