

# **PAIA MANUAL**

**Prepared in terms of**

**Section 51 of the Promotion of Access to Information Act 2 of 2000**

**as amended from time to time**

## TABLE OF CONTENTS

1. APPLICATION OF THE MANUAL .....	3
2. PURPOSE OF THE MANUAL.....	3
3. DEFINITIONS.....	3
4. KEY CONTACT DETAILS FOR ACCESS TO INFORMATION.....	4
5. GUIDE ON HOW TO USE PAIA AND HOW TO OBTAIN ACCESS TO THE GUIDE .....	5
6. CATEGORIES OF RECORDS .....	6
7. RECORDS AVAILABLE WITHOUT A PERSON HAVING TO REQUEST ACCESS.....	7
8. RECORDS AVAILABLE IN ACCORDANCE WITH ANY OTHER LEGISLATION.....	7
9. APPLICABLE LEGISLATION .....	8
10. PROCESSING OF PERSONAL INFORMATION .....	8
11. AVAILABILITY OF THE MANUAL .....	11
12. UPDATING OF THE MANUAL.....	11
13. Issued by .....	11
FORM 1 - REQUEST FOR A COPY OF THE GUIDE (Regulation 3) .....	12
FORM 2 - REQUEST FOR ACCESS TO RECORD (Regulation 7) .....	13
FORM 3 - OUTCOME OF REQUEST AND OF FEES PAYABLE (Regulation 8).....	16
ANNEXURE A - OWNERSHIP, APPROVAL AND REVISION HISTORY.....	18

## **1. APPLICATION OF THE MANUAL**

- 1.1. This policy is applicable to the legal entities within the CAEP Group (hereinafter referred to as “the Group”) as set out below:
  - 1.1.1. CAEP Pty Ltd
  - 1.1.2. CAEP Asset Managers Pty Ltd
  - 1.1.3. CAEP Alternatives Pty Ltd
  - 1.1.4. CAEP Advisory Pty Ltd
  - 1.1.5. CAEP Digital Pty Ltd

## **2. PURPOSE OF THE MANUAL**

- 2.1. The purpose of this manual is to formally document the Group’s commitment to the Promotion of Access to Information Act of 2000 which gives effect to provisions within the South African Constitution, allowing one person or party to access information held by another person or party. This manual has been designed in such a way to facilitate and protect such rights in a practicable manner.
- 2.2. This PAIA Manual is useful for the public to-
  - 2.2.1. check the categories of records held by a body which are available without a person having to submit a formal PAIA request;
  - 2.2.2. have a sufficient understanding of how to make a request for access to a record of the body, by providing a description of the subjects on which the body holds records and the categories of records held on each subject;
  - 2.2.3. know the description of the records of the body which are available in accordance with any other legislation;
  - 2.2.4. access all the relevant contact details of the Information Officer and Deputy Information Officer who will assist the public with the records they intend to access;
  - 2.2.5. know the description of the guide on how to use PAIA, as updated by the Regulator and how to obtain access to it;
  - 2.2.6. know if the body will process personal information, the purpose of processing of personal information and the description of the categories of data subjects and of the information or categories of information relating thereto;
  - 2.2.7. know the description of the categories of data subjects and of the information or categories of information relating thereto;
  - 2.2.8. know the recipients or categories of recipients to whom the personal information may be supplied;
  - 2.2.9. know if the body has planned to transfer or process personal information outside the Republic of South Africa and the recipients or categories of recipients to whom the personal information may be supplied; and
  - 2.2.10. know whether the body has appropriate security measures to ensure the confidentiality, integrity and availability of the personal information which is to be processed.

