



BEE VERIFICATION AGENCY CHECKLIST

Organisation						
SANAS Accr. No/s.						
Organisation's Representative				Assessor		
This report covers the following:						
Document Review only		Implementation on Site Visit only		Document Review and Site Visit		Other
Clause	Requirements & Comments Compliance = C, Non-compliance = NC and Not applicable = NA <i>Comment below on adequacy of how requirements have been addressed, documented and/or implemented. The order of assessment need not follow the order of the checklist. Assessors are expected to know & have the standard, this worksheet is designed as guidance to prompt detailed recording of the process. REFER TO R47 FOR DETAIL AND FOR CLARIFICATION NOTES.</i>					
	REQUIREMENTS			C NC NA	Specify where defined (Please NOTE: Page number and paragraph number from your documentation)	
10.2	LEGAL AND CONTRACTUAL MATTERS					
	<u>How are the following addressed/implemented?</u>					
	10.2.1 Legal responsibility					
	10.2.2 Ownership					
	10.2.3 Investment through another equity and/or debt Instrument					
	10.2.4 Verification Agreement					
	10.2.5 Responsibility for BEE verification decisions. Does it maintain responsibility for all verification decisions (granting, withdrawing, etc)?					
10.3	LIABILITY AND FINANCING					
	<u>How are the following addressed/implemented?</u>					
	10.3.1 evaluation of significant risks arising from verification activities and arrangement made (e.g. insurance or reserves) to cover liabilities from operations?					
	10.3.2 commercial and financial pressures					
	10.3.3 Does it have adequate liability cover?					
11	MANAGEMENT SYSTEM REQUIREMENTS FOR VERIFICATION AGENCIES					
	11.1 Does the Verification Agency define its scope of activity? Are policies, systems, processes, programmes, procedures and instructions documented, communicated, understood by and available to and implemented by appropriate personnel?					
	11.2 Are overall objectives established and reviewed during management review?					

<p>12</p>	<p>STRUCTURAL REQUIREMENTS</p>	
	<p>12.1 Structure and top management of BEE Verification Agencies</p> <p>12.1.1 Does the Verification Agency have a documented structure that safeguards impartiality of operations? Does the structure allow for participation of all significant parties? Does the structure show the duties, responsibilities and authorities of management and other verification personnel and any committees?</p> <p>12.1.2 Has the Verification agency identified top management with responsibility for:</p> <ul style="list-style-type: none"> (a) Development of policies relating to the operation of the agency (b) Supervision of the implementation of the policies and procedures (c) Supervision of the finances of the body (d) Performance of evaluations and verifications (e) Decisions on BEE verifications (f) Delegation of authority to committees or individuals, as required, to undertake defined activities on its behalf (g) Provision of adequate, qualified resources for its activities. <p>12.1.3 Does the Verification Agency have documented formal rules for appointment, terms of reference and operations of any committees and are these rules authorized by the top management?</p> <p>12.1.4 Has the verification agency analyzed and documented the relationship with related bodies for possibilities of conflict of interest etc?</p>	
	<p>12.2 Safeguarding of impartiality</p> <p>12.2.1 Are composition of committees represent</p> <ul style="list-style-type: none"> • Balance of Interest • Impartial • Competent <p>12.2.2 Is all the necessary verification information accessible?</p> <p>12.2.3 The activities of a related body should never be marketed together and nothing should be stated anywhere that gives the impression that the two activities are linked in any way.</p>	
<p>13</p>	<p>HUMAN RESOURCE REQUIREMENTS</p>	
	<p>13.1 Competence of management and personnel</p> <p>13.1.1 Is there a procedure for recruitment, selection and training of personnel and for monitoring performance of verification personnel? Monitoring of performance should include periodic witnessing.</p> <p>13.1.2 Does the BEE Verification Agency have sufficient number of verification analysts including verification managers and experts?</p> <p>13.1.3 Is the Verification Agency having processes to ensure that management, administrative personnel, verification analysts, experts and committees are competent in their different activities? Does it specify the minimum relevant criteria for the competence of personnel?</p>	

