

PAIA and POPIA Manual

This manual was prepared in accordance with section 51 of the Promotion of Access to Information Act, 2000 and to address requirements of the Protection of Personal Information Act, 2013.

This manual applies to a. hartrodt (South Africa) (Pty) Ltd.

Registration number: 1981/011340/07

Contents

1.	Background on the Promotions of Access to Information Act	3
2.	a. hartrodt (South Africa) (Pty) Ltd	3
3.	Purpose of the PAIA Manual	3
4.	Contact Details of the Managing Director (Section 51(1)(a))	4
5.	The Information Officer (Section 51(1)(b))	4
6.	Guide of SA Human Rights Commission (Section 51(1) (b))	5
7.	The Latest Notice in Terms of Section 52(2) (if any) (Section 51(1)(c))	6
8.	Subjects and Categories of Records Available only on Request to Access in Terms of the Act (Section 51(1) (e))	6
9.	Records Available without a Request to Access in terms of the Act	9
10.	Description of the Records of the Body Which are Available in Accordance with any other Legislation (Section 51(1) (d))	9
11.	Detail to Facilitate a Request for Access to a Record of a. hartrodt (South Africa) (Section 51(1) (e))	11
12.	Refusal of Access to Records	13
13.	Remedies Available when a. hartrodt (South Africa) refuses a request	15
14.	Access to Records Held by a. hartrodt (South Africa)	15
15.	Prescribed Fees (Section 51 (1) (f))	16
16.	Reproduction Fee	17
17.	Decision	19
18.	Protection of Personal Information that is Processed by a Hartrodt (South Africa)	19
19.	Availability and Updating of the PAIA Manual	22

1. Background to the Promotion of Access to Information Act

- 1.1 The Promotion of Access to Information Act, No. 2 of 2000 (the “Act”) was enacted on 3 February 2000, giving effect to the constitutional right in terms of section 32 of the Bill of Rights contained in the Constitution of the Republic of South Africa 108 of 1996 (the “Constitution”) of access to any information held by the state and any information that is held by another person and that is required for the exercise or protection of any rights.
- 1.2. In terms of section 51 of the Act, all Private Bodies are required to compile an Information Manual (“PAIA Manual”).
- 1.3. Where a request is made in terms of the Act, the body to whom the request is made is obliged to release the information, subject to applicable legislative and / or regulatory requirements, except where the Act expressly provides that the information may be adopted when requesting information from a public or private body.

2. a. hartrodt (South Africa) (Pty) Ltd

- 2.1 a. hartrodt (South Africa) delivers the service of a clearing and forward agent through a highly experienced and globally aligned team.
- 2.2. This PAIA Manual of a. hartrodt (South Africa) is available at its premises as well as on its website.

3. Purpose of the PAIA Manual

- 3.1. The purpose of PAIA is to promote the right of access to information, to foster a culture of transparency and accountability within a. hartrodt (South Africa) by giving the right to information that is required for the exercise or protection of any right and to actively promote a society in which the people of South Africa have effective access to information to enable them to exercise and protect their rights.
- 3.2. In order to promote effective governance of private bodies, it is necessary to ensure that everyone is empowered and educated to understand their rights in relation to public and private bodies.

- 3.3. Section 9 of the Act recognises that the right to access information cannot be unlimited and should be subject to justifiable limitations, including, but not limited to:
- 3.3.1. Limitations aimed at the reasonable protection of privacy.
 - 3.3.2. Commercial confidentiality; and
 - 3.3.3. Effective, efficient, and good governance and in a manner which balances that right with any other rights, including such rights contained in the Bill of Rights in the Constitution.
- 3.4. This PAIA Manual complies with the requirements of guide mentioned in section 10 of the Act and recognises that upon commencement of the Protection of Personal Information Act 4 of 2013, that the appointed Information Regulator will be responsible to regulate compliance with the Act and its regulations by private and public bodies.