## **3. DEFINITIONS**

- 3.1. “Constitution” means the Constitution of the Republic of South Africa Act, No. 108 of 1996.
- 3.2. “CEO” means Chief Executive Officer
- 3.3. “Deputy Information Officer” (hereinafter referred to as “DIO”) means the persons appointed by the information Officer to assist in fulfilling the duties;
- 3.4. “Information Officer” (hereinafter referred to as “IO”) means the person authorised to provide information and enforce the provisions of PAIA and POPIA. The Information Officer is assisted in fulfilling these duties by appointed Deputy Information Officers;
- 3.5. “Minister” means Minister of Justice and Correctional Services;

- 3.6. "Personal Information" means information relating to a living person or juristic person which can include, but is not limited to:
- 3.6.1. Race;
  - 3.6.2. Gender;
  - 3.6.3. Sexual affiliation and activity;
  - 3.6.4. Pregnancy;
  - 3.6.5. Marital status;
  - 3.6.6. National, ethnic or social groups;
  - 3.6.7. Age;
  - 3.6.8. Physical and mental Health;
  - 3.6.9. Disability status;
  - 3.6.10. Personal/Private correspondence;
  - 3.6.11. Religious and personal beliefs (including matters of conscience);
  - 3.6.12. Language;
  - 3.6.13. Birth dates;
  - 3.6.14. ID numbers;
  - 3.6.15. Physical and email addresses;
  - 3.6.16. Contact numbers;
  - 3.6.17. Personal/Private correspondence; and
  - 3.6.18. Biometric information.
- 3.7. "PAIA" means the Promotion of Access to Information Act No. 2 of 2000 (as amended);
- 3.8. "POPIA" means the Protection of Personal Information Act No. 4 of 2013;
- 3.9. "Regulator" means the Information Regulator; and
- 3.10. "Republic" means the Republic of South Africa
- 3.11. "Requester" means any person acting in their own capacity or as a representative of a Public Body making a Request for access.
- 3.12. "Request for Access" means a request for access to a record of an organisation in terms of Section 50 of PAIA.

## **4. KEY CONTACT DETAILS FOR ACCESS TO INFORMATION**

### **4.1. Chief Information Officer**

Name: Stephen Robert Pratt  
Tel: +44 7450 028398  
Email: steve@caeppartners.com

### **4.2. Deputy Information Officer**

Name: Claudine Stollarz  
Tel: +27 82 469 3506  
Email: claudine@caeppartners.com

### **4.3. Deputy Information Officer**

Name: Nicola Oates  
Tel: +27 83 277 5473

Email: nicky@caeppartners.com

#### **4.4. Access to information general contacts**

Email: info@caeppartners.com

#### **4.5. National or Head Office**

Postal Address: 9 Insala Road, Kloof, 3610

Physical Address: 9 Insala Road, Kloof, 3610

Telephone: +83 277 5473

Email: info@caeppartners.com

Website: www.caeppartners.com

### **5. GUIDE ON HOW TO USE PAIA AND HOW TO OBTAIN ACCESS TO THE GUIDE**

- 5.1. The Regulator has, in terms of section 10(1) of PAIA, as amended, updated and made available the revised Guide on how to use PAIA (“Guide”), in an easily comprehensible form and manner, as may reasonably be required by a person who wishes to exercise any right contemplated in PAIA and POPIA.
- 5.2. The Guide is available in each of the official languages and in braille.
- 5.3. The aforesaid Guide contains the description of -
  - 5.3.1. the objects of PAIA and POPIA;
  - 5.3.2. the postal and street address, phone and fax number and, if available, electronic mail address of -
    - 5.3.2.1. the Information Officer of every public body, and
    - 5.3.2.2. every Deputy Information Officer of every public and private body designated in terms of section 17(1) of PAIA1 and section 56 of POPIA;
  - 5.3.3. the manner and form of a request for -
    - 5.3.3.1. access to a record of a public body contemplated in section 113; and
    - 5.3.3.2. access to a record of a private body contemplated in section 504;
  - 5.3.4. the assistance available from the IO of a public body in terms of PAIA and POPIA;
  - 5.3.5. the assistance available from the Regulator in terms of PAIA and POPIA;
  - 5.3.6. all remedies in law available regarding an act or failure to act in respect of a right or duty conferred or imposed by PAIA and POPIA, including the manner of lodging-
    - 5.3.6.1. an internal appeal;
    - 5.3.6.2. a complaint to the Regulator; and
    - 5.3.6.3. an application with a court against a decision by the information officer of a public body, a decision on internal appeal or a decision by the Regulator or a decision of the head of a private body;
  - 5.3.7. the provisions of sections 145 and 516 requiring a public body and private body, respectively, to compile a manual, and how to obtain access to a manual;
  - 5.3.8. the provisions of sections 157 and 528 providing for the voluntary disclosure of categories of records by a public body and private body, respectively;
  - 5.3.9. the notices issued in terms of sections 229 and 5410 regarding fees to be paid in relation to requests for access; and
  - 5.3.10. the regulations made in terms of section 9211.

