

A Guide to
ACCESSING OUR INFORMATION

**Manual in terms of Section 51 of the
Promotion of Access to Information Act (PAIA) and
The Protection of Personal Information Act (PoPIA)
for the following entities:**

Deutsche Bank AG Johannesburg Branch

August 2022

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Preamble

The Promotion of Access to Information Act No. 2 of 2000, (“PAIA”) came into operation on 23 November 2001. Section 51 of this Act requires that we, as a private body, compile a manual giving information to the public regarding the procedure to be followed in requesting information from our Companies for the purpose of exercising or protecting rights.

The Protection of Personal Information Act No.4 of 2013 (“PoPIA”) was assented by the President of the Republic on 26 November 2013 and became effective 1 July 2020. It seeks to promote the protection of personal information processed by public and private bodies by introducing conditions for the processing of personal information and providing for mechanisms to regulate the flow of information.

The two pieces of legislation have as their objectives the furtherance of Section 14 and 32 of the Constitution of the Republic which provides for the right to privacy and the right to access to information held by another in order to protect one for all of the citizens of the country.

Overview

Deutsche Bank AG Johannesburg Branch (“DBJ”) is registered as a branch of Deutsche Bank AG (incorporated in Germany) under the Banks Act, 1990, and is registered as an authorised dealer in foreign exchange by the South African Reserve Bank. This entity is also registered as a member of the Interest Rate Market of the JSE Limited (formerly the Bond Exchange of South Africa) and is a Primary Dealer in Government Bonds authorised by the National Treasury. The branch also offers Foreign Exchange services as well as cash management solutions for institutional clients. The branch, as part of its business model, partakes or originates debt structuring programmes for various corporate entities. The branch also acts as an intermediary for various mergers and acquisitions for South African entities.

This Deutsche Bank AG Johannesburg is authorised financial services provider by the Financial Sector Conduct Authority (FSP No16698). DBJ is also an accountable institution in terms Financial Intelligence Centre Act of 2017 (FICA). DBJ also assumes the role of a Responsible Party in compliance with the Protection of Personal Information Act.

The internal governance of the branch is entrusted to the branch managers who exercise authority on behalf of the management board in Frankfurt

In this manual, you will be able to view the categories of information that we possess and process. You will also be shown the correct procedure to follow should you require access to any of this information.

Section A – Contact details

All requests for information in terms of the PAIA and PoPIA should be addressed to:

The Information Officer and Head: Compliance	2 nd Floor North Towers
Deutsche Bank AG Johannesburg Branch	140 West Street
Private Bag X9933	Sandton
Sandton	2196
2146	

Telephone: (011) 775 7000

Johan Gibhard: Information Officer and Head of Compliance

johan.gibhard@db.com

Mfundo Mathunjwa- Deputy Information Officer

Mfundo.mathunjwa@db.com

Saloshni Pillay: Chief Executive Officer

saloshni.pillay@db.com

Section B – PAIA and The Information Regulator guide

PAIA provides a mechanism for a requester access to records of a private or public body if such 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.

Requests for access to information should be handled in terms of this manual. The manual is set up in terms of the provisions of PAIA and is consistent with minimum prescribed procedures and rates provided. The forms and tariffs are dealt with in the annexures to this manual.

The Information Regulator has published a guide on the use of PAIA for requesters (*Notice 1504 of 16 November 2021- PAIA Guide on how to use the PAIA Act*). The guide is available on the Information Regulators website.

The contact details of the Regulator are:

Physical Address	JD House, 27 Stiemens Street, Braamfontein, Johannesburg, 2001
Postal Address:	P.O Box 31533, Braamfontein, Johannesburg, 2017
Email Address:	enquiries@inforegulator.org.za
Telephone Number:	+27-10-023 5200
Website:	https://inforegulator.org.za/

The Guide contains the following information:

1. The objects of the Act;
2. The role of the Information Regulator
3. How to make a request of record
4. Particulars of the information officer of every public body;
5. The manner and form of a request for access to information held by a body;
6. Assistance available from both the information officers and the Information Regulator in terms of this Act;
7. All remedies in law regarding acts, omissions, rights and duties, including how to lodge an internal appeal and a court application;
8. Schedules of fees to be paid in relation to requests for access to information;
9. Regulations made in terms of the Act.

The Information Regulator is the delegated legislative body that oversees implementation of both POPIA and PAIA. The Information Regulator reports directly to Parliament.

Purpose of PAIA Manual

The PAIA Manual is the practical tool enacting the right to access information. To the public the manual serves to:

- Provide the public an indication of information held and processed by DBJ as well as purpose for which information is processed.
- The manual also briefly provides how DBJ information is handled.
- It also provides for which information an application for access can be made.
- Provide the public with a sufficient understanding of the process for request and the available resource in this regard.
- Provide the public with the relevant contact details of the Information Officer and the Deputy Information Officer so that they have access to DBJ's first point of call as it relates to accessing the information held by DBJ.

The manual also serves to demonstrate DBJ's commitment to transparency and accountability to all its stakeholders and members of the public.

The manual is reviewed on an annual basis and is subject to change, the most up to date copy can be found on the Branch's website- [Promotion of Access to Information Act \(PAIA\) & The Protection of Personal Information Act \(PoPIA\) Manual](#)

Please note the PAIA manual should be read in conjunction with the DBJ's [Privacy Policy](#).

The manual and the privacy policy are also attached to all external email communication. Alternatively, a copy of the manual may be requested from the Information Officer or Deputy Information Officer.

