

 RAND WATER		RAND WATER QUALITY MANAGEMENT SYSTEM POLICY	
TITLE: PROMINENT INFLUENTIAL PERSONS POLICY		DOC NO: RW IPA 00003 P	
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PART A – INTRODUCTORY AND GENERAL PROVISIONS

1. TERMS, DEFINITIONS AND ACRONYMS

TERM / ACRONYMS	Definition/Meaning
Beneficial Owner	<p>A person who independently and/or together with another person, directly or indirectly-</p> <ul style="list-style-type: none"> a) Owns a legal entity or b) Exercises effective control of the legal entity
Client	A potential and current service provider to Rand Water.
Close Associates	<p>In accordance with international guidelines emanating from the Financial Action Task Force (FATF), these are individuals who are closely connected to a Prominent Influential Persons (PIP) and such may include, but not limited to:</p> <ul style="list-style-type: none"> ➤ Prominent members of the same political party, civil organisation, labour or employee union as the prominent person; ➤ Business partners or associates, especially those that share (beneficial) ownership of legal entities with the prominent person, or who are otherwise connected (e.g., through joint membership of a company board). ➤ Any individual who has sole beneficial ownership of a legal entity or legal

TERM / ACRONYMS	Definition/Meaning
	<p>arrangement set up for the actual benefit of the prominent person.</p> <p>➤ Personal or financial advisors acting in fiduciary role of PIP.</p>
DMTN	Domestic Medium Term Note
Enhanced Due Diligence (“ EDD ”)	The process wherein Rand Water undertakes to verify the identity of the client, nature of the client business interest and monitor the established business relationship.
Family Members	<ul style="list-style-type: none"> a) a spouse, civil partner or life partner; b) a previous spouse, civil partner or life partner, if applicable; c) children and/or step children and their spouses, civil partners or life partners; d) parents and e) sibling/s and step sibling/s and their spouses, civil partners or life partners
FICA	Financial Intelligence Centre Act 38 of 2001;
Senior Management	<p>Board Members</p> <p>Chief Executive Officer</p> <p>Top Management Committee Members</p> <p>General and Executive Managers</p>
FICAA	Financial Intelligence Centre Amendment Act 1 of 2017;
Financial Action Task Force (“ FATF ”)	An independent inter-governmental body that develops and promotes policies to protect the global financial system against money

TERM / ACRONYMS	Definition/Meaning
	laundering, terrorist financing and the financing of proliferation of weapons of mass destruction. The FATF recommendations on PIPs are as per the global anti-money laundering and counter-terrorist financing standard.
Foreign Prominent Public Official (“Foreign PPO”)	An individual who holds, and/or has held at any time in the preceding twelve (12) months, in any foreign country a prominent public function including the following: (a) head of state, head of a country and/or government; (b) member of a foreign royal family; (c) government minister or equivalent senior politician or leader of a political party; (d) senior judicial official; (e) senior executive of a state owned corporation or (f) high-ranking member of the military’.
GLS	Group Legal Services Division, a business unit within Rand Water;
GIA	Group Internal Audit Division , a business unit within Rand Water;
GRC	Refers to Group Regulatory and Compliance Division, a business unit within Rand Water;
IPA	Integrity and Probity Assurance Division, a business unit within Rand Water;
JSE	Johannesburg Stock Exchange
Legal Entity	An individual, company or organisation that has legal rights, obligations and