	<p>13.2 Personnel involved in the verification process</p> <p><u>How are the following addressed/implemented?</u></p> <p>13.2.1 Competence of personnel managing the verification</p> <p>13.2.2 Undue pressure of verification personnel</p> <p>13.2.3 Job descriptions</p> <p>13.2.4 Selection criteria, training required, monitoring of verification analysts and experts. Does the initial competence evaluation of verification analysts include on-site observation while verification is taking place?</p> <p>13.2.6 Access to an up-to-date set of documented procedure on relevant information on verification operations.</p>		
	<p>13.3 Use of individual external verification analysts and external verification experts</p> <p>13.3.1 Does a formal documented agreement that address aspects relating to confidentiality and independence from commercial and other interests exist between the verification agency and experts and between verification agency and Verification analysts?</p> <p>13.3.2 Compliance with the rules of the verification agency (Confidentiality, independence from commercial and other interests)</p> <p>13.3.3 Declare and disclose any prior association with any measured entity they may be assigned to evaluate.</p>		
	<p>13.4 Personnel records</p> <p>Are the following records maintained for each person involved in the verification process?</p> <ul style="list-style-type: none"> • Qualifications • Training • Experience • Competence • Job description • Contract/agreement 		
	<p>13.5 Outsourcing</p>		
	<p>13.5.1 (a) Does the verification Agency have a procedure on outsourcing?</p> <p>13.5.1 (b) Does a formal documented agreement exist for outsourcing?</p> <p>13.5.1 (c) Does such an agreement cover confidentiality and conflict of interest?</p> <p>13.5.1 (d) Does the Verification Agency have a list of approved outsourced bodies and the procedure for assessing, recording and monitoring their performance?</p>		
	<p>13.5.2 Does the verification agency:</p> <p>Take full responsibility for outsourced work by evaluating the report and making a decision on certification?</p>		

	<p>13.5.3 (a) Does it maintain responsibility for all evaluations outsourced to another body?</p> <p>13.5.3 Ensure that the outsourced body</p> <p>(c) is competent and complies with R47</p> <p>(d) uses individuals who are not involved, either directly or through any other employer with an measured entity to be verified in such a way that impartiality could be compromised</p>		
13.6	MANAGEMENT OF IMPARTIALITY		
	<p>13.6.1 Does the BEE Verification agency have a public statement on understanding the importance of impartiality when managing conflicts of interest?</p> <p>13.6.2 Do the BEE Verification Agency and any related party provide both BEE verification and BEE consultancy to the same entity? Has a minimum of two years elapsed following the end of such consultancy?</p> <p>13.6.3 Has the verification agency analysed and documented the possibilities for conflicts of interest arising from the provision of its services, including any conflicts arising from its relationships?</p> <p>13.6.4 Does the Verification agency ensure that related activities of other related bodies do not affect the</p> <ul style="list-style-type: none"> • confidentiality • objectivity • impartiality of its activities <p>13.6.5 The Verification Agency shall NOT Provide any other services, which could compromise confidentiality objectivity or impartiality.</p> <p>13.6.6 Nothing should be said by a consultancy body or the linked organisation that implies that verification would be simpler, faster or less expensive if a specified BEE Verification Agency is used. Similarly a BEE Verification Agency shall not state or imply that BEE verification would be simpler, faster or less expensive if a specified consultancy is used.</p> <p>13.6.7 Are personnel including those acting in a managerial capacity that provided BEE consultancy for the measured entity within the last two years not employed to take part in a verification evaluation?</p> <p>13.6.8 Does the BEE Verification require personnel to declare and disclose any prior association with any measured entity they may be assigned to evaluate?</p>		
14	INFORMATION REQUIREMENTS		
	<p>14.1 Disclosable information</p> <p>Does the Verification Agency provide the following information on request?</p>		

