



**PROMOTION OF ACCESS TO INFORMATION ACT (PAIA)
MANUAL**

TABLE OF CONTENTS

1. ABOUT THIS MANUAL	3
2. OUR DETAILS.....	3
3. INFORMATION OFFICER AND DEPUTY INFORMATION OFFICER(S).....	4
3.1. Information officer	4
4. THE INFORMATION AND CATEGORIES OF RECORDS WE HOLD	4
5. PROTECTION OF PERSONAL INFORMATION	7
1. Members and Clients.....	7
2. Directors	7
5.1. Categories of data subjects, categories of information, and the purposes for which information is collected and used	7
5.2. Who receives personal information	8
5.3. Cross-border flows of information	8
5.4. Information security measures	8
6. RECORDS THAT ARE AUTOMATICALLY AVAILABLE	9
7. RECORDS AVAILABLE IN TERMS OF OTHER LEGISLATION	9
8. HOW TO make an access request	11
9. Outcome of your access request and fees payable.....	11
10. Reasons why we may refuse your request.....	12
11. If we cannot find a record	12

1. ABOUT THIS MANUAL

If you need access to information, this manual will provide you with the necessary contact details and procedures to ask us for that information. It provides a clear overview of the structure, functions, services, and index of information we hold to help identify where the required information could be. It also provides the forms you need to complete and sets out the fees you may need to pay before assisting you. Our information officer or deputy information officer may update this manual from time to time.

You can access a copy of this manual:

- on our website [link](#) or
- request that a copy is sent to you by emailing enquiries@compiancesa.com or
- at our offices located at Grayston Ridge Office Park, Lower Ground Floor, 144 Katherine Street, Sandton, 2146; kindly call before coming to our offices to confirm that someone is onsite (011) 642 7974.

2. OUR DETAILS

The Compliance Institute Southern Africa is the recognised, independent professional body for the compliance profession and sets, maintains and promotes best practice standards for the compliance profession by facilitating professional development and accreditation for its members.

Address : Grayston Ridge Office Park Block B, Lower Ground Floor Office 144 Katherine Street, Sandton, Gauteng 2146

Phone : (011) 642 7974

Website : <https://compiancesa.com/>

3. INFORMATION OFFICER AND DEPUTY INFORMATION OFFICER(S)

Our information officer and deputy information officer will tend to your PAIA request.

3.1. Information officer

The CEO is our Information Officer.

Name and surname	Rianné Potgieter
Physical Address	Grayston Ridge Office Park Block B, Lower Ground Floor Office 144 Katherine Street, Sandton, Gauteng 2146
Phone	011 642 7974
E-mail	rianne@compliancesa.com

4. THE INFORMATION AND CATEGORIES OF RECORDS WE HOLD

Here is a description of different subjects about which we have information and the categories of records we hold for each subject:

Subject	Category of records	Availability
Statutory	Annual General Meeting Records.	Available to members at meetings and on request
	Board and Board subcommittee meeting information	Not available
	Directors personal information	Not available
	CIPC documents	Not available
	Reports to regulators such as SAQA and QCTO	Not available
	Memorandum of Incorporation	On request to Members
Education	Memorandums of Understanding with educational institutions	Not available
	Summative assessment records and results	Not available
	Skills Development Provider information	On website
	CPD providers personal information	Not available
	CPD Training List	On website
	Student personal information	Not available

Subject	Category of records	Availability
Training	Training CPD records Trainee personal information Training programmes	Not available Not available On website
Events	Participant personal information Event details CPD	Not available On website Not available
Professionalism	Designation applicant personal information Exam Exam Exemplar questions Billing Details, Attendance registers, CPD certificates Portfolio of Evidence Designation Certificate Mentorship Framework Mentorship plan and roadmap Mentorship reporting from mentees and mentors	Record not available Not available Available to registrants Not available Not available Not available Not available Available to holder On Website Not available Not available
Service providers and prospective service providers	Application information Personal information Agreements Accounting records Product and services information	Not available Not available Not available Not available Not available
Policy and Procedures	CPD Policies Finance Terms and Conditions Membership Terms and Conditions Disciplinary Policies and Procedures Membership Policies List of Internal Policies	On website On website On website On website On website On request
Client and membership records	Personal Information Academic Information CV and Employment information Client feedback and surveys Accounting information	Not available Not available Not available Not available Not available