Information available in terms of the two Acts

POPIA defines personal information as any information relating to an identifiable, living, natural person and where it is applicable and identifiable, existing juristic person including but not limited to:

- Information relating to the race, gender, sex, pregnancy, marital status, national, ethnic or social origin, colour, sexual orientation, age, physical or mental health, well-being, disability, religion, conscience, belief, culture, language and birth of the person
- Information relating to the education of the medical, financial, criminal or employment history of the person
- Any identifying number, symbol, email address, physical address, telephone number, location information, online identifier or other particular assignments of the person
- The biometric information of the person
- The personal opinions, views or preferences of the person
- Correspondence sent by the person that is implicitly or explicitly of a private or confidential nature or further correspondence that would reveal the contents of the original correspondence
- The views or opinions of another individual about the person
- The name of the person if it appears with other per

PAIA promotes the right for access to any information held by another for the exercise or protection of any rights and its enactment was specifically for the purpose of giving access to information.

Categories of information collected by DBJ

DBJ has a Privacy Policy in place which describes how we collect, use, disclose and protect personal information. Personal information means information about a living natural person and a juristic person (each a "person") to which privacy and data protection legislation in

South Africa applies and as may be more particularly defined or limited by such legislation. This policy can also be found on the company website- [Privacy Policy](#)

The various types of data subjects are described below. Please note that a requestor is not automatically allowed access to these records and that access to them may be refused in accordance with Sections 62 to 69 of PAIA.

Various functions within DBJ will collect and process personal information to fulfil various purposes – this provides an overview of types all records maintained and the kind of data subjects it obtained from. Please note that the information stated below does not represent a finite list of information collected or processed. Records relating to the following data-subjects are held:

- Personnel records
- Client related records
- Private Body records
- Other-party records

1.1 Personnel records

- (i) Personal records provided by personnel
- (ii) Records provided by a third party relating to personnel
- (iii) Conditions of employment and other personnel-related contractual and quasi-legal records
- (iv) Internal evaluation records
- (v) Other internal records and correspondence

“Personnel” refers to any person who works for or provides services to or on behalf of the Companies, and who receives or is entitled to receive remuneration and any other person who assists in carrying out or conducting the business of the institution. This includes, without limitation, directors, all permanent, temporary and part-time staff, as well as contract workers.

1.2 Client-related records

- (i) Records provided by a client to the Companies
- (ii) Records provided by a client to a third party acting for or on behalf of the Companies
- (iii) Records provided by a third party to the Companies
- (iv) Records generated by or within the Companies relating to its clients, including transactional records

A “Client” refers to any natural or juristic entity that receives services from the Companies.

1.3 Private body records

- (i) Financial records
- (ii) Operational records
- (iii) Databases
- (iv) Information technology
- (v) Marketing records
- (vi) Internal correspondence
- (vii) Product records
- (viii) Statutory records
- (ix) Internal policies, procedures and manuals
- (x) Treasury related records
- (xi) Securities and Equities; and
- (xii) Records held by officials of the Companies

These records include but are not limited to, the records that pertain to the Companies' own affairs.

1.4 Other party records

- (i) Personnel, client or private body records which are held by another part, as opposed to the records held by the Companies
- (ii) Records held by the Companies pertaining to other parties, including without limitation, financial records, correspondence, contractual records, records provided by the other party, and records third parties have provided about the contractors/suppliers.

The Companies may possess records pertaining to other parties, including without limitation, contractors, suppliers, subsidiary/holding companies, joint venture companies, and service providers. Alternatively, such other parties may possess records that can be said to belong to the Companies.

Further Processing

DBJ is part of a wider group and therefore information may flow through, affiliates/associates of the group- this information will be processed for the same purpose for which the information was first processed. Should the intended purpose shift with processing- in consultation with the Information Officer the transferring functionary must seek various information privacy assurances as well as consent (if not given by data subject at the onset of processing) for further processing.

Purpose of processing information

POPIA allows DBJ to process and retain information if:

- Data Subject consents to such processing.
- Processing is a function of fulfilling contractual performance.
- Processing is required by law.
- Processing is aimed at protecting a legitimate interest of DBJ or an interest of a data subject.

DBJ, in its capacity as a responsible party, receives and processes personal information on a regular basis. DBJ ensures that all information processed is processed for objectives compatible with the abovementioned purposes. The processing of such information forms an integral part of the business activities of the companies and is required in order to be able to render the financial services we render to our clients.

Conditions for processing Personal Information

- (i) Accountability – DBJ, as a responsible party, must ensure that all the measures that give effect to all such conditions are complied with at the time of the determination of the purposes and means of the processing and during the processing of information. Information is processed through various functions within DBJ, each function takes accountability for the protection and privacy of information within a particular function- the controls built into each function are consistent with DBJ data privacy and protection regime. We must ensure that we are accountable and be able to demonstrate such accountability in respect of the information that is collected, processed and at times availed for access in terms of the Promotion of Access to Information Act (PAIA).
- (ii) Processing limitation – All information held within DBJ must be held and processed lawfully. The information may only be processed for the purpose for which it is collected, thus – its processing may never be excessive and must always be adequate and relevant.
- (iii) Purpose specific – Information must be collected for a specific, explicitly stated and lawful purpose related to the function/activity of DBJ as a responsible party.
- (iv) Further processing limitation – In instances where DBJ is required to use the information collected from data subjects for a purpose over and above what it was collected for, we will ensure that the purpose for which the information is used for is similar to the purpose for which it was originally collected.
- (v) Information quality – DBJ is required to ensure that collected information is complete, accurate, not misleading and updated where necessary. Taking cognisance of this fact, due consideration must be given to the purpose for which the information was collected or further processed.
- (vi) Openness – All of the information collected and processed by DBJ is controlled under the S14 or 51 of the PAIA Act.

- (vii) Security safeguards – The integrity and confidentiality of personal information collected and maintained by DBJ by taking appropriately reasonable, technical and organisational measures to prevent loss, damage or unauthorised destruction of information and unlawful access to or processing of personal information.
- (viii) Data subject's participation – DBJ must always take cognisance of the fact that once a data subject has provided adequate proof of identity, he/she has the right to request this entity to confirm, free of charge, whether or not we hold the personal information of that data subject.

