



COMPLIANCE INSPECTION CHECKLIST



ROUTINE COMPLIANCE INSPECTIONS AT A SECOND-HAND GOODS DEALER/RECYCLER

NAME AND ADDRESS OF BUSINESS			
PARTICULARS OF OWNER/RESPONSIBLE PERSON		CAS NO (If applicable)	
		SAPS 13 NR (If applicable)	
INDICATE CATEGORY	General Dealer	Motor Vehicle Dealer	
	Auctioneer	Jeweller	
	Scrap Metal Dealer	Recycler	
POLICE STATION		DATE OF INSPECTION	
SAPS 607 SERIAL NO		FILE REFERENCE NUMBER (25/13/2)	

NO	DESCRIPTION OF INFORMATION TO BE INSPECTED/ACTIONS TO BE CONDUCTED	INDICATE WHETHER COMPLIED/NOT COMPLIED/NOT APPLICABLE		
		YES	NO	NA
1	The SAPS member produced his/her Appointment Certificate and stated the reason for the visit			
2	The original Certificate of Registration as second-hand goods dealer is prominently displayed, visible to the community, undamaged and legible			
3	The ownership/particulars of the responsible person of the business was compared/verified with the information noted on the Certificate of Registration and corresponds			
4	The address of the business was compared/verified with the address noted on the Certificate of Registration and corresponds			
5	The Certificate of Registration is valid and has not expired			
5.1	The second-hand goods dealer applied for the renewal of the second-hand goods Certificate of Registration within the prescribed period, if expired <i>(Second-Hand Goods Dealer/recycler must apply for renewal not more than 180 days and at least 90 days before the date of termination of registration)</i>			
6.	The second-hand goods dealer/recycler complied with the conditions under which the Certificate of Registration was issued <i>(Compare with Certificate of Registration to determine conditions applicable)</i>			
6.1	Dealing in goods or classes of goods as specified			
6.2	Goods are acquired or disposed of during determined business hours			
6.3	Goods acquired from/disposed to registered dealers			
6.4	Keeping a separate Second-Hand Goods Dealer/Recycler Acquisition and Disposal register for different classes of goods			
6.5	No dealing in second-hand goods may take place from a storage facility			
7	The second-hand goods dealer/recycler is a member of an accredited Second-Hand Goods Association			
7.1	The Association Membership Certificate and letter of confirmation are available and was inspected			
8	The Second-Hand Goods Dealer/Recycler Acquisition and Disposal Register was inspected <i>(Manual or electronic Acquisition and Disposal Registers may be maintained)</i>			
8.1	The following particulars are recorded in the Second-Hand Goods Dealer/Recycler Acquisition and Disposal Register <i>(See paragraph 18 & 33 in respect of additional information required in respect of a second-hand vehicle dealer and communication equipment)</i>			
8.1.1	Identity of the person from whom the second-hand goods were acquired <i>(Full names, physical address and telephone number)</i>			
8.1.2	The manner in which the identity of the person from whom the second-hand goods were acquired was verified <i>(Original identity document, passport or driver's license)</i>			
8.1.3	The description of the goods, serial number, if available, distinguishing mark or feature, including Microdot serial number			
8.1.4	Purchase price			
8.1.5	Number assigned to the second-hand goods acquired			
8.1.6	Name and signature of person who conducted the transaction			
8.1.7	Date and time of the transaction			
8.1.8	Date on which the second-hand goods were sold or otherwise disposed of			
9	A copy of the identity document, or other proof of identification, of the person from whom the second-hand goods were acquired from, is available (document to be archived for a minimum of five years) <i>(Identity Document/Card, Passport, Driver's License and Temporary Identity Document)</i>			

