

REQUIRED DOCUMENTS

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

*** (All letters of Confirmation must be on a company letterhead)**

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 EXISTS:

- 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)
- Certified ID Copies for Shareholders, Directors and all Black Owners if natural person or current B-BBEE Certificate / Black Owner Affidavit of Black Shareholder

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 that there is no outstanding debt OR 3rd 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 (certified ID copy)

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)
- Additional Criteria: Trust was created for Legitimate commercial reason which must be fully disclosed and Trusts do not directly or indirectly seek to circumvent provisions of the Codes and the ACT
- Confirmation of Beneficiary apportionment

CONSTRUCTION SECTOR:

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

FINANCIALS:

- Signed Audited Financial Statements
- Tax Clearance Pin or One VAT201 submission to confirm VAT registration number
- 5-year Annual Financial Statements (AFS) if NPAT (Net Profit After Tax) is a loss or not ¼ of the Industry Norms
- IT14SD (SARS)
- 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
- Total Measured Procurement Spend: 12-Month Signed & Dated Payroll Report for foreign employee costs confirming: Name, Surname, ID Number / Passport Number.

MANAGEMENT ACCOUNTS:

- Signed Detailed Income Statement
- Signed Balance Sheet
- Sales Journal or Detailed Ledger (Excel Format)
- 3 Sales Invoices in measurement period 1st invoice, 1 in the middle and the last invoice on the sales journal and / or detailed ledger and 1 directly after the financial period and the first 1 invoice directly before the financial period:
- VAT201 Submissions for the financial period with VATSA
- Signed Financial Statements for the previous year
- Fixed Asset Register
- IRP6 Declaration return for payment of Provisional Tax with Proof of Payment

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
- Complex Organogram detailing reporting structure for Other Executive Management or Minutes of Meetings
- 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.
- Fully Signed Employment contracts of sampled employees.
- Current 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) or MOI that confirms Voting Rights at Board Participation Level.

- 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
- Description of JOB grading system is used in the organisation

CONSTRUCTION SECTOR:

- 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
- Declaration by the Measured Entity confirming Race and Gender of all Professionally Registered and Proof of Professionally registered as per CSCC recognised statutory and professionally registration councils list

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.
- Approval Letter of Workplace Skills Plan by 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 with EMPSA
- Payroll printout for all employees indicating gross salaries per month for the financial period that is being assessed OR
- 12 month payslips for the financial period

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)

LEARNERSHIP / APPRENTICESHIPS / INTERNSHIPS/ BURSARIES:

- Copies of all learnership agreements with start and end date approved by the applicable SETA or letter form the applicable SETA confirming registration e.g. Name and Surname, ID no, Start and End Date
- Proof of Registration with Higher Education Institution (CAT A2)
- Qualification after Internship
- Internship: Course content e.g. Prospectus
- Certified ID Copies of Learners
- Invoices and Proof of Payments
- Learners Payroll Report for the measurement period to verify salaries or Payslips
- In case of Black Unemployed: Proof of no previous employment by the measured entity (Sworn-Affidavit)
- Absorption Evidence: Permanent Employment Contract and Signed Training Tracking Tool

CONSTRUCTION BONUS POINTS:

Employees registered as professionals with industry professional registration bodies (Proof of Registration & Sworn-Affidavit)

Professionally Registered

Candidate Registration

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 and current financial period

Min 3 Year Contracts - Fully Signed 3 Year contracts to be provided

Supplier B-BBEE Certificates

Detailed Ledger in excel format for the sampled suppliers

3 Invoices for the sampled suppliers “1st Invoice, 1 Invoice in the Middle and Last Invoice on the detailed ledger.

Imports:

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

Invoices and Detailed Ledgers - Sampled Suppliers

Imports Letter confirming reason for imports indicating each supplier and the total amount imported for the financial period.

SAD500's for each invoice supplied

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
- CIPC not older than 3 month's or Sworn-Affidavit
- Proof of values involved (in the case of non-monetary & monetary contributions)
- Appreciation Letter for contributions on measured entities Letterhead
- Supplier Invoice - this is to confirm that the Beneficiary is a Supplier to the Measured Entity
- If the recipient has created jobs as a result of the contribution, the fully signed employment contracts and certified ID copies are required.
- Letter of appreciation must state staff compliment before and after contribution
- 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

SECTOR CONTRIBUTIONS:

- Obtain Evidence that contributions made towards Sector Specific Initiatives are indeed Sector Specific

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)
- Proof of Professionally registered: Only professionally Registered as per CSCC Recognised Statutory and Professionally Registration councils list.

CONSTRUCTION SECTOR SUPPLIER DEVELOPMENT PROGRAMMES:

- Signed Share Certificates of the Qualifying Beneficiary
- Valid TAX Clearance Pin
- 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
- Annual Financial Statements for the financial period that preceded the contributions for the measurement period

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
- Proof of Payments / Receipts
- 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
- Letter of Appreciation
- Obtain Evidence that contributions made towards Sector Specific Initiatives are indeed Sector Specific

TOURISM SECTOR:

- Proof of TOMSA membership

MAC SECTOR:

- 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)

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
- 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
- Samples of Signed Employee / Workplace Contracts
- Samples of Interviews
- Samples of Payslips
- Invoices and Proof of Payments pertaining to the Y.E.S Initiative

Measured Entity Representative

Name: _____

Signature: _____

Date: _____

aBEErate Representative

Name: _____

Signature: _____

Date: _____