Planned transborder flows of information

If a data subject visits the DBJ's websites from a country other than the country in which the DBJ's servers are located (currently the United Kingdom), the various communications will necessarily result in the transfer of information across international boundaries.

The DBJ may need to transfer a data subject's information to other group companies or service providers in countries outside South Africa, in which case the DBJ will fully comply with applicable data protection legislation. This may happen if the DBJ's servers or suppliers and service providers are based outside South Africa, or if the DBJ's services are hosted in systems or servers outside South Africa and/or if a data subject uses the DBJ's services and products while visiting countries outside this area. These countries may not have data protection laws which are similar to those of South Africa however DBJ ensures that the principles of information protection are observed.

Procedure for requesting access to the above information (PAIA) and (PoPIA)

If you wish to request access, correct, object to any of the above categories of information, you are required to complete the applicable request form as set out from Annexure C and D hereto. The completed request form must be sent to the address, email or fax number provided in Section A of this manual and marked for the attention of the Compliance Department.

These forms are also available from:

- our appointed Information Officer and Compliance Department (whose contact details are in section A of this manual);
- the Information Regulators website (inforegulator.org.za/)
- the Department of Justice and Constitutional Development website (www.doj.gov.za).

There is a prescribed fee (payable in advance) for requesting and accessing information in terms of the Act. Details of these fees are contained in the request form. Note that in terms of Section 54.5 of the Act, records may be withheld until the requester concerned has paid the applicable fees.

You may also be called upon to pay the additional fees prescribed by regulation for searching for and compiling the information which you have requested, including copying charges.

It is important to note that access is not automatic – you must identify the right you are seeking to exercise or protect and explain why the record you request is required for the exercise or protection of that right. A request for information will be received and considered in a context having weight up all interests involved by the Information Officer. You will be notified in the manner indicated by you on the request form whether your request has been approved.

Also, note that a request for access to information may be refused on the grounds set out in the Act. Mandatory grounds for refusal include, but are not limited to:

- Information for the protection of the privacy of individuals
- Information for the protection of commercial information and confidential information of third parties
- Information privileged from production in legal proceedings
- Commercial information of the Companies

Where an applicant is of the belief a request has been unjustifiably refused, the aggrieved party may seek to appeal the decision internal by completing and submitting the Internal Appeal form (Form 4 in Annexure C) to the Information Officer detailing why he/she is of the belief that the decision is incorrect or bring to light a factor not considered. The Information Officer may reconsider the decision on based on such representation and arrive at a final conclusion. If still unsuccessful such an applicant may lodge a complaint with the Information Regulator.

It is important to note that all of DBJ's engagement with third parties is guided by the principles of TCF as set out by the Financial Services Conduct Authority given expression in the branches Treating Customer Fairly Policy. Should any customer be of the view that they have been unfairly treated by the branch/branch functionary, they also have recourse in terms of the Branches Complaints Policy. In terms of complaints specific to the branches handling of an Information request further recourse is provided in terms of the Information Regulators complaints mechanism- see form 5 in Annexure C.

Records available in terms of any other legislation

Where applicable to our operations, all records kept in terms of the following legislation applies to any of the entities listed in this Manual are available in accordance with the said legislation.

- Administration of Estates Act No.66 of 1965
- Banks Act No. 94 of 1990
- Basic Conditions of Employment Act No. 75 of 1997

- e Investment Schemes Control Act No. 45 of 2002
- Companies Act No. 71 of 2008
- Competition Act No. 89 of 1998
- Compensation for Occupational Injuries and Diseases Act No. 130 of 1993
- Customs and Excise Act No 91 of 1964
- Employment Equity Act No. 55 of 1998
- Financial Advisory and Intermediary Services Act No. 37 of 2002
- Financial Intelligence Centre Act No. 38 of 2001
- Income Tax Act No. 58 of 1962
- Insolvency Act No.24 of 1936
- Inspection of Financial Institutions Act No.18 of 1998
- Labour Relations Act No. 66 of 1995
- Occupational Health and Safety Act No. 85 of 1993
- Pension Funds Act 24 of 1956
- Prevention of Organised Crime Act No. 121 of 1998
- Securities Services Act No. 36 of 2004
- Skills Development Levies Act No.9 of 1999
- Stamp Duties Act No. 77 of 1968
- Unemployment Insurance Act No. 63 of 2001
- Securities Transfer Tax Act No.25 of 2007
- Unit Trusts Control Act No. 54 of 1981
- Usury Act No. 73 of 1968
- Value-added Tax Act No. 89 of 1991

Information handling and safekeeping controls

Each function in DBJ will engage with information at different levels for varying purposes- this is detailed in the internal functionary policies of DBJ – these address where information is kept and the protective controls applicable to this information in the form in which they are processed by the various functions. These frameworks are consistent with and are governed by the Group Data Privacy and Protection Policy as well as the local Data Protection Procedure which deals with the practical measures and controls in place to ensure information integrity and safekeeping.

Deutsche Bank has an approved master retention schedule which takes into account the minimum regulatory record retention prescripts- the Master Retention Schedule provides how long information must stay within the scope of data protection regime.

Categories of records are automatically available

A private body may, on a voluntary basis and periodic basis, submit to the Minister a description of categories of records that are automatically available without a person having to request access in terms of this Act. The Minister must publish such a description in the Gazette. The Companies have not submitted any such description to the Minister for publication.

