



PAIA MANUAL

SOL PLAATJE UNIVERSITY

**Prepared in terms of section 14 of the
Promotion of Access to Information Act
2 of 2000 (as amended)**

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1. LIST OF ACRONYMS AND ABBREVIATIONS

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|-----|-------------|---|
| 1.1 | “VC” | Vice-Chancellor and Principal / Chief Accounting Officer |
| 1.2 | “DIO” | Deputy Information Officer; |
| 1.3 | “PAIA” | Promotion of Access to Information Act No. 2 of 2000(as Amended; |
| 1.4 | “POPIA” | Protection of Personal Information Act No.4 of 2013; |
| 1.5 | “Regulator” | Information Regulator. |

2. PURPOSE OF PAIA MANUAL

This PAIA Manual is useful for the public to-

- 2.1 check the nature of the records which may already be available at Sol Plaatje University, without the need for submitting a formal PAIA request;
- 2.2 have an understanding of how to make a request for access to a record of Sol Plaatje University;
- 2.3 access all the relevant contact details of the persons who will assist the public with the records they intend to access;
- 2.4 know all the remedies available from Sol Plaatje University regarding request for access to the records, before approaching the Regulator or the Courts;
- 2.5 the description of the services available to members of the public from Sol Plaatje University, and how to gain access to those services;
- 2.6 a description of the guide on how to use PAIA, as updated by the Regulator and how to obtain access to it;
- 2.7 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;
- 2.8 know if Sol Plaatje University 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
- 2.9 know whether Sol Plaatje University has appropriate security measures to ensure the confidentiality, integrity and availability of the personal information which is to be processed.

3. ESTABLISHMENT OF SOL PLAATJE UNIVERSITY

SPU is a juristic person with separate legal personality in terms of the Higher Education Act, 101 of 1997, with its primary functions being the provision of teaching and learning and facilitating research, as further provided in the Institutional Statute of Sol Plaatje University (Government Gazette 40711, 24 March 2017). A summary of the various qualifications and other services offered by SPU is available on www.spu.ac.za.

4. STRUCTURE OF SOL PLAATJE UNIVERSITY AND FUNCTIONS

4.1 Structure

Sol Plaatje University is recognised as a higher education institution and operates as provided for in the Higher Education Act, Act 101 of 1997, as amended. In line with the Act, the University has established its own institutional statutes, policies, and rules.

The Higher Education Act determines the following governance structures and functions within the University:

4.1.1 Council – The Sol Plaatje University Council is the ultimate governing body within the University. It acts as the custodian of corporate governance for the institution and is therefore responsible for ensuring that all related governance functions are performed effectively.

This responsibility is consistent, too, with King IV (specifically, Principle 5 of the King IV Code on Corporate Governance). Council is, therefore, ultimately responsible for the overall achievement of the University's mission, vision and purpose. Senate – The Senate is accountable to the Council regarding the academic and research functions of the institution.

4.1.2 The Committees of Council and Senate – These committees perform functions that are common to the Council and Senate.

4.1.3 The Institutional Forum (University Forum) – The Forum advises the Council on all issues affecting the institution, including those listed in the Act.

4.1.4 The Students' Representative Council (SRC) – The SRC represents students in all aspects of student life.

4.1.5 The Convocation – The Convocation represents the Alumni of the institution.

The various Governance Structures and Council Committees can be viewed at <https://www.spu.ac.za/index.php/council/>

4.2 Functions

The primary function of Sol Plaatje University is the provision of teaching and learning and facilitating research, as further provided in the Institutional Statute of Sol Plaatje University (Government Gazette 40711, 24 March 2017)

5. KEY CONTACT DETAILS FOR ACCESS TO INFORMATION OF SOL PLAATJE UNIVERSITY

5.1. Information Officer

Name: Professor Debra Meyer
Physical Address: Harry Oppenheimer House, Tiffany Crescent Street, Kimberley, 8301
Postal Address: Private Bag X5008, Kimberley, 8300
Tel: (053) 491 0000

5.2. Deputy Information Officer

Name: Dr Jody P. Cedras
Physical Address: The Great Hall, Chapel Street, Kimberley, 8301
Postal Address: Private Bag X5008, Kimberley, 8300
Tel: (053) 491 0000