TERM / ACRONYMS	Definition/Meaning
	responsibilities including tax filings to enter into contracts either as a vendor or a supplier and can be sued in a court of law. Entity that establishes a business relationship with Rand Water and includes a person incorporated as a company, close corporation, foreign company or any other form of corporate arrangement or association, but excludes a trust, partnership or sole proprietor;
Money laundering	An activity which has or is likely to have the effect of concealing or disguising the nature, origin, source, location, disposition or movement of the proceeds of unlawful activities or any interest which anyone has in such proceeds.
Prominent Influential Persons (“PIP”) / Domestic Prominent Influential Person (“Domestic PIP”)	<p>(a) An individual who holds, including in an acting position for a period exceeding six (6) months, or has held at any time in the preceding twelve (12) months, in the Republic, a prominent public function and enlisted as Domestic PIP in Schedule 3A of FICAA.</p> <p>(b) Annexure C to this policy contains a list of Domestic PIPs that are relevant to Rand Water in alignment with FICAA.</p>

2. INTRODUCTION

2.1 In order to combat money laundering activities and the financing of terrorist and other related activities, South Africa enacted FICA.

- 2.2 And to further comply with best practices in the prevention of money laundering and terrorist activities financing Activities, South Africa is a member of FATF and is also a signatory to the United Nations (UN) Convention Against Corruption.
- 2.3 FATF is an international body of countries tasked with setting best practices to combat money laundering and terrorism financing. FATF sets international standards that require financial and other entities to know the persons that they do business with.
- 2.4 FICA conforms to international standards set by the FATF, as it relates to knowing the persons that an entity does business with (Know Your Customer – ‘KYC’) and it particularly places an obligation consequent to latest developments in international standards that are geared at introducing further stringent measures aimed at combatting money laundering activities and the financing of terrorist and related activities any, South Africa has amended FICA through FICAA, which now requires institutions to incorporate, in their processes, a risk based approach in their business dealings with PIP’s.
- 2.5 Due to the potential risk associated with PIPs (internationally referred to as Politically Exposed Person – “PEPs”), its further acknowledged that Rand Water take necessary actions to employ a risk based approach to identify if whether there are existing and prospective Service Providers that are PIP’s. The process will consist of monitoring and maintaining a register of all identified PIP’s and attain necessary approval prior to establishing business relationship. In doing so, Rand Water will be better positioned to be able to manage any potential risks either arising from legal or reputational risks that could arise by entering into business relationship with PIP’s.
- 2.6 As part of its regulatory and compliance principles, Rand Water has considered the purport of FICAA and has resolved to align its policies to the principles set out by FICAA.

3. APPLICATION

- 3.1 Rand Water being an Issuer of securities (the bonds issued under the registered R10 billion DMTN Programme) is required by the JSE debt listing requirement to have a policy dealing with the disclosure and treatment of PIP’s. Further, through its business

relationship with various financial institution and customers has led to the establishment of this policy aimed at combatting money laundering activities and prevention of organised crimes.

4. PURPOSE

This policy is intended to set governing principles that are aimed at mitigating reputational, legal, operational and governance risks associated with conducting business with PIPs. It doesn't preclude Rand Water from doing business with PIP's mainly due to their PIP status but provides guiding principles when dealing with PIP's to ensure appropriate measures are in place to reduce the potential risks to Rand Water.

5. SCOPE AND USE OF THIS POLICY

The scope of this Policy shall be limited to management of relationships of PIPs with Rand Water. The policy applicable to Rand Water and all its subsidiaries.

6. POLICY STATEMENT

- 6.1 Rand Water subscribes to the highest standards of ethical behaviour in its dealings with its business counter-parts.
- 6.2 Criminal conduct of any form shall not be tolerated and Rand Water thus warrants and takes a stance that does not promote any business activity that is guised for the purposes of engaging in money laundering, terrorist funding and any other form of corrupt activity.
- 6.3 All Employees, agents and associates of Rand Water, inclusive of Third Parties, have a responsibility to properly observe the law and in particular, promoting the principles set down by the law in preventing money laundering and terrorist funding.
- 6.4 It is acknowledged that by virtue of Rand Water being a Public Entity and its nature of business, it interacts with PIPs in many different forms, being:

6.4.1 In the process of procuring goods and services, Rand Water might interact with Services Providers that are beneficially owned by PIPs (be it Domestic or Foreign PIPs) or