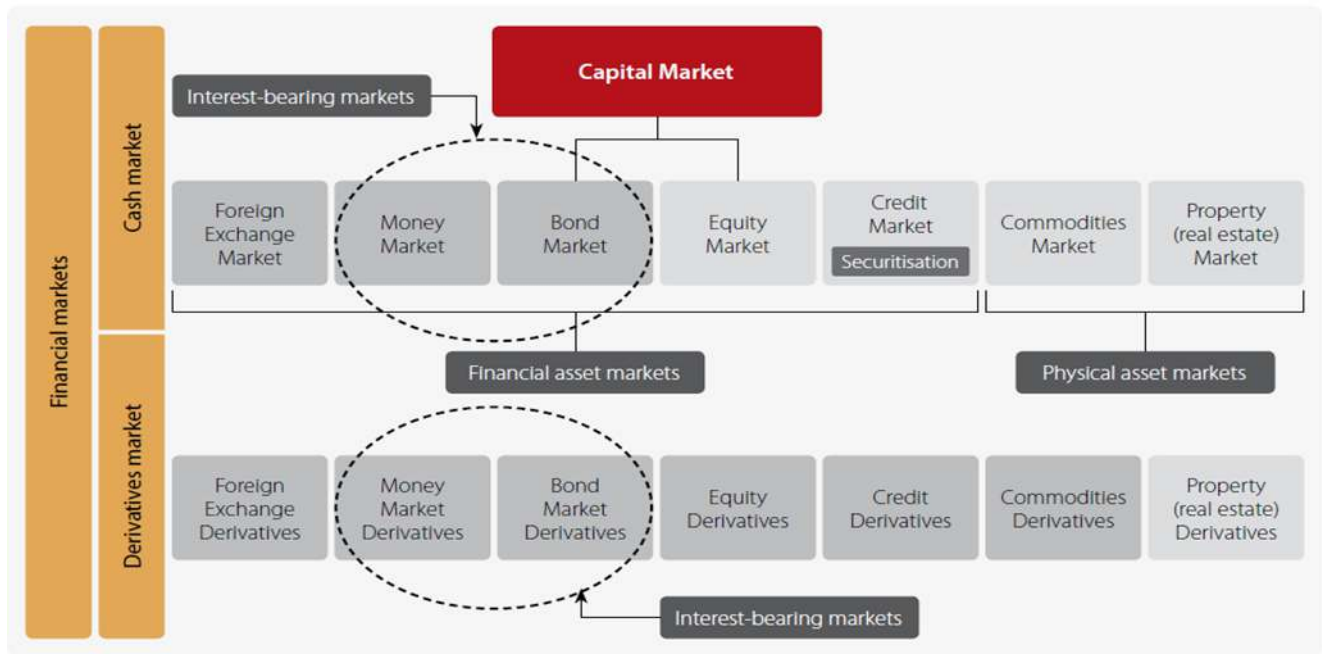
Glossary

Term	Definition
DBJ	Deutsche Bank AG Johannesburg, the South Africa presence of the multinational Investment Bank
Client	Any natural (i.e. an individual) or juristic (e.g. a company, fund, or other legally recognised entity) person that receives services from DBJ
consent	means any voluntary, specific and informed expression of will in terms of which permission is given for the processing of personal information.
direct marketing	means to approach a data subject, either in person or by mail or electronic communication, for the direct or indirect purpose of— (a) promoting or offering to supply, in the ordinary course of business, any goods or services to the data subject; or (b) requesting the data subject to make a donation of any kind for any reason.
electronic communication	means any text, voice, sound or image message sent over an electronic communications network which is stored in the network or in the recipient's terminal equipment until it is collected by the recipient;
information officer	The designated Information Officer/s or head of the body, as described in this manual, responsible for discharging the duties and responsibilities assigned to the Information Officer as prescribed in terms of PAIA and POPIA.
person	means a natural person or a juristic person
personal information	means information relating to an identifiable, living, natural person, and where it is applicable, an identifiable, existing juristic person, including, but not limited to— (a) information relating to the race, gender, sex, pregnancy, marital status, national, ethnic or social origin, colour, sexual orientation, age, physical or mental health, well-being, disability, religion, conscience, belief, culture, language and birth of the person; (b) information relating to the education or the medical, financial, criminal or employment history of the person; (c) any identifying number, symbol, e-mail address, physical address, telephone number, location information, online identifier or other particular assignment to the person; (d) the biometric information of the person; (e) the personal opinions, views or preferences of the person; (f) correspondence sent by the person that is implicitly or explicitly of a private

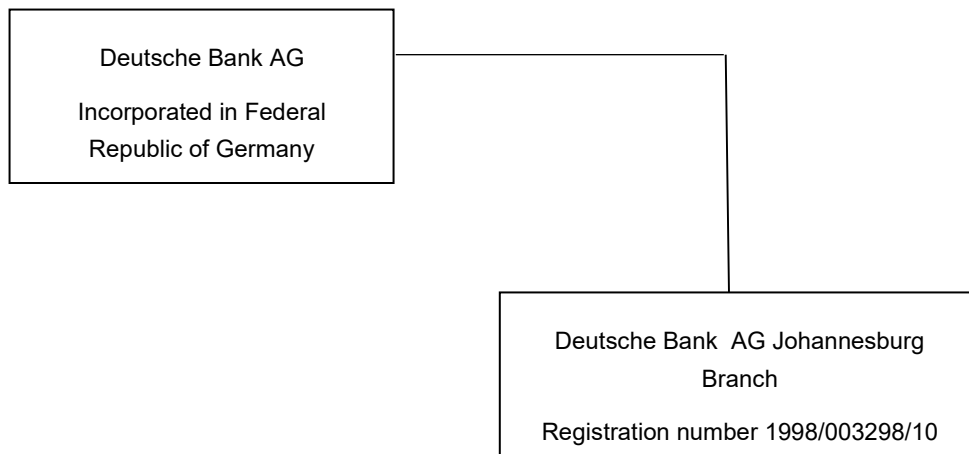
Term	Definition
	<p>or confidential nature or further correspondence that would reveal the contents of the original correspondence;</p> <p>(g) the views or opinions of another individual about the person; and</p> <p>(h) the name of the person if it appears with other personal information relating to the person or if the disclosure of the name itself would reveal information about the person.</p>
PAIA	means Act No. 2 of 2000: Promotion of the Access of Information Act, 2000
POPIA	means Act No. 4 of 2013: Protection of Personal Information Act, 2013
processing	<p>means any operation or activity or any set of operations, whether or not by automatic means, concerning personal information, including—</p> <p>(a) the collection, receipt, recording, organisation, collation, storage, updating or modification, retrieval, alteration, consultation or use;</p> <p>(b) dissemination by means of transmission, distribution or making available in any other form; or</p> <p>(c) merging, linking, as well as restriction, degradation, erasure or destruction of Information.</p>
public record	<p>means a record that is accessible in the public domain and which is in the possession of or under the control of a public body, whether or not it was created by that public body.</p>
record	<p>means any recorded information—</p> <p>(a) regardless of form or medium, including any of the following:</p> <p>(i) Writing on any material;</p> <p>(ii) information produced, recorded or stored by means of any tape-recorder, computer equipment, whether hardware or software or both, or other device, and any material subsequently derived from information so produced, recorded or stored;</p> <p>(iii) label, marking or other writing that identifies or describes anything of which it forms part, or to which it is attached by any means;</p> <p>(iv) book, map, plan, graph or drawing;</p> <p>v) photograph, film, negative, tape or other device in which one or more visual images are embodied so as to be capable, with or without the aid</p>

