

Guidance Note	Forms and Precedents	Checklists	Other Resources
1. LEGAL AND COMPLIANCE			
1.1 Establishing compliance			
1.1.1 Establishing a compliance function	Compliance charter		Example of an organogram
	Compliance policy and procedure		Example of a risk matrix
	Compliance charter training strategy		Compliance function structure
			Compliance function summary
			Example of a compliance risk profile
			Implementation plan guidelines
1.1.2 The content structure of the compliance charter	Compliance charter		Example of an organogram
	Sample authority clause		Compliance function structure
	Sample scope clause		Implementation plan guidelines
	Risk management methodology clause		
	Sample reporting clause		
	Sample implementation clause		
	Compliance charter training strategy		
	Compliance policy and procedure		
1.1.3 Risk			Example of a risk matrix
1.1.4 Compliance risk management plan			Compliance management risk plan table
1.1.5 How to draft policies procedures and training strategies	Compliance policy and procedure		Implementation plan guidelines
	Compliance charter training strategy		
	Compliance charter		
	Policy or procedure application form		
	Acknowledgment of understanding sample clause		
	Survey on policies and training		
1.2 Legal			
1.2.1 Legal department standards	Legal department policy and procedure		Code of Conduct for Legal Practitioners

Guidance Note	Forms and Precedents	Checklists	Other Resources
	Legal department training strategy		
	Satisfaction survey		
	Example of a request form		
	Standards of the legal department		
1.2.2 Dealing with requests	Legal department policy and procedure		
	Dealing with requests sample clause		
	Example of a request form		
	Satisfaction survey		
	Sample legal standards clause		
	Legal department training strategy		
1.2.3 Contract drafting and signing	Legal department policy and procedure		Contract register (excel doc)
	Reporting clause		
1.2.4 The contract register	Contract register and contract management systems		Contract register (excel doc)
	Legal department policy and procedure		
	Legal department training strategy		
1.2.5 Promotion of Administrative Justice Act			

2. CORPORATE GOVERNANCE			
2.1 Governance of an entity			
2.1.1 How to comply with King IV			
2.1.2 Organograms and reporting structures	Submission procedure clause		Example of an organogram
	Delegation of authority and submissions policy and procedure		Compliance function structure
			Example of delegation
	Code of ethics policy and procedure		
2.2 The company secretary			
2.2.1 The duties of the company secretary	Form CoR 39 – Notice of Change of Directors		Practice Note 11 of 2011 - Electronic CoR39

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		Nonprofit company MOI checklist	Practice Note 5 of 2011 - Directors' contact details on CoR14.1 and CoR39
	Example minutes of meeting	Public company MOI checklist	Practice Note 10 of 2011 - Amendments to auditors or company secretary
	Example of a resolution	Private company MOI checklist	Practice Note 3 of 2016 - Notice of Shareholders Meeting
	Example of a special resolution	Personal liability company MOI checklist	Practice Note 1 of 2012 - Adoption of a new MOI or the amendment of an existing MOI
	Form CoR 14.1 - Notice of Incorporation	Documents to file with Form CoR 15.2	
	Form CoR 15.2 - Notice of Amendment of Memorandum of Incorporation		
	Form CoR 15.1A - Short Standard Form for Private Company's MOI		
	Form CoR 15.1B - Long Standard Form for Profit company's MOI		
	Form CoR 15.1C - Short Standard Form for Non-profit Companies without members MOI		
	Form CoR 15.1D - Long Standard Form Non-profit Company's without members MOI		
	Form CoR 15.1E - Long Standard Form Non-profit Company's with members MOI		
	Special power of attorney to amend MOI		
	Form CoR 16.1 - Notice Concerning Company Rules		
	Form CoR 44 - Notice of Change of Auditor or Company Secretary		
	Resolution to amend MOI		