- 5.4. Members of the public can inspect or make copies of the Guide from the offices of the public and private bodies, including the office of the Regulator, during normal working hours.
- 5.5. The Guide can also be obtained-
- 5.5.1. upon request to the Information Officer;
- 5.5.2. from the website of the Regulator (<https://www.justice.gov.za/inforeg/>).
- 5.6. A copy of the Guide is also available in the following two official languages, for public inspection during normal office hours-
- 5.6.1. English
- 5.6.2. Afrikaans

## 6. CATEGORIES OF RECORDS

The Group holds the following records, which are available from the Group and may be requested by way of the PAIA request process. Below is the list of records and information that may be formally requested in terms of PAIA.

Category of Records	Types of Records	Available on Website	Available Upon Request
Strategic Documents	Annual Reports, Business Plan	No	Yes
Statutory Company Information	Incorporation Documents, Memorandum of Incorporation, Minute Books and Resolutions, Records of all subsidiary companies, Register of Directors and Officers, Share Registers and other Statutory Registers, Statutory returns to relevant Authorities, Statutory Records, Records relating to the appointment of directors, auditors, company secretary, public officer, and other officers	No	Yes
Human Resources	HR Policies & Procedures, Advertised Posts, Employee Records, Training Records, Attendance Registers, Casual employee records, CCMA records, Code of Conduct, Company tax submissions in respect of employees, Confidentiality Agreements, Disciplinary records and internal performance appraisals and evaluations, Employee personal details Employment Conditions and Policies, Employment Contracts Internal correspondence, Internal records, policies, and procedures, Leave records, Personnel Records provided by personnel, Remuneration and benefits records, Restraint of Trade Agreements, Service records	No	Yes
Suppliers, Service Providers, Third Party Records	Service Level Agreements, Application Forms, Terms and conditions, Transactional Records and supporting documents, including Invoices, Statements and the like, Details of directors, authorised signatories, shareholders and associated documentation	No	Yes
Operational & Regulatory Policies and Procedures	Compliance Framework, Risk Management Framework, Accounting Policy, Advertising Policy, Client related procedures, Business Continuity and Disaster Recovery Plan, Competence Policy, Complaints Framework, Conflict of Interest Management Policy, Debarment and Disciplinary Policy, TCF Policy, FICA RMCP, Financial Recovery and Resolution Plan, Termination of Agreement of Business Policy, Competence Policy, Privacy Policy, Outsourcing Policy, PA Trading Policy, Remuneration Policy, Supervision Policy, IT Policies, Health and Safety Policy, Electronic Signature Policy	No	Yes
Insurance	PI Policy and other details of insurance coverage, limits and insurers, Claims Records, Insurance Policies	No	Yes

Category of Records	Types of Records	Available on Website	Available Upon Request
Investment Research	Due Diligence Records, Analysis, Investment Committee Minutes, Presentations and Minutes of Meetings	No	Yes
Marketing	Fact Sheets, MDDs, Presentations, Brochures, Website Content, Newsletters, Social Media, LinkedIn, Corporate Identity, Infographs	No	Yes
Finance	Management Accounts, Annual Financial Statements, Audit Records, Revenue Statements, Reports and Returns, Asset Inventory, Bank Records, Audit Reports, Lease Agreements, Sale Agreements, Intellectual Property records	No	Yes
Tax Records	Income tax returns and other documentation, PAYE Records, Skills Development Levies records, Stamp Duties records, UIF and Workmen's Compensation, Value Added Tax records	No	Yes
Information Technology	Service Level Agreements, Access Reports, System Back-up Testing, System Event Logs	No	Yes
Events, Functions, Seminars and Conferences	Presentations, Discussion Documents	No	Yes
Registers	Complaints Register, Conflict of Interest Register, Representative Register, Business Register, Training Register, Competence Register, Risk Register,	No	Yes
Reports / Minutes	Submissions to Regulators, Minutes of Meetings	No	Yes
Compliance	Compliance Reports, Compliance Monitoring Results	No	Yes
Clients	Application Forms, Client Agreements, Client records, Proposals, Records of client details and payment, Record of investments and other products purchased, Investment Mandate, Identity Information, Health and Medical Information, Family Information, including family health and medical history, Occupational information and details of hobbies and activities performed outside of work, Education and Qualification information, Tax Information, Bank account details, Employment history, Financial information, Beneficial owners (if a juristic entity), If a juristic client, details of directors, shareholders and their proof of identity and address, Source of Funds and Source of Wealth KYC Information	No	Yes