4. Contact Details of the Managing Director (Section 51(1)(a))

Managing Director	Grant Allan Barnard
Registered Address	Unit 2 Pelican Park 552 Malcolm Woodie Crescent, Jet Park, Boksburg
Postal Address	P O Box 69059 Bryanston 2021
Telephone Number	
Website	

5. The Information Officer (Section 51(1)(b))

- 5.1. The Act prescribes the appointment of an Information Officer for public bodies where such Information Officer is responsible to, inter alia, assess request for access to information. The head of a private body fulfils such a function in terms of section 51. a. hartrodt (South Africa) has opted to appoint an Information Officer to assess such a request for access to information as well as to oversee its required functions in terms of the Act.
- 5.2. The Information Officer appointed in terms of the Act also refers to the Information Officer as referred to in the Protection of Personal Information Act 4 of 2013.

The Information Officer oversees the functions and responsibilities as required for in terms of both this Act as well as the duties and responsibilities in terms of section 55 of the Protection of Personal Information Act 4 of 2013 after registering with the Information Regulator.

- 5.3. The Information Officer may appoint, where it is deemed necessary, Deputy Information Officers, as allowed in terms of section 17 of the Act as well as section 56 of the Protection of Personal Information Act 4 of 2013. This is in order to render a. hartrodt (South Africa as accessible as reasonable possible for requesters of its records and to ensure fulfilment of its obligations and responsibilities as prescribed in terms of section 55 of the Protection of Personal Information Act 4 of 2013. All request for information in terms of this Act must be addressed to the Information Officer.

Contact Details of the Information Officer

Information Officer	Grant Allan Barnard
Physical address	Unit 2 Pelican Park 552 Malcolm Woodie Crescent, Jet Park, Boksburg
Telephone Number	
Email	grant.barnard@hartrodt.com

6. Guide of SA Human Rights Commission (Section 51(1) (b))

- 6.1. The ACT grants a requester access to records of a private body, if the record is required for the exercise or protection of any rights. If a public body lodges a request, the public body must be acting in the public interest.
- 6.2. Requests in terms of the ACT shall be made in accordance with the prescribed procedures, at the rates provided. The forms and tariff are dealt with in paragraphs 6 and 7 of the Act.
- 6.3. Requesters are referred to the Guide in terms of Section 10 which has been compiled by the South African Human Rights Commission, which will contain

information for the purposes of exercising Constitutional Rights. The Guide is available from the SAHRC.

6.4. The contact details of the Commission are:

Contact Body	The South African Human Rights Commission
Physical address	PAIA Unit 29 Princess of Wales Terrace Cnr York and Andrew Streets Parktown
Postal Address	Private Bag 2700, Houghton 2041
Telephone Number	+27 11 877 3600
E-Mail	PAIA@sahrc.org.za
Web site	www.sahrc.org.za

7. The Latest Notice in Terms of Section 52(2)

No notice has been published on the categories of records that are automatically available without a person having a request access in terms of Section 52(2) of PAIA.

8. Subjects and Categories of Records Available only on Request to Access in Terms of the Act (Section 51(1) (e))

8.1. Records held by a. hartrodt (South Africa)

For the purposes of this clause 8.1, "Personnel" refers to any person who works for, or provides services to, or on behalf of a. hartrodt (South Africa) and receives or is entitled to receive remuneration and any other person who assist in carrying out or conducting the business of a. hartrodt (South Africa). This includes, without limitation, directors (executive and non-executive), all permanent, temporary, and part-time staff, as well as contract workers.

