



RHODES UNIVERSITY
Where leaders learn

RHODES UNIVERSITY PAIA MANUAL

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This manual (the manual) has been compiled in accordance with the requirements of the Promotion of Access to Information Act, 2000 (**PAIA**), read with the relevant sections of Protection of Personal Information Act, 2013 (**POPIA**).

1. OUR STRUCTURE AND FUNCTIONS

Rhodes University is a public university situated in the Eastern Cape functioning in terms of the Higher Education Act, 101 of 1997 and the University's Institutional Statute which is available at: https://www.ru.ac.za/media/rhodesuniversity/content/institutionalplanning/documents/Rhodes_University_Statute.pdf

The University is organised in the following way:

- Council and Council Committees, including Board of Governors
- Senate
- Faculties
- Departments
- Research units
- Support structures (including, but not limited to library, IT Services, halls and residences, finances, human resources, student matters, archives, communication and advancement, administration and support, , campus security, infrastructure and operations, facility services).

2. INFORMATION OFFICER AND DEPUTY INFORMATION OFFICER(S)

2.1. Information Officer

The Vice-Chancellor, Professor Sizwe Mabizela is Rhodes University's Information Officer for purposes of POPIA.

Name and surname	Sizwe Mabizela
Postal Address	P O Box 94 Rhodes University Makhanda 6140 Eastern Cape South Africa
Physical Address	19 Somerset Street Makhanda 6139

	Eastern Cape South Africa
Phone	0466038148
Email	vc@ru.ac.za

2.2. Deputy Information Officer(s)

The Vice--Chancellor has appointed the following Deputy Information Officers

Name and surname	Professor Adèle Moody (student-related information)
Position	Registrar
Postal Address	P O Box 94 Rhodes University Makhanda 6140 Eastern Cape South Africa
Physical Address	19 Somerset Street Makhanda 6139 Eastern Cape South Africa
Phone	046 6038101
Email	registrar@ru.ac.za
Fax	046 6038127

Name and surname	Ms Susan Robertson (staff -related information)
Position	Acting Human Resources Director
Postal Address	P O Box 94 Rhodes University Makhanda 6140 Eastern Cape South Africa
Physical Address	Administration Building Room 212 Rhodes Avenue 19 Somerset Street Makhanda 6139

	Eastern Cape South Africa
Phone	046 603 8792
Email	z.dyibishe@ru.az.za

Name and surname	Professor Peter Clayton (research-related information)
Position	Deputy Vice Chancellor: Research and Innovation
Postal Address	P O Box 94 Rhodes University Makhanda 6140 Eastern Cape South Africa
Physical Address	19 Somerset Street Makhanda 6139 Eastern Cape South Africa
Phone	046 603 8055
Email	dvc.research@ru.ac.za
Fax	046 603 8822

Name and surname	Susan Smailes (legal-related information)
Position	Office of the Vice-Chancellor
Postal Address	P O Box 94 Rhodes University Makhanda 6140 Eastern Cape South Africa
Physical Address	19 Somerset Street Makhanda 6139 Eastern Cape South Africa
Phone	046 603 7561
Email	c.ngamale@ru.ac.za

Name and surname	Ms Natalie Ripley (Information Technology related information)
Position	Director Information and Technology Services
Postal Address	P O Box 94 Rhodes University Makhanda 6140 Eastern Cape South Africa
Physical Address	19 Somerset Street Makhanda 6139 Eastern Cape South Africa
Phone	046 603 7456
Email	support@ru.ac.za

Requests in terms of the Promotion of Access to Information Act should be sent to the relevant deputy information officer.

3. THE HUMAN RIGHTS COMMISSION GUIDE

With effect from 1 July 2020, enforcement of PAIA will fall under the jurisdiction of the Information Regulator established in terms of POPIA. The contact details for the Information Regulator are (at present) as follows:

The Information Regulator (South Africa)
33 Hoofd Street, Forum III, 3rd Floor Braampark
Postal Address: P.O Box 31533, Braamfontein, Johannesburg, 2017
Telephone number: +27 (0)10 023-5200 / +27 (0)82 746-4173
Website: <https://www.justice.gov.za/infoereg/index.html>
E-mail: infoereg@justice.gov.za / complaints.IR@justice.gov.za

This manual is available on our website and at our offices during business hours. We will provide you with a copy of the manual on request on payment of the prescribed fee.

The manual sets out to provide anyone who wants to access information in terms of PAIA with the necessary contact details and procedures to ask for that information from the University. It provides a clear overview of the structure, functions, services, and index of information of the University to

help identify where the required information could be. It also provides the forms and prescribed fees we require to assist you.

It also sets out how we ensure the privacy of personal information that we hold and process.

4. POLICY FORMULATION AND DECISION-MAKING

Policy is determined by the University Council. The University's decision-making processes involve wide consultation, and students and staff participate in formulating policies and making decisions at the University as regulated by the Higher Education Act 101 of 1997, as amended, and internal procedures agreed upon from time to time with the relevant representative bodies.

Interested parties may submit comments and suggestions in writing to the Registrar at the following address: Professor Moody at registrar@ru.ac.za.

5. OUR SERVICES AND HOW TO ACCESS SERVICES

The University provides education (tertiary, research, teaching and learning), student services (housing, IT, finances, student matters, marketing, admin and support, campus security, infrastructure).

Information pertaining to these services is available at Rhodes University's website at <https://www.ru.ac.za/>

6. THE INFORMATION AND CATEGORIES OF RECORDS WE HOLD

(a) Automatically available or voluntarily disclosed records:

All information or records published on the Rhodes website are automatically available voluntarily, without having to submit PAIA requests. These include:-

1. Reports including the annual reports;
2. Current year academic calendar.
3. Newsletters, media statements;
4. Publicly available records relating to donors and funders; and
5. Information about the University details of the above may be found at the website or on application to the deputy information officer.