Term	Definition
	<p>of some other equipment, of being reproduced;</p> <p>(b) in the possession or under the control of a responsible party;</p> <p>(c) whether or not it was created by a responsible party; and</p> <p>(d) regardless of when it came into existence.</p>
Requester	Any person or entity making a request for access to a record that is under the control Of DBJ
Regulator	means the Information Regulator established in terms of section 39;
SAHRC	South African Human Rights Commission

ANNEXURE A: Product Offering and Senior Management structure of Branch



DEUTSCHE BANK AG JOHANNESBURG BRANCH ORGANOGRAM



ANNEXURE B: Fees schedule

AN EXPLANATORY NOTE ON FEES TO BE CHARGED BY A PRIVATE BODY WHEN GRANTING A REQUEST FOR ACCESS TO INFORMATION IN TERMS OF THE PROMOTION OF ACCESS TO INFORMATION ACT, 2000.

The fees chargeable by private bodies are contained in Part III of Annexure "A" of the Regulations. A copy of Part III is attached for your convenience. The present charges are as follows:

1. Copies of a manual

Should an individual require a copy of the private body's manual, a fee of R1,10 is chargeable for every photocopy of an A4 page or part thereof.

2. Reproduction fees¹

Reproduction fees apply to obtaining copies or transcriptions of information which is automatically available from the private body. The fees are listed in paragraph 2 of Part III of Annexure "A" to the Regulations.

3. Access fees²

Access fees are chargeable for copies or transcriptions of information requested under this Act. The fees are listed in paragraph 4 of Part III of Annexure "A" to the Regulations.

4. Other fees

4.1 A **request fee**³ of R50,00 is payable by a requester who is seeking access to a record containing information which is not personal to the requester. See paragraph 6 of Part 1 of this Work.

4.2 A **search fee**⁴ may be charged at a rate of R30,00 per hour or part thereof for searching and preparing the record for disclosure provided such time was reasonably required for that purpose.

4.3 If the request is not limited to records containing information which is personal to the requester and if the head of the private body is of the opinion that the time taken to give effect to the request will exceed six hours the requester can be called upon to pay a **deposit** of not more than one third of an estimate of the access fee which will become payable.⁵

4.4 If a copy of a record is posted to a requester, the requester is obliged to pay the actual **postage** payable.

1 Section 52(3) and Regulation 1(1).

2 Section 54(7) and Regulation 11(3).

3 Section 54(1) and Regulation 11(2).

4 Annexure "A", Part III, Item 4(1)(f).

5 Section 54(2).

PART III
FEES IN RESPECT OF PRIVATE BODIES

1. The fee for a copy of the manual as contemplated in regulation 9 (2) (c) is R1,10 for every photocopy of an A4-size page or part thereof.

2. The fees for reproduction referred to in regulation 11 (1) are as follows:

	R
(a) For every photocopy of an A4-size page or part thereof.....	1,10
(b) For every printed copy of an A4-size page or part thereof held on a computer or in electronic or machine-readable form.....	0,75
(c) For a copy in a computer-readable form on—	
(i) stiffy disc	7,50
(ii) compact disc	70,00
(d) (i) For a transcription of visual images, for an A4-size page or part thereof.....	40,00
(ii) For a copy of visual images	60,00
(e) (i) For a transcription of an audio record, for an A4-size page or part thereof	20,00
(ii) For a copy of an audio record.....	30,00

3. The request fee payable by a requester, other than a personal requester, referred to in regulation 11 (2) is R50,00.

4. The access fees payable by a requester referred to in regulation 11 (3) are as follows:

	R
(1) (a) For every photocopy of an A4-size page or part thereof	1,10
(b) For every printed copy of an A4-size page or part thereof held on a computer or in electronic or machine-readable form.....	0,75
(c) For a copy in a computer-readable form on—	
(i) stiffy disc	7,50
(ii) compact disc	70,00
(d) (i) For a transcription of visual images, for an A4-size page or part thereof	40,00
(ii) For a copy of visual images	60,00
(e) (i) For a transcription of an audio record, for an A4-size page or part thereof	20,00
(ii) For a copy of an audio record.....	30,00

(f) To search for and prepare the record for disclosure, R30,00 for each hour or part of an hour reasonably required for such search and preparation.

(2) For purposes of section 54 (2) of the Act, the following applies:

(a) Six hours as the hours to be exceeded before a deposit is payable; and

(b) one third of the access fee is payable as a deposit by the requester.

(3) The actual postage is payable when a copy of a record must be posted to a requester.