This clause serves as a reference to the categories of information that a. hartrodt (South Africa) holds. The information is classified and grouped according to records relating to the following subjects and categories:

Subject	Category
Registered Address	Documents of Incorporation
	Index of names of Directors
	Memorandum of Incorporation
	Minutes of meetings of the Board of Directors
	Minutes of meetings of Shareholders
	Proxy forms
	Register of debenture holders
	Register of directors' shareholdings
	Share certificates
	Share Register and other statutory registers and/or records and/or documents
	Special resolutions passed at General and Class meetings
	Records relating to appointment of:
	Auditors
	Directors
	Prescribed Officers
Public Officer, and	
Secretary	
Financial Records	Accounting Records
	Annual Financial Reports
	Annual Financial Statements
	Asset Registers
	Bank Statements
	Bank Records
	Debtors/Creditors statements and invoice
	General ledgers and subsidiary ledgers
	General reconciliation
	Invoices
	Policies and procedures
	Rental agreements
	Tax Returns
	Telephone Number
Documents issued to employees for income tax purposes	
Records of payments made to SARS on behalf of employees	
All other statutory compliances	
VAT	
Regional Services Levies	
Skills Development Levies	
UIF	
Worksmans Compension	

Subject	Category
Personal Documents and Records	Accident biooks and records
	Address List
	Disciplinary Code and Records
	Employee benefits arrangements rules and records
	Employment Contracts
	Employment Equity Plan
	Forms and Applications
	Grievance Procedures
	Leave Records
	Medical Aid Records
	Payroll reports/Wage register
	Pension Fund records
	Safety, Health and Enviromental Records
	Salary Records
	SETA Records
	Standard letterd and notices
	Training Manuals
Training Records	
Workplace and Union Agreement and records	
Procurement Department	Standard Terms and Conditions for supply of services and products
	Contractor, client and supplier agreements
	List of suppliers, products, services and distribution and
	Policies and Procedures
Sales Department	Customer details
	Credit application
	Information and records provided by a third party
Marketing Department	Advertising and promotional material
Risk Management and Audit	Audit Reports
	Risk management frameworks
	Risk management plans
Safety, Health and Enviroment	Complete Safety, Health and Enviroment Risk Assessment
	Enviromental Management Plans
	Inquiries, inspections, examinations by enviromental authorities
Corporate Social Responsibility (CSR)	CSR schedule of projects/record of organisations that receive funding
	Reports, books, publications and general information relating to CSR Spend
	Records and contracts of agrement with funded organisations

Subject	Category
IT Department	Computer / mobile device usage policy documentation
	Disaster recovery plans
	Hardware asset register
	Information technology systems and user manuals
	Information usage policy documentation
	Project implementation plans
	Software licensing, and
	System documentation and manuals

8.2. Note that the accessibility of the records may be subject to the grounds of refusal set out in this PAIA manual. Amongst other, records deemed confidential on the part of a third party, will necessitate permission from the third party concerned, in addition to normal requirements, before a. hartrodt (South Africa) will consider access.

9. Records Available without a Request to Access in terms of the Act

9.1. Records of a public nature, typically those disclosed on the a. hartrodt (South Africa) website and in its various annual reports, may be accessed without the need to submit a formal application.

9.2. Other non-confidential records, such as statutory records maintained at CIPC, may also be accessed without the need to submit a formal application, however, please note that an appointment to view such records will still have to be made with the Information Officer.

10. Description of the Records of the Body Which are Available in Accordance with any other Legislation (Section 51(1) (d))

10.1. Where applicable to its operations, a. hartrodt (South Africa) also retains records and documents in terms of the legislation below. Unless disclosure is prohibited in terms of legislation, regulations, contractual agreement or otherwise, records that are required to be made available in terms of these acts shall be made available for inspection by interested parties in terms of the requirements and conditions of the Act; the below mentioned legislation and applicable internal policies and procedures, should such interested parties be entitled to such information. A request to access must be done in accordance with the prescriptions of the Act.

