

PAIA MANUAL

Protocol Risk Managers (Pty) Ltd



**Protocol
Risk Managers**
Navigating Risk, Empowering the Future



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List of Acronyms and Abbreviations

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; and
1.8	“Republic”	Republic of South Africa

Purpose of the 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;
- 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.

Key Contact Details for Access to Information from Protocol Risk Managers

Chief Information Officer

Name: Jan Labuschagne
Tel: 021-5540910
Email: jan@protocoluma.co.za

Deputy Information Officer

Name: Brett Gunter
Tel: 021-5540910
Email: brett@protocoluma.co.za

Access to information general contacts

Email: info@protocoluma.co.za



National or Head Office

Postal Address: Unit 140, Regus Business Park,
Willowbridge Centre,
Carl Cronje Dr, Tygervalley,
Cape Town,
7530

Physical Address: Unit 140, Regus Business Park,
Willowbridge Centre,
Carl Cronje Dr, Tygervalley,
Cape Town,
7530

Telephone: 021-5540910
Email: info@protocoluma.co.za
Website: www.protocoluma.co.za

Guide on how to use PAIA and How to Obtain Access to the Guide

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.

- 4.1 The aforesaid Guide contains the description of-
- a. the objects of PAIA and POPIA;
 - i. the postal and street address, phone and fax number and, if available, electronic mail address of-
 - ii. the Information Officer of every public body, and



- iii. every Deputy Information Officer of every public and private body designated in terms of section 17(1) of PAIA and section 56 of POPIA;
- b. the manner and form of a request for-
 - i. access to a record of a public body and
 - ii. access to a record of a private body;
 - iii. the assistance available from a public body in terms of PAIA and POPIA;
 - iv. the assistance available from the Regulator in terms of PAIA and POPIA;
 - v. 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;
 - vi. a complaint to the Regulator; and
 - vii. 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;
- 4.2 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.
- 4.3 The Guide can also be obtained-
 - a. upon request to the Information Officer;
 - b. from the website of the Regulator
(<https://www.justice.gov.za/infoereg/>)

Sharing of Information

- 5.1 We may collect the following information about you:



- your name, address, contact details, date of birth, place of birth, identity number, passport number, bank details, details about your employment, tax number and financial information;
- records of correspondence or enquiries from you or anyone acting on your behalf;
- details of transactions you carry out with us;
- details of contracts and sales you carry out with us;
- sensitive or special categories of personal information, including biometric information, such as images, fingerprints and voiceprints.
- Where you provide us with the personal information of third parties you should take steps to inform the third party that you need to disclose their details to us, identifying us. We will process their personal information in accordance with this Statement.

How We Collect Information

- You may provide personal information to us either directly or indirectly (through an intermediary acting on
- our behalf or your behalf, a representative or an introducer), by completing an application for our products
- and services or requesting further information about our products and services, whether in writing, through
- our website, over the telephone or any other means.
- We may also collect your personal information from your appointed intermediary, any regulator, or other
- third party that may hold such information.



Use of Information Collected

- 7.1 We may use, transfer and disclose your personal information for the purposes of:
- 7.1.1 providing you with the services, products or offerings you have requested, and notifying you about important changes to these services, products or offerings;
 - 7.1.2 managing your policy or relationship and complying with your instructions or requests;
 - 7.1.3 detecting and preventing fraud and money laundering and/or in the interest of security and crime prevention;
 - 7.1.4 assessing and dealing with complaints and requests;
 - 7.1.5 operational, marketing, auditing, legal and record keeping requirements;
 - 7.1.6 verifying your identity or the identification of your beneficial owner;
 - 7.1.7 transferring or processing your personal information outside of the Republic of South Africa to such countries that may not offer the same level of data protection as the Republic of South Africa,
 - 7.1.8 including for cloud storage purposes and the use of any of our websites;
 - 7.1.9 complying with Applicable Laws, including lawful requests for information received from local or foreign law enforcement, government and tax collection agencies;
 - 7.1.10 recording and/or monitoring your telephone calls and electronic communications to/with Protocol Risk Managers in order to accurately carry out your instructions and requests, to use as evidence and in the interests of crime prevention;
 - 7.1.11 conducting market research and providing you with information about Protocol Risk Managers products or services from time to time via email, telephone or other means (for example, events);



- 7.1.12 where you have unsubscribed from certain direct marketing communications, ensuring that we do not sent such direct marketing to you again;
 - 7.1.13 disclosing your personal information to third parties for reasons set out in this Statement or where it is not unlawful to do so;
 - 7.1.14 monitoring, keeping record of and having access to all forms of correspondence or
 - 7.1.15 communications received by or sent from Protocol Risk Managers or any of its employees, agents or contractors,
 - 7.1.16 including monitoring, recording and using as evidence all telephone communications between you and Protocol Risk Managers; and
 - 7.1.17 Improving or evaluating the effectiveness of Protocol Risk Managers business or products, services or offerings.
- 7.2 We may from time to time contact you about services, products and offerings available from Protocol Risk Managers or specific subsidiaries which we believe may be of interest to you, by email, phone, text or other electronic means, unless you have unsubscribed from receiving such communications.