	<p>14.1.1 information about its activities to SANAS</p> <p>14.1.2 accurate and not misleading information to any measured entity or to the marketplace</p> <p>14.1.3 BEE status granted to the entity</p> <p>14.1.4 means to confirm the validity of a given BEE score</p>		
15	DOCUMENT CONTROL		
	<p>15.1 (a) Does it have procedures for controlling documentation?</p> <p>15.1 (b) Are the procedures reviewed for adequacy?</p> <p>15.1 (c) Are obsolete documents retained and suitably marked?</p> <p>15.2 (a) Does an index of all documents that exists with issue numbers, amendments etc.</p> <p>15.2 (b) Is the distribution of all such documents controlled?</p> <p>15.3 Are amendments by hand allowed?</p> <p>15.4 Are changes maintained and controlled in documents maintained in computerized systems?</p>		
	<p>15.5 BEE VERIFICATION CERTIFICATE</p> <p>15.5.1 Does the Verification Agency have policy and procedures specifying the conditions for granting and maintaining certification?</p> <p>15.5.2 Does the BEE Verification Agency provide its clients with a BEE Verification Certificate?</p> <p>15.5.3 Does the verification certificate identify:</p> <p>(a) <i>The name and identifiable physical location(s) of measured entity</i></p> <p>(b) <i>Registration and vat number of measured entity</i></p> <p>(c) <i>The dates of granting of the BEE score and the period of validity</i></p> <p>(d) <i>The expiry date of the Verification Certificate</i></p> <p>(e) <i>A unique identification number</i></p> <p>(f) <i>The standard and/or normative document, including the issue and/or revision used to evaluate the client</i></p> <p>(g) <i>The name and/or mark/logo of the BEE Verification Agency</i></p> <p>(h) <i>The scorecard against which the measured entity has been verified</i></p> <p>(i) <i>The Broad-Based BEE status level.</i></p> <p>(j) <i>Verification Certificate must show SANAS logo</i></p> <p>(k) <i>BEE procurement recognition level</i></p> <p>15.5.4 Does the BEE Verification Certificate show the overall BEE status level as well as the BEE status level of each of the seven elements?</p> <p>15.6 Reference to verification and use of marks</p> <p>15.6.1 Does the verification agency have suitable means for dealing with incorrect references to the certification system or misleading use of licenses, certificates or marks found in advertisements, catalogues etc.</p> <p>15.6.2 Does the Verification Agency avoid confusion by ensuring that each verification system has a unique mark?</p>		

	15.6.3 Does the Verification Agency have documented procedures for the use of its mark and for the procedures it must follow in misuse including false claims to and use of marks? Conditions for issue retention and withdrawal of the score card.		
16	CONFIDENTIALITY		
	16.1 Does the BEE Verification Agency have a policy and arrangements to safeguard the confidentiality of the information obtained or created during performance of verification activities? 16.2 Does it have adequate procedures to safeguard confidentiality at all levels (committees etc.) 16.3 Do procedures require written consent prior to disclosure?		
17	INFORMATION EXCHANGE BETWEEN A BEE VERIFICATION AGENCY AND ITS CUSTOMERS		
	17.1 Has the BEE Verification Agency provided the following information to clients: (a) A detailed description of the verification process (b) Information about fees (c) Verification requirements (d) Documents describing the rights and duties of customers (e) A summary of the process for granting BEE verified status (f) Information on the procedure for handling complaints and appeals 17.2 Is the above information current?		
18	PROCESS REQUIREMENTS		
	18.1 Verification Methodology 18.1.1 Does the BEE Verification Agency verifies, evaluate and validate measured entities based on BBBEE Codes of Good Practice? Is verification done on-site? 18.1.2 Does the Verification Agency have procedures for re-evaluation in the event of significant changes affecting the score or changes in: • Ownership • Structure • Management of the entity or • For other reasons where the BBBEE score may be called into question? 18.1.3 Is the computer software documented and validated? Are procedures established and implemented for protecting data?		
	18.2 General requirements applicable to verification evaluation 18.2.1 Does Verification Agency have procedures for selecting and appointing verification team? Are names and background information on each team member made available to the client on time? 18.2.2 Does it have formal rules and/or contractual conditions with each team member? 18.2.3 Does it establish a verification plan before each visit and agree the plan with the client?		