- a. Auditing Professions Act, No 26 of 2005.
- b. Basic Conditions of Employment Act, No 75 of 1997.
- c. Broad- Based Black Economic Empowerment Act, No 75 of 1997.
- d. Business Act, No 71 of 1991.
- e. Companies Act, No 71 of 2008.
- f. Compensation for Occupational Injuries & Diseases Act, 130 of 1993.
- g. Competition Act, No.71 of 2008.
- h. Constitution of the Republic of South Africa 2008.
- i. Copyright Act, No 98 of 1978.
- j. Customs & Excise Act, 91 of 1964.
- k. Electronic Communications Act, No 36 of 2005.
- l. Electronic Communications and Transactions Act, No 25 of 2002.
- m. Employment Equity Act, No 55 of 1998.
- n. Financial Intelligence Centre Act, No 38 of 2001.
- o. Identification Act, No. 68 of 1997.
- p. Income Tax Act, No 58 of 1962.
- q. Intellectual Property Laws Amendment Act, No 38 of 1997.
- r. Labour Relations Act, No 66 of 1995.
- s. Long Term Insurance Act, No 52 of 1998.
- t. Occupational Health & Safety Act, No 85 of 1993.
- u. Pension Funds Act, No 24 of 1956.

- v. Prescription Act, No 68 of 1969.
- w. Prevention of Organised Crime Act, No 121 of 1998.
- x. Promotion of Access to Information Act, No 2 of 2000.
- y. Protection of Personal Information Act, No. 4 of 2013.
- z. Regulation of Interception of Communications and Provision of Communication
 - Related Information Act 70 of 2002
 - aa. Revenue laws Second Amendment Act. No 61 of 2008.
 - bb. Skills Development Levies Act No. 9 of 1999.
 - cc. Short-term Insurance Act No. 53 of 1998.
 - dd. Trust Property Control Act 57 of 1988
 - ee. Unemployment Insurance Contributions Act 4 of 2002.
 - ff. Unemployment Insurance Act No. 30 of 1966.
 - gg. Value Added Tax Act 89 of 1991.

** Although we have used our best endeavours to supply a list of applicable legislation, it is possible that this list may be incomplete. Whenever it comes to our attention that existing or new legislation allows a Requester access on a basis other than as set out in PAIA, we shall update the list accordingly. If a Requester believes that a right of access to a record exists in terms of other legislation listed above or any other legislation, the Requester is required to indicate what legislative right the request is based on, to allow the Information Officer the opportunity of considering the request in light thereof.*

10.2. It is further recorded that the accessibility of documents and records may be subject to the grounds of refusal set out in this PAIA Manual.

11. Detail to Facilitate a Request for Access to a Record of a hartrodt (South Africa) (Section 51(1) (e))

11.1. The requester must comply with all the procedural requirements contained in the Act relating to the request for access to a record.

11.2. The requester must complete the prescribed form enclosed herewith and submit same as well as payment of a request fee and a deposit (if applicable) to the

Information Officer or the Deputy Information Officer at the postal or physical address, fax number or electronic mail address as noted in clause 5 above.

- 11.3. The prescribed form must be filled in with sufficient information to enable the Information Officer to identify a. the record or records requested, and b. the identity of the requester.
- 11.4. The requester should indicate which form of access is required and specify a postal address or fax number of the requester in the Republic.
- 11.5. The requester must state that he/she requires the information in order to exercise or protect a right, and clearly state what the nature of the right is so to be exercised or protected. The requester must clearly specify why the record is necessary to exercise or protect such a right (section 53(2)(d)).
- 11.6 a. hartrdt (South Africa) will process the request within 30 (thirty) days, unless the requester has stated special reasons to the satisfaction of the Information Officer that circumstances dictate that the above time periods not be complied with.
- 11.7. The requester shall be advised whether access is granted or denied in writing. If, in addition, the requester requires the reasons for the decision in any other manner, the requester will be obliged to state which manner and the particulars required.
- 11.8. If a request is made on behalf of another person, then the requester must submit proof of the capacity in which the requester is making the request to the reasonable satisfaction of the Information Officer (section 53(2)(f)).
- 11.9. If an individual is unable to complete the prescribed form because of illiteracy or disability, such a person may make the request orally.
- 11.10. The requester must pay the prescribed fee before any further processing can take place.
- 11.11. All information as listed in clause 11 herein should be provided and failing which the process will be delayed until the required information is provided. The prescribed time periods will not commence until the requester has furnished all the necessary and required information. The Information Officer shall sever a

record, if possible, and grant only access to that portion requested and which is not prohibited from being disclosed.