Disclosure of Your Information

Your personal information may be shared with Protocol Risk Managers subsidiaries, our intermediaries/ representatives and subcontractors, and selected third parties who process the information on our behalf.

- 8.1 We may also disclose your personal information to third parties in the following circumstances:
 - 8.1.1 To any other of Protocol Risk Managers subsidiaries or other third parties to –
 - 8.1.2 assess and monitor any of your applications for Protocol Risk Managers products or services;



- 8.1.3 determine which products and services may be of interest to you and/or
- 8.1.4 to send you information about such products and services, unless you object or choose not to receive such communications
- 8.2 to have a better understanding of your circumstances and needs to provide and improve Protocol Risk Managers products and services;
- 8.3 to any relevant person and/or entity for purposes of prevention, detection and reporting of fraud and criminal activities, the identification of the proceeds of unlawful activities and the combatting of crime;
- 8.4 to any regulator or supervisory authority, including those in foreign jurisdictions, if Protocol Risk Managers is required to do so in terms of Applicable Laws;
 - 8.4.1 to a prospective buyer or seller of any of our businesses or assets;
 - 8.4.2 to any person if we are under a duty to disclose or share your personal information in order to comply with any Applicable Laws, or to protect the rights, property or safety of Protocol Risk Managers, Clients or other third parties; and/or
 - 8.4.3 To your /intermediary or any other person acting on your behalf, an or an introducer.
- 8.5 We may transfer your information to another of Protocol Risk Managers entities, an agent/intermediary, sub-contractor or third party who carries on business in another country, including one which may not have data privacy laws similar to those of the Republic. If this happens, we will ensure that anyone to whom we pass your information agrees to treat your information with the same level of protection as if we were dealing with it.
- 8.6 If you do not wish us to disclose this information to third parties, please contact the Information Officer. We may, however, not be able to provide products or services to you if such disclosure is necessary.



Retention of Your Information

We may retain your personal information, unless you object, in which case we will only retain it if we are permitted or required to do so in terms of Applicable Laws. However, as a general rule, we will retain your information in accordance with retention periods set out in Applicable Laws, unless we need to retain it for longer for a lawful purpose. (For example, for the purposes of complaints handling, legal processes and proceedings.)

Complaints to the Information Regulator

You have the right to lodge a complaint with South Africa's Information Regulator if you believe your personal information has been processed unlawfully or if your access request under PAIA has been unfairly refused.

Contact Details:

- **Physical Address:** Woodmead North Office Park, 54 Maxwell Drive, Woodmead, Johannesburg, 2191
- **General Enquiries:** enquiries@inforegulator.org.za
010 023 5200 / 0800 017 160 (Toll Free)
- **POPIA Complaints:** POPIAComplaints@inforegulator.org.za
- **PAIA Complaints:** PAIAComplaints@inforegulator.org.za
- **Website / eServices:** inforegulator.org.za

Description of the Records Which are Available In Accordance with Legislation

NB: Please specify all the records which are created and available in accordance with any of the South African legislation.



Category of Records	Applicable Legislation
Memorandum of incorporation	Companies Act 71 of 2008
PAIA Manual	Promotion of Access to Information Act 2 of 2000

Description of the Subjects on Which the Body Holds Records and Categories of Records Held on Each Subject

Subjects on which the body holds records	Categories of records
Protocol Risk Managers	Annual Reports, Strategic Plan, Annual Performance Plan.
Human Resources	<ul style="list-style-type: none">- HR policies and procedures- Advertised posts- Employees records

Availability of the Manual

12.1 A copy of the Manual is available-

12.1.1 on www.protocoluma.co.za, if any;

12.1.2 head office of Protocol Risk Managers for public inspection during normal business hours;



- 12.1.3 to any person upon request and upon the payment of a reasonable prescribed fee; and
- 12.1.4 to the Information Regulator upon request.
- 12.2 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.

Updating of the Manual

Jan Labuschagne Managing Director of Protocol Risk Managers will on a regular basis update this manual.

Issued by

A handwritten signature in blue ink, appearing to read 'Jan Labuschagne'.

Jan Labuschagne
Managing Director