



PAIA MANUAL

**Prepared in terms of section 51 of the
Promotion of Access to Information Act
2 of 2000 (as amended)**

**DATE OF COMPILATION: 01/12/2021
DATE OF REVISION: 01/12/2022**

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1. LIST OF ACRONYMS AND ABBREVIATIONS

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|-----|--------------------|--|
| 1.1 | “CEO” | Chief Executive Officer |
| 1.2 | “DIO” | Deputy Information Officer; |
| 1.3 | “IO” | Information Officer; |
| 1.4 | “Minister” | Minister of Justice and Correctional Services; |
| 1.5 | “PAIA” | Promotion of Access to Information Act No. 2 of 2000 as Amended; |
| 1.6 | “POPIA” | Protection of Personal Information Act No.4 of 2013; |
| 1.7 | “Regulator” | Information Regulator; |
| 1.8 | “Republic” | Republic of South Africa; and |
| 1.9 | “Wauko” | The Wauko group of companies ¹ |

2. PURPOSE OF PAIA MANUAL

This PAIA Manual is useful for the public to-

- 2.1 check the categories of records held by a body which are available without a person having to submit a formal PAIA request;
- 2.2 have a sufficient understanding of how to make a request for access to a record of the body, by providing a description of the subjects on which the body holds records and the categories of records held on each subject;

¹ The Wauko group of companies consist of WauComply (Pty) Ltd, WauFM (Pty) Ltd, WauTreasury (Pty) Ltd, Wauko (Pty) Ltd, WauRentals (Pty) Ltd, WauTech (Pty) Ltd and WauPerform (Pty) Ltd.

- 2.3 know the description of the records of the body which are available in accordance with any other legislation;
- 2.4 access all the relevant contact details of the Information Officer and Deputy Information Officer who will assist the public with the records they intend to access;
- 2.5 know the description of the guide on how to use PAIA, as updated by the Regulator and how to obtain access to it;
- 2.6 know if the body will process personal information, the purpose of processing of personal information and the description of the categories of data subjects and of the information or categories of information relating thereto;
- 2.7 know the description of the categories of data subjects and of the information or categories of information relating thereto;
- 2.8 know the recipients or categories of recipients to whom the personal information may be supplied;
- 2.9 know if the body has planned to transfer or process personal information outside the Republic of South Africa and the recipients or categories of recipients to whom the personal information may be supplied; and
- 2.10 know whether the body has appropriate security measures to ensure the confidentiality, integrity and availability of the personal information which is to be processed.

3. KEY CONTACT DETAILS FOR ACCESS TO INFORMATION OF WAUKO

3.1. Chief Information Officer

Name: Pieter van As le Roux
Tel: 021 882 8033
Email: pleroux@wauko.com
Fax number: 086 605 9171

3.2. Deputy Information Officer

Name: Marianne Mokken
Tel: 021 882 8033
Email: mmokken@wauko.com
Fax number: 086 605 9171

3.3 Access to information general contacts

Email: compliance@wauko.com

3.4 National or Head Office

Postal Address: PO Box 180,
Stellenbosch, 7599

Physical Address: Unit 2, Devonbosch Estate,
Bottelary Road, Koelenhof
Stellenbosch, 7600

Telephone: 021 882 8033

Email: pleroux@wauko.com

Website: www.wauko.com

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

- 4.1. The Regulator has, in terms of section 10(1) of PAIA, as amended, updated and made available the revised Guide on how to use PAIA ("Guide"), in an easily comprehensible form and manner, as may reasonably be required by a person who wishes to exercise any right contemplated in PAIA and POPIA.
- 4.2. The Guide is available in each of the official languages and in braille.

- 4.3. The aforesaid Guide contains the description of-
- 4.3.1. the objects of PAIA and POPIA;
 - 4.3.2. the postal and street address, phone and fax number and, if available, electronic mail address of-
 - 4.3.2.1. the Information Officer of every public body, and
 - 4.3.2.2. every Deputy Information Officer of every public and private body designated in terms of section 17(1) of PAIA² and section 56 of POPIA³;
 - 4.3.3. the manner and form of a request for-
 - 4.3.3.1. access to a record of a public body contemplated in section 11⁴; and
 - 4.3.3.2. access to a record of a private body contemplated in section 50⁵;
 - 4.3.4. the assistance available from the IO of a public body in terms of PAIA and POPIA;
 - 4.3.5. the assistance available from the Regulator in terms of PAIA and POPIA;

² Section 17(1) of PAIA- *For the purposes of PAIA, each public body must, subject to legislation governing the employment of personnel of the public body concerned, designate such number of persons as deputy information officers as are necessary to render the public body as accessible as reasonably possible for requesters of its records.*

³ Section 56(a) of POPIA- *Each public and private body must make provision, in the manner prescribed in section 17 of the Promotion of Access to Information Act, with the necessary changes, for the designation of such a number of persons, if any, as deputy information officers as is necessary to perform the duties and responsibilities as set out in section 55(1) of POPIA.*