12. Refusal of Access to Records

12.1. Grounds to Refuse Access

A private body such a hartrodt (South Africa) is entitled to refuse a request for information.

12.1.1. The main grounds for a hartrodt (South Africa) to refuse a request for information relates to the:

- a. mandatory protection of the privacy of a third party who is a natural person or a deceased person (section 63) or a juristic person, as included in the Protection of Personal Information Act 4 of 2013, which would involve the unreasonable disclosure of personal information of that natural or juristic person.
- b. mandatory protection of personal information and for disclosure of any personal information to, in addition to any other legislative, regulatory, or contractual agreements, comply with the provisions of the Protection of Personal Information Act 4 of 2013.
- c. mandatory protection of the commercial information of a third party (section 64) if the record contains:
 - i. trade secrets of the third party.
 - ii. financial, commercial, scientific, or technical information which disclosure could likely cause harm to the financial or commercial interests of that third party.
 - iii. information disclosed in confidence by a third party to a hartrodt (South Africa), if the disclosure could put that third party at a disadvantage in negotiations or commercial competition.

- d. mandatory protection of confidential information of third parties (section 65) if it is protected in terms of any agreement.
- e. mandatory protection of the safety of individuals and the protection of property (section 66).
- f. mandatory protection of records which would be regarded as privileged in legal proceedings (section 67).

12.1.2. The commercial activities (section 68) of a private body, such as

a. hartrodt (South Africa), which may include:

- a. trade secrets of a. hartrodt (South Africa).
- b. financial, commercial, scientific, or technical information which disclosure could likely cause harm to the financial or commercial interests of a. hartrodt (South Africa).
- c. information which, if disclosed could put a. hartrodt (South Africa) at a
- d. disadvantage in negotiations or commercial competition.
- e. a computer program which is owned by a. hartrodt (South Africa), and which is protected by copyright.
- f. the research information (section 69) of a. hartrodt (South Africa) or a third party if its disclosure would disclose the identity of a. hartrodt (South Africa), the researcher or the subject matter of the research and would place the research at a serious disadvantage.

12.1.3. Requests for information that are clearly frivolous or vexatious, or which involve an unreasonable diversion of resources shall be refused.

12.1.4. All requests for information will be assessed on their own merits and in accordance with the applicable legal principles and legislation.

12.1.5. If a requested record cannot be found or if the record does not exist, the Information Officer shall, by way of an affidavit or affirmation, notify the requester that it is not possible to give

access to the requested record. Such a notice will be regarded as a decision to refuse a request for access to the record concerned for the purpose of the Act. If the record should later be found, the requester shall be given access to the record in the manner stipulated by the requester in the prescribed form, unless the Information Officer refuses access to such record.

13. Remedies Available When a. hartrodt (South Africa) refuses a Request

13.1. Internal Remedies

a. hartrodt (South Africa) does not have internal appeal procedures. The decision made by the Information Officer is final. Requesters will have to exercise such external remedies at their disposal if the request for information is refused, and the requestor is not satisfied with the answer supplied by the Information Officer.

13.2. External Remedies

13.2.1. A requestor that is dissatisfied with the Information Officer's refusal to disclose information, may within 30 (thirty) days of notification of the decision, may apply to a Court for relief.

13.2.2. A third party dissatisfied with the Information Officer's decision to grant a request for information, may within 30 (thirty) days of notification of the decision, apply to a Court for relief. For purposes of the Act, the Courts that have jurisdiction over these applications are the Constitutional Court, the High Court or another court of similar status and a Magistrate's Court designated by the Minister of Justice and Constitutional Development, and which is presided over by a designated Magistrate.