	<p>18.2.4 Was time needed for on-site visit established before the visit?</p> <p>18.2.6 Has the BEE Verification Agency developed a sampling programme for multi-site sampling?</p> <p>18.2.9 Are dates communicated and agreed in advance with the client?</p>		
	<p>18.3 Verification</p> <p>19.3.1 Request for BEE verification</p> <p>How are the following addressed/implemented?</p> <p>(a) Representative of the measured entity requesting verification</p> <p>(b) Name and address of its physical location</p> <p>(c) General information</p> <p>(d) Information concerning use of consultancy</p>		
	<p>18.3.2.1 Review of request</p> <p>(a) Does the BEE Verification Agency have policies and procedures for the review of requests?</p> <p>(b) Are requirements for verification provided to the measured entity?</p> <p>(c) Are differences resolved before verification commences?</p> <p>(d) Is capability and resources evaluated before verification commences?</p> <p>(e) Are records maintained: reviews, significant changes, pertinent discussions with the client?</p> <p>(f) Is agreement established between the Verification Agency and the measured entity before verification commences?</p>		
	<p>18.3.3 Verification</p> <p>(a) Was verification done according to plan?</p> <p>(b) Did the verification take place on-site?</p> <p>(c) Was sufficient evidence gathered?</p> <p>(g) Was a detailed written Verification report promptly provided to the verified measured entity?</p>		
	<p>18.3.4 BEE verification decision</p> <p>18.3.4.1 Are the groups or individuals taking the decision in verification different to those that participated in any manner in the verification process?</p>		
	<p>18.4 Special evaluation</p> <p>18.4.1 Policies and procedures on special evaluations, including selection of team members</p>		

<p>19 & 20</p>	<p>APPEALS AND COMPLAINTS</p>		
	<p>(a) The verification agency shall have procedures for appeals and complaints</p> <p>Does the verification agency:</p> <p>(b) Keep all record of appeals and complaints and any remedial actions taken in their regard?</p> <p>(c) Take all necessary subsequent actions?</p> <p>(d) Document any actions taken and their effectiveness?</p> <p>(e) Are those investigating a complaint or an appeal completely independent from the complaint or the activities surrounding the complaint or appeal?</p>		
<p>21</p>	<p>RECORDS</p>		
	<p>(a) Does it have a suitable record system that demonstrates compliance with these requirements?</p> <p>(b) Have records been identified, managed and disposed of in such a manner as to ensure the integrity of the process and confidentiality?</p> <p>(c) Are records kept for a period of at least two years?</p> <p>(d) Does the Verification Agency have a policy and procedures for the retaining of records for periods consistent with contractual, legal and other obligations?</p> <p>(e) Does it have a policy concerning the access of records?</p>		
<p>22, 23, and 24</p>	<p>Internal Audits, Corrective Action and Management Review</p>		
	<p>(a) Does the Verification Agency have procedures on Internal Audits and Management Reviews?</p> <p>(b) Does it conduct internal audits annually covering all aspects?</p> <p>(c) Does the person responsible for internal audits ensure:</p> <p>Persons responsible for the area audited are informed of the outcome?</p> <p>(d) Does the Verification Agency have procedures for handling non-conformities, root cause analysis and assuring effectiveness of any corrective action or preventive action?</p> <p>(e) Corrective action is taken timously.</p>		

	<p>(f) The results of the audit are documented.</p> <p>(g) Does executive management review the quality system annually to ensure its suitability and effectiveness?</p> <p>(h) Are records of management review maintained?</p>		
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Comments:

<p>Signed : Lead Assessor / Assessor</p>		<p>Date</p>	
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