⁴ Section 11(1) of PAIA- *A requester must be given access to a record of a public body if that requester complies with all the procedural requirements in PAIA relating to a request for access to that record; and access to that record is not refused in terms of any ground for refusal contemplated in Chapter 4 of this Part.*

⁵ Section 50(1) of PAIA- *A requester must be given access to any record of a private body if-*

- a) *that record is required for the exercise or protection of any rights;*
- b) *that person complies with the procedural requirements in PAIA relating to a request for access to that record; and*
- c) *access to that record is not refused in terms of any ground for refusal contemplated in Chapter 4 of this Part.*

- 4.3.6. 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-
- 4.3.6.1. an internal appeal;
 - 4.3.6.2. a complaint to the Regulator; and
 - 4.3.6.3. 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;
- 4.3.7. the provisions of sections 14⁶ and 51⁷ requiring a public body and private body, respectively, to compile a manual, and how to obtain access to a manual;
- 4.3.8. the provisions of sections 15⁸ and 52⁹ providing for the voluntary disclosure of categories of records by a public body and private body, respectively;
- 4.3.9. the notices issued in terms of sections 22¹⁰ and 54¹¹ regarding fees to be paid in relation to requests for access; and
- 4.3.10. the regulations made in terms of section 92¹².

⁶ Section 14(1) of PAIA- The information officer of a public body must, in at least three official languages, make available a manual containing information listed in paragraph 4 above.

⁷ Section 51(1) of PAIA- The head of a private body must make available a manual containing the description of the information listed in paragraph 4 above.

⁸ Section 15(1) of PAIA- The information officer of a public body, must make available in the prescribed manner a description of the categories of records of the public body that are automatically available without a person having to request access

⁹ Section 52(1) of PAIA- The head of a private body may, on a voluntary basis, make available in the prescribed manner a description of the categories of records of the private body that are automatically available without a person having to request access

¹⁰ Section 22(1) of PAIA- The information officer of a public body to whom a request for access is made, must by notice require the requester to pay the prescribed request fee (if any), before further processing the request.

¹¹ Section 54(1) of PAIA- The head of a private body to whom a request for access is made must by notice require the requester to pay the prescribed request fee (if any), before further processing the request.

¹² Section 92(1) of PAIA provides that –“The Minister may, by notice in the Gazette, make regulations regarding-

- (a) any matter which is required or permitted by this Act to be prescribed;
- (b) any matter relating to the fees contemplated in sections 22 and 54;
- (c) any notice required by this Act;

4.4. Members of the public can inspect or make copies of the Guide from the offices of the public and private bodies, including the office of the Regulator, during normal working hours.

4.5. The Guide can also be obtained-

4.5.1. upon request to the Information Officer;

4.5.2. from the website of the Regulator (<https://www.inforegulator.org.za>).

4.6 A copy of the Guide is also available in the following two official languages, for public inspection during normal office hours-

4.6.1 English

4.6.2 Afrikaans

5. CATEGORIES OF RECORDS OF WAUKO WHICH ARE AVAILABLE WITHOUT A PERSON HAVING TO REQUEST ACCESS

Category of records	Types of the Record	Available on Website	Available upon request
Public Affairs	Company Profile	X	X
	Public Company Information	X	X
	Website Information	X	

(d) uniform criteria to be applied by the information officer of a public body when deciding which categories of records are to be made available in terms of section 15; and

(e) any administrative or procedural matter necessary to give effect to the provisions of this Act.”

6. DESCRIPTION OF THE RECORDS OF WAUKO WHICH ARE AVAILABLE IN ACCORDANCE WITH ANY OTHER LEGISLATION

Category of Records	Applicable Legislation
Privacy Policy	Protection of Personal Information Act 4 of 2013
PAIA Manual	Promotion of Access to Information Act 2 of 2000
FSCA License Certificate Conflict of Interest Management Policy Complaints Management Policy	Financial Advisory and Intermediary Act 37 of 2002 and subordinate legislation

7. DESCRIPTION OF THE SUBJECTS ON WHICH WAUKO HOLDS RECORDS AND CATEGORIES OF RECORDS HELD ON EACH SUBJECT BY WAUKO

Subjects on which the body holds records	Categories of records
Finance	<ul style="list-style-type: none"> - Bank statements - Budgets - Management accounts - Asset register - Debtor and creditor's list - Invoices - Financial statements - UIF records - VAT records - PAYE records
Human Resources	<ul style="list-style-type: none"> - HR policies and procedures - Advertised posts - Information of prospective employees

Subjects on which the body holds records	Categories of records
	<ul style="list-style-type: none"> - Employees contracts - Training registers and material - Payroll records - Disciplinary records - Leave records - Emergency contact details
Information Technology	<ul style="list-style-type: none"> - Computer Software Agreements - Support and Maintenance Agreements
Risk and compliance	<ul style="list-style-type: none"> - Policies and procedures - Risk registers - FSCA requirements - FICA requirements
Statutory records	<ul style="list-style-type: none"> - Company registration documents - Shareholder register - Minutes of meetings - Records of changes to registration information

8. PROCESSING OF PERSONAL INFORMATION

8.1 Purpose of Processing Personal Information

Wauko will collect personal information directly from the data subject, and process it in the course of providing services, and in conducting general communication, including in the course of applying for employment with us.

