

## REQUIRED DOCUMENTS

**\*Please note that it is the responsibility of the entity to provide sufficient proof all documents requested.**

### **OWNERSHIP:**

**(REGISTRATION DOCUMENTS MUST BE PRINTED FROM CIPC AND NOT OLDER THAN 3 MONTHS)**

#### **If Entity is a Company: (Private, Public or Non-Profit Organisation)**

- CM 1 Certificate of Incorporation **OR** CoR 14.1 Notice of Incorporation
- CM 9 Certificate of Change of Name of Company **OR** CoR 15.1 Memorandum of Incorporation
- CM 29 Contents of Register of Directors **OR** CoR 39 Certificate of Director Amendments
- Certified copy of ID's for all Shareholders, Directors
- Share Certificates and Share Register

#### **If Entity is a Close Corporation:**

- CK 1 Founding Statement
- CK 2 Certificate of Amended Founding Statement (only applicable if amendment to founding statement)
- Certified copy of ID's for all Members
- Member's Agreements (only applicable if there is black ownership)

#### **If Entity is a Sole Proprietor or Partnership:**

- Certified copy of ID's
- Partnership Agreement (only applicable if there is black ownership)

**IF BLACK OWNERSHIP EXITS:**

- Letter from Auditor confirming whether dividends have been declared or not if dividends have been declared, Proof of dividends paid (IT3b) or Payslip indicating dividend paid or proof of payments for dividends
- Minutes of Last Board Meetings / Annual General Meeting / Management Meeting
- Proof of shares paid-up and outstanding amount owing from independent Auditor
- Shareholders Agreements (only applicable if there is black ownership) and Memorandum of Incorporation
- Letter form Auditor confirming all Board Members, also indicating percentage voting rights held by each and if restriction on Voting Rights
- Letter form Auditor confirming percentage shareholding for each shareholder as their percentage voting rights
- Organogram detailing ownership structure (including Race, Gender and % shares of owners)

**IN CASE OF INDEBTEDNESS BY BLACK OWNER:**

- Finance Agreement and/or sale agreement
- Letter from the Auditor reflecting current value of Measured Entity
- Records reflecting payments by Black Owners towards shares / interest

**IN CASE OF NO INDEBTEDNESS BY BLACK OWNER:**

- Confirmation by auditor or all owners that there is no outstanding debt OR 3<sup>rd</sup> Party debt by any of the Black Shareholders towards the acquiring shares in the Measured Entity

**Bonus point:**

- Proof of Black New Entrant (individual) or black designated group (Affidavit)


**IN THE CASE OF OWNERSHIP BEING IN A TRUST, PROVIDE THE FOLLOWING:**

- Letter of Authority and copy of Trust Deed (only applicable if Trust has black beneficiaries)
- Beneficiaries of Trust, if beneficiaries are not stipulated, letter from auditor confirming beneficiaries including name, race and gender (only applicable if beneficiaries are black)
- Certified copy of ID's of beneficiaries or certified copy of birth certificates of beneficiaries if minors (only applicable if beneficiaries are black)

**CONSTRUCTION SECTOR:**

- BEP'S - Copies of shareholder's professional registration with any of the statutory professional council in BEP environment in SA

**FINANCIALS:**

 *If Independently reviewed or accounting officers report the following is required in addition to financial statements:*

- Signed Audited Financial Statements (if financials are not audited, one of the following will be required in addition to the financial statements)
- VAT 201 submissions with proof of payments to SARS for the financial period being assessed
- Tax Clearance Certificate
- Letter from Measured Entity that the Financial Statements provided are current available Financial Statements
- 5-year Annual Financial Statements (AFS) if NPAT (Net Profit After Tax) is a loss or not ¼ of the Industry Norms
- Confirmation of positive NPAT and/or calculation of ¼ of Industry Norms
- CIPC Document (Not older than 3 month's)

**CONSTRUCTION SECTOR:**

- 3-year pervious Annual Financial Statements (AFS) if NPAT (Net Profit After Tax is a loss or not ¼ of the Industry Norms

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**MANAGEMENT ACCOUNTS:**

- Signed Detailed Income Statement
- Signed Balance Sheet
- Sales Journal or Detailed Ledger (Excel Format)
- 5 Sales Invoices in measurement period and 2 thereafter: 1<sup>st</sup> invoice, 3 in the middle and the last invoice on the sales journal and / or detailed ledger.
- Signed Financial Statement for the previous year

**MANAGEMENT CONTROL:**

 *Management Control and Employment Equity tab to be completed on the Information Gathering Sheet, Please take care to indicate any staff with disabilities, any staff whom are not S.A Citizens and indicate executive or non-executive directors.*

