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PAIA MANUAL
Prepared in terms of Section 51 of the
Promotion of Access to Information Act 2 of
2000 (as amended)

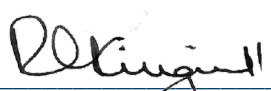


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1. List of Abbreviations and Acronyms

DIO	-	Deputy Information Officer
IO	-	Information Officer
MD	-	Managing Director
PAIA	-	Promotion of Access to Information Act No.2 of 2000 (as Amended)
POPIA	-	Protection of Personal Information Act No.4 of 2013
Regulator	-	Information Regulator
Republic	-	Republic of South Africa
SAHRC	-	SA Human Rights Commission
Umvoto	-	Umvoto Africa (Pty) Ltd and Umvoto South Africa (Pty) Ltd

2. PREAMBLE

This Manual is published in terms of Section 51 of the Promotion of Access to Information Act No. 2 of 2000 (Act No. 2 of 2000) (“The Act”). The Act gives effect to the provisions of Section 32 of the Constitution and requires that Umvoto Africa (Pty) Ltd and Umvoto South Africa (Pty) Ltd (hereafter Umvoto) as a private body compiles a manual giving information to the public regarding the procedure to be followed in requesting information from us for the purpose of exercising or protecting rights.

This manual applies to Umvoto Africa (Pty) Ltd Registration number: 2001/013609/07 and Umvoto South Africa (Pty) Ltd Registration number: 2017/377090/07.

3. OVERVIEW

Umvoto Africa (Pty) Ltd and Umvoto South Africa (Pty) Ltd, more commonly simply referred to as “Umvoto” was founded primarily as a water resource development and management consultancy with particular emphasis on groundwater. The companies have been active in the Western Cape region since 1992. Umvoto’s core expertise is founded on an unrivalled understanding of the plate tectonics and other geological features involved in the formation of deep aquifers, and in the development of models for the sustainable extraction of water from these aquifers.

Umvoto has subsequently expanded into other earth science areas and is now active in contamination/remediation studies and geoinformatics based on its in-house GIS capability. In addition, the company is involved in environmental risk management and Georisk Prevention studies to evaluate the risks associated with natural disasters such as earthquakes, flooding, landslides, and to determine measures that can be implemented to reduce the risks identified.

Umvoto has compiled this manual, not only to comply with the provisions of the Act, but also to foster a culture of transparency and accountability in our environment and to ensure that members of the public have effective access to information in our possession which will assist them in the exercise and protection of their rights.

4. KEY CONTACT DETAILS FOR ACCESS TO INFORMATION

4.1. Chief Information Officer

Name: Kornelius Riemann
Tel: 201 709 6700
Email: kornelius@umvoto.com

4.2. Access to information general contact

Email: kornelius@umvoto.com

4.3. Company Details

Full names: Umvoto Africa (Pty) Ltd and Umvoto South Africa (Pty) Ltd

Registration Number: 2001/013609/07 Umvoto Africa (Pty)

Registration Number: 2007/377090/07 Umvoto South Africa (Pty) Ltd

Registered Address: 8 Beach Road
Muizenberg, 7950
Cape Town, South Africa

Postal address: P.O. Box 61
Muizenberg, 7950
Cape Town, South Africa

Physical address: 8 Beach Road, Muizenberg, 7945
Cape Town, South Africa

Telephone: +27 21 709 6700

Managing Director: Dr Kornelius Riemann (Umvoto South Africa (Pty) Ltd)

Managing Director: R Kingwill (Umvoto Africa (Pty) Ltd)

Email: amanzi@umvoto.com

Website: www.umvoto.com

5. THE OFFICIAL GUIDE

Section 10 of the Act requires the South African Human Rights Commission (SAHRC) to publish a Guide containing information reasonably required by a person wishing to exercise or protect any right in terms of this Act.

