


 RAND WATER		RAND WATER QUALITY MANAGEMENT SYSTEM GUIDELINE	
TITLE: GUIDELINES ON DECLARING BUSINESS COURTESIES		DOC. NO: RW GSEC 00400 G	
SECTION: GROUP SECRETARIAT DEPARTMENT	EFFECTIVE DATE: AUGUST 2016	REV. NO: 01	
AUTHOR/ DOCUMENT OWNER:  GROUP COMPANY SECRETARY	FORMAT APPROVAL:  QMA/QMO	AUTHORISED BY:  CHIEF EXECUTIVE	

Table of Contents

1. INTRODUCTION	2
2. OBJECTIVES OF THE GUIDELINES	3
3. SCOPE OF APPLICATION	3
4. REFERENCES	3
5. TERMS, DEFINITIONS AND ABBREVIATIONS	4
6. POLICY PRINCIPLE	4
7. OFFER AND ACCEPTANCE OF GIFTS.....	4
8. RECORDING OF BUSINESS COURTESIES IN THE REGISTER	5
9. ENFORCEMENT	6
10. CE'S DISCRETION CLAUSE	6
11. DOCUMENTS HISTORY CHANGE	6
12. RECORD AND DATA KEEPING	6

1. INTRODUCTION

The purpose of these guidelines is to strengthen measures for managing acceptance and offers of gifts, hospitality and other benefits to and from RW Employees.

In line with the Rand Water Code of Ethics, these guidelines specify the circumstances under which an employee may accept or obtain permission to accept or offer a business courtesy.

Definition of a Business Courtesy

- 1.1. For the purpose of these guidelines a "business courtesy" is defined as a *favour, gift, hospitality or other benefit for which the employee has accepted or offered to and/or from a person or entity connected or potentially connected to Rand Water as a board member, an employee, a customer or a supplier.*
- 1.2. **Employees** – the definition of any individual under the employment of the RW Group' includes any person who works for Rand Water;
- 1.3. Business courtesies may include, but are not limited to, money, non-monetary gifts, meals, drinks, attendance prizes, recreation, hospitality, entertainment, transportation, discounts, tickets, passes, promotional items or the use of donor's time, materials or equipment, intellectual property (e.g. ideas, patents, etc.), or game hunting.
- 1.4. Business Courtesies exclude all tokens that may be offered or accepted within normal standards of courtesy or protocols on issuing promotional gifts and prizes. This will include tokens such as conference packages and any promotional materials or gifts offered or accepted at an official function and/or event.
- 1.5. Employees shall be required to declare and apply for permission or approval to accept a business courtesy of an amount of above R300, and this amount shall be taken as such per business courtesy received and declared at any given point For the avoidance of doubt, in instances where an employee receives two gifts at a time, the value of each gift will be subjected to the authorised amount at the time of declaration.

2. OBJECTIVES OF THE GUIDELINES

- 2.1. The objectives of the Guidelines is to ensure that all employees of Rand Water ("RW"), RW subsidiaries and the RW Entities have clear guidelines on administrative procedures to be followed on the offering and acceptance of business courtesies.
- 2.2. The improper acceptance of business courtesies can cause an employee to be susceptible to accusations of corruption, impartiality and even bias, potentially leading to investigations and possible charges and/or corrective action.
- 2.3. Improper acceptance of business courtesies will be viewed in a serious and may, apart from any other consequences, lead to internal disciplinary action.

3. SCOPE OF APPLICATION

This guideline applies to all employees of RW, RW Subsidiaries and other RW Entities.

4. REFERENCES

Document Title	Document No.	Location
Rand Water Code of Ethics		Intranet
Guidelines on Conflict of Interests	RW GSEC 00300 G	Intranet
Guidelines for Employees participating / serving as members in other entities	RW GSEC 00500 G	Intranet
Public Sector Integrity Management Framework	N/A	DPSA WEBSITE
Protection of Personal Information Act 2013		Rand Water Legal Library

5. TERMS, DEFINITIONS AND ABBREVIATIONS

- 5.1. **RW** – means “Rand Water” ;
- 5.2. **Employees** – the definition of any individual under the employment of the RW Group' includes any person who works for Rand Water;
- 5.3. **RWG** – means “Rand Water Group”
- 5.4. **Rand Water Group** includes Provident Fund, Medical Scheme and any other subsidiary;
- 5.5. **“Board”** means the Board of the Rand Water that has been appointed in terms of schedule 1 of the Water Services Act 108 of 1997.
- 5.6. **CE** - means the Chief Executive of Rand Water.