## 7. RECORDS AVAILABLE WITHOUT A PERSON HAVING TO REQUEST ACCESS

The following records are available on request, and without a person having to request access by completing Form 2. The Group does not have these available on the website, all records must be requested.

Category of Records	Types of Records	Available on Website	Available Upon Request
Policies & Procedures	Complaints Management Policy	No	Yes
Policies & Procedures	Conflict of Interest Management Policy	No	Yes
Policies & Procedures	Privacy Policy	No	Yes
Policies & Procedures	PAIA Manual	No	Yes
Policies & Procedures	PAIA Request for Access to Records	No	Yes
Compliance Documents	Statutory Disclosure Notice (if applicable)	No	Yes
Regulation	FAIS Licence (if applicable)	No	Yes

## 8. RECORDS AVAILABLE IN ACCORDANCE WITH ANY OTHER LEGISLATION

Category of Records	Applicable Legislation
Memorandum of Incorporation	Companies Act 71 of 2008

Company CIPC Documents	Companies Act 71 of 2008
PAIA Manual	Promotion of Access to Information Act 2 of 2000
FAIS Licence (if applicable)	FAIS Act

## 9. APPLICABLE LEGISLATION

- 9.1. Where applicable to the business conducted by the company, it retains records which are required in terms of legislation other than PAIA.
- 9.2. Certain legislation provides that private bodies shall allow certain persons access to specified Records upon request. The legislation may be consulted to establish whether the Requester has a right of access to a Record other than in terms of the procedure set out in PAIA.
- 9.3. The following legislation is included and can be consulted, but is not an exhaustive list:
- 9.3.1. Value Added Tax Act No. 89 of 1991
  - 9.3.2. Unemployment Insurance Act No. 63 of 2001
  - 9.3.3. Unemployment Contributions Act No. 4 of 2002
  - 9.3.4. Tax on Retirement Funds Act No. 38 of 1996
  - 9.3.5. South African Revenue Services Act No. 34 of 1997
  - 9.3.6. Skills Development Act No. 97 of 1998
  - 9.3.7. Skills Development Levies Act No. 9 of 1999
  - 9.3.8. Protection of Personal Information Act No. 4 of 2013
  - 9.3.9. Prevention of Organised Crime Act No. 121 of 1998
  - 9.3.10. Pension Funds Act No. 24 of 1956
  - 9.3.11. Occupational Health and Safety Act No. 85 of 1993
  - 9.3.12. Labour Relations Act No. 66 of 1995
  - 9.3.13. Income Tax Act No. 5 of 1962
  - 9.3.14. Financial Advisory and Intermediary Services Act No. 37 of 2002 (as amended)
  - 9.3.15. Employment Equity Act No. 55 of 1998
  - 9.3.16. Electronic Communications and Transactions Act No. 23 of 2002
  - 9.3.17. Currency and Exchanges Act No. 9 of 1933 (and Exchange Control Regulations)
  - 9.3.18. Consumer Protection Act No. 68 of 2008
  - 9.3.19. Companies Act No. 71 of 2008 (as amended)
  - 9.3.20. Basic Conditions of Employment Act No. 75 of 1997

## 10. PROCESSING OF PERSONAL INFORMATION

### 10.1. Purpose of Processing Personal Information

The Group will process personal information for the following purposes –

- 10.1.1. Employing staff
- 10.1.2. Appointing Directors
- 10.1.3. Maintaining Shareholder Register
- 10.1.4. Appointing Key Individuals and Representatives
- 10.1.5. Providing services to clients
- 10.1.6. Entering into contracts with service providers
- 10.1.7. to pursue business objectives and strategies
- 10.1.8. to comply with a variety of lawful obligations, including without detracting from the generality thereof, to carry out actions for the conclusion and performance of a contract between the company and the data subject.
- 10.1.9. to put in place protective mechanisms to protect the parties' legitimate interests including performance of risk assessments and risk profiles where applicable and necessary.