(b) Categories of records held by the University that may be requested in terms of PAIA but may be subject to privacy constraints:

1. Records of organs of internal governance (the Council, the Senate, the Institutional Forum, the Students' Representative Council, the Convocation and of University committees);
2. Records pertaining to prospective students and student applicants;
3. Records of individual students (any student or past student may obtain their student record on request without having to make a request in terms of PAIA; where transcripts are required a fee may be charged.)
4. Records relating to the responsible fee payer;
5. Records relating to employment candidates;
6. Records of individual personnel and their dependents. (any staff member of past staff member may obtain their employment record on request without having to make a request in terms of PAIA)
7. Records relating to service providers and partnership organisations;
8. Records relating to committee members, including external committee members;
9. Records relating to visiting members of the public;
10. Research, scientific and technical records; and
11. Financial records, reports, contracts, and asset registers.

(c) Categories of records available without a person having to request access thereto (section 15):

No notice has been published to date.

(d) Records held in terms of any other legislation

The University holds information pertaining to its employees as required in terms of applicable employment legislation including the Basic Conditions of Employment Act, 1997, the Employment Equity Act, 1998, the Compensation for Occupational Injuries and Diseases Act, 1993, and the Income Tax Act.

The University has a number of reporting requirements in terms of the Higher Education Act, 1997 (the **Act**). In this respect, the University reports on the following:

1. The Council keeps records of all its proceedings and implements an external audit. It keeps complete accounting records of all assets, liabilities, income and expenses and any other financial transactions.

2. The Board submits an annual report to the Minister which includes a financial statement on the performance of its functions during the preceding financial year.

3. The University further:
 - a. produces a **Strategic Plan** and updates it every five years which includes goals and objectives for the institution, focussing on each of its main service delivery areas supported by the financial plan.

 - b. Submits an **Annual Performance Plan** to the Department of Higher Education and Training, which report covers planning and budgeting and containing performance targets.

 - c. Submits a **Mid-Year Performance Report**.

 - d. Submits an **Annual Report** which provides information on the performance of the public higher education institution for the preceding calendar and financial year.

6.1 CATEGORIES OF DATA SUBJECTS, CATEGORIES OF INFORMATION.

Here is a description of the categories of data subjects whose information we collect, hold and process and the categories of information we collect and use and which may be requested in terms of PAIA and POPIA:

Category	Description (which includes but is not limited to the following information)	Format	Maintained by	Retention	Purpose of processing
Finance and administration	Bank account records; Books and records of account and financial statements; Annual budget; VAT, SITE and PAYE records; Asset registers;	Hard copy and electronic copy	Finance Division	Indefinite / as required in terms of applicable legislation / as required in terms of applicable contracts	To process payment of fees; to report to relevant government departments in terms of legislation (to comply with legal obligations),

Category	Description (which includes but is not limited to the following information)	Format	Maintained by	Retention	Purpose of processing
	Details of auditors; External auditor reports; Information pertaining to students; Minutes of the meetings of the Council (non-confidential) Minutes of the meetings of committees/ subcommittees (non-confidential); Minutes of staff meetings and/or management meetings; Internal correspondence; Resolutions and directives; internal investigation reports; Policies, procedures, and codes;				to pursue the legitimate interests of the University.
Human Resources	Organisational information (organisational structure, etc.); Personnel files; Contracts, conditions of service and other agreements;	Hard copy and electronic copy	Human Resources Division	As required in terms of applicable legislation / contracts of employment	To carry out actions for the consideration of an application for employment; To carry out actions necessary for the

Category	Description (which includes but is not limited to the following information)	Format	Maintained by	Retention	Purpose of processing
	Statutory employee records; Records of background checks (including qualification, credit and criminal record checks); Retirement fund records; Medical aid records; Budget projections in respect of staff; Employee leave records; Employee payments and benefits (statutory and contractual); Correspondence with or about employees; Performance management records; Records of disciplinary hearings and findings; Records of incapacity proceedings, including medical information Records of occupational injuries and diseases;				performance of the employment contract; To ensure compliance with an obligation imposed by law on the company; To pursue the legitimate interests of the company or a third party to whom the information is supplied

Category	Description (which includes but is not limited to the following information)	Format	Maintained by	Retention	Purpose of processing
	Employee declarations in terms of the EEA.				
Prospective student relations	Information require to contact prospective students (name, contact details)	Hard copy and electronic copy	Student Bureau and Academic Administration	12 months	To respond to requests for information pertaining the University's facilities, courses, degrees, diplomas, activities and related general information. To pursue the legitimate interests of the University.
Student relations	Personal information provided by student applicants in terms of an application to study at the university (first name, last name, maiden name, identity/ passport number, gender, education history, employment history, choice of degree, financial aid requirements, hobbies, interests, community involvement,	Hard copy and electronic copy	Student Bureau and international office	As required in terms of applicable legislation / agreements with students	To register students for degrees, diplomas, to monitor performance, to provide assistance, to render services to students. To comply with legal obligations and to pursue the legitimate interests of the University.