14. Access to Records Held by a. hartrodt (South Africa)

14.1. Prerequisites for Access by Personal/Other Requester

14.1.1. Records held by a. hartrodt (South Africa) may be accessed by requests only once the prerequisite requirements for access have been met.

14.1.2. A requester is any person making a request for access to a record of a. hartrodt (South Africa). There are two types of requesters:

a. Personal Requester

- i. A personal requester is a requester who is seeking access to a record containing personal information about the requester.
- ii. a. hartrodt (South Africa) will voluntarily provide the requested information or give access to any record with regard to the requester's personal information. The prescribed fee for reproduction of the information requested will be charged.

b. Other Requester

- i. This requester (other than a personal requester) is entitled to request access to information on third parties.
- ii. In considering such a request, a. hartrodt (South Africa) will adhere to the provisions of the Act. Section 71 requires that the Information Officer take all reasonable steps to inform a third party to whom the requested record relates of the request, informing him/her that he/she may make a written or oral representation to the Information Officer why the request should be refused or, where required, give written consent for the disclosure of the Information.

a. hartrodt (South Africa) is not obliged to voluntarily grant access to such records. The requester must fulfil the prerequisite requirements, in accordance with the requirements of the Act and as stipulated in Chapter 5; Part 3, including the payment of a request and access fee.

15. Prescribed Fees (Section 51 (1) (f))

15.1. Fees Provided by the Act

15.1.1. The Act provides for two types of fees, namely:

- a. A request fee, which is a form of administration fee to be paid by all requesters except personal requesters, before the request is considered and is not refundable; and
 - b. An access fee, which is paid by all requesters in the event that a request for access is granted. This fee is inclusive of costs involved by the private body in obtaining and preparing a record for delivery to the requester.
- 15.1.2. When the request is received by the Information Officer, such officer shall by notice require the requester, other than a personal requester, to pay the prescribed request fee, before further processing of the request (section 54(1)).
- 15.1.3. If the search for the record has been made and the preparation of the record for disclosure, including arrangement to make it available in the requested form, requires more than the hours prescribed in the regulations for this purpose, the Information Officer shall notify the requester to pay as a deposit the prescribed portion of the access fee which would be payable if the request is granted.
- 15.1.4. The Information Officer shall withhold a record until the requester has paid the fees as indicated below.
- 15.1.5. A requester whose request for access to a record has been granted, must pay an access fee that is calculated to include, where applicable, the request fee, the process fee for reproduction and for search and preparation, and for any time reasonably required in excess of the prescribed hours to search for and prepare the record for disclosure including making arrangements to make it available in the request form.
- 15.1.6. If a deposit has been paid in respect of a request for access, which is refused, then the Information Officer concerned must repay the deposit to the requester.

16. Reproduction Fee

16.1. Where a. hartrodt (South Africa) has voluntarily provided the Minister with a list of categories of records that will automatically be made available to any person requesting access thereto, the only charge that may be levied for obtaining such records, will be a fee for reproduction of the record in question.

Reproduction of Information Fees	Fees to be charged
Information in an A4 size page photocopy or part thereof	R1.10
A printed copy of an A4 size page or part thereof	R0.75
A copy in computer readable format, eg CD	R70.00
A transcription of visual images, in an A4 size page or part thereof	R70.00
A copy of visual images	R60.00
A transcription of an audio record for an A4 size page or part thereof	R20.00
A copy of an audio record	R30.00

16.2. Request Fees

Where a requester submits a request for access to information held by an institution on a person other than the requester himself/herself, a request fee in the amount of R50,00 is payable up-front before the institution will further process the request received.