Subject	Category of records	Availability
Human resources	HR Policies and procedures Employee records, such as Disciplinary Records, Tax, contracts, leave, performance, etc Payroll records Sector Education and Training Authority Records Recruitment Details such as Applications, CV's, Evaluation forms & reports, etc. Conflict of Interest Declarations and Forms	Not available Not available Not available Not available Not available Not available
Finances	Financial statements Financial and tax records Asset register Management accounts BBBEE Affidavit Products and Services pricing Calculations Budget planning, analysis and reporting	On request Not available Not available Not available On request On request & on website Not available Not available
IT, Admin & Communications	Emails & attachments Social Media posts Correspondence Newsletter distribution with subscribed email addresses Branding, templates and images Complaints & Compliments Complaints & Compliments Form	Not available On social media Not available To recipients only Not available Not available On website

5. PROTECTION OF PERSONAL INFORMATION

Our company uses personal information to deliver our services and ensure our operations run smoothly. You can find more information about how we use personal information in our privacy notices available on our website <https://compliancesa.com/resources/library>.

Our privacy notices cover:

1. Members and Clients
2. Directors

5.1. Categories of data subjects, categories of information, and the purposes for which information is collected and used

Here is a description of the categories of data subjects whose information we collect and the categories of information we collect and use.

Categories of data subjects	Categories of information we collect and use	Why we collect and use the information
Employees and prospective employees	Personal, work, banking, tax, photographs	Employment due diligence and onboarding processes
Clients and members	Personal, banking, employment, race, academic, attendance	Deliver products and services, BBBEE rating, reporting for SAQA designations Processing of event registrations & attendance certificates
Board members	Personal, work, banking, tax, photographs	Governance & BBBEE rating
Vendors, Service Providers and Volunteers	Personal or company, banking, tax compliance, certifications, photographs & Bios	Due diligence & Transactional purposes for the receipt of services Also for marketing and advertising (where necessary)

5.2. Who receives personal information

We share personal information with:

Category of personal information	Recipients or categories of recipients
Members Identity numbers and names for criminal checks	Verification agencies
Employee Name, ID, vehicle details	Landlord for access
Member and client contact details	Bulk email provider, CRM provider, CPD system provider, internal auditors
Conference & special event registrants name and email	IFCA and event organisers, event system providers, internal auditors
Mentee application form, CV	Mentor
Board Nominees CV	Members for board election
Exam applications and papers	Exam assessor and moderators
Employees Info	SARS, Dept of Labour, internal auditors
Examinee information & results	QCTO
Designation holders' personal information	SAQA

5.3. Cross-border flows of information

We may share personal information with parties that are outside the borders of South Africa:

- CRM provider
- Bulk Mail provider
- international examination bodies
- international conference providers,
- when a person uses PrivySeal for live electronic confirmation of a members' professional designation status
- cloud services provider

5.4. Information security measures

We have implemented appropriate, reasonable, technical, and organisational measures to secure the integrity, availability and confidentiality of personal information.

6. RECORDS THAT ARE AUTOMATICALLY AVAILABLE

The following categories of records are automatically available:

Category of records	Types of records	Available on our website	Available on request
Marketing and promotional information	Brochures, pricing, training outlines, event information, Bios of training/event facilitators	Yes	
Membership benefits	Benefit information & terms and conditions of membership	Yes	
Financial terms and conditions	Terms and conditions, cancellation policies	Yes	
Member policies	Disciplinary, appeals, CPD, terms of use of Designation	Yes	
Committees	Terms of Reference		Yes
Company information	Contact details, photographs of Staff	Yes	
Company Information	Directors' names and photographs	yes	
Letters of Good standing, SARS, BBBEE	Company registration and related documents		Yes
Financial Reporting	Audited Financial Statements		Yes

7. RECORDS AVAILABLE IN TERMS OF OTHER LEGISLATION

We are required to keep certain records in terms of the below legislation:

Name of legislation	Description of records available
Income Tax Act 58 of 1962	Tax clearance certificate, tax return, PAYE records, IRP5s of employees
Value Added Tax Act No. 89 of 1991	tax invoices, debit notes, credit notes, bank statements, deposit slips, stock lists and paid cheques which backup VAT calculations
Companies Act 71 of 2008	copy of Memorandum of Incorporation, record of directors, copies of reports presented at annual general meetings, annual financial statements, copies of accounting records in an official language; notices and minutes of all shareholder meetings including resolutions, copies of any written communications to holders of

Name of legislation	Description of records available
	any class of securities and minutes of all meetings and resolutions of directors, directors' committees, or audit committee
Employment Equity Act 55 of 1998	employment equity plans, employment equity declarations made by each employee in terms of Department of Labour Form EEA1
Labour Relations Act 66 of 1995	collective agreements, arbitration awards and other determinations made in relation to employee terms
Immigration Act 13 of 2002	copies of passports, work permits/VISAs, records relating to the termination of employment of a foreigner and any breach of the foreigner's status
Promotion of Access to Information Act 2 of 2000	PAIA Manual
SAQA, NQF Act 67 of 2008	<p>Professional body recognition certification and supporting documentation as it relates to company information, directors and members.</p> <p>Designations: Designation holder's personal, demographic, disability, academic records. Exam paper & results packs, NLRD records and annual reporting, CPD compliance records, Disciplinary action records.</p> <p>CPD recognition register & applications.</p> <p>CPD certificates and attendance registers.</p> <p>Disciplinary Action proceedings & outcomes.</p>
QCTO DQP and AQP SLA's	<p>Examinees' personal, employment, and academic information. Exam paper & results packs.</p> <p>Assessment Quality Partner (AQP) reporting.</p>
POPIA, Act 4 of 2013	Personal information, banking information, employment and academic information, event & training registrations,
OHS Act 85 of 1993	CEO OHS policy statement, COVID19 screening reports, OHS policy and procedures, OHS training and incident registers, emergency contact details of employees

We will only make these records available to individuals or entities authorised to request access to these records in terms of the particular legislation. Any other persons must follow the request for access of records procedure as outlined in this manual.

8. HOW TO MAKE AN ACCESS REQUEST

The Information Regulator has published a guide that introduces PAIA and describes how to request access to information. It explains when an access request may be refused and offers key references and resources. The guide is available in each official language and braille and is intended to assist you in exercising your rights to access information.

You can access the guide from the website of the Information Regulator (<https://www.justice.gov.za/infoereg/>).

To make an access request, you must use Form 2 of Annexure A of the Promotion of Access to Information Act Regulations, 2021. You can access these Regulations from the website of the Information Regulator.

9. OUTCOME OF YOUR ACCESS REQUEST AND FEES PAYABLE

Within 30 days after receiving your access request, we will decide whether to approve or deny the access request. We will notify you of our decision and explain why we approved or denied your access request.

If your access request has been approved, we will let you know the related fees and how you can pay them. You may need to pay a deposit before we process your access request.

You can read more about the fees payable in relation to access requests in Annexure B of the Promotion of Access to Information Act Regulations, 2021. You can access these Regulations from the website of the Information Regulator.

If you request large quantities of information or if we cannot reasonably obtain the information you request within the original 30 days, we might have to extend the period by another 30 days. We will notify you in writing if we require an extension.

If you do not hear from us within the 30 days stipulated above, it means that we have denied your access request in terms of section 58 of PAIA.

10. REASONS WHY WE MAY REFUSE YOUR REQUEST

The Guide to understanding PAIA, available at (<https://www.justice.gov.za/infoereg/>), sets out all the reasons why an entity may or must refuse a PAIA request. These reasons include refusal based on the grounds that the information requested will:

- compromise South Africa's defence, security and international relations;
- hamper the operations of the Compliance Institute Southern Africa;
- be unreasonably time consuming and lead to a waste of resources; or
- is manifestly frivolous or vexatious.

11. IF WE CANNOT FIND A RECORD

We will notify you with an affidavit explaining the measures we have taken to locate the record if there are records that we cannot find, despite a reasonable and diligent search. If we find the records after issuing such an affidavit, we will grant you access to the records unless we have a reason to refuse your request.