- Confirmation letter from the Department of Labour confirming submission of EEA2 and EEA4
- Latest EEA2 and EEA4 submission from the Department of Labour
- If an Organogram is available, please provide.
- EEA1 Forms signed by the employee and documents from the relevant physician to substantiate the nature of disability for each employee that has been listed as disabled.
- Employment contracts of sampled employees.
- Payslips of sampled employees
- Letter from an auditor stipulating Board Participation held by each director as their Percentage Voting Rights (only applicable if directors are black)
- Minutes of Meetings

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- Latest Payroll Printout for all staff members
- Middle Management Qualifications or Letter from the Measured Entity conforming why employees are classified as Middle Management e.g. Level of Experience, Years of Service

**CONSTRUCTION SECTOR:**

- Description of JOB grading system is used in the organisation
- Remuneration Parity Statement to ensure a person's responsibility and remuneration are in line with their JOB grade - Signed by the ME only applicable if ME is exempt from EEA submissions to the Department of Labour

**SKILLS DEVELOPMENT:**

 [Complete all training done within the period of assessment on the information gathering sheet provided](#)

- Proof of Registration with SARS for Skills Development Levies and applicable SETA.
- Exemption Certificate from SARS for companies under R 500 000.00 threshold.
- Proof of submission of Workplace Skills Plan to the Applicable SETA
- Latest submitted Workplace Skills Plan Document.
- Annual training reports submitted to the applicable SETA.
- Proof of implemented programs targeted at developing Priority Skills generally and specifically for black employees (Evidence that Priority and Scars skills were targeted)
- EMP201's for financial period being assessed / EMP501 with proof of payments
- Payroll printout for all employees indicating cost to company per month for the financial period that is being assessed OR
- IRP5 Recon

All the requirements listed below are applicable to both QSE and Generic scorecards:

**EXTERNAL TRAINING:**

Please ensure that names and surnames, race, gender, disabled staff and ABET training is included on all documents for purposes of validating claims

- Invoices, Proof of payments, Certificates / Attendance Registers
- Scholarships and bursaries agreements, terms and conditions, relevant documentation and claims thereof

**IN-HOUSE TRAINING:**

- Attendance registers indicating:
  - Name of all staff that attended (black & white)
  - Date and Time of each training session
  - Type of training provided
  - Duration of each training session
  - Signature of attendees (indicating attendance)
  - Name of trainer(s)
- Pay slips of trainers (applicable to period training was provided)
- Proof of any other costs that were incurred for training (e.g. study material)

**LEARNERSHIP / APPRENTICESHIPS / INTERNSHIPS:**

- List of Learners including Salaries
- Payslips for the sampled learners for the last month of the financial period
- Copies of all learnership agreements with start and end date or letter form the applicable SETA confirming registration e.g. Name and Surname, ID no, Start and End Date
- ID Copies of Learners
- In case of Black Unemployed: Proof of no previous employment by the measured entity (Sworn-Affidavit)
- Absorption Evidence: Employment Contract
- Training Tracking Tool


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**ENTERPRISE AND SUPPLIER DEVELOPMENT:**

**Preferential Procurement**

 [The procurement tab to be compared within information gathering sheet. Include all spend](#)

- List of suppliers (showing Names & Amounts spent (**excluding vat**) also indicating first time suppliers, in financial year being assessed)
- If first time supplier indicated on information Gathering Sheet we require a detailed ledger for the previous financial period
- Supplier B-BBEE Certificates

**Imports:**

 [Imports tab to be completed within the information gathering sheet](#)

- Invoices and Detailed Ledgers - Sampled Suppliers
- Letter confirming reason for Imports
- SAD500 or IRC or IT14SD (SARS)

**ENTERPRISE DEVELOPMENT AND SUPPLIER DEVELOPMENT CONTRIBUTOR:**

 [Enterprise Development to be completed within the information gathering sheet.](#)

- Written agreement stipulating terms and conditions of the relationship
- Certified copy of ID of all applicable recipients
- B-BBEE Sworn Affidavit (QSE/EME) of recipient
- Company Registration Documents
- Proof of values involved (in the case of non-monetary contributions)
- Documentation & Proof of relationship with contributing entity
- Proof of values involved (in the case of non-monetary contributions)  
**Recipient:** (Only if black ownership exists)

If the recipient has created jobs as a result of the contribution, the employment contracts and ID copies are required

Graduation from Enterprise to Supplier Development - Enterprise Development Agreement

**FORESTRY SECTOR:**

Growers and Saw Miller Sub-Sector: Confirmation of annual sales of logs and Saw Timber to the following entities:

- Exempt Micro Enterprise
- Qualifying Small Enterprises
- More than 51% Black Owned Enterprises
- More than 30% Black Woman Owned Enterprises

Letter of compliance from grooving body conforming compliance with the industry codes of contracting

**PROPERTY SECTOR:**

**ECONOMIC DEVELOPMENT:**

Proof of Economic Development in under resourced areas as a percentage of total annual development

Proof of contributions towards annual investment activities - do not apply to the Asset Mangers and Property Management Services and Specialised Enterprise

**TRANSPORT SECTOR ENTERPRISE DEVELOPMENT:**

**BUS COACH AND BUS COMMUTER:**

A list of total operator bus fleet in the measured entity



**CONSTRUCTION SECTOR:**

- Written and Signed Agreement by the ME and Qualifying Beneficiary
- A documented “need analysis” of the Qualifying Beneficiary signed by ME and Qualifying Beneficiary
- A documented Supplier Development Plan signed by the Measured Entity and Qualifying Beneficiary (as per 9.2.2.3 of the Amended Construction Gazette 41287)
- Confirmation of the ESD Champion (as per the requirements of clause 9.2.3 of the Amended Construction Gazette 41287)

**CONSTRUCTION SECTOR SUPPLIER DEVELOPMENT PROGRAMMES:**

- Signed Share Certificates of the Qualifying Beneficiary
- Valid TAX Clearance Certificate
- Annual Financial Statements for the last completed financial period of the Qualifying Beneficiary
- 12-month annual payroll report
- Sworn-Affidavit (where applicable) or B-BBEE Certificate valid at the date of entering into the agreement

**CONSTRUCTION SECTOR SUPPLIER DEVELOPMENT:**

- Sworn-Affidavit (where applicable) or B-BBEE Certificate valid within the measured period
- Annual Financial Statements for the financial period that preceded the contributions for the measurement period
- Signed Share Certificates of the Qualifying Beneficiary

**SOCIO-ECONOMIC DEVELOPMENT (DONATIONS):**

**\*Please note that the % black recipients of the specific contribution need to be mentioned on the documentation**

 **[Socio Economic tab to be completed within the information gathering sheet.](#)**

- Documents showing Mission & Recipients
- Thank you letters / Recipients / Proof of Payments
- Independent competent person's report confirming that the beneficiaries meet the definition of "black"
- Sworn-Affidavit or Independent confirmation confirming the percentage of the contribution value which benefited "Black People" defined by the codes

**TOURISM SECTOR:**

- Proof of TOMSA membership

**MAC SECTOR:**

- Letter of Good Standing from the governing body i.e. ASA
- Letter of Appreciation from the Beneficiary of the responsible marketing initiative
- Confirmation of the benefits for the responsible marketing initiative

**CONSTRUCTION SECTOR:**

**STRUCTURED SED PROJECTS:**

- SED plan signed by the ME and the beneficiary or third-party intermediary
- Signed confirmation by the beneficiary or third-party through whom the contributions was made, confirming value of contributions (payment within the period)

**COMMUNITIES WITH LIMITED SERVICES:**

- Proof that less than 65% of households have access to piped water (available on STATS SA)
- Proof that less than 85% of households have access to electricity (available on STATS SA)

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**Y.E.S INITIATIVE REQUIREMENTS:**

- Confirmation of Registration and Placement start date with the Y.E.S Non-Profit Company
- Previous B-BBEE Verification Certificate and Report
- Proof of non-displacement of current B-BBEE Initiatives and maintenance of B-BBEE Status Level
- Signed Annual / Audited Financial Statements for the last 3 years to calculate the NPAT Targets
- EEA2 Submission (Where Applicable)
- EEA4 Submission (Where Applicable)
- Proof of Submission of EEA2 and EEA4 to the Department of Labour (Where Applicable)
- List of Employees / Payroll as per the last month of the Previous Financial period Financial Period
- List of Employees / Current Payroll
- Samples of Certified ID Copies of Black Youth that have been appointed
- EEA1 Deceleration and Letter from relevant physician for Disabled Black Youth (If applicable)
- Samples of Signed Employee / Workplace Contracts
- Samples of Interviews
- Samples of Payslips
- EMP201's for the Measurement Period
- WSP and ATR Report and Pivotal Report and Confirmation of Submission
- Skills Development Expenditure list for the Measurement Period / Categorized according to Skills Development Matrix
- Samples of Proof of attendance

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**Y.E.S INITIATIVE REQUIREMENTS:**

Source documents such as invoices, receipts etc.

**Measured Entity Representative**

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**aBEErate Representative**

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_