In addition, information will be collected from data subjects when they visit our website or any of our social media platforms, and when the data subject subscribes to any of our publications.

In compliance with Regulations issued in terms of the Disaster Management Act, we will also collect certain information from data subjects when they visit our office.

8.2 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
Clients (Individuals)	Name, surname, identity number or passport number, date of birth, age, marital status, citizenship, telephone numbers, email address, physical and postal addresses, income tax number, financial information, banking information including account numbers, FICA documentation, employment status, health information.
Client (Legal entities)	Entity name, registration number, tax-related information, contact details for representatives, banking information including account numbers, FICA documentation.
Directors	Names, identity numbers, FICA documentation, contact details, biometric data.
Service Providers	Names, registration number, VAT numbers, contact details, addresses, payment details (including bank account details and invoices), contractual agreements.
Employees / potential employees	Name, surname, identity number, contact details, physical and postal address, date of birth, age, marital status, gender, race, disability, employment history, criminal background checks, CVs, education history, banking details, income tax reference number, remuneration and benefit information, health information, details related to employee performance, disciplinary procedure information, biometric data.

8.3 The recipients or categories of recipients to whom the personal information may be supplied

<p>Category of personal information</p>	<p>Recipients or Categories of Recipients to whom the personal information may be supplied</p>
<p><u>Client (Individual)</u> Name, surname, identity number or passport number, date of birth, age, marital status, citizenship, telephone numbers, email address, physical and postal addresses, income tax number, financial information, banking information including account numbers, FICA documentation, employment status.</p> <p><u>Client (Legal entity)</u> Entity name, registration number, tax-related information, contact details for representatives, banking information including account numbers, financial information, FICA documentation.</p>	<p>Financial Intelligence Centre Financial Sector Conduct Authority Information Regulator of South Africa Moonstone Compliance (Pty) Ltd</p>
<p><u>Employees</u> Name, surname, identity number, contact details, physical and postal address, date of birth, age, marital status, gender, race, disability, employment history, criminal background checks, CVs, education history, banking details, income tax reference number, remuneration</p>	<p>Financial Sector Conduct Authority Clients South African Revenue Services Moonstone Compliance (Pty) Ltd Multiform Human Development (Pty) Ltd</p>

Category of personal information	Recipients or Categories of Recipients to whom the personal information may be supplied
and benefit information, health information, details related to employee performance, disciplinary procedure information, biometric data.	
Identity number and names, for criminal checks	South African Police Services
Qualifications, for qualification verifications	South African Qualifications Authority
Credit and payment history, for credit information	Credit Bureaus

8.4 Planned transborder flows of personal information

Wauko may transfer the personal information of clients to service providers.

The categories of personal information that can be transferred is as follows:

Category of personal information	Recipients or Categories of Recipients to whom the personal information may be supplied
<u>Client (Individual)</u> Name, surname, identity number or passport number, date of birth, age, marital status, citizenship, telephone numbers, email address,	Service providers

Category of personal information	Recipients or Categories of Recipients to whom the personal information may be supplied
<p>physical and postal addresses, income tax number, financial information, banking information including account numbers, FICA documentation, employment status.</p> <p><u>Client (Legal entity)</u></p> <p>Entity name, registration number, tax-related information, contact details for representatives, banking information including account numbers, financial information, FICA documentation.</p>	

8.5 General description of Information Security Measures to be implemented by the responsible party to ensure the confidentiality, integrity and availability of the information

Personal Information should be kept secure against the risk of loss, unauthorised access, interference, modification, destruction or disclosure. The Responsible Party is required to secure the integrity of personal information by taking appropriate, reasonable technical and organisational measures to prevent loss, damage, unauthorised access and unlawful access or processing of Personal Information. For this purpose, Wauko uses password protection, data encryption and anti-virus software to ensure the confidentiality and integrity of personal information.

9. AVAILABILITY OF THE MANUAL

9.1 A copy of the Manual is available-

9.1.1 On www.wauko.com;

9.1.2 head office of Wauko for public inspection during normal business hours;

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

9.1.4 to the Information Regulator upon request.

9.2 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.

10. UPDATING OF THE MANUAL

The board of directors of Wauko will on a regular basis update this manual.

Issued by

Pieter van As le Roux
Director