5.3 Access to information - general contact

Email: legal.enquiries@spu.ac.za

5.4 National / Head Office

Postal Address: Private Bag X5008, Kimberley, 8300
Physical Address: Luka Jantjie House, Chapel Street, Kimberley, 8301
Telephone: (053) 491 0000

Website: www.spu.ac.za

5.5 Availability of the PAIA Manual

A copy of this Manual is available to any person upon payment of a reasonable prescribed fee through the following channels:

- 5.5.1 On request from the Registrar's Office: The Great Hall, Chapel Street, Kimberley, South Africa, or by e-mail via the e-mail addresses reflected above;
- 5.5.2 On the Sol Plaatje University website at the following link
<https://www.spu.ac.za/index.php/legal-2/>

6. DESCRIPTION OF ALL REMEDIES AVAILABLE IN RESPECT OF AN ACT OR A FAILURE TO ACT BY SOL PLAATJE UNIVERSITY

Should a Requester believe that a refusal by the University to grant information is unjustified, or should a Requester have other grounds for a complaint in terms of PAIA:

- 6.1 an internal appeal may be lodged with SPU by completing Form 4 which is accessible on the Sol Plaatje University website. The form can be downloaded at the following link <https://www.spu.ac.za/index.php/legal-2/> or can be obtained from any of the contacts listed in paragraph 5 above.
- 6.2 A Requester can approach the Office of the Information Regulator after such Requester or third party has exhausted the internal appeal procedure referred to above, against a decision of the Information Officer of SPU. The Requester or Third Party (hereinafter referred to as “the Complainant”) can make use of the relevant form found on the website of the Information Regulator (link below) to lodge a complaint with the Information Regulator.

<https://inforegulator.org.za/wp-content/uploads/2020/07/InfoRegSA-PAIA-Form05-Reg10-1.pdf>

A complaint by the Requester or third party must be lodged within 180 days of receipt of the decision from the University.

- 6.3 Should the internal appeal procedures have been exhausted and a Requester or third party remain unsatisfied by an internal appeal and the outcome received by the Information Regulator as provided for in terms of (b) above, a requester may approach a relevant Court for appropriate relief.

7. GUIDE ON HOW TO USE PAIA AND HOW TO OBTAIN ACCESS TO THE GUIDE

- 7.1. The Regulator has, in terms of section 10(1) of PAIA, 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. This Guide can be accessed at https://inforegulator.org.za/wp-content/uploads/2020/07/PAIA-Guide-English_20210905.pdf
- 7.2. The Guide is available in each of the official languages.
- 7.3. The aforesaid Guide contains the description of-
 - 7.3.1. the objects of PAIA and POPIA;
 - 7.3.2. the postal and street address, phone and fax number and, if available, electronic mail address of-
 - 7.3.2.1. the Information Officer of every public body, and
 - 7.3.2.2. every DIO of every public and private body designated in terms of section 17(1) of PAIA and section 56 of POPIA;
 - 7.3.3. the manner and form of a request for-
 - 7.3.3.1. access to a record of a public body contemplated in section 11; and
 - 7.3.3.2. access to a record of a private body contemplated in section 50;

- 7.3.4. the assistance available from the Information Officer of a public body in terms of PAIA and POPIA;
- 7.3.5. the assistance available from the Regulator in terms of PAIA and POPIA;
- 7.3.6. 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-
 - 7.3.6.1. an internal appeal;
 - 7.3.6.2. a complaint to the Regulator; and
 - 7.3.6.3. 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;
- 7.3.7. the provisions of sections 14 and 51 requiring a public body and private body, respectively, to compile a manual, and how to obtain access to a manual;
- 7.3.8. the provisions of sections 15 and 52 providing for the voluntary disclosure of categories of records by a public body and private body, respectively;
- 7.3.9. the notices issued in terms of sections 22 and 54 regarding fees to be paid in relation to requests for access; and
- 7.3.10. the regulations made in terms of section 92.
- 7.4. Members of the public can inspect or make copies of the Guide from the offices of the public or private bodies, including the office of the Regulator, during normal working hours. The Guide can also be obtained-
 - 7.4.1. upon request to the Information Officer by completing Form 1;
 - 7.4.2. from the website of the Regulator (<https://info regulator.org.za/>).