- 10.1.10. to obtain or provide personal information from a credit bureau or credit provider or credit association, information about certain data subjects credit records, including personal information about any judgement or default history.
- 10.1.11. for the purposes of contacting the data subject and attending to the data subject's enquiries and requests.
- 10.1.12. for the purpose of providing the data subject from time to time with information pertaining to the companies, their offices, employees, services and goods and other ad hoc business-related information.
- 10.1.13. to pursue the parties' legitimate interests, or that of a third party to whom the personal information is supplied.
- 10.1.14. for the purposes of providing, maintaining and improving our products and services and to monitor and analyse various usage and activity trends pertaining thereto.
- 10.1.15. for the purpose of performing internal operations, including management of employees, employee wellness programmes, the performance of all required HR and IR functions, attending to all financial matters including budgeting, planning, invoicing, facilitating and making payments, making deliveries, sending receipts and generally providing commercial support where needed, requested or required.
- 10.1.16. for the purpose of preventing fraud and abuse of the companies' processes, systems, procedures, and operations, including conducting internal and external investigations and disciplinary enquires and hearings.

**10.2. Categories of Data Subjects and the type of information relating thereto**

Categories of Data Subjects	Personal Information that may be processed
Clients – Natural Person	Names, contact details, physical and postal address, date of birth, ID number, tax related information, nationality, gender, confidential correspondence, financial information, medical information, family information including medical history, employment history, qualifications and education, occupation, hobbies and past times outside of work, sports, banking information
Clients – Juristic Person / Entity	Names of contact persons, name of legal entity, physical and postal address and contact details, registered address, financial information, registration number, founding documents, tax related information, authorised signatories, beneficiaries, ultimate beneficial owners, directors, shareholders, trustees, directors, founders, partners, banking information
Website end-users	Names, electronic identification data, IP address, log-in data, cookies, electronic localised data, cell phone details, GPS data, social media, contact details
Key Individuals and Representatives – Natural Persons	Names, contact details, physical and postal address, date of birth, ID number, tax related information, nationality, gender, confidential correspondence, criminal, credit and qualifications checks, financial information, experience and employment history, reference letters, qualifications and education, banking information, fitness & propriety declarations, images, photographs, professional membership, conflicts of interest, criminal behaviour and/or criminal records
Juristic Representatives	Names of contact persons, name of legal entity, physical and postal address and contact details, registered address, financial information, registration number, founding documents, tax related information, authorised signatories, beneficiaries, ultimate beneficial owners, directors, shareholders, trustees, directors, founders, partners, banking information, annual financial statements, management accounts, liquidity declarations, fitness & propriety declarations, professional membership, conflicts of interest, criminal behaviour and/or criminal records, website content, marketing material
Service Providers / Suppliers	Names, registration number, VAT number, address, trade secrets, banking details, name of directors and shareholders, contact details, authorised signatories, B-BBEE status, affiliates entities, business strategies, financial information, founding documents, tax related information, banking information

Employees / Contractors / Directors / Potential Employees / Shareholders / Volunteers / Employees' family members	Name of legal entity and contact details, Names of contact persons and their contact details, physical and postal address, identity numbers, date of birth, qualifications, nationality, gender, race, language, education information, financial information, employment history, contact numbers, private email address and physical and postal address, next of kin and their contact details, criminal and credit checks, tax numbers and related tax information, salary details, medical aid and medical information, physical or mental health, disability, biometric information of the person, professional affiliation and references, confidential correspondence, banking information, qualification checks, references, pregnancy, marital status, children's names, children's gender, children's age, school, grades, opinions, criminal behavior and criminal records, external commercial interests, images, photographs, conflicts of interest, demographics, health records, social media content
Persons who interact with us physically or enter offices or premises	Names, telephone numbers, email addresses, correspondence and any personal information provided by them, for example ID Number, Drivers licence, Car licence

