

The Compliance Studio

Intentionally Curated Compliance

Unit 15 Silveroaks
77 Hawthorne Avenue
Sunridge Park
Gqeberha
6045

+27 84 549 0162

+27 74 423 6060

Company Name: _____

Industry: _____

Date: _____

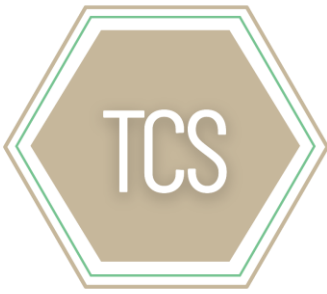
Compliance Health Questionnaire

Please indicate your answers with an “X” or a “✓”.

Company Basics		
1. Are you the owner of a registered company?	YES	NO
2. Do you have any business partners/joint owners?	YES	NO
3. Do you have documents setting out the terms of your relationship?	YES	NO
4. Do you have more than one director?	YES	NO
5. Have your director/s signed a letter or terms of appointment?	YES	NO
6. Do you have a Company Register?	YES	NO
7. Do you have Share Certificates?	YES	NO
8. Do you have a record of your company’s last AGM?	YES	NO
9. Do you sign resolutions for important decisions in the company?	YES	NO
10. Are you a service provider to your company, personally?	YES	NO
11. Does your company have a letterhead?	YES	NO
Employment Compliance		
12. Are you or your employees’ members of any bargaining council or trade union?	YES	NO
13. Do you employ any “casual” employees?	YES	NO
14. Do you keep an attendance register or have a clocking in system?	YES	NO
15. Do you contract independent contractors?	YES	NO
16. Do all of your employees have up to date employment contracts?	YES	NO
17. Do you have policies governing conduct in the workplace?	YES	NO
18. Are your employees aware of these policies?	YES	NO
19. Do you have an induction process for your employees?	YES	NO
20. Do you have the required legislation displayed in your workplace?	YES	NO
21. Are you registered and in good standing with:		
a. the Unemployment Insurance Fund (UIF)	YES	NO
b. the Workman’s Compensation Fund (COIDA)	YES	NO
22. Do your employees receive payslips/wage slips regularly?	YES	NO
Customer Compliance		

2018/458197/07

Managing Director – C. Marinus



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23. Are you aware of the Consumer Protection Act?	YES	NO
24. Do you manufacture or supply goods or services to the public?	YES	NO
25. Do you have written terms of service/supply?	YES	NO
26. Do you allow your clients to pay after delivery, on a credit basis?	YES	NO
27. If you supply goods/products, do you have a returns policy?	YES	NO
28. If you have a website, does it have Terms of Use?	YES	NO
29. Does your website use cookies?	YES	NO
30. Have you had trouble collecting amounts owed to you in the past?	YES	NO
Trust Compliance		
31. Do you have a Trust or are you a Trustee on a Trust?	YES	NO
32. Has your Trust Deed been updated in the last year?	YES	NO
33. Have you had a meeting with all the Trustees in the last year?	YES	NO
34. Is your Trust registered for income tax?	YES	NO
35. Are the Beneficial Owners of your Trust registered with the Master of the High Court?	YES	NO
36. Are you still in contact with all the Trustees of your Trust?	YES	NO
37. Are all the Trustees and Beneficiaries of your Trust related?	YES	NO
38. Are you aware of the increased reporting requirements placed on Trustees with effect from 1 April 2023?	YES	NO
39. Does your Trust have a bank account?	YES	NO
40. Do you keep minutes relating to important decisions regarding the Trust?	YES	NO
Data Security Compliance		
41. Are you familiar with the Protection of Personal Information Act?	YES	NO
42. Have you considered what "Personal Information" is, in relation to your business?	YES	NO
43. Do you have a POPIA Policy?	YES	NO
44. Do you have a PAIA Manual?	YES	NO
45. Have you considered the information processing risks in your business?	YES	NO
46. Have you appointed an Information Officer?	YES	NO
47. Are your employees aware of their obligations under the POPI Act?	YES	NO

Please return this completed form to andrea@compliance-studio.co.za