6.4.2 Through certain prominent public functions such as:

6.4.2.1 The Minister of Human Settlements, Water and Sanitation;

6.4.2.2 The Board Chairperson of Rand Water;

6.4.2.3 The Chief Executive of Rand Water and

6.4.2.4 The Chief Financial Officer of Rand Water

6.4.3 Through the direct or indirect control that is exercised by a natural person, independently or together with another person, over Rand Water;

Rand Water shall not willingly be the cause of other entities governed by FICAA being non-compliant, and Rand Water shall therefore disclose the names of these PIPs to such entities, when requested, in order for such entities to undertake their own compliance measures in terms of FICAA.

7. REGULATORY ALIGNMENT

7.1 This Policy is subject to and aligns with relevant policies and legislation that regulate the prevention of money laundering, terrorist funding and corrupt activities. The management of third party information, includes the following but may not be limited to:

Doc Title	Doc No.	Location
FATF Recommendations: International Standards on Combating of Money Laundering and the Financing of Terrorism and Proliferation, 2012	N/A	Internet
FATF Guidance: Politically Exposed Persons 2013	N/A	Internet
FIC Guidance Note 3A for accountable institutions on customer identification and verification and related matters	N/A	Internet
Financial Intelligence Centre Act	38 of 2001	Internet

Doc Title	Doc No.	Location
Financial Intelligence Centre Amendment Act	1 of 2017	Internet
Prevention of Organised Crime Act	121 of 1998	Internet
Protection of Constitutional Democracy Against Terrorist and Related Activities Act	33 of 204	Internet
Protection of Personal Information Act	Act 4 of 2013	Internet
Rand Water Fraud Policy	RW IPA 00001	Intranet
Enterprise Wide Risk Management Framework	RW RA 00001 P	Intranet
Corporate Risk Management Procedure	RW RAS 00100 PR	Intranet
The Risk Management Process	RW RAS 00001 PF	Intranet
Compliance Framework		Intranet
ICT Information Management Policy	RW ITKM 00003P	Intranet

8. RESPONSIBILITY AND AUTHORITY

Item No.	Responsible Person	Deliverables
a	PRC	a) Review and recommendation of this policy;
b	TMC	a) 1 st layer of approval of the Policy b) Receives status reports on PIP risk management c) Makes recommendations to Board on PIP related matters
c	EXCO	a) 2 nd layer of approval of the Policy
d	Rand Water Board Risk Committee	a) 3 rd layer of approval of the Policy b) Receives reports on the status of PIPs within the organization; Makes decisions on whether to enter into a relationship with a PIP

Item No.	Responsible Person	Deliverables
		Comments and/or recommends mitigations measures if and when Rand Water conducts business with the PIP
e	Rand Water Board	a) Final layer of approval of the Policy
f	Audit Committee	a) Receives reports on audits conducted on PIPs b) Makes recommendations (where necessary)
g	Group Internal Audit ("GIA")	a) Conducts periodic audits in respect of compliance with the Policy and monitors risks and the effectiveness of the controls put in place. b) Reports to Audit Committee
h	Integrity and Probity Assurance Division ("IPA")	a) Develops the PIP Policy and amendments thereto and in collaboration with GRC, IPA will conduct Training and Awareness for Rand Water; a) Conduct an enhanced due diligence (EDD) on new and existing PIPs; b) Makes recommendations on Rand Water's engagement with PIP; c) Populates the PIP Register; d) Reports to TMC and Board Risk Committee cases related to PIP cases for consideration of PIP's risk profile; e) Conducts awareness and training sessions; f) Custodian of the PIP Register; g) Conducts scheduled risk monitoring and continued EDD exercises in compliance with FICAA; h) Custodian of the Policy.