ANNEXURE C: PAIA Access related forms

**FORM
1
REQUEST FOR A COPY OF THE
GUIDE**

[Regulations
3]

TO: The Information Officer

I,

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

Hereby request (number of copies)_____copy/copies of the DBJ Guides:

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

Personal	Postal address	Facsimile	Electronic communication

Signed at _____ this _____ day of _____ 20 _____

Signature of requester

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

MANNER OF ACCESS <i>(Mark the applicable box with an "X")</i>	
Personal inspection of record at registered address of public/private body <i>(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)</i>	
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>	

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	
<p>a) <i>A request fee must be paid before the request will be considered.</i></p> <p>b) <i>You will be notified of the amount of the access fee to be paid.</i></p> <p>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></p>	
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

FORM 4

INTERNAL APPEAL FORM

[Regulation 9]

Reference Number:

PARTICULARS OF PUBLIC BODY				
Name of Public Body				
Name and Surname of Information				
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 <i>(If lodged by a third party)</i>				
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	<input type="checkbox"/>
Decision regarding fees prescribed in terms of section 22 of the Act	<input type="checkbox"/>
Decision regarding the extension of the period within which the request must be dealt with in terms of section 26(1) of the Act	<input type="checkbox"/>
Decision in terms of section 29(3) of the Act to refuse access in the form requested by the requester	<input type="checkbox"/>
Decision to grant request for access	<input type="checkbox"/>
 GROUNDS FOR APPEAL <i>(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)</i>	
State the grounds on which the internal appeal is based:	
State any other information that may be relevant in considering the appeal:	

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 <i>(if not confirmed)</i>
	No		
Fees (Sec 22). Confirmed?	Yes		New decision <i>(if not confirmed)</i>
	No		
Extension (Sec 26(1)). Confirmed?	Yes		New decision <i>(if not confirmed)</i>
	No		
Access (Sec 29(3)). Confirmed?	Yes		New decision <i>(if not confirmed)</i>
	No		
Request for access granted. Confirmed?	Yes		New decision <i>(if not confirmed)</i>
	No		

Signed at _____ this _____ day of _____ 20 _____

Relevant Authority



INFORMATION REGULATOR (SOUTH AFRICA)

*Ensuring protection of your personal information
and effective access to information*

Address: JD House, 27 Stiemens Street
Braamfontein, Johannesburg, 2001
P.O. Box 31533
Braamfontein, Johannesburg, 2017
Tel: 010 023 5200
Email: PAIAComplaints@infoRegulator.org.za

COMPLAINT FORM

FORM 5

[Regulation 10]

NOTE:

1. This form is designed to assist the Requester or Third Party (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 following email address: PAIAComplaints@infoRegulator.org.za or complete 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 F 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 2** 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:**
 - a. Copy of the form to the Body requesting access to records;
 - b. The Body’s response to your complaint or access request;
 - c. Any other correspondence between you and the Body regarding your request;
 - d. Copy of the appeal form, if your complaint relate to a public body;
 - e. The Body’s response to your appeal;
 - f. Any other correspondence between you and the Body regarding your appeal;
 - g. Documentation authorizing you to act on behalf of another person (if applicable);
 - h. 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.

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			
Date stamp			

Postal address	Facsimile	Other electronic communication (Please specify)	

Full Names			
Identity Number			
Postal Address			
Street Address			
E-Mail Address			
Contact numbers	Tel. (B)		Facsimile
	Cellular		

PART B
REPRESENTATIVE INFORMATION
(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)

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
(Please attach letter of authorisation)

Type of Body	Private		Public	
Name of Public / Private Body				
Registration Number (if any)				
Name, Surname and Title of person authorised to lodge a 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 for access to 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 or private body for response and possible resolution)</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 requested access to information held by a body and that request was refused or partially refused. I requested access to information held by a body and that request was refused or partially refused.	
The body requires me to pay a fee (Sections 22 or 54 of PAIA)	Tender or payment of the prescribed fee. Tender or payment of the prescribed fee.	
	The tender or payment of a deposit. The tender or payment of a deposit.	
Repayment of the deposit (Section 22(4) of PAIA)	The information officer refused to repay a deposit paid in respect of a request for access which is refused. The information officer refused to repay a deposit paid in respect of a request for access which is refused.	
Disagree with time extension (Sections 26 or 57 of PAIA)	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. 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.	
Form of access denied (Section 29(3) or 60(a) of PAIA)	I requested access in a particular and reasonable form and such form of access was refused. I requested access in a particular and reasonable form and such form of access was refused.	
Deemed refusal (Section 27 or 58 of PAIA)	It is more than 30 days since I made my request and I have not received a decision. It is more than 30 days since I made my request and I have not received a decision.	
Inappropriate disclosure of a record (Mandatory grounds for refusal of access to record)	Records (that are subject to the grounds for refusal of access) have inappropriately/unreasonable been disclosed. Records (that are subject to the grounds for refusal of access) have inappropriately/unreasonable been disclosed.	
No adequate reasons for the refusal of access (Section 56(3)(a) of PAIA)	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. 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.	
Partial access to record (Section 28(2) or 59(2) of PAIA)	Access to only a part of the requested records was granted and I believe that more of the records should have been disclosed. Access to only a part of the requested records was granted and I believe that more of the records should have been disclosed.	
Fee waiver (Section 22(8) or 54(8) of PAIA)	I am exempt from paying any fee and my request to waive the fees was refused. I am exempt from paying any fee and my request to waive the fees was refused.	
Records that cannot be found or do not exist (Section 23 or 55 of PAIA)	The Body indicated that some or all of the requested records do not exist and I believe that more records do exist. The Body indicated that some or all of the requested records do not exist and I believe that more records do exist.	
Failure to disclose records	The Body decided to grant me access to the requested records, but I have not received them. The Body decided to grant me access to the requested records, but I have not received them.	
No jurisdiction (exercise or protection of any rights) (Section 50(1)(a) of PAIA)	The Body indicated that the requested records are excluded from PAIA and I disagree. The Body indicated that the requested records are excluded from PAIA and I disagree.	
Frivolous or vexatious request (Section 45 of PAIA)	The Body indicated that my request is manifestly frivolous or vexatious and I disagree. The Body indicated that my request is manifestly frivolous or vexatious and I disagree.	
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.		

