



THE NATIONAL EMPOWERMENT FUND

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BLACK ECONOMIC EMPOWERMENT QUESTIONNAIRE

National Empowerment Fund has embarked on a project to implement BBBEE as defined by the Broad Based Black Economic Empowerment Act of 2003. The Department of Trade and Industry are setting up "Codes of Good Practice" to objectively measure an enterprise's BEE compliance in the form of a scorecard. The Codes were gazetted in February 2007 and encompass seven elements: Equity, Management, Employment Equity, Skills Development, Preferential Procurement, Enterprise Development and Corporate Social Investment.

In order for us to build up our profile and calculate a BEE scorecard we also need to work on our preferential procurement. Preferential procurement requires us to obtain from you, your BBBEE score.

The codes define various levels, from 1 to 8 of BEE compliance. Each level allows us to claim preferential procurement points. The higher your BEE score, or level, the better it will be for us to report our BEE spend.

The table below shows how points convert to BEE levels

| Contribution Level | Qualification |
|---------------------------|------------------------------|
| Level One Contributor | ≥ 100 points |
| Level Two Contributor | ≥ 85 points but < 100 points |
| Level Three Contributor | ≥ 75 points but < 85 points |
| Level Four Contributor | ≥ 65 points but < 75 points |
| Level Five Contributor | ≥ 55 points but < 65 points |
| Level Six Contributor | ≥ 45 points but < 55 points |
| Level Seven Contributor | ≥ 40 points but < 45 points |
| Level Eight Contributor | ≥ 30 points but < 40 points |
| Non-Compliant Contributor | < 30 points |

If you are in possession of a BBEE score please would you furnish us with this score and the rating certificate by filling in the table on the following page.

Please submit your rating to us, or call our procurement office for more information.

Thank you for your assistance

Regards

Original signed on file

Rolland Rakhuduwe

Procurement Officer

BBBEE Supplier Assessment Form

Trading name of entity

Contact person

Physical Address

Contact telephone number

Fax number

Cell phone

Email address

Percentage black shareholding

(where applicable)

Percentage black women

shareholding

Do you fall within a gazetted
industry charter?

Are you a Qualifying Small
Enterprise? (Annual turnover
between R5 million and R35 million)

Are you an Exempt Micro
Enterprise? (Annual turnover less
than R5 million)

Part A: General Information

1. The information provided in this questionnaire will be treated as confidential and will not be disclosed to any third party
2. The information will be used only for the purpose of assessing your company in terms of our Black Economic Empowerment Policy
3. NEF reserves the right to request additional information or documents, or to perform audit procedures to substantiate or verify any of the answers provided in the question
4. A copy of the completed questionnaire must be signed on behalf of your business by duly authorized signatory.
5. Copies of requested documents are to be submitted as part of this information pack.

Part B: Scorecard

| Element | Category | Indicator | Weighting Points | Your Score | Compliance Target |
|---|-------------------|---|------------------|------------|-------------------|
| <p>OWNERSHIP</p> <p>Measures effective ownership of companies by black people</p> <p>Code 100</p> | Voting Rights | Exercisable Voting Rights in the Enterprise in the hands of black people | 3 | | 25%+1 vote |
| | | Exercisable Voting Rights in the Enterprise in the hands of black women | 2 | | 10% |
| | Economic Interest | Economic Interest of black people in the Enterprise | 4 | | 25% |
| | | Economic Interest of black women in the Enterprise | 2 | | 10% |
| | | Economic Interest of the following black natural people in the Enterprise: <ul style="list-style-type: none"> - black designated groups - black participants in Employee Ownership Schemes - black beneficiaries of Broad-Based Ownership Schemes; or - black participants in Co- | 1 | | 2.5% |

| | | | | | |
|--|----------------------------|---|----------|--|------------------------|
| Total Points = 20 | | operatives | | | |
| | Realisation Points | Ownership fulfillment | 1 | | No Restrictions |
| | | Net value | 7 | | 25% |
| | Bonus Points | Involvement in the ownership of the Enterprise of black new entrants | 2 | | 10% |
| | | Involvement in the ownership of the Enterprise of black participants: - in Employee Ownership Schemes - of Broad-Based Ownership Schemes - Co-operatives | 1 | | 10% |
| | | | | | |
| MANAGEMENT CONTROL | Board Participation | Exercisable Voting Rights of black Board members using the Adjusted Recognition for Gender | 3 | | 50% |
| Measures effective control of companies by black people | | Black Executive Directors using the Adjusted Recognition for Gender | 2 | | 50% |
| Code 200 | Top Management | Black Senior Top Management using the Adjusted Recognition for Gender | 3 | | 40% |
| Total Points = 10 | | Black Other Top Management using the Adjusted Recognition for Gender | 2 | | 40% |
| | Bonus Point | Black Independent Non-Executive Board Members | 1 | | 40% |
| EMPLOYMENT EQUITY | | Black Disabled Employees as a percentage of all employees using the Adjusted Recognition for Gender | 2 | | 3% |
| Measures initiatives intended to achieve equity in the workplace | | Black employees in Senior Management as a percentage of all such employees using the Adjusted Recognition for Gender | 5 | | 60% |
| Code 300 | | Black employees in Middle Management as a percentage of all such employees using the Adjusted Recognition for Gender | 5 | | 75% |
| Total Points = 15 | | Black employees in Junior Management as a percentage of all such employees using the Adjusted Recognition for Gender | 4 | | 80% |
| SKILLS DEVELOPMENT | Skills Development | Skills Development Expenditure on Learning Programmes specified in the Learning Programme Matrix for black employees as a | 6 | | 3% |