8. PROCEDURE FOR ACCESS TO RECORDS HELD BY UNIVERSITY OF THE SOL PLAATJE UNIVERSITY

- 8.1. Section 18 of PAIA prescribes the procedure to be followed when requesting access to information held by the Sol Plaatje University. Section 32 (1) of POPIA also provides the procedure to access personal information. The manner of access to personal information should be in accordance with Section 18 of PAIA.
- 8.2. A requester or data subject can make use of the prescribed form, Form 2 which is accessible on the Sol Plaatje University website. The form can be downloaded at the following link <https://www.spu.ac.za/index.php/legal-2/> or can be obtained from any of the contacts listed in paragraph 5 above.
- 8.3. A requester is any person requesting access to a record at Sol Plaatje University. PAIA distinguishes between two types of requesters for access to information, i.e., Personal Requester, (data subject) and Other Requester.
 - 8.3.1. A data subject is a requester who, having provided adequate proof of identity, is seeking access to a record containing personal information about the data subject. Subject to the provisions of PAIA and POPIA, Sol Plaatje University may provide the

requested information or give access to any record about the data subject's personal information within a reasonable time, (at a prescribed fee, if any) in a reasonable manner and format and a generally understandable form. The prescribed fee for the reproduction of the personal information requested will be charged by Sol Plaatje University.

- 8.3.2. A person falling into the category of Other Requester is entitled to request access to information pertaining to third parties. However, Sol Plaatje University is not obliged to grant access before the requester fulfills the requirements for access to information in terms of PAIA and POPIA.
- 8.4. When a record is requested by an Other Requestor (including Data Subjects themselves), the following will apply:
 - 8.4.1 Request Form 2 must be completed.
 - 8.4.2 On the Request Form all details must be completed, including the right the Requester wants to protect by requesting the information.
 - 8.4.3 If a Requester is acting on behalf of someone else (e.g., an attorney acting on behalf of a client), the signature of the other person (i.e., the client) must appear on the Form and the University shall have the right to verify that the person on whose behalf the request is being made did indeed authorise such request.
 - 8.4.4 A Requester must state in which form (inspection of copy, paper copy, electronic copy, transcript, etc) s/he wants to access the information.
 - 8.4.5 If the record is part of another record, the Requester may, subject to the provisions of POPI and PAIA only be granted access to that part of the record that pertains to the information s/he wants or is entitled to, and not the rest of the record.
 - 8.4.6 A Requester must indicate whether the requested record(s) is preferred in any particular language.
 - 8.4.7 A Requester should indicate the manner in which he/she wishes to be informed of the decision on the request and the necessary particulars to be informed accordingly.
 - 8.4.8 An oral request for access to a record(s) may be made if a Requester does not have a formal education or has a disability. The Information Officer or DIO will assist the Requester in completing the prescribed form on behalf of such a Requester and provide him/her with a copy of the completed form.
 - 8.4.9 The request for information will, in terms of Section 25 of PAIA, be processed by the Information Officer within 30 days after receipt of the request or as soon as is reasonably possible, whereafter the Information Officer will inform the Requester of his/her decision, either to grant or reject the request for access to records. The decision must, if it is reasonably possible, be communicated in the manner requested by the Requester.
- 8.5. Section 26 of PAIA prescribes the instances where the period of thirty (30) days referenced in Section 25 of PAIA, may be extended for a further 30 days. The period of 30 days may be extended once for a further period of not more than 30 days, if -
 - 8.5.1 the request is for many records or requires a search through many records and compliance with the original period would unreasonably interfere with the activities of Sol Plaatje University.