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 ~~asking to witnesses~~ ^{this} 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.

Complainant/Representative/Authorised person of Third party

Signed at _____ this _____ day of _____ 20 _____

Signed at _____ this _____ day of _____ 20 _____

Complainant/Representative/Authorised person of Third party



**INFORMATION
REGULATOR
(SOUTH AFRICA)**

*Ensuring protection of your personal information
and effective access to information*

Address: JD House, 27 Stiemens Street
Braamfontein, Johannesburg, 2001
P.O. Box 31533
Braamfontein, Johannesburg, 2017
Tel: 010 023 5200
Email: PAIACompliance@infoRegulator.org.za

REQUEST FOR ASSESSMENT

FORM 13

[Regulation 14(1)]

I,

Full Names				
Postal Address				
Street Address				
E-Mail Address				
Contact Numbers	Tel. (B)		Facsimile	
	Cellular			

hereby, in terms of section 77H of the Promotion of Access to Information Act, 2000 (Act No. 2 of 2000), request that the Information Regulator assess whether the under-mentioned public or private body generally complies with the provisions of the Act insofar as its policies and implementation procedures are concerned.

Name of Private / Public Body				
Postal Address				
Street Address				
E-Mail Address				
Contact Numbers	Tel. (B)		Facsimile	
	Cellular			

PARTICULARS OF INFORMATION TO BE ASSESSED
PERSONS AFFECTED BY THE RELEVANT INFORMATION PRACTICE/S
THE REASON WHY AN ASSESSMENT IS REQUESTED
SPECIFIC ASPECTS OF THE INFORMATION THAT THE ASSESSMENT SHOULD ADDRESS

Signed at _____ this _____ day of _____ 20 _____

Requester

ANNEXURE C: POPIA Information related forms

FORM 1

**OBJECTION TO THE PROCESSING OF PERSONAL INFORMATION IN TERMS OF SECTION 11(3) OF
THE PROTECTION OF PERSONAL INFORMATION ACT, 2013 (ACT NO. 4 OF 2013)
REGULATIONS RELATING TO THE PROTECTION OF PERSONAL INFORMATION, 2018**

[Regulation 2]

Note:

1. *Affidavits or other documentary evidence as applicable in support of the objection may be attached.*
2. *If the space provided for in this Form is inadequate, submit information as an Annexure to this Form and sign each page.*
3. *Complete as is applicable.*

A	DETAILS OF DATA SUBJECT
Name(s) and surname/ registered name of data subject:	
Unique Identifier/ Identity Number	
Residential, postal or business address:	
Contact number(s):	
Fax number / E-mail address:	
B	DETAILS OF RESPONSIBLE PARTY
Name(s) and surname/ Registered name of responsible party:	
Residential, postal or business address:	
Contact number(s):	
Fax number/ E-mail address:	

FORM 2

REQUEST FOR CORRECTION OR DELETION OF PERSONAL INFORMATION OR DESTROYING OR DELETION OF RECORD OF PERSONAL INFORMATION IN TERMS OF SECTION 24(1) OF THE PROTECTION OF PERSONAL INFORMATION ACT, 2013 (ACT NO. 4 OF 2013)

REGULATIONS RELATING TO THE PROTECTION OF PERSONAL INFORMATION, 2018

[Regulation 3]

Note:

1. *Affidavits or other documentary evidence as applicable in support of the request may be attached.*
2. *If the space provided for in this Form is inadequate, submit information as an Annexure to this Form and sign each page.*
3. *Complete as is applicable.*

Mark the appropriate box with an “x”.

Request for:

- Correction or deletion of the personal information about the data subject which is in possession or under the control of the responsible party.
- Destroying or deletion of a record of personal information about the data subject which is in possession or under the control of the responsible party and who is no longer authorised to retain the record of information.

A	DETAILS OF THE DATA SUBJECT
Name(s) and surname / registered name of data subject:	
Unique identifier/ Identity Number:	
Residential, postal or business address:	
Contact number(s):	
Fax number/E-mail address:	
B	DETAILS OF RESPONSIBLE PARTY
Name(s) and surname / registered name of responsible party:	

Residential, postal or business address:	
	Code ()
Contact number(s):	
Fax number/ E-mail address:	
C	INFORMATION TO BE CORRECTED/DELETED/ DESTROYED/ DESTROYED
D	<p>REASONS FOR *CORRECTION OR DELETION OF THE PERSONAL INFORMATION ABOUT THE DATA SUBJECT IN TERMS OF SECTION 24(1)(a) WHICH IS IN POSSESSION OR UNDER THE CONTROL OF THE RESPONSIBLE PARTY; and or</p> <p>REASONS FOR *DESTRUCTION OR DELETION OF A RECORD OF PERSONAL INFORMATION ABOUT THE DATA SUBJECT IN TERMS OF SECTION 24(1)(b) WHICH THE RESPONSIBLE PARTY IS NO LONGER AUTHORISED TO RETAIN.</p> <p><i>(Please provide detailed reasons for the request)</i></p>

Signed at this day of20.....