16.3. Access Fees

16.3.1. An access fee is payable in all instances where a request for access to information is granted, except in those instances where payment of an access fee is specially excluded in terms of the Act, or an exclusion is determined by the Minister in terms of section 54(8). The applicable access fees which will be payable are:

Access of Information Fees	Fees to be charged
Information in an A4 size page photocopy or part thereof	R1.10
A printed copy of an A4 size page or part thereof	R0.75
A copy in computer readable format, eg CD	R70.00
A transcription of visual images, in an A4 size page or part thereof	R70.00
A copy of visual images	R60.00
A transcription of an audio record for an A4 size page or part thereof	R20.00
A copy of an audio record	R30.00

Where a copy of a record needs to be posted the actual postal fee is payable.

16.4. Deposits

16.4.1. Where the institution receives a request for access to information held on a person other than the requester himself/herself and the Information Officer upon receipt of the request is of the opinion that the preparation of the required record of disclosure will take more than 6 (six) hours, a deposit is payable by the requester.

16.4.2. The amount of the deposit is equal to 1/3 (one third) of the amount of the applicable access fee. 16.5. Collection Fees

16.5.1. The initial "request fee" of R50,00 should be deposited into the bank account below and a copy of the deposit slip, application form and other correspondence / documents, forwarded to the Information Officer via fax.

16.5.2. The officer will collect the initial "request fee" of applications received directly by the Information Officer via email.

16.5.3. All fees are subject to change as allowed for in the Act and as a consequence such escalations may not always be immediately available at the time of the request being made. Requesters shall be informed of any changes in the fees prior to making a payment.

17. Decision

17.1. Time Allowed to Institution

- 17.1.1. a. hartrodt (South Africa) will, within 30 (thirty) days of receipt of the request, decide whether to grant or decline the request and give notice with reasons (if required) to that effect.
- 17.1.2. The 30 (thirty) day period within which a.hartrodt (South Africa) has to decide whether to grant or refuse the request, may be extended for a further period of not more than (30) thirty days if the request is for a large number of information, or the request requires a search for information held at another office of a.hartrodt (South Africa) and the information cannot reasonably be obtained within the original 30 (thirty) day period.
- 17.1.3. a. hartrodt (South Africa) will notify the requester in writing should an extension be sought.

18. Protection of Personal Information that is processed by a. hartrodt (South Africa)

18.1. Chapter 3 of POPIA provides for the minimum conditions for lawful processing of personal information by a Responsible Party. These conditions may not be derogated from unless specific exclusions apply as outlined in POPIA.

18.2. a. hartrodt (South Africa) needs Personal Information relating to both individual and juristic persons in order to carry out its business and organisational functions. The manner in which this information is Processed and the purpose for which it is Processed is determined by a. hartrodt (South Africa). a. hartrodt (South Africa) is accordingly a Responsible Party for the purposes of POPIA and will ensure that the Personal Information of a Data Subject:

- 18.2.1. is processed lawfully, fairly, and transparently. This includes the provision of appropriate information to Data Subjects when their data is collected by a. hartrodt (South Africa), in the form of privacy or data collection notices. a. hartrodt (South Africa) must also have a legal basis (for example, consent) to process Personal Information.
- 18.2.2. is processed only for the purposes for which it was collected.

- 18.2.3. will not be processed for a secondary purpose unless that processing is compatible with the original purpose.
- 18.2.4. is adequate, relevant, and not excessive for the purposes for which it was collected.
- 18.2.5. is accurate and kept up to date.
- 18.2.6. will not be kept for longer than necessary.
- 18.2.7. is processed in accordance with integrity and confidentiality principles; this includes physical and organisational measures to ensure that Personal Information, in both physical and electronic form, are subject to an appropriate level of security when stored, used, and communicated by a. hartrodt (South Africa), in order to protect against access and acquisition by unauthorised persons and accidental loss, destruction or damage.
- 18.2.8. is processed in accordance with the rights of Data Subjects, where applicable. Data Subjects have the right to:
 - (a) be notified that their Personal Information is being collected by a. hartrodt (South Africa). The Data Subject also has the right to be notified in the event of a data breach.
 - (b) know whether a. hartrodt (South Africa) holds Personal Information about them, and to access that information. Any request for information must be handled in accordance with the provisions of this Manual.
 - (c) request the correction or deletion of inaccurate, irrelevant, excessive, out of date, incomplete, misleading, or unlawfully obtained personal information.
 - (d) object to a. hartrodt (South Africa)'s use of their Personal Information and request the deletion of such Personal Information (deletion would be subject to Adept Advisory's record keeping requirements).