Category	Description (which includes but is not limited to the following information)	Format	Maintained by	Retention	Purpose of processing
	<p>occupation, contact details, disabilities)</p> <p>Personal information is processed to register the student on the University's systems for enrolment into a degree or course. The information includes personal information obtained from application forms, account information regarding fees owed; health information; medical Aid Information; bursary information; student number; disciplinary records; academic transcripts; attendance registers; student Visa (if applicable); place of residence.</p>				
Alumni	Name, contact details (telephone, address, email; education history (transcripts, degrees).	Hard copy and electronic copy	Alumni Office: Communications and Advancement	As required in terms of applicable legislation.	To respond to requests for confirmation of education history (academic transcript, registration at the

Category	Description (which includes but is not limited to the following information)	Format	Maintained by	Retention	Purpose of processing
					University (with the alumni's consent), to communicate on activities and news at the University.
Council members	Name, contact details (telephone, address, email), identity number; race and gender.	Hard copy and electronic copy	Governance and Secretariat (Registrar's Division)	As required in terms of applicable legislation / as required in terms of applicable contracts	To comply with the University's legal obligations and to pursue the legitimate interests of the University.
Research	The personal information depends on the nature of the research project and researcher.	Hard copy and electronic copy	Research Division	As required in terms of applicable legislation / as required in terms of applicable contracts with research participants or researchers	To pursue the legitimate interests of the University.
Relationships with third parties	Agreements with stakeholders; Service level agreements with suppliers; Contact details of suppliers; Tender and bid documentation; and Service level agreements.	Hard copy and electronic copy	Research Division and Registrar's Division	As required in terms of applicable legislation / as required in terms of applicable contracts	To enhance stakeholder relations, to procure services, and to comply with contractual obligations.

Category	Description (which includes but is not limited to the following information)	Format	Maintained by	Retention	Purpose of processing
	Company name, copy of identity document of directors or members, address, contact details; bank verification and credit checks; VAT registration numbers				
Information technology	Computer software; Support and maintenance agreements; Licensing agreements; Records regarding computer systems and programmes.	Hard copy and electronic copy	Information Technology and Support Division	As required in terms of applicable legislation / as required in terms of applicable contracts	To pursue the legitimate interests of the University in providing access to information technology to its students and employees.
Property	Asset registers; Lease agreements in respect of immovable property; Records regarding insurance in respect of movable or immovable property.	Hard copy and electronic copy	Office of the CFO	As required in terms of applicable legislation / as required in terms of applicable contracts	To maintain a record of the University's assets, as required in terms of legislation.
Legal	Litigation; Appeals; Contracts and memoranda of understanding;	Hard copy and electronic copy	Registrar's Division and Director in the Office of the Vice-Chancellor	As required in terms of applicable legislation / as required in terms	To pursue the University's legitimate interests.

Category	Description (which includes but is not limited to the following information)	Format	Maintained by	Retention	Purpose of processing
	Regulatory permissions, licenses, and/or exemptions.			of applicable contracts	

7. WHO RECEIVES PERSONAL INFORMATION

We share personal information with third parties, if required to do so in terms of any legislation, alternatively with a data subject's consent:

- The Department of Higher Education and Training (as required in terms of legislation);
- Service providers (operators that process personal information on the University's behalf such as payroll providers);
- The South African Revenue Service (as required in terms of legislation);
- The Department of Labour (as required in terms of legislation);
- Third parties requesting verification of education history at the University (with a data subject's consent);
- The Department of Home Affairs (in relation to international students, and as required in terms of legislation);
- The National Student Financial Aid Scheme, for those students applying for funding, and as required in terms of legislation.

8. CROSS-BORDER FLOWS OF INFORMATION

We only transfer personal information outside the borders of South Africa if we have satisfied and complied with the requirements of POPIA or if we have a data subject's consent to do so. Parties that we may share personal information with that are outside the borders of South Africa are:

- Funders;
- Researchers; and
- Service providers that supply the University with software to store procurement information.

9. INFORMATION SECURITY MEASURES

We have implemented appropriate, reasonable, technical, and organisational measures to secure the integrity and confidentiality of personal information.

As a responsible party, the University's security measures includes but is not limited to:

- Access Control;
- Data Encryption;
- Robust Monitoring;
- Data Backups;
- Security and data protection policies and procedures;
- Anti-virus and Anti-malware Solutions; and
- Awareness and Vigilance.

10. HOW TO REQUEST ACCESS TO A RECORD

You can request access to records by completing Form 2. If you cannot write or read, or are disabled, and verbally request a record, we will complete Form 2 on your behalf and give you a copy.

You must complete Form 2 and submit it to registrar@ru.ac.za, together with any other information we regard as necessary to consider your request. Any request that does not comply with the formalities in this manual will be sent back to you with advice on the steps you should take to comply with the formalities. If you are making a request on behalf of someone else, you must submit reasonable proof of authority.

You must provide us with proof of identity before we can process any request.

11. OUTCOME OF YOUR REQUEST AND FEES PAYABLE

We will decide whether to grant or decline your request within 30 days of receiving your request. We will notify you of our decision and provide reasons for accepting or refusing your request.

We will also inform you of the fees payable. We may require that you pay a deposit before we process your request. Deposits and fees are payable at the Student Bureau, Eden Grove Building, Rhodes University, Makhanda/Grahamstown or Rhodes University, First National Bank Grahamstown/Makhanda Account 621 4550 3076 Branch Code 210 717 Swift Code: FIRNZAJJ Reference: Name and Surname PAIA.

If you request large quantities of information or if we cannot reasonably obtain the information you request within the original 30-day period, we might have to extend the period with another 30 days. We will notify you in writing if we require an extension.

If we do not give you a decision on a request for access to records within the period stipulated above, it means that we refused your request in terms of section 27 of PAIA.

12. REASONS WHY WE MAY REFUSE YOUR REQUEST

If the record does not exist we will inform you.

If there are records that we cannot find despite a reasonable and diligent search, we will notify you with an affidavit explaining the measures we have taken to locate the record. If, after we have issued such an affidavit, we find the records, we will grant you access to the records unless the processing of the records would result in a substantial and unreasonable diversion of our resources, or unless your request is clearly frivolous or vexatious, or unless one of the grounds for refusal of access to a record as set in the PAIA applied.

For further grounds for refusal of access to records please refer to Chapter 4 of Part 2 of PAIA.