Item No.	Responsible Person	Deliverables
i	Regulatory and Compliance Services	a) Conducts compliance assessments to ensure adherence and policy compliance.
j	Risk Advisory Services Division ("RAS")	a) Management of innate risks as it relates to PIPs conducting business with RW.
k	Supply Chain Management Divisions ("SCM")	a) Receives prospective Client/Customer information; b) Requests as per SCM Policy revision 7 Integrity and Probity Assurance (IPA) to conduct an EDD; b) Receives outcome of EDD and where relevant refers the PIP case to TMC for consideration of PIP's risk profile; c) Where applicable, Registers PIP as a Vendor OR Service Provider; d) Where applicable initiates the process for transacting with the PIP as a customer of Rand Water.
l	Group Company Secretary ("GCOSEC")	a) Facilitates Board and its Board Sub-Committee interactions, assist IPA with collection and receives all pertinent information related to Board Members as required by IPA to carry out the EDD; b) Receives assessments of PIPs potentially presents at Board and Board Sub-Committees conducted Jointly with IPA , keeps a proper safeguarded record and maintains a register of the PIPs at Board and Board Committee level.

PART B – REGULATION OF RAND WATER PIPs

9. POLICY PROVISIONS

9.1 Provision relating to the identification, enhanced due diligence and knowledge of Rand Water's clients/customers

9.1.1 Client Identification:

9.1.1.1 Rand Water shall take all reasonable steps and measures in identifying and knowing the persons it does business with.

9.1.1.2 Rand Water shall take all reasonable and necessary steps to ensure that prior to establishing a business relationship or conclusion of a business transaction with a client the following information has been obtained and verified:

9.1.1.2.1 the identity of the client;

9.1.1.2.2 if the client is acting on behalf of another person, to establish,

a) the identity of that other person and

b) the client's authority to act on behalf of that other person in relations to the relevant business transaction.

9.1.1.2.3 if another person is acting on behalf of the client, to establish and verify:

a) the identity of that other person and

b) that other person's authority to act on behalf of the client.

9.1.2 Enhanced Due Diligence (EDD):

9.1.2.1 When dealing with prospective clients with whom Rand Water intends to establish business relations, Rand Water must ensure that the obtaining and verification of the client's information is done in accordance with Rand Water's Risk Management and Compliance framework. Where policies

that govern risk management and compliance do not have specific policy principles that align to FICA and FICAA, then Rand Water shall ensure that those policies are reviewed and modified in order to effect such alignment, and particularly to ensure that an adequate due diligence exercise is undertaken for the purposes of determining whether future transactions between Rand Water and the client are consistent with Rand Water's knowledge of the said client, including information such as:

- 9.1.2.1.1 the nature of the business relationship concerned;
- 9.1.2.1.2 the intended purpose of the business relationship concerned;
- 9.1.2.1.3 the source of the funds which that prospective client expects to use in concluding transactions in the course of the business relationship concerned.

9.1.2.2 Natural Persons verification:

- 9.1.2.2.1 where the Client is a natural person, Rand Water shall take further steps to establish the following:
 - a) The identity of the client;
 - b) Current and/or previous residential addresses of the client;
 - c) Marital status of the client;
 - d) Information regarding the client's family members and close associates;
 - e) The client's career history and professional background, including corporate positions and shareholdings;
 - f) The nature of the client's business and
 - g) Source of funds and wealth of the client, family members and close associates.

9.1.2.3 Juristic Persons verification:

- 9.1.2.3.1 Where the client is a legal entity, Rand Water shall take the necessary steps to establish the following:
- a) The nature of the business of the client, its incorporation status and address;
 - b) The ownership and executive control of the client;
 - c) Identification and verification of the beneficial owners of the client;
 - d) If any person is acting on behalf of the client, the authority of that persons to conclude a business transaction on behalf of the client and
 - e) The source of funds and wealth of the client.