- 8.5.2 If the period has been extended, the Information Officer must as soon as possible and within 30 days of first receiving the request, inform the Requester of that extension.
- 8.5.3 If a request for access to a record has been refused, delayed, or granted subject to unreasonable fees or is granted in an unacceptable form, the Requester may lodge an internal appeal as per Section 74 of PAIA.
- 8.6. All requests will be evaluated against the provisions of the Act (in conjunction with any other legislation, including the Protection of Personal Information Act of 2013). The Act allows the Information Officer to refuse access on grounds stipulated in the Act or terms of the Protection of Personal Information Act of 2013. Some of the grounds include, but are not limited to:
 - 8.6.1 professional privilege;
 - 8.6.2 that it is necessary to protect the commercial information or the confidential information of a third party;
 - 8.6.3 that the record constitutes privileged information for the purposes of legal proceedings;
 - 8.6.4 that it is necessary to protect the commercial information of the University;
 - 8.6.5 that it is necessary to protect the safety of individuals or property; or
 - 8.6.6 that granting access would result in the unreasonable disclosure of personal information about a third party.
- 8.7. Fees

The Requester will be notified of the prescribed fee payable, if any, the method of payment, and the office to which he/she can make such payment or submit proof of payment before a request for information is processed further. Please note that the requester is exempted from paying an access fee to Sol Plaatje University if –

 - 8.7.1. the Requester is a single person whose annual income, after permissible deductions, such as PAYE and UIF, is less than R14 712 a year, or
 - 8.7.2 the Requester is married and his/her joint income, after permissible deductions, such as PAYE and UIF is less than R27 192 per year.
 - 8.7.3. A Requester who seeks access to a record containing personal information about that Requester, the Requester is not required to pay the request fee. Every other Requester, who is not requesting access to a record containing personal information about him/her or itself, must pay the request fee.
 - 8.7.4. The Information Officer must by notice require the Requester (other than a personal requester) to pay the prescribed fee before further processing the request.
 - 8.7.5. The fee that the Requester must pay to the University is R100,00. The requester may lodge an application to the Court against the tender or payment of the request.
 - 8.7.6. If access to record/s is granted by the University, the Requester may be required to pay an access fee for the search for and preparation of the records and for reproduction of the record/s.

8.7.7. The access fees that apply are set out in Annexure A below. The University cannot issue a record/s until such an access fee has been paid.

The applicable fees are contained in the fee schedule, which can also be viewed using the link <https://www.justice.gov.za/legislation/notices/2021/20210827-gg45057gon757-PAIAregulations.pdf>

9. DESCRIPTION OF THE SUBJECTS ON WHICH THE BODY HOLDS RECORDS AND CATEGORIES OF RECORDS HELD BY SOL PLAATJE UNIVERSITY

Subjects on which the body holds records	Categories of records held on each subject
Administrative and operational	Agendas and minutes of meetings Contracts with 3rd parties Governance structures (Council, Senate, and SET Agendas, submission documents, minutes of the meetings, and members' attendance lists.) Correspondence Policies, rules and regulations Property deeds Statutory and other licenses Strategic Documents, Plans, Proposals Annual Performance Plan, Faculty Plans, Business Plans, Academic and Commercial Proposals, and University wide or specific Strategic Plans. Governance structures, personal data of governance office-bearers, internal rules, regulations and policies, minutes of meetings, submissions to governance structures, financial records, contracts, partnerships, scholarships, bursaries, grants and donations, tenders and service providers, employment equity data, BBBEE status, PAIA data, statutory and other licenses, marketing records. Records relating to academic and research activities of staff and students: Strategy statements, curricula, research, course and programme accreditations and changes, committee applications and decisions, teaching materials, research topics, research data, publications, student funding, research funding, exchange programs, research collaborations, transformation initiatives and data, census data.
Student records	Academic records Contact information Disciplinary information Scholarship and bursary records Society and club information Student personal data includes, but is not limited to academic records, academia related submissions, disciplinary records, merit records, scholarship and bursary records, financial records, and community service records.
Academic and research activities	Strategy statements Curricular, research, course and programme accreditations

	Committee applications and decisions Teaching materials Research data Strategy statements, contracts, partnerships, budgets, proposal documents, contracts, and financial records.
Records relating to Employee matters	Staff personal data including, but not limited to CVs, service history, job descriptions, performance reviews, merit awards and mentions, disciplinary hearings and verdicts, marital status, credit history, criminal records, salary grades, progressions, payroll data, and general conditions of service.
Records relating to the University's commercial activities:	University-owned commercial companies, University consultancies, University staff, private consultancies, intellectual property commercialisation, budgets, and financial records.
Records relating to the University's intellectual property:	Registered IP, commercialization arrangements, publications, IP contracts, and IP policies.
Records relating to the University's public benefit programs:	Talent detection initiatives, clinics, rural development, government collaborations,- and international collaborations
Technical records	ICT infrastructure, physical infrastructure, construction blueprints.
Records relating to real property leased or owned by the University wholly or partly:	Property deeds, leases, uses, and third-party rights.
Third party information	Funders, Donors, Collaborators and Clients.
Suppliers, vendors/ other business	Name and contact details, identity and student numbers, banking and financial information, information about products or services, other information required for the University's administrative and operational purposes.
Human Resources	Staff policies Employment contracts Employee contact details Service history Disciplinary and performance information Salary grades Job descriptions
Intellectual Property	Registered IP Commercialisation Publications
Finances	Full and complete financial and tax records Assets inventory Student funding Research funding