13. WHAT YOU CAN DO IF YOU ARE DISSATISFIED WITH A DECISION

You may appeal or complain about any of the following:

- our refusal to grant you access to a record;
- the access fee that we charge;
- our decision to extend the 30 days for responding to your request; and
- the way in which access is granted.

You may lodge an internal appeal or complaint against a decision as follows

- A member of the public may lodge a complaint in writing with the Registrar of the University at Professor Moodly at registrar@ru.ac.za.
- The University's internal grievance procedure may be utilised by staff members.
- Procedures for student complaints and appeals are set out in full in the student disciplinary code in the University Calendar which may be seen at [Rhodes Calendar 2022 DIGITAL V2.pdf \(ru.ac.za\)](#)

If the complaint is that we have failed to provide access as the PAIA legislation requires, (i.e. a failure to act in terms of the Promotion of Access to Information Act, Act 2 of 2000) and we fail to resolve this through one of the above channels for complaint you may take such steps as provided for in sections 74 to 82 of the PAIA Act. This provides for you to:

- complain about our decision to the Information Regulator; and
- apply to court after following the appeal process.

We would however recommend that you make provision for an internal complaints process to resolve any complaints that do not have merit. You don't want every complaint to be lodged with the Information Regulator. The above may suffice or you may wish to follow the following more formal process.

You may appeal or complain about any of the following:

- our refusal to grant you access to a record;
- the access fee that we charge;
- our decision to extend the 30 days for responding to your request; and
- the way in which access is granted.

You may lodge an internal appeal or complaint against a decision as follows:

- you must lodge the internal appeal by completing Form 4
 - if we have failed to respond or if notice to a third party is required within 60 days of making your request; or
 - within 30 days after our decision was communicated you; or
 - within 30 days after the decision was taken if notice to you is not required;
- you must deliver or send Form 4 to the address, or email address of registrar@ru.ac.za
- you must identify the subject of the appeal and state the reasons for the appeal, and you may include any other relevant information;
- you must pay the prescribed appeal fee at the Student Bureau, Eden Grove Building, Rhodes University, Makhanda/Grahamstown or Rhodes University, First National Bank Grahamstown/Makhanda Account 621 4550 3076 Branch Code 210 717 Swift Code: FIRNZAJJ Reference: Name and Surname PAIA; and
- you must specify a postal address, fax number, or email address for the return of the decision.

13.1. Complain to the Information Regulator

You may submit a complaint to the Information Regulator if you are dissatisfied with the decision of our Information Officer:

- to refuse your request for access;

- regarding the access fee charged;
- to extend the 30 days for responding to your request; or
- the way in which access is granted.

You must submit your complaint within 180 days of our decision.

You must use Form 5 to submit your complaint to complaints.IR@justice.gov.za.

13.2. Applications to court

You may apply for appropriate relief from a court if you are dissatisfied with the Information Regulator's decision or by the decision of our Information Officer:

- to refuse your request for access;
- regarding the access fee charged;
- to extend the 30 days for responding to your request; or
- the way in which access is granted.

You can only apply to a court after you have exhausted the complaints procedure to the Information Regulator.

You must apply to a court within 180 days.

14. OTHER INFORMATION

For any other information not contained in this manual, kindly contact the Information Officer, or a Deputy Information Officer.

Contact details of which are given in paragraph 2 above.

Alternatively visit the University's website at <https://www.ru.ac.za/>

This version of the manual is dated 01 December 2021.

FORMS

These are the relevant forms in the draft regulations for comments to PAIA:

- Form 1: Request for copy of the guide
- Form 2: Request for access to a record
- Form 3: Outcome of request and of fees payable
- Form 4: Lodge an internal appeal [or a form for your internal complaint process]
- Form 5: Lodge a complaint to the Information Regulator

FORM 1
REQUEST FOR A COPY OF THE GUIDE

[Regulations 2 and 3.]

TO: *The Information Regulator
P.O Box 31533
Braamfontein,
2017
E-mail address: inforeg@justice.gov.za
Tel number: +27 (0) 10 023 5200

OR

*The information officer
.....
.....
.....

I,

Full names:				
In my capacity as (mark with "x"):	Information officer		Other	
Name of *public/private body (if applicable)				
Postal Address:				
Street Address:				
E-mail Address:				
Facsimile:				
Contact numbers:	Tel.(B):		Cellular:	

hereby request the following copy(ies) of the guide:

Language (mark with "X")	No of copies	Language (mark with "X")	No of copies
Sepedi		Sesotho	
Setswana		siSwati	
Tshivenda		Xitsonga	
Afrikaans		English	
isiNdebele		isiXhosa	
isiZulu			

Manner of collection (*mark with "x"*):

Personal collection	Postal address	Facsimile	Electronic communication (Please specify)

Signed at this day of 20

.....

Signature of requester

* Delete whichever is not applicable

FORM 2
REQUEST FOR ACCESS TO RECORD
 [Regulation 7.]

Note:

1.

Proof of identity must be attached by the requester.

2.

If requests made on behalf of another person, proof of such authorisation, must be attached to this form.

TO:

The information officer

.....

(Address)

E-mail address:

Fax number:

Mark with an "X"

- Request is made in my own name Request is made on behalf of another person.