NO	DESCRIPTION OF INFORMATION TO BE INSPECTED/ACTIONS TO BE CONDUCTED	INDICATE WHETHER COMPLIED/NOT COMPLIED/NOT APPLICABLE		
		YES	NO	NA
10	The second-hand goods dealer/recycler did not accept any goods for pawn from a person under the age of 18 years			
11	Goods on the premises (spot check at least minimum of four [4] items) were compared with the entries in the Second-Hand Goods Dealer/Recycler Acquisition and Disposal Register against the serial number or number assigned to the goods by the second-hand goods dealer and ownership was confirmed			
12	Access to an electronic Second-Hand Goods Dealer/Recycler Acquisition and Disposal Register was enabled by the second-hand goods dealer/recycler where such register(s) is kept in an electronic format			
12.1	Proof of the most recent compliance inspection of the electronic register conducted by a SAPS member, is available			
13	The SAPS member who inspected the Second-Hand Goods Dealer/Recycler Acquisition and Disposal Register signed his/her name after the last entry in the register and appended his/her PERSAL number, rank, initials and surname as well as the date on which the inspection was conducted			
14	All goods acquired are kept for a period of seven days from the date of acquisition in its original form (Appearance of form may not be altered) <i>(Compare the date noted in the Second-Hand Goods Dealer/Recycler Acquisition and Disposal Register on which the goods were acquired with the date on which the goods were sold)</i>			
15	All goods that were pawned are kept separate from all other goods of the same or similar kind of description			
15.1	All goods that were pawned are recorded in a separate register			
16	The second-hand goods dealer/recycler was provided an opportunity to explain any entry/absence of an entry in the Second-Hand Goods Dealer/Recycler Acquisition and Disposal Register/book/record/document found to provide an acceptable explanation			
17	Enquire from the second-hand goods dealer/recycler if any incidents in respect of the following was reported to a SAPS member at the police station in whose area the business premises is situated:			
17.1	Any name, address or document furnished is false			
17.2	Goods or goods for pawn offered to such a dealer are stolen goods			
17.3	Appearance of an item offered has been tampered with or an attempt was made to alter the appearance thereof, in order to conceal the identity			
ADDITIONAL INFORMATION REQUIRED				
Second-Hand Vehicle Dealer				
18	The following <u>additional information</u> are recorded in the Second-Hand Goods Dealer/Recycler Acquisition and Disposal Register regarding every acquisition or disposal of a motor vehicle: <i>(See paragraph 8.1 & 9)</i>			
18.1	The motor vehicle identification number (VIN), chassis and engine number			
18.2	Vehicle registration number			
18.3	The motor vehicle odometer reading			
18.4	The exterior and trim color			
18.5	Any distinguishing mark or feature, such as microdot			
18.6	The person who disposed of or acquired the vehicle furnished the dealer with the following:			
18.7	Proof of registration/deregistration of the motor vehicle			
19	A copy of the proof of registration/deregistration of the motor vehicle is available			
19.1	The information noted in the Second-Hand Goods Dealer/Recycler Acquisition and Disposal Register regarding the acquisition of the motor vehicle was compared/verified with register and proof of registration/ deregistration papers <i>(VIN/chassis/engine number and odometer reading)</i>			
20	Second-hand motor vehicles are microdot tested (spot checks) to identify potential stolen vehicles			
Scrap Metal Dealer/Recycler				
21	The following <u>additional information</u> are recorded in the Second-Hand Goods Dealer/Recycler Acquisition and Disposal Register regarding every acquisition or disposal of controlled metal: <i>(See paragraph 8.1 & 9)</i>			
21.1	Vehicle registration number (vehicle acquired as scrap metal)			
21.2	Vehicle deregistration papers or disposal order			
21.3	Weight			
21.4	Photograph(s)			
21.5	Reasonable explanation for burnt cover of controlled metal			
22	A Certificate of Registration as recycler is available, if the scrap metal dealer is also involved in the business of recycling any controlled metal (Dealer Certificates of Registration as well Recycler Certificate of registration required)			

