



GENERIC & QSE FULL VERIFICATION REQUIRED DOCUMENT LIST

1. General Information		Yes	No	N/A
1.1	Company profile and description of nature of the business			
1.2	COR 39 not older than 1 month OR Certificate of incorporation from CIPC not older than 1 month			
1.3	Company Name change CM29/CM 29 if applicable			
1.4	Certificate of incorporation CM1 or CK Documents			
1.5	Valid SARS Tax Clearance Certificate			
1.6	Copy of the latest signed audited Annual financial statement or signed management Accounts by the companies competent Person e.g. Financial director/ Independently Reviewed Annual Financial Statements			
	Management accounts must be supplied with the following compulsory documents			
	<ul style="list-style-type: none"> Signed Audited financial statements for the previous financial year 			
	<ul style="list-style-type: none"> Signed management Accounts including an income Statement, Balance sheet and Cash Flow statement OR Asset register for 12 months period under review 			
	<ul style="list-style-type: none"> Letter from an Authorised Top manager confirming the reason for the financial statements not being available, the accuracy of the management accounts and according to their Knowledge the will be a material changes to the finalised financial Statements 			
	<ul style="list-style-type: none"> 			
	<ul style="list-style-type: none"> Vat 201 for the 12 months period under review 			
2. OWNERHIP		Yes	No	N/A
2.1	Copy of shareholding Structure			
2.2	Copy of shareholders/members/Partnership/Joint venture agreement OR signed letter by shareholders on a company letterhead stating there is no shareholders agreement			
2.3	Copy of Share register and share certificates			
2.4	Memorandum of incorporation & Article of Association			



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2.5	Signed letter by a competent person e.g. auditor confirming voting rights, economic interest for black people and black women and if there are any debt associated to the Black shareholding OR if shares are fully paid and there are no third-party rights.			
2.6	Sale of Shares Agreement			
2.7	Proof of outstanding loan amount and repayment schedule (if shares are not fully paid) of debts associated with the Acquisition of shares by black partner as at measurement date.			
2.8	Valid BBBEE certificate of the shareholders if the shares are held in the measured entity through a company and the confirmation letter from the competent person e.g. shareholder or company secretary confirming that the ownership has not changed as per the valid BBBEE certificate.			
2.9	Certified Identity Documents of all black shareholders/members/beneficiaries of trust/partners.			
2.10	Copies of the signed shareholders meeting minutes.			
2.11	Proof of dividends declared and paid to shareholders for the measurement period OR letter from the shareholders explaining the reasons for not declaring dividends within the period under review.			
2.12	Company evaluation using the standard evaluation method if the company made a loss or there is an outstanding debt associated to the Black shareholding			
2.13	For trusts in the ownership structure of the measured Entity			
	<ul style="list-style-type: none"> • Trust deed 			
	<ul style="list-style-type: none"> • A list of all beneficiaries by Name/Race/Gender/Nationality/Country of Birth and Percentage interest. 			
	<ul style="list-style-type: none"> • A list of all trustees by Name/Race/Gender/Nationality 			
	<ul style="list-style-type: none"> • Letter from the competent person explaining the reasons for creating the trust if it was not meant to circumvent the codes of good practice. 			
	<ul style="list-style-type: none"> • Certified copy/ies of IDs of Trustees and the beneficiaries. 			



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2.14	Indirect Ownership			
	<ul style="list-style-type: none"> Ownership organogram for every level from the effective BEE ownership 			
	<ul style="list-style-type: none"> Share Certificate/s and Share Register/s for every stage from the effective BEE Ownership. 			
	<ul style="list-style-type: none"> Shareholders Agreement for every tier from the effective BEE ownership or a signed letter by all shareholders on company letterhead for every tier stating there is no shareholders agreement 			
	<ul style="list-style-type: none"> Valid BBBEE certificate, Detailed BBBEE scorecard report and the confirmation letter from the competent person e.g. shareholder or company secretary confirming that the ownership has not changed as per the valid BBBEE certificate of all the enterprises that have shares in the measured entity 			
3. Management Control		Yes	No	N/A
3.1	Detailed company organogram (on company letterhead) of all employees including Name/Race/Gender/Designation			
3.2	Copy of latest (not older than a month) CM29 or CoR39 (Companies) or Latest CK Documents (Close Corporations) or Trust Deeds (Trust).			
3.3	Confirmation of Executive, Non-Executive and Independent Non-Executive and their voting Rights including Name/Race/Gender/Designation			
3.4	Confirmation of the Other executive management including Name/Race/Gender/Designation			
3.5	A list of all employees including their Name/Race/Gender/Job Description/ID numbers/ Nationality and levels of employment (Executive; Other Executive Senior; Middle; Junior; etc.) as at the audit date.			
3.6	Payroll printout including all employees as at the audit date. The employee names and monthly salary needs to be disclosed on the payroll and the payroll should be traceable to the measured entity e.g. signed by the competent person			
3.7	Certified ID copy/ies of sampled black employees.			