PERSONAL INFORMATION			
Full names:			
Identity number:			
Capacity in which request is made <i>(when made on behalf of another person):</i>			
Postal Address:			
Street Address:			
E-mail Address:			
Contact numbers:	Tel. (B):		Facsimile:
	Cellular:		
Full names of person on whose behalf request is made <i>(if applicable):</i>			
Identity number:			

Postal Address:			
Street Address:			
E-mail Address:			
Contact numbers:	Tel. (B):		Facsimile
	Cellular:		
PARTICULARS OF RECORD REQUESTED			
<p><i>Provide full particulars of the record to which access is requested, including the reference number if that is known to you, to enable the record to be located. (If the provided space is inadequate, please continue on a separate page and attach it to this form. All additional pages must be signed.)</i></p>			
Description of record or relevant part of the record:			
Reference number, if available:			
Any further particulars of record:			
TYPE OF RECORD			
<i>(Mark the applicable box with an "X")</i>			
Record is in written or printed form			
Record comprises virtual images (<i>this includes photographs, slides, video recordings, computer-generated images, sketches, etc</i>)			
Record consists of recorded words or information which can be reproduced in sound			

Record is held on a computer or in an electronic, or machine-readable form	
FORM OF ACCESS (Mark the applicable box with an "X")	
Printed copy of record (including copies of any virtual images, transcriptions and information held on computer or in an electronic or machine-readable form)	
Written or printed transcription of virtual images (this includes photographs, slides, video recordings, computer-generated images, sketches, etc)	
Transcription of soundtrack (written or printed document)	
Copy of record on flash drive (including virtual images and soundtracks)	
Copy of record on compact disc drive (including virtual images and soundtracks)	
Copy of record saved on cloud storage server	

MANNER OF ACCESS (Mark the applicable box with an "X")	
Personal inspection of record at registered address of public/private body (including listening to recorded words, information which can be reproduced in sound, or information held on computer or in an electronic or machine-readable form)	
Postal services to postal address	
Postal services to street address	
Courier service to street address	
Facsimile of information in written or printed format (including transcriptions)	
E-mail of information (including soundtracks if possible)	
Cloud share/file transfer	
Preferred language: (Note that if the record is not available in the language you prefer, access may be granted in the language in which the record is available)	

PARTICULARS OF RIGHT TO BE EXERCISED OR PROTECTED <i>If the provided space is inadequate, please continue on a separate page and attach it to this Form. The requester must sign all the additional pages.</i>	
Indicate which right is to be exercised or protected:	
Explain why the record requested is required for the exercise or protection of the aforementioned right:	

FEES	
a)	<i>A request fee must be paid before the request will be considered.</i>
b)	<i>You will be notified of the amount of the access fee to be paid.</i>
c)	<i>The fee payable for access to a record depends on the form in which access is required and the reasonable time required to search for and prepare a record.</i>
d)	<i>If you qualify for exemption of the payment of any fee, please state the reason for exemption</i>
Reason:	

You will be notified in writing whether your request has been approved or denied and if approved the costs relating to your request, if any. Please indicate your preferred manner of correspondence:

Postal address	Facsimile	Electronic communication <i>(Please specify)</i>

Signed at this day of 20

.....
Signature of requester / person on whose behalf request is made

FOR OFFICIAL USE

Reference number:	
Request received by: <i>(state rank, name and surname of information officer)</i>	
Date received:	
Access fees:	

Deposit (if any):	
-------------------	--

.....
Signature of information officer

FORM 3
OUTCOME OF REQUEST AND OF FEES PAYABLE

[Regulation 8.]

Note:

1.

If your request is granted the—

(a)

amount of the deposit, (if any), is payable before your request is processed;
and

(b)

requested record/portion of the record will only be released once proof of
full payment is received.

2.

Please use the reference number hereunder in all future correspondence.

Reference number:

TO:

.....
.....
.....
.....

Your request dated, refers.

1.	
You requested:	
Personal inspection of information at registered address of public/private body (including listening to recorded words, information which can be reproduced in sound, or information held on computer or in an electronic or machine-readable form) is free of charge. You are required to make an appointment for the inspection of the information and to bring this Form with you. If you then require any form of reproduction of the information, you will be liable for the fees prescribed in Annexure B.	

OR

2.

You requested:

Printed copies of the information (including copies of any virtual images, transcriptions and information held on computer or in an electronic or machine-readable form)	
Written or printed transcription of virtual images (this includes photographs, slides, video recordings, computer-generated images, sketches, etc)	

Transcription of soundtrack (<i>written or printed document</i>)	
Copy of information on flash drive (<i>including virtual images and soundtracks</i>)	
Copy of information on compact disc drive (<i>including virtual images and soundtracks</i>)	
Copy of record saved on cloud storage server	

3.

To be submitted:

Postal services to postal address	
Postal services to street address Courier service to street address	
Facsimile of information in written or printed format (<i>including transcriptions</i>)	
E-mail of information (<i>including soundtracks if possible</i>)	
Cloud share/file transfer	
Preferred language: <i>(Note that if the record is not available in the language you prefer, access may be granted in the language in which the record is available)</i>	

Kindly note that your request has been:

Approved

Denied, for the following reasons:

4.

Fees payable with regards to your request:

Item	Cost per A4-size page or part thereof/item	Number of pages/items	Total
Photocopy			
Printed copy			
For a copy in a computer-readable form on: (i) Flash drive <ul style="list-style-type: none"> • To be provided by requestor 	R40.00		
(ii) Compact disc <ul style="list-style-type: none"> • If provided by requestor • If provided to the requestor 	R40.00 R60.00		
For a transcription of visual images per A4-size page	Service to be outsourced. Will depend on the quotation of the service provider		
Copy of visual images			
Transcription of an audio record, per A4-size	R24.00		
Copy of an audio record (i) Flash drive <ul style="list-style-type: none"> • To be provided by requestor (ii) Compact disc <ul style="list-style-type: none"> • If provided by requestor • If provided to the requestor 	R40.00 R40.00 R60.00		

Postage, e-mail or any other electronic transfer:	Actual costs		
TOTAL:			

5.

Deposit payable (if search exceeds six hours):

Yes No

Hours of search		Amount of deposit (calculated on one third of total amount per request)	
-----------------	--	--	--

The amount must be paid into the following Bank account: Name of Bank:

Name of account holder: _____
 Type of account: _____
 Account number: _____
 Branch Code: _____
 Reference Nr: _____
 Submit proof of payment to: _____

Signed at this day of 20

.....
Information officer

FORM 4
LODGING OF AN INTERNAL APPEAL
 [Regulation 9.]