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2.2.2 Governance of companies			
2.2.3 King IV report on corporate governance			
2.2.4 King IV principles			
2.3 CIPC			
2.3.1 Complying with the CIPC regulations	Special power of attorney to amend MOI	Nonprofit company MOI checklist	Practice Note 3 of 2014 - Business rescue filing procedure
	Resolution to amend MOI	Public company MOI checklist	The Companies Act 2008 at a glance
	Form CoR 15.2 - Notice of Amendment of Memorandum of Incorporation	Private company MOI checklist	CIPC practice note 2 of 2015
	Form CoR 123.1 - Notice of Beginning of Business Rescue Proceedings	Personal liability company MOI checklist	CIPC explanatory notes
	Form CoR 9.1 - Application to Reserve a Name	Documents to file with Form CoR 15.2	Practice Note 1 of 2012 - Adoption of a new MOI or the amendment of an existing MOI
	Form CoR 14.1 - Notice of Incorporation		
	Form CoR 15.1A - Short Standard Form for Private Company's MOI		
	Form CoR 15.1B - Long Standard Form for Profit company's MOI		
	Form CoR 15.1C - Short Standard Form for Non-profit Companies without members MOI		
	Form CoR 15.1D - Long Standard Form Non-profit Company's without members MOI		
	Form CoR 15.1E - Long Standard Form Non-profit Company's with members MOI		
2.3.2 Strategic and operational objectives of a company			

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3. FINANCE			
3.1 Audit requirements			
3.1.1 How to establish and appoint the committee			Practice Note 2 of 2014 - Requirements for appointing and resignation of auditors and or company secretaries
3.1.2 Duties of the audit committee			
3.1.3 The appointment and duration of the auditor			Practice Note 2 of 2014 - Requirements for appointing and resignation of auditors and or company secretaries
3.1.4 Rights and restricted functions of auditors			
3.1.5 How to compile an audit report			Finance topic fines
3.2 VAT			
3.2.1 Complying with VAT - general compliance	Form CRA01 - Confirmation of residential or business address		
3.2.2 Complying with VAT - record keeping			
3.3 Know your customer			
3.3.1 Creating processes to implement the guidelines			
3.3.2 Risk Identification			
3.3.3 Conflict of interest and fraud			
3.4 Financial statements			
3.4.1 Compiling financial statements			
3.4.2 Format and access to financial statements			
3.4.3 Auditing of annual financial statements and their requirements			
3.4.4 The solvency and liquidity test	Solvency and liquidity policy and procedure	Financial assistance checklist	
	Solvency and liquidity training strategy	Loans or other financial assistance to directors checklist	
		Distributions authorised by the board checklist	

Guidance Note	Forms and Precedents	Checklists	Other Resources
		Capitalisation of shares checklist	
		Acquiring company's shares checklist	
		Amalgamations or mergers checklist	
3.4.5 The public interest score			OECD anticorruption recommendations

4. PROCUREMENT			
4.1 Purchasing products and services			
4.1.1 How to draft a procurement plan			
4.1.1.1 How to draft a procurement plan			Tender process format
	Procurement monitoring plan		Procurement risk and mitigation table
			Tender bid monitoring table
4.1.2 Payment of goods			
	Procurement monitoring plan		
	Procurement policy and procedure		
	Procurement training strategy		
4.1.3 Complying with BBBEE			
	BBBEE compliance report		BBBEE strategy
			BBBEE codes of good practice
			Supply chain management guide
			Scoring of the entity guidelines
			BBBEE Certificates for exempted micro enterprises
			Procurement topic fines
4.1.4 Complying with the PPPFA			
	Procurement monitoring plan		
	Procurement policy and procedure		
	Procurement training strategy		
4.1.5 Tax compliance status			
4.1.6 What is treasury management			Example of delegation
4.1.7 Shareholder and institution relationship			
4.1.8 Treasury regulations for public entities			Public private partnership manual

Guidance Note	Forms and Precedents	Checklists	Other Resources
			In year management monitoring and reporting
			Guide for accounting officers PFMA
4.1.9 Shareholders compacts			Draft guideline framework for corporate planning and shareholder's compact
			Example of compliance risk profile
4.1.10 Corporate plans			