Enquiries regarding the Guide can be addressed to the SAHRC, the contact details of which are as follows:

South African Human Rights Commission
Promotion of Access to Information Act Unit
Research and Documentation Department
Private Bag 2700
Houghton
2041

Telephone: (011) 484-8300

Fax: (011) 484-0582

Website: www.sahrc.org.za

E-mail: PAIA@sahrc.org.za

6. PURPOSE OF PAIA MANUAL

This PAIA Manual is useful for the public to-

- a) Check the categories of records held by a body which are available without a person having to submit a formal PAIA request.
- b) 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.
- c) Know the description of the records of the body which are available in accordance with any other legislation.
- d) 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.
- e) Know the description of the guide on how to use PAIA, as updated by the Regulator and how to obtain access to it.
- f) 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.
- g) Know the description of the categories of data subjects and of the information or categories of information relating thereto.
- h) Know the recipients or categories of recipients to whom the personal information may be supplied.
- i) 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
- j) Know whether the body has appropriate security measures to ensure the confidentiality, integrity and availability of the personal information which is to be processed.

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

- a) 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. The Guide is available in English.
- b) The aforesaid Guide contains the description of
 - 1) the objects of PAIA and POPIA.
 - 2) the postal and street address, phone and fax number and, if available, electronic mail address of the Information Officer of every public body, and every Deputy Information

Officer of every public and private body designated in terms of section 17(1) of PAIA¹ and section 56 of POPIA²;

- c) the manner and form of a request for:
 - 1. access to a record of a public body contemplated in section 11³; and
 - 2. access to a record of a private body contemplated in section 50⁴;
- d) the assistance available from the IO of a public body in terms of PAIA and POPIA
- e) the assistance available from the Regulator in terms of PAIA and POPIA
- f) 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:
 - an internal appeal
 - a complaint to the Regulator; and
 - 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
- g) the provisions of sections 14⁵ and 51⁶ requiring a public body and private body, respectively, to compile a manual, and how to obtain access to a manual.
- h) the provisions of sections 15⁷ and 52⁸ providing for the voluntary disclosure of categories of

¹ 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.*

² 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.*

³ 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.*

⁴ 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.*

⁵ 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.*

⁶ 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.*

⁷ 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*

⁸ 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*

records by a public body and private body, respectively.

- i) the notices issued in terms of sections 22⁹ and 54¹⁰ regarding fees to be paid in relation to requests for access; and
- j) the regulations made in terms of section 92¹¹.
- k) 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.
- l) The Guide can also be obtained-
 - i. upon request to the Information Officer
 - ii. from the website of the Regulator (<https://www.justice.gov.za/inforeq/>).
- m) A copy of the Guide is also available in English, for public inspection during normal office hours.
- n) In order to ensure that the provision of reasonable access to our records the below prescribed forms are uploaded on our website (www.umvoto.com) in accordance with section 83(3)(d) of PAIA.
 - Form 02: [Request for Access to Record](#) [Regulation 7]- Public & Private Bodies.
 - Form 03: [Outcome of request and of fees payable](#) [Regulation 8]- Public & Private Bodies.

8. CATEGORIES OF RECORDS OF UMVOTO AFRICA (PTY) LTD WHICH ARE AVAILABLE WITHOUT A PERSON HAVING TO REQUEST ACCESS

The following categories of records are automatically available for inspection, purchase, or photocopying. In other words, you do not need to request this information in terms of the Promotion of Access to Information Act.

the categories of records of the private body that are automatically available without a person having to request access

⁹ 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.*

¹⁰ 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.*

¹¹ 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;*
- (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.”*

- a) Newsletters.
- b) Booklets.
- c) Pamphlets / Brochures.
- d) Reports.
- e) Posters.
- f) Other literature intended for public viewing.

9. DESCRIPTION OF THE RECORDS OF UMVOTO AFRICA (PTY) LTD WHICH ARE AVAILABLE IN ACCORDANCE WITH ANY OTHER LEGISLATION

Where applicable to our operations, information is also available in terms of certain provisions of the following statutes:

Category of Records	Applicable Legislation
Basic Conditions of Employment Act	Employment Act No. 75 of 1997
Companies Act	Act No. 61 of 1973
Compensation for Occupational Injuries and Diseases	Act No. 130 of 1993
Employment Equity	Act No. 55 of 1998
Income Tax	Act No. 58 of 1962
Labour Relations	Act No. 66 of 1995
Memorandum of incorporation	Companies Act 71 of 2008
National Environmental Management	Act No. 107 of 1998
National Water	Act No. 36 of 1998
Occupational Health and Safety	Act No. 85 of 1993
PAIA Manual	Promotion of Access to Information Act 2 of 2000
Unemployment Insurance	Act No. 63 of 2001
Value-added Tax	Act No. 89 of 1991

10. DESCRIPTION OF THE SUBJECTS RECORDS AND CATEGORIES OF RECORDS HELD ON EACH SUBJECT BY UMVOTO

Subjects on which the body holds records	Categories of records
Strategic Documents, Plans, Proposals	Annual Reports, Strategic Plan, Annual Performance Plan.
Human Resources	<ul style="list-style-type: none"> - HR policies and procedures - Advertised posts - Statutory Employee records (see paragraph 10.1 below) - Other Employee records (see paragraph 10.2 below) - Environmental Health and Safety (see paragraph 10.3 below)
Statutory Company Information	<ul style="list-style-type: none"> - Certificate of Incorporation - Memorandum and Articles of Association - Minute Book, CM25 and CM26, as well as Resolutions passed at general/class meetings - Register of Members - Register of Mortgages and Debentures and Fixed Assets - Register of shareholdings - Annual Financial Statements including: <ul style="list-style-type: none"> a) Annual accounts b) Directors' reports c) Auditor's report. - Books of Account regarding information required by the Companies Act, 1973; - Accounting records <ul style="list-style-type: none"> a) Books of Account including journals and ledgers b) Purchase orders, invoices, statements, receipts.
Assets	<ul style="list-style-type: none"> - Fixed Property <ul style="list-style-type: none"> a) Title deeds b) Leases c) Building Plans

Subjects on which the body holds records	Categories of records
	<ul style="list-style-type: none"> d) Mortgage Bonds or other encumbrances to fixed property - Movable Property <ul style="list-style-type: none"> a) Asset register b) Finance and Lease Agreements c) Notarial Bonds d) Deeds of Pledge - Intellectual Property <ul style="list-style-type: none"> a) Patents, patent applications and inventions b) Trademarks, trade names and protected names c) Copyrights d) Agreements relating to intellectual property such as licence agreements, secrecy agreements, research and development agreements, consulting agreements, use agreements, joint venture agreements and joint development agreements e) Litigation and other disputes involving intellectual property.
Agreements and contracts	<ul style="list-style-type: none"> a) Joint venture agreements, partnership agreements, participation, or other alliance agreements b) Agreements with shareholders, officers or directors c) Acquisition or disposal documentation d) Agreements with contractors and suppliers e) Agreements with customers f) Warranty agreements g) Sale agreements h) Agency agreements i) Restraint agreements j) Agreements with governmental agencies

Subjects on which the body holds records	Categories of records
	k) Purchase or lease agreements.
Taxation	Copies of all Income Tax Returns and other tax returns and documents
Legal	<ul style="list-style-type: none"> a) Complaints, pleadings, briefs and other documents pertaining to any actual, pending or threatened litigation, arbitration or investigation. b) Settlement agreements c) Material licences, permits and authorisations
Insurance	<ul style="list-style-type: none"> a) Insurance policies b) Claim records c) Details of insurance coverages, limits and insurers.
Information Technology	<ul style="list-style-type: none"> a) Hardware b) Operating Systems c) Telephone Exchange Equipment d) Telephone Lines, Leased Lines and Data Lines e) LAN Installations f) Software Packages g) Disaster Recovery h) Internal Systems Support and Programming / Development i) Capacity and Utilization of Current Systems j) Development or Investment Plans k) Agreements l) Licenses m) Audits.
Services and Marketing	<ul style="list-style-type: none"> a) Services b) Markets c) Customers d) Brochures, Newsletters and Advertising Materials

10.1. Statutory Employee Records

Umvoto holds records of the following statutory employee records:

- a) Employees' names and occupations
- b) Time worked by each employee.
- c) Remuneration paid to each employee.
- d) Date of birth of each employee
- e) Salaries register.
- f) Attendance register
- g) Employment equity plan
- h) Salary and wages register.
- i) Records of foreign employees
- j) Arbitration awards
- k) Determinations made in terms of the Wage Act
- l) Training records
- m) Staff records (after date of employment ceases)
- n) Expense accounts
- o) Tax returns of employees

10.2. Other Employee Records

Umvoto holds the following "other employee records"

- a) Employee contracts
- b) Incentive schemes
- c) Staff loan schemes
- d) Study assistance schemes
- e) Maternity leave policy
- f) Paternity leave policy
- g) Disability scheme
- h) Group personal accident
- i) Group life
- j) Micro loan scheme
- k) Code of conduct.

10.3. Environmental Health and Safety

Umvoto holds the following environmental, health and safety records.

- a) Municipal records of water consumption
- b) Permits, licences, approvals and registrations for operations of sites and business

- c) Emergency response plans

11. Procedure for requesting access to the above information

In order to ensure that the provision of reasonable access to our records the below prescribed forms are uploaded on our website (www.umvoto.com) in accordance with section 83(3)(d) of PAIA.

- Form 02: [Request for Access to Record](#) [Regulation 7]- Public & Private Bodies.
- Form 03: [Outcome of request and of fees payable](#) [Regulation 8]- Public & Private Bodies.

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.

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. You will be notified in the manner indicated by you on the request form whether your request has been approved.

12. PROCESSING OF PERSONAL INFORMATION

12.1. Purpose of Processing Personal Information

In terms of Section 9 of POPIA, personal information may be processed if given the purpose for which it is processed, it is adequate and not excessive.

Consequently, Umvoto collects personal information for the following reason:

- a) Personal information is collected for human resources and financial purposes, and
- b) contractual relationships with third-party service providers

Personal information will only be used for purposes for which it was collected and intended. This includes:

- For audit and record keeping purposes
- Disciplinary processes
- Employee contracts
- Employee personal information is used to establish, manage and terminate employment; and
- Service provider contracts

13. 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
Employees personal information	Name, address, phone number, marital status, date of birth, race, gender, next of kin, doctors name, spouse/partner information, curriculum vitae, letters of reference, academic information and records, salary information, criminal records, email addresses, usage data, professional membership certificates, income tax reference numbers, etc.
Records of experience in the natural science profession	Copies of Qualifications, Referee and mentor details, Professional membership certificates, Income tax reference numbers
Public	Names, telephone numbers, Company from which the visitor comes from, Email address, identity numbers, Physical addresses, Email correspondence, Proof of payments, Personal information used on Service level agreements and Service provider personal information
Supplier and service providers records	Supplier registrations, contracts, confidentiality agreements and non-disclosure agreements, communications, logs, delivery records, commissioned work and similar information, some of which might be provided to us by such suppliers and providers under service- and other contacts, names, Technical records which include manuals, logs, electronic and cached information, product registrations, product dossiers, statutory body records, approvals, conditions and requirements, trade association information and similar product information, registration number, vat numbers, address, trade secrets and bank details

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

Category of personal information	Recipients or Categories of Recipients to whom the personal information may be supplied
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

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

All personal information is stored in locked cabinets on the office premises in hard copy. Access to these records are limited to the Directors and pre-approved administrative and HR staff. Anti-virus and anti-malware software managed by Absolute Solutions protects any digitally stored information. Access to these is limited base don personnel user rights delegated by the Directors.

14. AVAILABILITY OF THE MANUAL

A copy of the Manual is available:

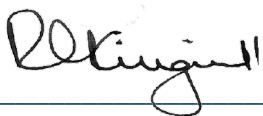
- At the head office of the Umvoto for public inspection during normal business hours.
- to any person upon request and upon the payment of a reasonable prescribed fee; and
- to the Information Regulator upon request.

A fee for a copy of the Manual shall be payable per each A4-size photocopy made.

9. UPDATING OF THE MANUAL

The QMS Manager of Umvoto will on a regular basis update this manual.

Issued by



**Umvoto Africa (Pty) Ltd
Ronnie Kingwill**



**Umvoto South Africa (Pty) Ltd
Kornelius Riemann**