Reference number:

PARTICULARS OF PUBLIC BODY			
Name of public body:			
Name and surname of information officer:			
PARTICULARS OF COMPLAINANT WHO LODGES THE INTERNAL APPEAL			
Full names:			
Identity number:			
Postal address:			
Contact numbers:	Tel. (B):		Facsimile:
	Cellular:		
E-mail Address:			
Is the internal appeal lodged on behalf of another person?		Yes	No
If answer is "yes", capacity in which an internal appeal on behalf of another person is lodged: <i>(Proof of the capacity in which appeal is lodged, if applicable, must be attached.)</i>			
PARTICULARS OF PERSON ON WHOSE BEHALF THE INTERNAL APPEAL IS LODGED (If lodged by a third party)			
Full names:			
Identity number:			
Postal address:			
Contact numbers:	Tel. (B):		Facsimile:
	Cellular:		
E-mail Address:			
DECISION AGAINST WHICH THE INTERNAL APPEAL IS LODGED <i>(mark the appropriate box with an "X")</i>			
Refusal of request for access:			
Decision regarding fees prescribed in terms of section 22 of the Act:			
Decision regarding the extension of the period within which the request must be dealt with in terms of section 26 (1) of the Act:			
Decision in terms of section 29 (3) of the Act to refuse access in the form requested by the requester:			

Decision to grant request for access:	
---------------------------------------	--

GROUNDS FOR APPEAL

(If the provided space is inadequate, please continue on a separate page and attach it to this form, all the additional pages must be signed.)

State the grounds on which the internal appeal is based:	<div style="border-bottom: 1px dotted black; height: 15px;"></div> <div style="border-bottom: 1px dotted black; height: 15px;"></div> <div style="border-bottom: 1px dotted black; height: 15px;"></div> <div style="border-bottom: 1px dotted black; height: 15px;"></div> <div style="border-bottom: 1px dotted black; height: 15px;"></div> <div style="border-bottom: 1px dotted black; height: 15px;"></div> <div style="border-bottom: 1px dotted black; height: 15px;"></div> <div style="border-bottom: 1px dotted black; height: 15px;"></div> <div style="border-bottom: 1px dotted black; height: 15px;"></div> <div style="border-bottom: 1px dotted black; height: 15px;"></div>
State any other information that may be relevant in considering the appeal:	<div style="border-bottom: 1px dotted black; height: 15px;"></div> <div style="border-bottom: 1px dotted black; height: 15px;"></div> <div style="border-bottom: 1px dotted black; height: 15px;"></div> <div style="border-bottom: 1px dotted black; height: 15px;"></div> <div style="border-bottom: 1px dotted black; height: 15px;"></div> <div style="border-bottom: 1px dotted black; height: 15px;"></div> <div style="border-bottom: 1px dotted black; height: 15px;"></div> <div style="border-bottom: 1px dotted black; height: 15px;"></div> <div style="border-bottom: 1px dotted black; height: 15px;"></div> <div style="border-bottom: 1px dotted black; height: 15px;"></div>

You will be notified in writing of the decision on your internal appeal. Please indicate your preferred manner of notification:

Postal address	Facsimile	Electronic communication <i>(Please specify)</i>

Signed at this day of 20

.....
Signature of appellant/Third party

FOR OFFICIAL USE
 OFFICIAL RECORD OF INTERNAL APPEAL

Appeal received by: <i>(state rank, name and surname of Information officer)</i>	
---	--

Date received:			
Appeal accompanied by the reasons for the information officer's decision and, where applicable, the particulars of any third party to whom or which the record relates, submitted by the information officer:			Yes
			No
OUTCOME OF APPEAL			
Refusal of request for access. Confirmed?	Yes	New decision (if not confirmed)	
	No		
Fees (Sec 22). Confirmed?	Yes	New decision (if not confirmed)	
	No		
Extension (Sec 26 (1)). Confirmed?	Yes	New decision (if not confirmed)	
	No		
Access (Sec 29 (3)). Confirmed?	Yes	New decision (if not confirmed)	
	No		
Request for access granted. Confirmed?	Yes	New decision (if not confirmed)	
	No		

Signed at this day of 20

.....

Relevant authority

FORM 5
LODGING OF COMPLAINT

[Regulation 10.]

Note:

1.

This form is designed to assist the Requester (hereinafter referred to as "the Complainant") in requesting a review of a public or private body's response or non-response to a request for access to records under the Promotion of Access to Information Act, 2000 (Act No. 2 of 2000) ("PAIA"). Please fill out this form and send it to the Information Regulator or complete the online complaint form available at <https://www.justice.gov.za/inforeg/>.

2.

PAIA gives a member of the public a right to file a complaint with the Information Regulator about any of the nature of complaints detailed in part E of this complaint form.

3.

It is the policy of the Information Regulator to defer investigating or to reject a complaint if the Complainant has not first given the public or private body (herein after referred to as "the Body") an opportunity to respond to and attempt to resolve the issue. To help the Body address your concerns prior to approaching the Information Regulator, you are required to complete the prescribed PAIA form and submit it to the Body.

4.

A copy of this form will be provided to the Body that is the subject of your complaint. The information you provide on this form, attached to this form or that you supply later, will only be used to attempt to resolve your dispute, unless otherwise stated herein.

5.

The Information Regulator will only accept your complaint once you confirm having complied with the prerequisites below.

6.