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3.8	Copy of signed Minutes of the latest Board Meeting.			
3.9	Copy of the most recent Employment Equity Report submitted to the Department of Labour and proof of submission from the Department of Labour.			
3.10	Stamped EEA 1 report for sampled disabled employees submitted to the department of labour			
3.11	Doctor's note confirming the disability and Identity Documents of all disabled employees.			
4. SKILLS DEVELOPMENT		Yes	No	N/A
4.1	Proof of registration with the applicable SETA			
4.2	Most recent submitted Workplace skills Plan which SETA Approved is			
4.3	Most recent submitted Annual training Report which is SETA Approved			
4.4	Most recent submitted Pivotal Report which is SETA Approved			
4.5	Proof of submission to SETA and proof of Approval from SETA for the above-mentioned documents on 4.1,4.2,4.3.4.4			
4.6	Copies of the EMP201 report and proof of payments OR EMP 501 for 12 months period under review.			
4.7	An exemption certificate from SARS if your total payroll is under R500,000.00 per annum.			
4.8	Proof or registered Skills Development Facilitator			
N:B if any of the above mentioned documents are not available apart from 4.8 no points will awarded for Skills development				
4.9	Schedule for Skills Development expenditure for measurement period for all black and white employees, confirming race, gender, nationality and if disabled via Excel. Including Learnerships			
The following sample will be requested				
4.10	Proof of Payment for the Skills Development spending, with the corresponding invoice/s and confirmation of trainees			
	Certificates or signed attendance registers			



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Internal training register signed by all the trainees including the name of the trainer, name of the training, duration of the training, date of the training .			
Payslips of the sampled internal trainers.			
Tri partite agreement/learnership Agreement			
Letter from the Institution confirm that the Learner need a specific training to obtain the Qualification (applicable for category B learnerships)			
Id copies of the trainees			
Learners Payslips			
Affidavit to confirm that the learners were unemployed prior to participating in the Learnership programme			
Letter from the HR Manager confirming the date of engagement with the learners(if the learner was unemployed) and the absorption date of the learner (this is not applicable if the learner is not absorbed by the measured entity)			
Employment contract and id Copies of the absorbed learners			
Training report to confirm the number of learners trained and absorbed learners			
5. ENTERPRISE AND SUPPLIER DEVELOPMENT	Yes	No	N/A
5.1 Preferential Procurement			
<ul style="list-style-type: none"> • Copy of Preferential procurement policy and strategy if available. 			
<ul style="list-style-type: none"> • A schedule including supplier's name, total spend per supplier (i.e. Costs of Sales, Operating Costs, Finance Costs, and Capital Expenditure) for the Measurement period. All amounts must be Exclusive of VAT. 			
<ul style="list-style-type: none"> • B-BBEE certificates for all BEE suppliers 			
5.1.2 For Imports we request			



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	<ul style="list-style-type: none"> • A list of all foreign spend, for exclusion purposes. • SARS Registration Certificate • Signed Letter from an authorized person confirming the total value of imports per supplier and the detailed reason for the imports i.e. not available locally, off a Specialised nature, etc. 			
	5.1.3 The following sample will be requested for local suppliers			
	<ul style="list-style-type: none"> • Detailed ledger • Invoices for period under review 			
5.2 Supplier Development				
	<ul style="list-style-type: none"> • Supplier Development Agreement 			
	<ul style="list-style-type: none"> • Proof of Contributions 			
	<ul style="list-style-type: none"> • B-BBEE Affidavit of supplier development beneficiaries 			
	<ul style="list-style-type: none"> • Letter from the Supplier Development beneficiary/ies confirming the type and the value of support. 			
	<ul style="list-style-type: none"> • Detailed ledger (will sample invoices) of the supplier development beneficiary/ies 			
5.1 Enterprise Development				
	<ul style="list-style-type: none"> • Enterprise Development Agreement 			
	<ul style="list-style-type: none"> • Proof of Contributions 			
	<ul style="list-style-type: none"> • B-BBEE Affidavit of enterprise development beneficiary/ies 			
	<ul style="list-style-type: none"> • Letter from the Enterprise Development beneficiary/ies confirming the type and the value of support. 			



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6. SOCIO ECONOMIC DEVELOPMENT		Yes	No	N/A
	<ul style="list-style-type: none">Detailed list of all initiatives confirming the charities name, date/s of contribution/s and rand value.			
	<ul style="list-style-type: none">Proof of Contributions			
	<ul style="list-style-type: none">Letter from the Socio-Economic Development beneficiary/ies confirming the type and the value of support that benefited black people.			
	<ul style="list-style-type: none">Letter from the competent person confirming the percentage of the Black beneficiaries.			