5. INFORMATION AND DATA PROTECTION

5.1 Cyber and security

5.1.1 Computer Related Fraud	Social media policy		
	Information security policy and procedure		Example of an organogram
5.1.2 Requirements for websites selling their goods or services			
5.1.3 How a legal transaction is undertaken	Information security policy and procedure		
5.1.4 Combating cybercrime	Information security policy and procedure		
	Social media policy		
5.1.5 Monitoring employees computers	Information security policy and procedure		
5.1.6 Electronic signatures			
5.1.7 Document management			

5.2 Confidentiality and the treatment of information

5.2.1 Protected disclosures	Protected disclosure monitoring plan		
	Protected disclosure training strategy		
	Protected disclosure checklist and confidentiality form		
	Protected disclosure policy and procedure		
	Code of ethics policy and procedure		
5.2.2 Overlap between compliance and the GDPR	POPI compliance charter		Process to collect and retain information table

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	POPI training strategy		POPI risk and mitigation table
			Example of information categorisation sheet
5.2.3 Obtaining access to information	Form A – Requesting access to information from a public body		Public and private bodies comparative table
	Form B – Notice of an internal appeal		SAHRC PAIA guide
	Form C – Requesting access to information from a private body		Grounds for refusal
	Form D – Section 15 of PAIA		PAIA risk and mitigation table
	Form E – Section 52 of PAIA		Implementation plan guidelines
5.2.4 Process and protection of obtaining personal information			
5.2.5 Data Protection in relation to POPIA			
5.2.6 Data protection principles			

6. ENERGY

6.1 National Energy Regulator of South Africa

6.1.1 Complying with NERA			
6.1.2 Applying for a gas licence	Annexure B Form – Objection to gas licence application		What requires a licence table
	Annexure G Form – Application for the registration of gas activity		Procedure for processing licence applications
6.1.3 Applying for a petroleum pipelines licence	Annexure B Form – NERSA application for a licence		Tariff methodology for setting pipeline tariffs
	Annexure E Form – NERSA application for an amendment of a licence		Tariff methodology approval for loading and storage facilities.
	Annexure F Form – NERSA application for the revocation of a licence		NERSA pipelines FAQ
	Annexure D Form – Objection to a licence application		Interest cover ratio range
	Annexure A Form – NERSA Request for confidential treatment of information		Guidelines for annual assessment

Guidance Note	Forms and Precedents	Checklists	Other Resources
			Guideline requirements for pipelines tariff applications
			Market risk premium
			Beta value for tariffs
			CPI forecast
			Tariff methodologies FAQ
			Information to assist licence applicants to file licence applications

7. HUMAN RESOURCES			
7.1 Employment rights			
7.1.1 Regulation of working time			Compliance with working hours
			Code of good practice on the arrangement of working time
			BCEA summary
7.1.2 Leave	Form UI 2.2 - Application for illness benefits		BCEA leave guidelines
	Application for Maternity benefits		
	Form UI 4 - Application continuation maternity payment		
	Form UI 2.8 - Application to pay benefits into account		
7.1.3 Employment and remuneration	Form CoR 46.2 - Annual certificate of employee share scheme		
	Form BCEA2 - Wages register		Human resources topic fines

Guidance Note	Forms and Precedents	Checklists	Other Resources
	Form BCEA3 - Attendance register		
	Form BCEA4 - Payslip		
7.1.4 Termination of employment			
7.1.5 How to conduct strikes and lockouts	Form LRA 4.1 - Request to establish picketing rules		
7.1.6 Trade union membership rights			
7.2 Employment equity			
7.2.1 How to draft the employment equity plan	Form EEA13 - Template for Employment Equity Plan		Code of good practice Preparation implementation and monitoring of employment equity plans of 2016
7.2.2 How to prevent unfair discrimination in the workplace			
7.2.3 How to establish affirmative action measures			
7.2.4 Monitoring enforcement and legal proceedings			
7.3 Workplace safety			
7.3.1 Duties of employers			
7.3.2 Duties of employees			
7.3.3 How to appoint a health and safety representative			
7.3.4 Reporting to the inspector			
7.3.5 General obligations fines and compliance			