9.1.2.4 Prominent Influential Persons Verification:

- 9.1.2.4.1 If in accordance to the risk management and compliance guiding principles of Rand Water, it is determined that the prospective client (including its immediate family members and known close associates) with whom Rand Water engages with an intention of establishing a business relationship, or its beneficial owner, is a Domestic or Foreign Prominent Influential Person and that, in accordance with the Rand Water risk management framework, then the prospective business relationship entails higher risk whereby the institution must:
- a) obtain Senior Management approval for establishing the business relationship;
 - b) take reasonable measures to establish the source of wealth and source of funds of the client and

- c) conduct enhanced ongoing monitoring of the business relationship.

9.2 Provisions regarding inability to conduct an enhanced due diligence exercise

9.2.1 In the event that Rand Water is unable to conduct the identification process, obtain the Client information and to conduct the enhanced due diligence exercise as set out above, Rand Water:

9.2.1.1 may not establish a business relationship or conclude a transaction with a client;

9.2.1.2 may not conclude a transaction in the course of a business relationship, or perform any act to give effect to a single transaction or

9.2.1.3 must terminate, in accordance with its Risk Management and Compliance Programme, an existing business relationship with a client, whichever Rand Water deems appropriate.

9.2.2 The decision to be made in relation to the above shall be referred by the Group Head IPA to the Corporate Risk Committee, which after the confirmation of the existing risk, the Corporate Risk Committee will refer the matter to the TMC for a decision to be made.

9.2.3 No decision to refrain from doing business with a Client and/or reporting the Client shall be made unless the same has been duly resolved by the TMC and signed by the Chief Executive.

9.3 Provisions regarding business relationships concluded before the effectiveness of this Policy

9.3.1 In relation to Rand Water's Clients that were in existence prior to coming into the effect of this policy, Rand Water shall not continue to give effect to the respective business relationship unless measures have been taken to identify the Client, obtaining of the Client Information and the due diligence exercise has been undertaken.

9.3.2 For the purposes of this provision, where Rand Water has existing policies and processes that are equivalent to the requirement set out herein and which adequately achieve the purpose of this Policy, the Client identity, information and due diligence records obtained in that regard shall be sufficient to satisfy the purpose of this provision.

9.3.3 It is the duty of each Senior Manager to ensure that the respective Divisions and/or Departments within their control undertake a review of their respective policies and processes to ensure that they are aligned to the requirements set out herein.

9.4 Provisions relating to the retention of client documents

9.4.1 Client documents obtained by Rand Water during the client identification and due diligence process shall be stored by Rand Water in a secured manner and may be stored in any reliable format, including electronic format.

9.4.2 The retained documents shall include, but not limited to:

- a) Identification documents;
- b) The nature of business relationship intended between Rand Water and the Client;
- c) The purpose of the said business relationship;
- d) The source of funds which the prospective client is expected to use in concluding transactions in the course of the business relationship;
- e) The record of every transaction that is reasonably necessary to enable that transaction to be readily reconstructed. Such records must reflect the following information, though not limited thereto:
 - (i) The amount involved and the currency in which it was denominated;
 - (ii) the date on which the transaction was concluded;
 - (iii) the parties to the transaction;

- (iv) the nature of the transaction and
- (v) business correspondence.

9.4.3 The documents obtained shall be kept for a period not in excess of five (5) years from the date on which the business relationship commenced and for a period not in excess of five (5) years in relation from the date on which a particular transaction was concluded.

9.4.4 The said documents may be kept on behalf of Rand Water by a Third Party.

9.5 Provisions regarding protection of personal information

9.5.1 Rand Water shall not use Client information for any reason other than the purpose for which the information was given;

9.5.2 Rand Water is bound by and shall comply with the provisions of Protection of Personal Information Act (POPI) in the governance of information received and shall conduct itself in a responsible manner when collecting, processing, storing and sharing another Client's information.

9.6 Provisions relating to the treatment of Services Providers within the Financial Markets Sector

9.6.1 Rand Water is an Issuer of securities in terms of the Financial Markets Act, by virtue of its securities (Notes) issued under its Domestic Medium Term Note Programme ('DMTN Programme').