NO	DESCRIPTION OF INFORMATION TO BE INSPECTED/ACTIONS TO BE CONDUCTED	INDICATE WHETHER COMPLIED/NOT COMPLIED/NOT APPLICABLE		
		YES	NO	NA
23	Apparatus used for the recycling of any controlled metal, article or substance containing controlled was not found on the premises, except if such a scrap metal dealer is also registered as a recycler or authorised to possess and recycle precious metal under the Precious Metals Act, 2005 (Act No 37 of 2005)			
24	The scrap metal dealer/recycler has not acquired or disposed of any controlled metal of which the cover has been burnt, unless the seller had a reasonable explanation (<i>documentary proof must be available</i>) and only after the matter has been reported to a police official at a police station in whose area the dealer carries on business			
25	Acknowledgement of receipt (<i>Occurrence Book (SAPS 10) number</i>) is available that the scrap metal dealer/recycler reported any tampering with the appearance/aspects of an item or attempt to alter the appearance/aspects of an item in order to conceal the identity of such item			
26	The scrap metal dealer is not in possession of any controlled metal of which the cover has been burnt, unless a reasonable explanation has been provided			
27	The scrap metal dealer/recycler is in possession of a permit to export scrap metal/controlled metal (<i>Only required if the scrap metal dealer is involved in the exporting of scrap metal/controlled metal</i>)			
Communication Equipment				
28	The following <u>additional information</u> are recorded in the Second-Hand Goods Dealer/Recycler Acquisition and Disposal Register regarding every acquisition or disposal of communication equipment: (<i>See paragraph 8.1 & 9</i>)			
28.1	Description of the communication equipment, including make and model			
28.2	The IMEI number			
28.3	Distinguishing mark/feature, including the serial number			
29	The IMEI number of communication (spot check) equipment was tested to determine whether the communication equipment was blacklisted/blocked/reported stolen			
30	Information Technology (IT) equipment that can be used to alter IMEI numbers, or software CD's (Identifiable: "US F 4" or "US F 5" written on the CD) that can be used to interfere with the software installed on the cellular telephone is not present/available on the premises			
Auctioneer				
31	The following <u>additional information</u> are recorded in the Second-Hand Goods Dealer/Recycler Acquisition and Disposal Register kept by an auctioneer: (<i>See paragraph 8.1 & 9</i>)			
31.1	Make and model of items (vehicles, motor vehicles, communication equipment, computer and electronic equipment.)			
31.2	In the case of communication equipment the IMEI number			
31.3	Distinguishing mark/feature, including the serial number of items/goods to be auctioned			
31.4	The motor vehicle identification number (VIN), chassis and engine number			
31.5	Vehicles and motor vehicles registration number			
31.6	The motor vehicle odometer reading			
31.7	The exterior and trim color of vehicle			
31.8	Any distinguishing mark or feature, including microdot serial number.			
31.9	The person who disposed of or acquired the vehicle furnished the dealer with the following:			
31.10	Proof of registration/deregistration of the motor vehicle			
32	A copy of the proof of registration/deregistration of the motor vehicle is available			
33	The information noted in the Second-Hand Goods Dealer/Recycler Acquisition and Disposal Register regarding the acquisition of the motor vehicle was compared/verified with register and proof of registration/ deregistration papers (<i>VIN/chassis/engine number and odometer reading</i>)			
34	Second-hand motor vehicles are microdot tested (spot checks) to identify potential stolen vehicles			
35	The IMEI number of communication (spot check) equipment was tested to determine whether the communication equipment was blacklisted/blocked/reported stolen			
36	Information Technology (IT) equipment that can be used to alter IMEI numbers, or software CD's (Identifiable: "US F 4" or "US F 5" written on the CD) that can be used to interfere with the software installed on the cellular telephone is not present/available on the premises			
Jeweler				
37	The following <u>additional information</u> are recorded in the Second-Hand Goods Dealer/Recycler Acquisition and Disposal Register kept by a Jeweler: (<i>See paragraph 8.1 & 9</i>)			
37.1	Photograph(s)			
37.2	Proof of registration under the Precious Metals Act, 2005 (Act No. 37 of 2005) to determine if a jeweler is authorised to possess and recycle precious metals			