### 10.3. The recipients or categories of recipients to whom the personal information may be supplied

- 10.3.1. Management
- 10.3.2. Directors
- 10.3.3. Employees and temporary employees, job applicants, agents, bursary applicants, learnerships
- 10.3.4. Group entities
- 10.3.5. Business partners
- 10.3.6. Advertisers
- 10.3.7. Customers and Clients
- 10.3.8. Medical service providers, insurance companies, pension and provident funds, wellness or health providers, banks, investment platforms
- 10.3.9. Contractors, vendors, suppliers, service providers, operators
- 10.3.10. Third party service providers
- 10.3.11. Cyber third party service providers
- 10.3.12. Users
- 10.3.13. Third parties with whom the company conducts business.
- 10.3.14. Statutory oversight bodies, regulators or judicial commissions of enquire making a request for personal information, enforcement agencies, public bodies who we engage with to discharge legal and public duties and obligations, including SARS, National Treasury, Department of Labour, FSCA, FIC
- 10.3.15. Anyone making a successful request for access in terms of PAIA or POPI.
- 10.3.16. Courts, administrative or judicial forum, arbitration, statutory commission, or ombudsman making a request for personal information or discovery in terms of applicable rules.
- 10.3.17. Subject to the provisions of POPIA and other relevant legislation, the company may share information about a client's creditworthiness with any credit bureau or credit providers industry association or other association for an industry in which the company operates.
- 10.3.18. South African Policy Services and MIE for criminal check, credit and qualification checks on condition that the data subject has signed Consent.
- 10.3.19. Financial Sector Conduct Authority
- 10.3.20. Financial Intelligence Centre
- 10.3.21. Compliance Officer
- 10.3.22. SAQA
- 10.3.23. South African Revenue Services
- 10.3.24. South African Police Services
- 10.3.25. Accountant / Auditor

### 10.4. Planned transborder flows of personal information

- 10.4.1. All information of the business is stored on SharePoint.

## **10.5. Information Security Measures**

- 10.5.1. The Group has dual factor authentication to access laptops, SharePoint, DocFox and QuicklySign to ensure confidentiality, integrity and availability of the information.
- 10.5.2. The Group has implemented anti-virus and anti-malware software on all computers.

## **11. AVAILABILITY OF THE MANUAL**

- 11.1. A copy of the Manual is available to any person upon request and upon the payment of a reasonable prescribed fee; and
- 11.2. To the Information Regulator upon request.
- 11.3. A fee for a copy of the Manual, as contemplated in Annexure B of the Regulations, be payable per each A4-size photocopy made.

## **12. UPDATING OF THE MANUAL**

- 12.1. The Head of the Group will on a regular basis update this manual.

## **13. Issued by**



---

**Stephen Robert Pratt**  
**Managing Director**

**FORM 1 - REQUEST FOR A COPY OF THE GUIDE (Regulation 3)**

**To: The Information Officer**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**I, the undersigned -**

Full names:			
In my capacity as (mark with "X")	<input type="checkbox"/>	Information Officer	<input type="checkbox"/>
			Other
Name of *public/private body (if applicable)			
Postal address:			
Physical address:			
Email Address:			
Telephone No. (business)			
Telephone No. (mobile)			

**Hereby request the following copy(ies) of the Guide:**

Language (mark with "X")	No. of copies	Language (mark with "X")	No. of copies
<input type="checkbox"/> Sepedi		<input type="checkbox"/> Sesotho	
<input type="checkbox"/> Setswana		<input type="checkbox"/> siSwati	
<input type="checkbox"/> Tshivenda		<input type="checkbox"/> Xitsonga	
<input type="checkbox"/> Afrikaans		<input type="checkbox"/> English	
<input type="checkbox"/> isiNdebele		<input type="checkbox"/> isiXhosa	
<input type="checkbox"/> isiZulu			

Signed at \_\_\_\_\_ on this \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_.