6. POLICY PRINCIPLE

The acceptance or offer of business courtesies by all employees should be the exception and not the rule. If doubt exists about the propriety of the business courtesy, then it must be refused.

- 6.1. Under no circumstances should an employee of Rand Water or its subsidiaries, attempt to accept or solicit business courtesies from a contractor, supplier, consultant or a person to whom services are rendered by Rand Water or where there is a potential relationship with Rand Water.

7. OFFER AND ACCEPTANCE OF GIFTS

- 7.1. Circumstances under which a business courtesy shall NEVER be accepted Employees, or any member of their immediate family, shall not accept or offer any business courtesies from any company or person with which Rand Water has current or prospective business dealings when it is clear or it appears that:
 - 7.1.1. The Offerer may expect something in return from the employee.
 - 7.1.2. An attempt is being made to influence or persuade the employee to do something that is prohibited.
 - 7.1.3. An attempt is being made to gain an unfair competitive advantage by influencing the employee's discretionary decisions.
 - 7.1.4. The employee is using his/her position to obtain business courtesies.
 - 7.1.5. The Offerer may obtain a right or privilege that she/he would otherwise not be granted.

7.1.6. The business courtesy offered, on its own or together with other business courtesies received by an employee over a period of six months, is valued or estimated to be valued above R300, and there is no prior written approval by the employee's Divisional Manager, in the case of Portfolio Executives or the Chief Executive by the Chief Executive or the Chairperson respectively, by means of his/her signature in the business courtesy register.

7.2. Circumstances under which a business courtesy may not be offered.

7.2.1 Employees may not offer or accept money or gifts or any other benefit defined as a business courtesy to a customer, supplier or anyone if it could reasonably be viewed as being done to gain or offer a business advantage.

7.2.2 A business courtesy may never be offered or accepted under circumstances that may cause embarrassment to Rand Water or the recipient.

7.2.3 Business courtesies must be properly accounted for and recorded.

7.2.4 Any employee who offers or approves the offer of a business courtesy must ensure that it is ethical and proper in all respects and that it cannot reasonably be interpreted as an attempt to gain or offer an unfair business advantage or otherwise reflect badly on Rand Water's reputation.

8. RECORDING OF BUSINESS COURTESIES IN THE REGISTER

8.1. Each Portfolio Executive shall manage and keep a business courtesy register in his/her office.

8.2. The employee shall apply for permission/ approval to retain a gift/business courtesy by declaring the details to the line manager and completing the register.

8.3. Details required shall include the date, employee's initials and surname, Rand Water number, nature of gift offer, value or estimated value of gift/offer, and name of person or entity making the offer.

8.4. The Portfolio Executives, Chief Executive or Chairperson shall approve the acceptance of the business courtesy by means of his/her signature on the register.

8.5. The Chief Executive or the Portfolio Executive shall delegate other officials to sign the business courtesy applications and such delegation shall be applied in terms of the sub-delegation principles as stipulated in the Delegation of Authority Framework.

- 8.6. The Business Courtesy Register shall be made available for inspection to the Internal, External and Forensic Auditors as and when required.
- 8.7. Failure to obtain approval from the delegated authority and to record business courtesies may result in disciplinary action. The register should not only be seen as a control mechanism to ensure that all courtesies are recorded, but also as a record providing transparency and employee protection.

9. ENFORCEMENT

- 9.1. All employees are required to adhere to the guidelines and declare such required information to the delegated authority for approval. Failure to declare or submit a signed declaration of interest form shall be regarded as non-compliance. The matter will be escalated to the Portfolio Head and necessary disciplinary steps will be followed.

10. CE'S DISCRETION CLAUSE

- 10.1. The Chief Executive, within his authority, reserves the right to amend and to make any changes on the policies, procedures or guidelines where appropriate, based on business requirements; and
- 10.2. For the avoidance of doubt, any deviation from the policy, procedure or the guidelines will be approved by the Chief Executive, subject to all parties' rights in Labour law.

11. DOCUMENTS HISTORY CHANGE

Date	Previous revision number	New revision	Description of each revision
01/06/2016	None	01	This guideline was never issued in ISO format

12. RECORD AND DATA KEEPING

Record Document	Form/Doc Number	Location	Retention Period
Declaration of interest Form	RW GSEC 00100 F	Intranet	2 Years