Please attach copies of the following documents, if you have them:

- *Copy of the form to the Body requesting access to records;*
- *The Body's response to your complaint or access request;*
-

Any other correspondence between you and the Body regarding your request;

- Copy of the appeal form, if your complaint relate to a public body;
- The Body's response to your appeal;
- Any other correspondence between you and the Body regarding your appeal;
- Documentation authorizing you to act on behalf of another person (if applicable);
- Court order or court documents relevant to your complaint, if any.

7.

If the space provided for in this Form is inadequate, submit information as an Annexure to this Form and sign each page.

TO:

The Information Regulator
P.O Box 31 533
Braamfontein,
2017
E-mail address: infoereg@justice.gov.za
Tel number: +27 (0) 10 023 5200

CAPACITY OF PERSON/PARTY LODGING A COMPLAINT
(Mark with an "X")

Complainant personally

Representative of complainant

Third party

PREREQUISITES			
Did you submit request (PAIA form) for access to record of a public/private body?	Yes	No	

Has 30 days lapsed from the date on which you submitted your PAIA form?	Yes	No	
Did you exhaust all the internal appeal procedure against a decision of the Information officer of a public body?	Yes	No	
Have you applied to Court for appropriate relief regarding this matter?	Yes	No	

FOR INFORMATION REGULATOR'S USE ONLY			
Received by: (Full names)			
Position:			
Signature:			
Complaint accepted:	Yes		No
Reference Number:			
<i>Date stamp</i>			

Postal address	Facsimile	Other electronic communication (Please specify)

PART A PERSONAL INFORMATION OF COMPLAINANT			
Full names:			
Identity number:			
Postal Address:			
Street Address:			
E-mail Address:			
Contact numbers:	Tel. (B):		Facsimile
	Cellular		
PART B REPRESENTATIVE INFORMATION			
<i>(Complete only if you will be represented. A Power of Attorney must be attached if complainant is represented, failing which the complaint will be rejected)</i>			
Full names of representative:			
Nature of representation:			

Identity number/Registration number:				
Postal Address:				
Street Address:				
E-mail Address:				
Contact numbers:	Tel. (B):		Facsimile	
	Cellular			
PART C				
THIRD PARTY INFORMATION				
<i>(Please attach letter of authorisation)</i>				
Type of body:	Private		Public	
Name of *public/private body:				
Registration number (if any):				
Name, surname and title of person authorised to lodge complaint:				
Postal Address:				
Street Address:				
E-mail Address:				
Contact numbers:	Tel. (B):		Facsimile	
	Cellular			
PART D				
BODY AGAINST WHICH THE COMPLAINT IS LODGED				
Type of body:	Private		Public	
Name of *public/private body:				
Registration number (if any):				
Name, surname and title of person you dealt with at the public or private				

body to try to resolve your complaint or request to access of information:			
Postal Address:			
Street Address:			
E-mail Address:			
Contact numbers:	Tel. (B):		Facsimile
	Cellular		
Reference number given (if any):			
PART E			
COMPLAINT			
<i>Tell us about the steps you have taken to try to resolve your complaint (Complaints should first be submitted directly to the public body for response and possible resolution; there are limited exceptions)</i>			
Date on which request for access to records submitted:			
Please specify the nature of the right(s) to be exercised or protected, if a complaint is against a private body:			
Have you attempted to resolve the matter with the organisation?	Yes	No	
If yes, when did you receive it? (Please attach the letter to this application.)			
Did you appeal against a decision of the information officer of the public body?	Yes	No	
If yes, when did you lodge an appeal?			
Have you applied to Court for appropriate relief regarding this matter?	Yes	No	

If yes, please indicate when was the matter adjudicated by the Court? Please attach Court Order, if there is any.		
PART F DETAILED TYPE OF ACCESS TO RECORDS <i>(Please select one or more of the following to describe your complaint to the Information Regulator)</i>		
Unsuccessful appeal: (Section 77A (2) (a) or section 77A (3) (a) of PAIA)	<i>I have appealed against the decision of the public body and the appeal is unsuccessful.</i>	
Unsuccessful application for condonation: (Sections 77A (2) (b) and 75 (2) of PAIA)	<i>I filed my appeal against the decision of the public body late and applied for condonation. The condonation application was dismissed.</i>	
Refusal of a request for access: (Section 77A (2) (c) (i) or 77A (2) (d) (i) or 77A (3) (b) of PAIA)	<i>I requested access to information held by a body and that request was refused or partially refused.</i>	
The body requires me to pay a fee and I feel it is excessive: (Sections 22 or 54 of PAIA)	<i>Tender or payment of the prescribed fee.</i>	
	<i>The tender or payment of a deposit.</i>	
Repayment of the deposit: (Section 22 (4) of PAIA)	<i>The information officer refused to repay a deposit paid in respect of a request for access which is refused.</i>	
Disagree with time extension: (Sections 26 or 57 of PAIA)	<i>The body decided to extend the time limit for responding to my request, and I disagree with the requested time limit extension or a time extension taken to respond to my access request.</i>	
Form of access denied: (Section 29 (3) or 60 (a) of PAIA)	<i>I requested access in a particular and reasonable form and such form of access was refused.</i>	
Deemed refusal: (Section 27 or 58 of PAIA)	<i>It is more than 30 days since I made my request and I have not received a decision.</i>	