DESCRIPTION OF ACTION(S) TO BE TAKEN IF A CONTRAVENTION IS IDENTIFIED AND AN ACCEPTABLE EXPLANATION CANNOT BE PROVIDED BY THE SECOND-HAND GOODS DEALER/RECYCLER			
NO	SECTION	OFFENCE/CONTRAVENTION (Only tick app)	INDICATE WHICH OFFENCE/ CONTRAVENTION WAS DETECTED
38	The following contravention(s) in terms of the Second-Hand Goods Act, 2009 (Act No 6 of 2009) was detected		
	OBLIGATION TO REGISTER		
	2(1)	Failure to register as a second-hand goods dealer.	
	APPLICATION FOR REGISTRATION		
	3(2)	Failure to apply for registration of each premises where business in second-hand goods is conducted.	
	3(2)	Failure to apply for registration of a premises utilised as a second-hand goods storage facility.	
	APPLICATION OF AMENDMENT OF CERTIFICATE		
	8(1)(a)	Failure to notify the South African Police Service of any change(s) with regard to any information that was submitted in respect of the application for registration within 30 days of such change.	
	8(1)(b)	Failure to notify the South African Police Service of any change(s) change in the control or ownership of the dealer within 30 days of such change.	
	8(1)(c)	Failure to notify the South African Police Service of any change(s) that impacts on the ability of the dealer to meet all or any of the requirements for its registration in terms of this Act within 30 days of such change.	
	8(4)	Failure to hand in all previous registration certificates to a police official handing over an amended Certificate of Registration.	
	TERMINATION AND CANCELLATION OF REGISTRATION		
	10(2)	Failure to immediately notify the South African Police Service of the discontinuation of the business or the inability to carry on a business of trading in second-hand goods.	
	10(6)(a)	Failure to hand in all previous registration certificates to a police official handing over a Notice of Cancellation of Registration.	
	10(6)(b)	Failure to hand in all previous registration certificates to the South African Police Service upon termination of registration.	
	RENEWAL OF REGISTRATION		
	11(1)	Failure to renew registration within the required timeframe of not more than 180 days and at least 90 days before the date of termination of registration.	
	TRANSFER OF CERTIFICATE		
	12(2)	Failure to transfer the registered second-hand goods business to another registered second-hand goods dealer.	
	12(3)	Failure by the dealer transferring the second-hand goods business to surrender all registration certificates to the South African Police Service upon the issuing of a new Certificate of Registration.	
	DISPLAY AND MINTENANCE OF CERTIFICATES		
	15(a)	Failure to display the original Certificate of Registration in a place clearly visible to the public on the premises for which such certificate was issued.	
	15(b)	Failure to maintain the Certificate of Registration.	
	RECORDS BY DEALERS		
	21(1)	Failure by a second-hand goods dealer to keep a register in the prescribed form and record in the register the prescribed particulars regarding every acquisition or disposal of second-hand goods.	
	21(3)	Failure to keep separate registers in respect of the acquisition and disposal of different classes of second-hand goods.	
	21(4)	Failure by a person acquiring second-hand goods from, or disposing of goods to, a dealer, to furnish such dealer with his or her full name, physical address and an original identity document or passport as proof of his or her identity.	
	21(5)	Failure by a second-hand goods dealer to obtain and keep a copy of the identity document or passport a person acquiring second-hand goods from, or disposing of goods to such dealer.	
	21(6)	Failure by a second-hand goods dealer to record and retain copies of the full name, physical address and an original identity document or passport as proof of his or her identity of a person acquiring second-hand goods from, or disposing of goods to, a second-hand goods dealer.	
	21(7)	Failure by a second-hand goods dealer to record every entry in a register in respect of an acquisition or disposal of second-hand goods contemporaneously with the acquisition or disposal in question	
	FALSE INFORMATION AND STOLEN GOODS		
	22(1)(a)	Failure by a second-hand goods dealer to report to the South African Police Service any name, address or document furnished to the dealer which such dealer suspects, or on reasonable grounds should suspect to be false.	
	22(1)(b)	Failure by a second-hand goods dealer to report to the South African Police Service any goods, or goods for pawn, as the case may be, offered to such dealer which such dealer suspects, or on reasonable grounds should suspect to be stolen.	