9.6.2 Consequently, Rand Water has a profile of Investors who subscribe to various tranches of Notes issued under this programme.

9.6.3 These Investors are thus Clients of Rand Water as envisaged by the definitions of 'Client', 'Business Relationship' and 'Single Transaction'.

9.6.4 In terms of FICAA, these Investors must subject to an EDD process prior to any business relationship being established and it is the responsibility of Rand Water as an Accountable Institution to conduct such EDD.

- 9.6.5 However, in terms of the DMTN Programme and its underlying/subsequent agreements, Rand Water entered into various Service Agreements with various Service Providers/Specialist Advisors, in terms of which Rand Water transferred the obligation of vetting the Investors to one or more of its Services Providers (e.g. the Dealers, Paying Agent, etc.), who as a consequence have an obligation to conduct the EDD process on these Investors on behalf of Rand Water.
- 9.6.6 Accordingly, and for the purpose of this Policy and FICAA, Rand Water shall not conduct the EDD exercise on its Investors and shall instead put reliance on the EDD report and outcome of its appointed Service Provider(s).

PART C – REGULATION OF RAND WATER AS A PIP

9.7 Provisions regarding PIPs within the employ of and/or who exercise control over Rand Water

- 9.7.1 In this regard, Rand Water shall maintain a list of PIPs within its employ, or who exercise some form of control over Rand Water, which list shall be reviewed annually and aligned to the changes in legislation.
- 9.7.2 Rand Water shall provide this list to the third party Service Providers when requested in terms of FICAA.
- 9.7.3 It will thereafter be the duty of the third party Service Provider to conduct the EDD on the persons named in this list in order to satisfy itself of other requirements of FICAA.
- 9.7.4 Rand Water shall have no obligation to do anything nor provide any other information other than the information contained in Annexure G.
- 9.7.5 **ANNEXURE G: PIPs THAT HOLD PUBLIC FUNCTIONS AND THAT HAVE RELATIONS WITH AND/OR HAVE CONTROL OVER RAND WATER]** hereto contains a list of PIPs that are expressly identified in terms of FICAA, as Domestic PIPs. By virtue of the respective relationship of the listed PIPs

with Rand Water, it is herein acknowledged that Rand Water equally has a person that holds offices and/or control in Rand Water in similar a manner as expressed in **Annexure G**. Column 2 of **Annexure G** lists Rand Water's personnel that hold equivalent offices within Rand Water and which Rand Water deems as having some control over the organisation. The said Rand Water personnel are thus PIPs in term of FICAA.

PART D – COMPLIANCE PROVISIONS

10. MONITORING AND REPORTING

10.1 Once Rand Water has established a relationship with a PIP, whether high or low risk, GIA, GRC and IPA are required to conduct ongoing audits and due diligence exercises on existing PIPs and advise the business on any changes that may be identified.

10.2 Ongoing due diligence of PIPs is required to be conducted at intervals determined in terms of Rand Water's Risk Management and Compliance framework and at occurrence of trigger events.

10.3 A trigger event could include, but is not limited to:

- (a) A change in the PIP's role;
- (b) A change in the PIP's residence or registered place of business;
- (c) The establishment of a new business relationship involving the same PIP;
- (d) Adverse media report about the PIP or his or her family or close associates;
- (e) The receipt of a court order/ subpoena against the PIP.

10.4 The following information and documentation must be reviewed and updated when conducting the scheduled review of PIPs:

- (a) All KYC (Know Your Customer) information;
- (b) The relevant EDD conducted initially;
- (c) Risk Profile;
- (d) Any outcomes of trigger events.

11. TRAINING AND AWARENESS

IPA in conjunction with GRC shall ensure that there is ongoing training of employees and awareness will be created around this policy to ensure that employees have a better understanding of thereof.