	Information relating to funders, donors and collaborators
Technical records	ICT Infrastructure Physical Infrastructure Construction blueprints
Public Affairs	Public product information Public corporate records Media releases
Library Materials	Books, articles, magazines and other printed academic matter Academic and audiovisual media Electronic academic databases and other electronic academic resources Loans records

10. CATEGORIES OF RECORDS OF SOL PLAATJE UNIVERSITY WHICH ARE AVAILABLE WITHOUT A PERSON HAVING TO REQUEST ACCESS

10.1 The following information is available to the public and does not require an application for access under the PAIA Act:

10.1.1 Any information contained in any publicly accessible websites operated by SPU;

10.1.2 Any information published by SPU in any books, magazines, brochures or other material form that has been made available to the public by SPU;

10.2 The information referred to above may include, without limitation, the following:

10.2.1 the mission and objectives of SPU and all its various arms;

10.2.2 the statutes, rules, regulations and policies of SPU;

10.2.3 the organogram/structure of SPU;

10.2.4 programs and courses offered by SPU;

10.2.5 admission requirements, application forms, fees, and any other information necessary to facilitate public engagement with SPU in the promotion of its objectives;

10.2.6 some research and academic initiatives that SPU is involved in;

10.3 The following personal information is available without recourse to the PAIA Act only if requested by the person that the information pertains to directly (i.e., the Requester is requesting access to his/her own personal information):

10.3.1 academic records;

10.3.2 records of merit awards or mentions.

11. SERVICES AVAILABLE TO MEMBERS OF THE PUBLIC FROM SOL PLAATJE UNIVERSITY AND HOW TO GAIN ACCESS TO THOSE SERVICES

Sol Plaatje University does not currently offer specialized services to members of the Public.

12. PUBLIC INVOLVEMENT IN THE FORMULATION OF POLICY OR THE EXERCISE OF POWERS OR PERFORMANCE OF DUTIES BY SOL PLAATJE UNIVERSITY

- 12.1. As confirmed by the courts and legislature, the University has autonomy in determining its policies, rules, and procedures. As such, it is not required to invite members of the general public to make representations or to participate in the development of its policies, rules, and procedures. However, it does invite its stakeholders to make representations or to participate in or influence the development of its Regulations, Codes of Conduct, and Guidelines through the relevant University structures.
- 12.2. Members of the public may, where appropriate, make representations to the Regulator regarding the conduct of any person that falls within the jurisdiction of any of the Regulator's mandate.
- 12.3. The Regulator disseminates information to the public via electronic and print media, government gazette as well as social media

13. PROCESSING OF PERSONAL INFORMATION

13.1 Purpose of Processing

The University processes personal information to, amongst other things:

- 13.1.1 perform duties in terms of its engagements and terms and conditions with students.
 - 13.1.2 performing administrative and operational functions.
 - 13.1.3 comply with the University's regulatory and other obligations.
 - 13.1.4 perform recruitment and employment functions including pension, payroll, medical aid, training, disciplinary action, and income tax related functions
- 13.2 **Description of the categories of Data Subjects and of the information or categories of information relating thereto**