	<i>Extension period has expired and no response was received.</i>	
Inappropriate disclosure of a record: (Mandatory grounds for refusal of access to record)	<i>Records (that are subject to the grounds for refusal of access) have inappropriately/unreasonable been disclosed.</i>	
No adequate reasons for the refusal of access: (Section 56 (3) (a) of PAIA)	<i>My request for access is refused, and no valid or adequate reasons for the refusal, were given, including the provisions of this Act which were relied upon for the refusal.</i>	
Partial access to record: (Section 28 (2) or 59 (2) of PAIA)	<i>Access to only a part of the requested records was granted and I believe that more of the records should have been disclosed.</i>	
Fee waiver: (Section 22 (8) or 54 (8) of PAIA)	<i>I am exempt from paying any fee and my request to waive the fees was refused.</i>	
Records that cannot be found or do not exist: (Section 23 or 55 of PAIA)	<i>The Body indicated that some or all of the requested records do not exist and I believe that more records do exist.</i>	
Failure to disclose records:	<i>The Body decided to grant me access to the requested records, but I have not received them.</i>	
No jurisdiction (exercise or protection of any rights): (Section 50 (1) (a) of PAIA)	<i>The Body indicated that the requested records are excluded from PAIA and I disagree.</i>	
Frivolous or vexatious request: (Section 45 of PAIA)	<i>The Body indicated that my request is manifestly frivolous or vexatious and I disagree.</i>	
Other: (Please explain):		
PART G		
EXPECTED OUTCOME		
How do you think the Information Regulator can assist you? Describe the result or outcome that you seek.		

PART H
AGREEMENTS

The legal basis for the following agreements is explained in the Privacy Notice on how to file your complaint document. In order for the Information Regulator to process your complaint, you need to check each one of the checkboxes below to show your agreement:

£

I agree that the information Regulator may use the information provided in my complaint to assist it in researching issues relating to the promotion of the right of access to information as well as the protection of the right to privacy in South Africa. I understand that the Information Regulator will never include my personal or other identifying information in any public report, and that my personal information is still protected by the Protection of Personal Information Act, 2013 (Act No. 4 of 2013). I understand that if I do not agree, the Information Regulator will still process my complaint.

£

The information in this Complaint Form is true to the best of my knowledge and belief.

£

I authorize the Information Regulator to collect my personal complaint information (such as the information about me in this complaint form) and use it to process my human rights complaint relating to the right of access to information and / or the protection of the right to privacy.

£

I authorise anyone (such as an employer, service provider, witness) who has information needed to process my complaint to share it with the information Regulator. The Information Regulator can obtain this information by talking to witnesses or asking for written records. Depending on the nature of the complaint, these records could include personnel files or employer data, medical or hospital records, and financial or taxpayer information.

£

If any of my contact information changes during the complaint process, it is my responsibility to inform the Information Regulator; otherwise my complaint could experience a delay or even be closed.

Signed at this day of 20

.....

Complainant/Representative/Authorised person of Third party

FORM 6
ACKNOWLEDGEMENT OF RECEIPT OF COMPLAINT

[Regulation 11 (1).]

Note: Please use the undermentioned reference number in all future correspondence.

Reference number:

TO:

.....
.....
.....
.....
.....

COMPLAINT LODGED		
Receipt of your complaint, regarding:		
Unsuccessful appeal: (Section 77A (2) (a) or section 77A (3) (a) of PAIA)	<i>I have appealed against the decision of the public body and the appeal is unsuccessful.</i>	
Unsuccessful application for condonation: (Sections 77A (2) (b) and 75 (2) of PAIA)	<i>I filed my appeal against the decision of the public body late and applied for condonation. The condonation application was dismissed.</i>	
Refusal of a request for access: (Section 77A (2) (c) (i) or 77A (d) (i) or 77A (3) (b) of PAIA)	<i>I requested access to information held by a body and that request was refused or partially refused.</i>	
The body requires me to pay a fee and I feel it is excessive: (Section 22 or 54 of PAIA)	<i>Tender or payment of the prescribed request fee.</i>	
	<i>The tender or payment of a deposit.</i>	
Repayment of the deposit: (Section 22 (4) of PAIA)	<i>The information officer refused to repay a deposit paid in respect of a request for access which is refused.</i>	
Disagree with time extension: (Section 26 or 57 of PAIA)	<i>The body decided to extend the time limit for responding to my request, and I disagree with the requested time limit extension or a time extension taken to respond to my access request.</i>	

Form of access denied: (Section 29 (3) or 60 (a) of PAIA)	<i>I requested access in a particular and reasonable form and such form of access was refused.</i>	
Deemed refusal: (Section 27 or 58 of PAIA)	<i>It is more than 30 days since I made my request and I have not received a decision.</i>	
	<i>Extension period has expired and no response was received.</i>	
Inappropriate disclosure of a record: (Mandatory grounds for refusal of access to record)	<i>Records (that are subject to the grounds for refusal of access) have inappropriately/unreasonable been disclosed.</i>	
No adequate reasons for the refusal of access: (Section 56 (3) (a) of PAIA)	<i>My request for access is refused, and no valid or adequate reasons for the refusal, were given, including the provisions of this Act which were relied upon for the refusal.</i>	
Partial access to record: (Section 28 (2) or 59 (2) of PAIA)	<i>Access to only a part of the requested records was granted and I believe that more of the records should have been disclosed.</i>	
Fee waiver: (Section 22 (8) or 54 (8) of PAIA)	<i>I am exempt from paying any fee and my request to waive the fees was refused.</i>	
Records that cannot be found or do not exist: (Section 23 or 55 of PAIA)	<i>The Body indicated that some or all of the requested records do not exist and I believe that more records do exist.</i>	
Failure to disclose records:	<i>The Body decided to grant me access to the requested records, but I have not received them.</i>	
No jurisdiction (exercise or protection of any rights): (Section 50 (1) (a) of PAIA)	<i>The Body indicated that the requested records are excluded from PAIA and I disagree.</i>	
Frivolous or vexatious request: (Section 45 of PAIA)	<i>The Body indicated that my request is manifestly frivolous or vexatious and I disagree.</i>	
Other: (Please explain):		

is hereby acknowledged. Kindly note that the complaint will be dealt with as follows:

£

The Information Regulator will investigate the complaint further.

£

The complaint will be referred to the Enforcement Committee

Signed at this day of 20

.....

Information Regulator