22(1)(c)	Failure by a second-hand goods dealer to report to the South African Police Service any items offered to such dealer which such dealer suspects, or on reasonable grounds should suspect, was altered or tampered with in order to conceal the identity of the item.	
RESTRICTIONS ON DEALERS AND PAWNBROKERS		
23(1)(a)	Acquiring, or accepting in pawn, any second-hand goods from a person under the age of 18.	
23(1)(b)	Storing second-hand goods on a premises for which a certificate of registration has not been issued.	
23(1)(c)	Taking into possession any second-hand goods of which the second-hand goods dealer is not convinced, on reasonable grounds, that the seller of the goods is the owner or titleholder thereof or is duly authorised to dispose thereof.	
23(1)(d)	Delivering second-hand goods to a person or changing the form or altering the appearance thereof before the expiration date of a period of seven days from the date of acquisition thereof.	
23(1)(e)	Accepting in pawn any firearms or ammunition as defined in section 1 of the Firearms Control Act, 2000 (Act No. 60 of 2000).	
MOTOR VEHICLE RECORDS		
24(1)	Failure by a second-hand motor vehicle dealer to record in the prescribed register the particulars regarding every acquisition or disposal of a motor vehicle.	
24(2)(a)	Failure by a motor vehicle dealer to record in the prescribed register the vehicle identification number (VIN), and the chassis and engine number.	
24(2)(b)	Failure by a motor vehicle dealer to record in the prescribed register the vehicle odometer reading	
24(2)(c)	Failure by a motor vehicle dealer to record in the prescribed register the vehicle exterior and trim colour.	
24(2)(d)	Failure by a motor vehicle dealer to record in the prescribed register any distinguishing mark or feature, including the microdot particulars of such vehicle.	
24(3)(a)	Failure by a person acquiring a second-hand motor vehicle from, or disposing of a second-hand motor vehicle to a second-hand motor vehicle dealer, to furnish such dealer with his or her full name.	
24(3)(b)	Failure by a person acquiring a second-hand motor vehicle from, or disposing of a second-hand motor vehicle to a second-hand motor vehicle dealer, to furnish such dealer with his or her physical address.	
24(3)(c)	Failure by a person acquiring a second-hand motor vehicle from, or disposing of a second-hand motor vehicle to a second-hand motor vehicle dealer, to furnish such dealer with his or her original identity document or passport as proof of his or her identity.	
24(3)(d)	Failure by a person acquiring a second-hand motor vehicle from, or disposing of a second-hand motor vehicle to a second-hand motor vehicle dealer, to furnish such dealer with proof of registration or deregistration of the motor vehicle.	
24(4)	Failure by a second-hand motor vehicle dealer to obtain and keep a copy of the identity document or passport and/or obtain and keep proof of registration or deregistration of the motor vehicle, as the case may be, from a person acquiring or disposing of a motor vehicle from or to a second-hand motor vehicle dealer.	
24(5)	Failure by a second-hand motor vehicle dealer to retain copies of the identity document or passport of the person acquiring or disposing of a motor vehicle from or to a second-hand motor vehicle dealer as well as proof of registration or deregistration of such motor vehicle for a period of not less than five years, calculated from the date of the relevant transaction.	
OBLIGATION TO REGISTER AS RECYCLER		
25(1)	Failure by a person who engages in the business of recycling any controlled metal, to apply to be registered as a recycler, in addition to having to be registered as a second-hand goods dealer.	
25(4)(a)	Being in possession of any apparatus which can be used for the recycling of any controlled metal or any article or substance containing any controlled metal without being registered as a recycler, or in the case of precious metals, such person not being authorised to possess and recycle precious metals under the Precious Metals Act, 2005 (Act No. 37 of 2005).	
25(4)(b)	Acquiring or disposing of any cable consisting of controlled metal of which the cover has been burnt, without obtaining a reasonable explanation for the burnt cover from the seller thereof, and not reporting the matter to the South African Police Service before such acquiring or disposing.	
25(4)(c)	Being in possession of any cable consisting of controlled metal of which the cover has been burnt, without being able to provide a reasonable explanation for the burnt cover.	
25(5)	Failure by a second-hand goods recycler to report to the South African Police Service any scrap metal offered to such recycler which such recycler suspects, or on reasonable grounds should suspect, was altered or tampered with in order to conceal the identity of the scrap metal.	
COMMUNICATION EQUIPMENT RECORDS		
26(1)	Failure by a second-hand goods communication equipment dealer to keep a register in the prescribed form and record in the register the prescribed particulars regarding every acquisition or disposal of second-hand communication equipment.	