.....
Signature of data subject/ designated person

FORM 3

**APPLICATION FOR THE ISSUE OF A CODE OF CONDUCT IN TERMS OF SECTION 61(1)(b) OF THE
PROTECTION OF PERSONAL INFORMATION ACT, 2013 (ACT NO. 4 OF 2013)**

REGULATIONS RELATING TO THE PROTECTION OF PERSONAL INFORMATION, 2018

[Regulation 5]

A	DETAILS OF PRIVATE OR PUBLIC BODY
Name of the body:	
Private / Public body	
List the class of body or any industry size, profession, or vocation, you represent: <i>(Attach proof of representation)</i>	
Total number of members of industry, or any class of bodies, profession or vocation:	
Proportion of representation (expressed as a percentage) in the industry, class of bodies, profession or vocation <i>(Attach proof of</i>	
Business address:	
	Code ()
Contact number(s):	
Fax number/ E-mail address:	
B	DETAILS OF PERSON WHO COMPLETES THIS FORM
Name(s) and surname of person completing this form:	

FORM 5

COMPLAINT REGARDING INTERFERENCE WITH THE PROTECTION OF PERSONAL INFORMATION/COMPLAINT REGARDING DETERMINATION OF AN ADJUDICATOR IN TERMS OF SECTION 74 OF THE PROTECTION OF PERSONAL INFORMATION ACT, 2013 (ACT NO. 4 OF 2013)

REGULATIONS RELATING TO THE PROTECTION OF PERSONAL INFORMATION, 2018

[Regulation 7]

Note:

1. *Affidavits or other documentary evidence as applicable in support of the request may be attached.*
2. *If the space provided for in this Form is inadequate, submit information as an Annexure to this Form and sign each page.*
3. *Complete as is applicable.*

Mark the appropriate box with an “x”.

Complaint regarding:

- Alleged interference with the protection of personal information
- Determination of an adjudicator.

PART I	ALLEGED INTERFERENCE WITH THE PROTECTION OF THE PERSONAL INFORMATION IN TERMS OF SECTION 74(1) OF THE PROTECTION OF PERSONAL INFORMATION ACT, 2013 (Act No. 4 of 2013)
A	PARTICULARS OF COMPLAINANT
Name(s) and surname / registered name of data subject:	
Unique Identifier/ Identity Number:	
business address:	
	Code ()
Contact number(s):	
Fax number/ E-mail address:	
B	PARTICULARS OF RESPONSIBLE PARTY INTERFERING WITH PERSONAL INFORMATION

Name(s) and surname/ Registered name of responsible party: Residential, postal or business address: Contact number(s): Fax number/ E-mail address: C	
	Code ()
	REASONS FOR COMPLAINT <i>(Please provide detailed reasons for the complaint)</i>
PART II A Name(s) and surname/ registered name of data subject: Unique Identifier/ Identity Number: Residential, postal or business address: Contact number(s): Fax number/ E-mail address: B	COMPLAINT REGARDING DETERMINATION OF ADJUDICATOR IN TERMS OF SECTION 74(2) OF THE PROTECTION OF PERSONAL INFORMATION ACT, 2013 (ACT NO. 4 OF 2013) PARTICULARS OF COMPLAINANT
	Code ()
	PARTICULARS OF ADJUDICATOR AND RESPONSIBLE PARTY

Name(s) and surname of responsible party /registered name: Residential, postal or business address: Contact number(s): Fax number/ E-mail address: C	
	Code ()
	REASONS FOR COMPLAINT <i>(Please provide detailed reasons for the grievance)</i>

Signed at this day of20.....

.....
Signature of data subject/designated person

FORM 11

REQUEST FOR AN ASSESSMENT
SECTION 89(1) OF THE PROTECTION OF PERSONAL INFORMATION ACT 4 OF 2013)

REGULATIONS RELATING TO THE PROTECTION OF PERSONAL INFORMATION, 2018
[Regulation 11]

Reference Number: _____

REQUEST FOR AN ASSESSMENT

PART I	IN TERMS OF SECTION 89(1) AND (2) OF THE PROTECTION OF PERSONAL INFORMATION ACT, 2013 (ACT NO. 4 OF 2013)
A request is hereby made in terms of section 89 of the Protection of Personal Information Act 4 of 2013 that the Information Regulator must assess whether the processing of personal information complies with the provisions of the Act:	
1. CONTACT DETAILS	
REQUESTER:	
Name(s) and surname:	
Address:	
.....	
.....	
Contact number/s:	
E-mail address:	
RESPONSIBLE PARTY:	
Name(s) and surname:	
Address:	
.....	
.....	
Contact number/s:	
E-mail address:	
2. INFORMATION PROCESSING TO BE ASSESSED	
.....	
.....	
.....	
.....	
3. PERSONS AFFECTED BY THE RELEVANT INFORMATION PROCESSING PRACTICE/S	
.....	

.....
.....
4. THE REASON WHY AN ASSESSMENT IS REQUESTED

.....
.....
.....
.....
5. SPECIFIC ASPECTS OF THE PROCESSING OF INFORMATION THAT THE ASSESSMENT SHOULD ADDRESS

.....
.....
.....
6. PERIOD

I first become aware that the processing of information should be assessed on:

the day of 20.....

Explain the reasons for the delay (if any) in requesting the assessment:

.....
.....
.....
7. DATA SUBJECT PARTICIPATION:

Does the requester:

Have the right to access personal information held by the responsible party in terms of section 23 of the Protection of Personal Information Act 4 of 2013:

Yes No Not applicable

Have to right to request the responsible party to correct personal information in terms of section 24 of the Protection of Personal Information Act 4 of 2013:

Yes No Not applicable

Signed on this ____ day of _____ 20...

Requester

PART II

NOTICE OF A DECISION ON AN ASSESSMENT

(Section 89(1) of the Protection of Personal Information Act, 2013 (Act No. 4 of 2013)

1. NOTICE OF A DECISION ON AN ASSESSMENT

The Regulator has decided to conduct an assessment in terms of section 89(1) of the Protection of Personal Information Act 4 of 2013.

2. INFORMATION PROCESSING TO BE ASSESSED

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

3. PERSONS AFFECTED BY THE RELEVANT INFORMATION PROCESSING PRACTICE/S

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

4. THE REASON WHY AN ASSESSMENT IS TO BE CONDUCTED/ NOT TO BE CONDUCTED

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

5. SPECIFIC ASPECTS OF THE PROCESSING OF INFORMATION THAT THE ASSESSMENT SHOULD ADDRESS

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

Signed on this ____ day of _____ 20.....

.....

Regulator (Represented by)

