



**Elevate your Business  
through Compliance and  
Governance**

## Topic 2: Business Structure

### Board of Directors

#### 1. Definition and Role

What are the primary responsibilities of the board of directors at your organisation?

#### 2. Composition and Independence

What is the importance of a diverse and independent board in your organisation?

What expertise and skills are required in your organisation?

### 3. Board Committees

Explain the roles of various committees in supporting your board's functions?

What are the specific responsibilities of each committee?

## Shareholders

### 1. Definition and Role

Name the individuals and entities who own shares in your organisation?

List the rights that these individuals and entities have in your SME?

## 2. Engagement and Communication

Why is communicating with shareholders important for your SME?

What is the significance of annual general meetings with your shareholders?

### 3. Shareholder Activism

How have shareholders in your organisation expressed the need for sustainable practices?

### Executive Management

#### 1. Definition and Role

Who are the senior leaders running day to day operations in your SME?

How do they implement the board's decisions to drive performance and manage resources?

## 2. Leadership and Accountability

How does management provide strategic guidance in your SME?

Explain how accountability is necessary for achieving organisation objectives and complying with laws and regulations?

### **3. Succession Planning**

What is the need for effective succession planning in your workplace?



# Employees

## 1. Definition and Role

List all individuals working within your organisation according to their functions.

How does each person contribute to achieving organisational objectives?

## 2. Ethical Culture and Behaviour

How do you foster an ethical culture in your organisation?

How do employees report unethical behaviour?

### 3. Employee Engagement and Development

What is the significance of employee motivation in your workplace?

What role do training programmes play at your organisation?

How do you collect feedback on these programmes, and what do you do with this feedback?

## Topic 3: King IV

### Key Features and Principles of King IV

**1. How would you incorporate these 5 principles into your organisation? Provide examples of each application.**

Ethical Leadership and Corporate Citizenship

Board Composition, Structure, and Independence

## Risk Governance and Internal Control

## Remuneration and Reward Systems

## Stakeholder Engagement and Reporting

## Topic 6: Compliance

### Entrepreneur Checklist

	1. Do I have Financial Statements?
	2. Are the financial statements Audited or Reviewed?
	3. Is my Auditor or Reviewer independent?
	4. Am I VAT Registered and Compliant?
	5. Am I Income Tax registered and complaint?
	6. Are my employees registered for Tax?
	7. Do I use IFRS?





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