	26(3)	Failure by a person acquiring second-hand communication equipment from, or disposing of second-hand communication equipment to a dealer, to furnish such dealer with his or her full name, physical address and an original identity document or passport as proof of his or her identity.	
	26(4)	Failure by a second-hand communication equipment dealer to obtain and keep a copy of the identity document or passport a person acquiring second-hand communication equipment from, or disposing of communication equipment to such dealer.	
	26(5)	Failure by a second-hand communication equipment dealer to retain copies of the identity document or passport of the person acquiring or disposing of second-hand communication equipment from or to a second-hand communication equipment dealer for a period of not less than five years, calculated from the date of the relevant transaction.	
ROUTINE INSPECTIONS			
	28(1)	Failure by a second-hand goods dealer to allow access to his/her premises in order to investigate compliance with the Second-Hand Goods Act, 2009 (Act No. 6 of 2009).	
	28(1)(a)	Failure by a second-hand goods dealer to produce the Certificate of Registration relating to that premises to a police official for inspection.	
	28(1)(b)	Failure by a second-hand goods dealer to produce any register, record, book or other document relating to the goods in or on the premises for inspection or for the purposes of obtaining copies thereof or extracts therefrom to a police official.	
	28(1)(c)	Failure by a second-hand goods dealer to produce any goods found in or on such premises to a police official for examination.	
	28(1)(d)	Failure by a second-hand goods dealer to explain any entry or absence of any entry in any register, book, record or document found therein or thereon to a police official during an inspection.	
	28(2)	Failure by a second-hand goods dealer to comply with the request of a police official to discontinue any incorrect method of dealing, non-recording of transactions in registers or unregistered storage facility that is being used in contravention of the Second-Hand Goods Act, 2009 (Act No. 6 of 2009).	
	28(3)	Failure by the second-hand goods dealer, owner, employee or person in charge of second-hand goods premises to assist the police official in the performance of his or her functions under the Second-Hand Goods Act, 2009 (Act No. 6 of 2009).	
DEFACED, STOLEN OR LOST CERTIFICATES			
	37(1)	Failure by the second-hand goods dealer to notify the South African Police Service of the loss or theft of a Certificate of Registration within 30 days of discovery of the loss or theft.	
	37(2)	Failure by the second-hand goods dealer to apply to the South African Police Service, in the prescribed manner, for the re-issuing of a registration certificate within 30 days of the discovery of the defacement, loss or theft.	
38.1	GENERAL LAW AMENDMENT ACT, 1955 (ACT NO. 62 OF 1955).		
38.1.1	36	Possession of property suspected to be stolen	
38.1.2	37	Receipt of property suspected to be stolen	
39	LEGAL REMEDIES TAKEN TO ADDRESS THE NON-COMPLIANCE/CONTRAVENTION		INDICATE WHICH LEGAL REMEDY WAS IMPLEMENTED/COMPLIED
			YES NO NA
39.1	A SAPS 610 written warning was issued		
39.1.1	The second-hand goods dealer/recycler was informed of the method of dealing, recording or storage that is in contravention with the Act		
39.1.2	The second-hand goods dealer was requested to immediately discontinue or rectify the method of dealing, recording or storage that is in contravention with the Act and were afforded 7-days to rectify (<i>Minor offences</i>)		
39.2	A J534 was issued to the second-hand goods dealer/recycler (<i>Fine may not exceed R 5 000.00</i>)		
39.3	A case docket was opened		
39.3.1	A SAPS 13(b) was issued in respect of any goods confiscated and a copy of the SAPS 13(b) was handed to the second-hand goods dealer		
39.3.2	A SAPS 299 was issued to obtain authority from the second-hand goods dealer to hand the goods seized to the legal owner of the goods		
40	INDICATE WHICH GOODS WERE SEIZED, IF APPLICABLE		
	Description of the Goods Seized	SERIAL NO	
40.1			
40.2			
40.3			
40.4			
40.5			
40.6			
40.7			
40.8			
40.9			

41		CONCLUDE THE COMPLIANCE INSPECTION		
41.1	The SAPS member who conducted the compliance inspection signed the SAPS 607 Visitation Register <i>(PERSAL Number, Rank, Initials and surname, Date)</i>			
41.2	Any non-compliance identified and action taken was noted in the Second-Hand Goods Dealer/Recycler Acquisition and Disposal Registers, as well as the SAPS 607			
REMARKS				

SIGN OFF

COMPLIANCE INSPECTION CONDUCTED BY:					
SIGNATURE	PERSAL NUMBER	RANK	INITIALS & SURNAME	DATE	PLACE

REGISTERED SECOND-HAND GOODS DEALER/RECYCLER INSPECTED			
SIGNATURE	INITIALS AND SURNAME	PLACE	DATE

** Copy of the completed and signed compliance inspection checklist must be filed on the applicable Z20 Second-Hand Goods Dealer/Recycler File and must be recorded on the Success Capturing Report (SAPS 594) and captured on the OPAM system.*