\_\_\_\_\_  
**Signature of Requester**

## FORM 2 - REQUEST FOR ACCESS TO RECORD (Regulation 7)

**NOTE:**

Proof of identity must be attached by the requester.

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

**To:                    The Information Officer**

\_\_\_\_\_

Email:

\_\_\_\_\_

Mark with an "X"

Request is made in my own name

Request is made on behalf of another person

<b>Personal Information</b>	
Full Names	
Identity Number	
Capacity in which request is made (when made on behalf of another person)	
Postal Address	
Physical Address	
Email Address	
Business Tel. No.	
Cellular Tel. No.	
Full names of person on whose behalf the request is made (if applicable)	
Identity Number	
Postal Address	
Email Address	
Business Tel. No.	
Cellular Tel. No.	
<b>Particulars of Record Requested</b>	
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.	
Description of record or relevant part of the record	
Reference No. if available	

Any further particulars of the record	
<b>Type of Record</b>	
Mark the applicable with an "X"	
Record is in written or printed form	
Record comprises virtual images (this includes photographs, slides, video recordings, computer-generated images, sketches, etc.)	
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	
<b>Form of Access</b>	
Mark the applicable 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	
<b>Manner of Access</b>	
Mark the applicable 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 physical address	
Courier service to physical address	
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)	

<b>Particulars of the Right to be Exercised or Protected</b>	
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.	
Indicate which right is to be exercised or protected.	
Explain why the record is required for the exercise or protection of the aforementioned right.	

**Fees**

A request fee must be paid before the request is considered.  
 You will be notified of the amount of the access fee to be paid.

(a) 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.

If you qualify for exemption of the payment of any fee, please state the reason for the exemption.

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 the preferred manner of correspondence.

<b>Postal Address</b>	<b>Electronic Communication (please specify)</b>

Signed at \_\_\_\_\_ on this \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_\_.

\_\_\_\_\_  
**Signature of Requester / Person on  
 whose behalf request is made**

**FOR OFFICIAL USE**

Reference No.	
Request received by (state rank, name and surname of Information Officer)	
Date received	
Access Fees	
Deposit (if any)	

\_\_\_\_\_  
**Signature of Information Officer**

### FORM 3 - OUTCOME OF REQUEST AND OF FEES PAYABLE (Regulation 8)

NOTE:

- (a) 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.
- (b) Please use the reference number hereunder in all future correspondence.

Reference No. \_\_\_\_\_

To: **The Information Officer**

\_\_\_\_\_

\_\_\_\_\_

Email:

\_\_\_\_\_

\_\_\_\_\_

Your request date \_\_\_\_\_ refers.

**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**

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

**To be submitted:**

Postal services to postal address	
Postal services to physical address	
Courier service to physical address	
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)	

Kindly note that your request has been:

<input type="checkbox"/>	Approved
<input type="checkbox"/>	Denied



If denied, the reasons for this:

--

**1. 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: (a) Flash drive – to be provided by requester.	R40.00		
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		
For and audio record: (a) Flash drive – to be provided by requester.	R40.00		
Postage, email, or any other electronic transfer	Actual Cost		

**2. Deposit payable (if search exceeds six hours):**

Yes

No

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

The amount must be paid to the following Bank Account:

Name of Bank: \_\_\_\_\_  
 Name of account holder: \_\_\_\_\_  
 Type of Account: \_\_\_\_\_  
 Account Number: \_\_\_\_\_  
 Branch Code: \_\_\_\_\_  
 Reference No.: \_\_\_\_\_  
 Submit proof of payment to: \_\_\_\_\_

Signed at \_\_\_\_\_ on this \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_.

\_\_\_\_\_  
**Signature of Information Officer**

## **ANNEXURE A - OWNERSHIP, APPROVAL AND REVISION HISTORY**

### **POLICY OWNER**

This PAIA Manual is owned by the Head of the Group who maintains the document through consultation with and assistance of the Compliance and Finance team.

### **POLICY APPROVAL**

This policy document has been approved by the Board of Directors.

### **POLICY REVISION**

Detailed below is a list of policy revisions and the changes, amendments and additions made to the Policy with each new revision.

Date	Version	Changes
15 Jan 2024	v1.0	Creating of PAIA Manual for CAEP Group