CATEGORIES OF DATA SUBJECTS	PERSONAL INFORMATION THAT MAY BE PROCESSED
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Students / Prospective Students or Applicants, International Students	Full names, identity numbers, students numbers, gender, race / BBBEE information, age, language, education, financial information (such as creditworthiness and banking details), employment history, credit information, criminal information, references, physical and postal address, contact details (cell phone and e-mail address), pregnancy, marital status, physical or mental health, medical records, wellbeing, disability, religion, culture, language, birth, location, online identifiers, biometric and facial recognition information, photographs, breathalyser test results, vehicle registration, driver's license, birth, and death certificates. If a person in this category is under the age of 18 years and therefore falls to be a child in terms of legal requirements, the necessary consent from the parent or guardian must be obtained
Employment, candidates, employees, academic staff	B-BBEE/employment equity information, age, language, education, financial information (such as creditworthiness and banking details), employment history, credit information, criminal information, references, physical and postal address, contact details (cellphone and e-mail address), pregnancy, marital status, physical or mental health, medical records, well-being, disability, religion, culture, language, birth, location, online identifiers, biometric and facial recognition information, trade union membership, photographs, breathalyser test results, vehicle registration, driver's license, birth and death certificates, all Personal Information required for the administration of compensation and benefits (including payroll, promotions, salary increases, salary decreases, salary adjustments, bonuses, death benefit pay-outs, COIDA, disability), employee files (including performance records, disciplinary, CCMA records, employee grievances, formal written warnings, SHEQ), legal judgements, garnishee and other court orders.
Research participants, post- doctoral fellows, alumni, authors	Full names, identity number, students numbers, gender, race / BBBEE/employment equity information, age, language, education financial information (such as creditworthiness and banking details), employment history, credit information, criminal information, references, physical and postal address, contact details (cellphone and e-mail address), pregnancy, marital status, physical or mental health, medical records, well-being, disability, religion, culture, language, birth, location, online identifiers, biometric and facial recognition information, photographs, breathalyser test results, vehicle registration, driver's license, birth and death certificates.

Governance and/or appointed officer bearers, external members of committees, council members	B-BBEE/employment equity information, age, language, education, financial information (such as creditworthiness and increases, salary decreases, salary adjustments, bonuses, death benefit pay-outs, COIDA, disability), employee files (including performance records, disciplinary, CCMA records, employee grievances, formal written warnings, SHEQ), legal judgements, garnishee and other court orders. banking details), employment history, credit information, criminal information, references, physical and postal address, contact details (cellphone and e-mail address), pregnancy, marital status, physical or mental health, medical records, well-being, disability, religion, culture, language, birth, location, online identifiers, biometric and facial recognition information, trade union membership, photographs, breathalyser test results, vehicle registration, driver's license, birth and death certificates, all Personal Information required for the administration of compensation and benefits (including payroll, promotions, salary increases, salary decreases, salary adjustments, bonuses, death benefit pay-outs, COIDA, disability), employee files (including performance records, disciplinary, CCMA records, employee grievances, formal written warnings, SHEQ), legal judgements, garnishee and other court orders.
Partner organisations, subsidiaries, donors, and funders,	Name of legal entity or person, registration number or identity number, names of contact persons/directors/members and identifying documents such as identity document or passport of contact persons/directors/members, physical and postal address, and contact details (email, cellphone), creditworthiness or other financial information, founding documents from the CIPC or other forms of proof of registration/incorporation such as trust deeds, partnership agreements or CC incorporation documents, tax related information, authorised signatories, resolutions for authority or business transactions, shareholding information, B-BBEE information, confidential correspondence, beneficiaries, ultimate beneficial owners, shareholding information, and any other Personal Information required for vetting purposes in terms of financial legislation such as FICA.
Particular third parties: Different universities, and government departments.	Name of a legal entity, registration number, names of contact persons/directors/members, physical and postal address, contact details (email, cellphone), financial and tax related information (tax clearance, tax pin, VAT number), founding documents (CIPC), authorised signatories, directors information for vetting purposes (criminal, credit and CIPC disqualification or deregistration), shareholding information, BBBEE information, and any other Personal Information required for vetting purposes in terms of financial legislation such as FICA