- (e) object to the processing of Personal Information for purposes of direct marketing by means of unsolicited electronic communications; and
- (f) complain to the Information Regulator regarding an alleged infringement of any of the rights protected under POPI and to institute civil proceedings regarding the alleged noncompliance with the protection of his, her or its personal information.

18.3. Purpose of the Processing of Personal Information by the Company as outlined above, Personal Information may only be processed for a specific purpose. The purposes for which a. hartrodt (South Africa) processes or will process Personal Information is set out in Part 1 of Appendix 2.

18.4. Categories of Data Subjects and Personal Information/special Personal Information relating thereto as per section 1 of POPI, a Data Subject may either be a natural or a juristic person. Part 2 of Appendix 2 sets out the various categories of Data Subjects that a. hartrodt (South Africa) Processes Personal Information on and the types of Personal Information relating thereto.

18.5. Recipients of Personal Information Part 3 of Appendix 2 outlines the recipients to whom a. hartrodt (South Africa) may provide a Data Subjects Personal Information to.

18.6. Cross-border flows of Personal Information

18.6.1. Section 72 of POPIA provides that Personal Information may only be transferred out of the Republic of South Africa if the:

- a. recipient country can offer such data an “adequate level” of protection. This means that its data privacy laws must be substantially similar to the Conditions for Lawful Processing as contained in POPI; or
- b. Data Subject consents to the transfer of their Personal Information;
- or c. transfer is necessary for the performance of a contractual obligation between the Data Subject and the Responsible Party; or
- d. transfer is necessary for the performance of a contractual

obligation between the Responsible Party and a third party, in the interests of the Data Subject; or e. the transfer is for the benefit of the Data Subject, and it is not reasonably practicable to obtain the consent of the Data Subject, and if it were, the Data Subject, would in all likelihood provide such consent.

18.6.2. Part 4 of Appendix 2 sets out the planned cross-border transfers of Personal Information and the condition from above that applies thereto.

18.7. Description of information security measures to be implemented by a. hartrodt (South Africa) Part 5 of Appendix 2 sets out the types of security measures to be implemented by a. hartrodt (South Africa) in order to ensure that Personal Information is respected and protected. A preliminary assessment of the suitability of the information security measures implemented or to be implemented by a. hartrodt (South Africa) may be conducted in order to ensure that the Personal Information that is processed by a. hartrodt (South Africa) is safeguarded and processed in accordance with the Conditions for Lawful Processing.

18.8. Objection to the Processing of Personal Information by a Data Subject Section 11 (3) of POPI and regulation 2 of the POPIA Regulations provides that a Data Subject may, at any time object to the Processing of his/her/its Personal Information in the prescribed form attached to this manual as Appendix 3 subject to exceptions contained in POPIA.

18.9. Request for correction or deletion of Personal Information Section 24 of POPI and regulation 3 of the POPI Regulations provides that a Data Subject may request for their Personal Information to be corrected/deleted in the prescribed form attached as Appendix 4 to this Manual

19. Availability and Updating of the PAIA Manual

19.1. Regulation Number R.187 of 15 February 2002

- 19.1.1. This PAIA Manual is made available in terms of Regulation Number R.187 of 15 February 2002. a. hartrodt (South Africa) will update this PAIA Manual at such intervals as may be deemed necessary.
- 19.1.2. This PAIA Manual of a. hartrodt (South Africa) is available to view at its premises and on its website.