12. RECORDS AND DATA KEEPING

The following table contains a list of records that are related to and/or are to be developed consequent to the provisions of this policy, together with the retentions periods of such records.

Record Document	Form/Doc Number	Location	Retention Period
This Policy and its annexures	RW IPA 00003	Intranet	Per legislation
FICA		Intranet	Per legislation
FICAAA		Intranet	Per legislation
Annexure A – Procedure for Management of PIPs		Intranet	Per legislation
Annexure B - PIP REPORTING FORM		Intranet	Per legislation
Annexure C – EDD Scope		Intranet	Per legislation
Annexure D – List of Rand Water's PIPs		Intranet	Per legislation
Annexure E – Risk Matrix		Intranet	Per legislation
Annexure F – PIP Register		Intranet	Per legislation

13. DOCUMENT CHANGE HISTORY

Date	Previous revision number	New revision number	Description of each revision
February 2021	None	None	New Policy

PART E – ANNEXURES

ANNEXURE A: PROCEDURE FOR MANAGEMENT OF PIPs

1. PIP Approval Process and Registration

- 1.1 The verification of PIPs shall be commenced by the relevant Portfolio/Division with whom the business relations generally emanates from. The said Portfolio/Division shall complete **ANNEXURE B- PIP REPORTING FORM** and send a report accompanied by Annexure B to IPA.
- 1.2 IPA shall conduct an EDD to determine if the said person is a PIP. **ANNEXURE C: EDD SCOPE** contains the scope of the EDD, the information obtained from the Client and the outcome of the EDD.
- 1.3 Schedule 3A and 2 of FICAA contains a list of Domestic PIPs and for the purposes of this policy, only PIPs that are relevant to Rand Water have been extracted and are contained in **Annexure C** hereof.
- 1.4 If the EDD reveals the person to be a PIP, IPA, in collaboration with the Risk Division, shall then conduct a risk assessment guided by Rand Water's risk management frameworks in order to determine the risk level of the Client. **ANNEXURE E: RISK MATRIX**, is a risk matrix in relation to PIPs. The risk assessment should be a composite assessment of all the risk factors to determine the nature of the risk.
- 1.5 Where the PIP is a prospective client a report will be submitted to the TMC to make a determination on whether Rand Water shall enter into a business relationship with a PIP.
- 1.6 Where the risk assessment suggests that the business relationship with the PIP will be of high risk, continuous monitoring and assessment of the same must be done.
- 1.7 All PIPs who are clients of Rand Water must be registered in **Annexure E (Prominent Influential Persons Register RW IPA 0000 F)**.

ANNEXURE B- PIP REPORTING FORM

IDENTIFICATION PARTICULARS

Primary Particulars	First Names	Other	Surname	ID/Passport Number
Nationality	Country of Origin	Citizenship	Current Domicile	
CURRENT STATUS AND BACKGROUND				
Occupation	Occupational Title		Status	
			Active	Non-Active
PIP STATUS				
Have you or any of your family members () or any associate of yours held or currently is holding the following offices/ roles? (Either in South Africa or any other Country)				
			YES	NO
Heads of State or of government				
Senior politicians				
Senior government official				

Judicial Official					
Military Official					
Head of State Owned Entity(s)					
Member of a royal family					
BUSINESS INTERESTS					
No.	Name of Entity	Role	Shareholding %	Status	
				Active	Non-Active

OFFICIAL USE ONLY

MEDIA REPORT/ OTHER SOURCES OF INFORMATION

(Please reference all known media reports associated with PIP)

RESPONSIBLE PERSON

Names	Board Number	Business Unit	Designation	Signature

Approved by:

Name

Designation

Date: _____

ANNEXURE C: EDD SCOPE

IPA conducts EDD using the following forms:



MIE Consent
Form.pdf



Rand Water Consent
Form Final.docx



Declaration of
Interest Form FY.docx



IFRS Declaration of
Interest Form FY.docx

ANNEXURE D: RAND WATER'S PIPs (SERVICE PROVIDERS)

1. A domestic prominent influential person is an individual who holds, including in an acting position for a period exceeding six months, or has held at any time in the preceding 12 months, in the Republic, a prominent public function including that of:

(a) the position of—

- ↗ chairperson of the board of directors;
- ↗ chairperson of the audit committee;
- ↗ executive officer or
- ↗ chief financial officer,

of a company, as defined in the Companies Act, 2008 (Act No. 71 of 2008), if the company provides goods or services to an organ of state and the annual transactional value of the goods or services or both exceeds an amount determined by the Minister by notice in the *Gazette*;

ANNEXURE E: RISK MATRIX

<p>High Risk, Level 1</p>	<p>Medium Risk, Level 2</p>
<ul style="list-style-type: none"> ✓ Heads of state and government ✓ Members of parliament ✓ Heads of military, judiciary, law enforcement and board of banks ✓ Top ranking officials of political parties 	<ul style="list-style-type: none"> ✓ Senior officials of the military, judiciary and law enforcement agencies ✓ Senior officials of other state agencies and bodies and high ranking civil servants ✓ Senior members of religious groups ✓ Ambassadors, councils and high commissioners
<p>Medium Risk, Level 3</p>	<p>Low Risk, Level 4</p>
<ul style="list-style-type: none"> ✓ Senior Management and Board of directors of state owned business and organisations 	<ul style="list-style-type: none"> ✓ Mayors and members of local government

ANNEXURE F: PIP REGISTER

Date	Full Names	ID/ Passport Number	PIP Status	Active/Inactive	Risk Rating	Approved/ Not Approved

ANNEXURE G: PIPs THAT HOLD PUBLIC FUNCTIONS AND THAT HAVE RELATIONS WITH AND/OR HAVE CONTROL OVER RAND WATER

1.

EXTRACT FROM SCHEDULE 3A OF FICAA	RAND WATER'S PERSONNEL HOLDING EQUIVALENT OFFICES AS THOSE IN SCHEDULE 3A OF FICAA
<p>A domestic prominent influential person is an individual who holds, including in an acting position for a period exceeding six months or has held at any time in the preceding 12 months, in the Republic;</p>	<p>The following is a list of Rand Water's prominent influential persons by virtue of them holding the specified public function in the following offices:</p>
<p>a) a prominent public function including that of:</p> <ul style="list-style-type: none"> (i) the President or Deputy President; (ii) a government minister or deputy minister; (iii) the Premier of a province; (iv) a member of the Executive Council of a province; (v) an executive mayor of a municipality elected in terms of the Local Government: Municipal Structures Act, 1998 (Act No. 117 of 1998); 	<ul style="list-style-type: none"> (i) The President or his Deputy President; (ii) The Minister of Human Settlement, Water and Sanitation; (iii) The Premiers in provinces that are within the service areas of Rand Water; (iv) The MEC (with whom Rand Water has business interactions); (v) An Executive Mayor within the municipalities that are customers of Rand Water;

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| <p>(vi) the municipal manager of a municipality appointed in terms of section 54A of the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000), or a chief financial officer designated in terms of section 80(2) of the Municipal Finance Management Act, 2003 (Act No. 56 of 2003);</p> <p>(vii) the chairperson of the controlling body, the chief executive officer, or a natural person who is the accounting authority, the chief financial officer or the chief investment officer of a public entity listed in Schedule 2 or 3 to the Public Finance Management Act, 1999 (Act No. 1 of 1999); o</p> | <p>(vi) The Municipal Manager of a municipality that is a customer of Rand Water;</p> <p>(vii) The Board Chairperson of Rand Water;</p> <p>(viii) The Chief Executive of Rand Water;</p> <p>(ix) The Chief Financial Officer of Rand Water;</p> |
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