Contractors / Suppliers / Service Providers: Juristic Persons	Name of legal entity, registration number, names of contact persons / directors / members, physical and postal address, contact details (email, cellphone), financial and tax related information (tax clearance, tax pin, VAT number), founding documents (CIPC), authorised signatories, directors information for vetting purposes (criminal, credit and CIPC disqualification or deregistration), shareholding information, B-BBEE information, and any other Personal Information required for vetting purposes in terms of financial legislation such as FICA.
Contractor / Suppliers / Service Providers: Natural persons	Full names, identity number, gender, race / B-BBEE information, age, credit information, criminal information, references, physical and postal address, contact details (email, cellphone), financial and tax related information (tax clearance, tax pin, VAT number), and any other Personal Information required for vetting purposes in terms of financial legislation such as FICA
Beneficiaries in terms of Social Investment initiatives and community development	Name of legal entity, registration number, names of contact persons / directors / members and identifying documents such as identity document or passport of contact persons / directors / members, physical and postal address and contact details (email, cellphone), creditworthiness or other financial information, founding documents from the CIPC or other forms of proof of registration / incorporation such as trust deeds, partnership agreements or CC incorporation documents, tax related information, authorised signatories, resolutions for authority or business transactions, shareholding information, BBBEE information, confidential correspondence, beneficiaries, ultimate beneficial owners, shareholding information, and any other Personal Information required for vetting purposes in terms of financial legislation such as FICA.
Visitors, members of the public	Full names, identity numbers, physical and postal address, contact details (cellphone and e-mail address), vehicle registration, driver's license, biometric and facial recognition information.

Please note that the above list is not exhaustive of all of the categories of personal information held by the University. It serves only to provide a high-level description of the kinds of personal information held by the University.

- 13.3 The recipients or categories of recipients to whom the personal information may be supplied.

CATEGORIES OF PERSONAL INFORMATION	RECIPIENTS OR CATEGORIES OF RECIPIENTS
Identity number and names of staff members and students, for criminal checks	South African Police Services through a subpoena in terms of Section 205 of the Criminal Procedure Act

Qualifications and academic transcripts for qualification verifications	South African Qualifications Authority, Department of Higher Education, Third Party Employers
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13.4 **Planned transborder flows of personal information**

Given the nature of the University's activities and business, there will be regular planned transborder transfer of personal information. For example, the details of exchange staff and students must be shared between institutions, co-supervised and joint degrees require an exchange of information between the institutions, and research results and data are shared across borders. In all instances, the University ensures that the recipients of the personal information are subject to laws binding them to protect the personal information in line with POPIA, at a minimum.

Ethics and/or legal compliance is also required for any research that entails transborder transfer of personal information. Personal Information will only be transferred out of the Republic of South Africa if the third party who is the recipient of the information is subject to a law, binding corporate rules, or binding agreement that provides an adequate level of protection that:

- 13.4.1 effectively upholds principles for reasonable processing of the information that are substantially similar to the conditions for the lawful processing of personal information relating to a data subject who is a natural person and, where applicable, a juristic person; and
- 13.4.2 includes provisions that are substantially similar to the Protection of Personal Information Act ("POPIA") relating to the further transfer of personal information from the recipient to third parties who are in a foreign country.
- 13.4.3 the data subject consents to the transfer.
- 13.4.4 the transfer is necessary for the performance of a contract between the data subject and the University, or the implementation of pre-contractual measures taken in response to the data subject's request;
- 13.4.5 the transfer is necessary for the conclusion or performance of a contract concluded in the interest of the data subject between the University and a third party; or
- 13.4.6 the transfer is for the benefit of the data subject and –
- 13.4.7 it is not reasonably practicable to obtain the consent of the data subject to that transfer; and
- 13.4.8 it were reasonably practicable to obtain such consent, the data subject would be likely to give it.

13.5 **General Description of Information Security Measures to be implemented by the responsible party to ensure the confidentiality, integrity and availability of the information**

The University shall take all reasonable, appropriate, technical, and organisational measures to protect Personal Information from loss, damage, unauthorised access,

processing, destruction, or manipulation. The University will implement the following security measures, amongst others:

- 13.5.1 The University has a structured plan and framework in place to regularly train the managers responsible for implementing this Policy.
- 13.5.2 The University's third-party service providers are required to sign a service level agreement affirming their commitment to their legal obligation to protect personal information.
- 13.5.3 All current suppliers of the University will where appropriate be required to sign an addendum to their contracts with the University containing relevant consent clauses for the use and storage of the University's data subject's information, or any other action so required, in terms of POPIA.
- 13.5.4 All electronic files or data are backed up by the University department that is responsible for system security which protects third party access and physical threats.
- 13.5.5 The University has conducted a risk assessment identifying reasonably foreseeable internal and external risks to personal information, establishing and maintaining appropriate safeguards against the risks identified, regularly verifying that the safeguards are effectively implemented, and ensuring that the safeguards are continually updated in response to new risks or deficiencies in previously implemented safeguards.
- 13.5.6 Affected data subjects will be informed should their personal information be accessed or processed by any unauthorised person.
- 13.5.7 The University has implemented layered IT and cyber security, which includes multiple mitigating security controls to protect against internal and external threats to the data subject's information as well as the University's systems.
- 13.5.8 In addition, the University has established relevant information security policies to govern controls that have been implemented. Including, however not limited to, the Acceptable Use Policy, Information Security Policy, Cyber Security Policy, Backup and Recovery Policy, AntiMalware Policy, Availability Management Policy, Cybersecurity Incident Management Policy, Secure Development Policy, Information Classification and Handling Policy, and the Information Security Training and Awareness Policy.
- 13.5.9 Information security is built into systems and applications that are used by the University community, and access to information is managed by roles and responsibilities. The relevant encryption mechanisms have been applied to data where necessary.
- 13.5.10 Endpoint security has been applied to University-owned user workstations and devices to protect users against malware and viruses.
- 13.5.11 The required network and perimeter security and monitoring controls are in place.
- 13.5.12 In addition, incident management processes have been established to ensure incidents are reported or detected and handled within a reasonable timeframe to reduce the impact on the data subject and the University.

- 13.5.13 End users are trained to safeguard the unauthorized collection, processing, or disposal of information through a cyber security awareness and training program.

14. AVAILABILITY OF THE MANUAL

- 14.1 This Manual is made available in the following official language-

14.1.1 English.

Sol Plaatje University is in the process of having the Manual translated in Afrikaans, IsiXhosa and Setswana and will update the Manual as soon as this have been completed.

- 14.2 A copy of this Manual or the updated version thereof, is also available as follows-

14.2.1 on the website (www.spu.ac.za), of Sol Plaatje University;

14.2.2 at the head office of the public body for public inspection during normal business hours;

14.2.3 to any person upon request and upon the payment of a reasonable prescribed fee; and

14.2.4 to the Information Regulator upon request.

- 14.3 A fee for a copy of the Manual, as contemplated in annexure B of the Regulations, shall be payable per each A4-size photocopy made.

15. UPDATING OF THE MANUAL

Sol Plaatje University, through the Office of the Registrar, will, if necessary, update and publish this Manual annually.

Issued by

Prof Debra Meyer
Information Officer

ANNEXURE A

PRESCRIBED FEES

The prescribed fees for accessing records of a public body in terms of the *Promotion of Access to Information Act, 2000: Regulations regarding the promotion of access to information, 2021* as per Government Notice No. R. 757 published in the Government Gazette No 405057 of 27 August 2021.

ITEM	FEE
1. Requesting fee (payable when request is made)	R100.00
2. Copy per A4 page	R1.50
3. Printing per A4 page	R1.50
4. For a copy in a computer-readable form on:	
4.1. Flash drive (to be provided by the requester)	R40.00
4.2. Compact disc (if provided by the requester)	R40.00
4.3. Compact disc (if provided to the requester)	R60.00
5. For a transcription of visual images per A4-size page	Service to be outsourced. Will depend on quotation from service provider.
6. Copy of a visual image	
7. Transcription of an audio record, per A4-size page	R24.00
8. Copy of an audio record on:	
8.1. Flash drive (to be provided by the requester)	R40.00
8.2. Compact disc (if provided by the requester)	R40.00
8.3. Compact disc (if provided to the requester)	R60.00
9. To search for and prepare the record for the disclosure for each hour or part of an hour, excluding the first hour (i.e. the first hour is free of charge), reasonably required for such search and preparation.	R100.00
9.1. To NOT EXCEED a total cost of:	R300.00
10. Deposit if search exceeds 6 hours: NOTE: the amount payable of items 2 to 8. as a deposit must not exceed one third of the amount payable, if the request is granted.	One third of amount per request calculated in terms of items 2 to 8.
11. Postage, email or any other electronic transfer	Actual expense, if any.