| | | | | | |
|--|-------------------------------------|---|-----------|--|-----------------------------------|
| Measures the extent to which employers develop the competencies of black employees Code 400 | Spend on Learning Programmes | percentage of Leviable Amount using the Adjusted Recognition for Gender | | | |
| | | Skills Development Expenditure on Learning Programmes specified in the Learning Programme Matrix for black employees with disabilities as a percentage of Leviable Amount using the Adjusted Recognition for Gender | 3 | | 0.3% |
| Total Points = 15 | Learnerships | Number of black employees participating in Learnerships or Category B, C and D Programmes as a percentage of total employees using the Adjusted Recognition for Gender | 6 | | 5% |
| | | | | | |
| PREFERENTIAL PROCUREMENT Measures the extent to which companies buy goods and services from BEE compliant suppliers as well as black-owned entities Code 500 | | BEE Procurement Spend from all Suppliers based on the B-BBEE Procurement Recognition Levels as a percentage of Total Measured Procurement Spend | 12 | | 70% |
| | | BEE Procurement Spend from Qualifying Small Enterprises or from Exempted Micro Enterprises based on the applicable B-BBEE Procurement Recognition Levels as a percentage of Total Measured Procurement Spend | 3 | | 15% |
| | | B-BBEE Procurement Spend from any of the following Suppliers as a percentage of Total Measured Procurement Spend: - Suppliers that are 50% black owned (3 of % points); or - Suppliers that are 30% black women owned (2 out of 5 points) | 5 | | 20% |
| Total Points = 20 | | | | | |
| | | | | | |
| ENTERPRISE DEVELOPMENT Measures the extent to which companies carry out initiatives contributing to enterprise development Code 600 | | Average annual value of all Enterprise Development Contributions and Sector Specific Programmes made by the Measured Entity as a percentage of the target | 15 | | 3% of Net Profit After Tax |

| | | | | | |
|---|--|--|----------|--|-----------------------------------|
| Total Points = 15 | | | | | |
| SOCIO-ECONOMIC DEVELOPMENT | | Average annual value of all Socio-Economic Development Contributions made by the Measured Entity as a percentage of the target | 5 | | 1% of Net Profit After Tax |
| Measures the extent to which companies support socio-economic development | | | | | |
| Code 700 | | | | | |
| Total Points = 5 | | | | | |

TOTAL SCORE: 100

YOUR SCORE: _____

If you are in possession of a BBBEE rating or scorecard please attach the certificate.

I, the undersigned, certify that the information contained in this document is accurate and correct. I am fully responsible for any misrepresentation in this document and am aware of the repercussions that may arise as a result of such a misrepresentation.

Name: _____ ID Number/Passport Number: _____

Signed: _____ Date: _____

Position: _____

Failure to sign the BEE questionnaire will result in the questionnaire being null and void.

Checklist

Documents to be submitted

1. Equity Ownership

1.1 Private Companies: (Pty's)

Yes

No

- a) Share certificate
- b) Shareholders agreement
- c) CM29 –Certificate of incorporation of directors

1.2 Close Corporations

- a) CK1 and / or CK 2
- b) Members agreement

1.3 Joint Ventures

- a) Ownership documents of each JV partner
- b) Joint Venture agreement
- c) Joint Venture Declaration form

2. Management

- a) Company Organogram

3. Employment Equity

- a) Summary of the company's employment equity plan
- b) Proof that plan registered with the Department of Labour

4. Skills Development

- a) Summary of the company's skills development plan _____
- b) Proof that plan is registered with the SETA _____

5. Preferential Procurement

- a) List your top 10 BEE suppliers with their contact details _____

Failure to submit any of the above if applicable, will result in that particular sections being scored "0". In order not to prejudice yourself please ensure that all attachments are accompanied with the completed questionnaire where the question has been answered with a "yes".