

# PROMOTION OF ACCESS TO INFORMATION ACT ("PAIA") MANUAL

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

Version No.

Approver

1.0

Information Officer



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#### 1. About PAIA

The South African Constitution entrenches the fundamental right to access of information, on request, to records held by the state as well as access to records held by private bodies.

The Promotion of Access to Information Act 2 of 2000 (PAIA or ACT), which came into effect on 9 March 2001, seeks to advance the values of transparency and accountability in South Africa and provides the mechanism for requesters to exercise and protect their constitutional right to request access to a record.

The Act establishes the following statutory rights of requesters to any record of a private body if:

- that record is required for the exercise or protection of any of his or her legal rights;
- that requester complies with all the procedural requirements; and
- · access is not refused in terms of any ground referred to in the Act.

In terms of the Act, private bodies are required to publish a manual to assist requesters who wish to request access to a record.

This PAIA Manual (Manual), also includes information on the submission of objections to the processing of personal information and requests to delete or destroy personal information or records thereof in terms of the Protection of Personal Information Act No.4 of 2013 (POPIA).

This Manual is based on the template provide by the Information Regulator at the end of 2021.

## 2. About South32 South Africa (SA)

The South32 Regional Office in Johannesburg manages the following operations in South Africa:

- Aluminium South Africa which includes the Hillside Aluminium smelter, located in Richards Bay (KwaZulu-Natal province) and is 100 per cent owned and operated by South32. Hillside Aluminium produces high-quality, primary aluminium for the domestic and export markets (Mining & processing).
- Manganese South Africa which consists of two manganese mines held by the Hotazel Manganese Mines (HMM) consortium and located in the Kalahari Basin (Mining & processing), and Metalloys in Meyerton.
- Global Business Services (GBS) that provides selected professional services to all Functions and Operations of South32.

Other Johannesburg business functions include:

- Planning & Development.
- Legal.
- · Sustainability.
- Supply.
- · Marketing.
- Finance.
- Presidency.
- Human Resources (HR).
- People Talent.
- · Technology.
- · Corporate Affairs.
- Major Projects and Studies Environment.
- · External Affairs.

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## 3. Terms and definitions

For the purposes of this document, the following terms and definitions apply:

| • •                                    |   |  |  |  |
|--|---|--|--|--|
| Abbreviation / Acronym / Term          | Meaning   |  |  |  |
| CEO                                    | Chief Executive Officer   |  |  |  |
| CIPC                                   | Companies and Intellectual Property Commission (https://www.cipc.co.za)   |  |  |  |
| C00                                    | Chief Operating Officer   |  |  |  |
| Guide                                  | Guide on how to use PAIA issued by the Information Regulator (in terms of section 10(1) of PAIA)  |  |  |  |
| IO                                     | Information Officer   |  |  |  |
| PAIA                                   | Promotion of Access to Information Act No. 2 of 2000 (as Amended)   |  |  |  |
| PAIA Manual                            | This manual prepared in terms of section 51 of the Promotion of Access to Information Act No. 2 of 2000 (as amended)  |  |  |  |
| Personal Information                   | Information relating to an identifiable, living, natural person, and where it is applicable, an identifiable, existing juristic person, including, but not limited to:  |  |  |  |
|  | <ul> <li>information relating to the race, gender, sex, pregnancy, marital status, national, ethnic or<br/>social origin, colour, sexual orientation, age, physical or mental health, well-being, disability,<br/>religion, conscience, belief, culture, language and birth of the person;</li> </ul> |  |  |  |
|  | <li>information relating to the education or the medical, financial, criminal or employment history<br/>of the person;</li>   |  |  |  |
|  | <ul> <li>any identifying number, symbol, e-mail address, physical address, telephone number, location<br/>information, online identifier or other particular assignment to the person;</li> </ul>   |  |  |  |
|  | d) the biometric information of the person;   |  |  |  |
|  | e) the personal opinions, views or preferences of the person  |  |  |  |
|  | <li>correspondence sent by the person that is implicitly or explicitly of a private or confidential<br/>nature or further correspondence that would reveal the contents of the original<br/>correspondence;</li>  |  |  |  |
|  | g) the views or opinions of another individual about the person; and  |  |  |  |
|  | h) the name of the person if it appears with other personal information relating to the person or if the disclosure of the name itself would reveal information about the person.   |  |  |  |
| POPIA                                  | Protection of Personal Information Act No.4 of 2013   |  |  |  |
| POPIA Regulations                      | The regulations promulgated in terms of section 112(2) of POPIA   |  |  |  |
| Private Body                           | a natural person who carries or has carried on any trade, business or profession, but only in such capacity;  |  |  |  |
|  | a partnership which carries or has carried on any trade, business or profession; or   |  |  |  |
|  | any former or existing juristic person, but excludes a public body  |  |  |  |
| Processing                             | Any operation or activity or any set of operations, whether or not by automatic means, concerning personal information, including:  |  |  |  |
|  | <ul> <li>the collection, receipt, recording, organisation, collation, storage, updating or modification,<br/>retrieval, alteration, consultation or use;</li> </ul>   |  |  |  |
|  | b) dissemination by means of transmission, distribution or making available in any other form; or   |  |  |  |
|  | c) merging, linking, as well as restriction, degradation, erasure or destruction of information   |  |  |  |
| Regulator                              | Information Regulator   |  |  |  |
| South32 SA, or The Company or The Body | r South32 South Africa Limited [1966/009633/06]   |  |  |  |
| The Group                              | South 32 South Africa Limited and its subsidiaries  |  |  |  |
|  |   |  |  |  |

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## 4. Purpose

This PAIA Manual is useful for the public to:

- check the categories of records held by a body which are available without a person having to submit a formal PAIA request;
- 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;
- know the description of the records of the Body which are available in accordance with any other legislation;
- access all the relevant contact details of the Information Officer who will assist the public with the records they intend to access;
- know the description of the guide on how to use PAIA, as updated by the Regulator and how to obtain access to it;
- 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;
- know the description of the categories of data subjects and of the information or categories of information relating thereto;
- know the recipients or categories of recipients to whom the personal information may be supplied;
- 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
- know whether the Body has appropriate security measures to ensure the confidentiality, integrity and availability of the personal information which is to be processed.

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## 5. Key contact details

#### 5.1 The Group Information Officer (IO) South32 SA Limited

| Name                 | Kumaran Perumal Pillay (Noel), Chief Operating Officer   South32 SA Limited |
|----------------------|---|
| Telephone (Landline) | +27(11)376 2000   |
| Email                | information-officer-africa@south32.net                                      |

#### 5.2 Access to information general contact

Email <u>information-officer-africa@south32.net</u>

#### 5.3 Privacy Compliance Champions (PCC)

Privacy Compliance Champions appointed for the South32 SA's subsidiaries, are as indicated below:

| Locations   | Name  |
|---|---|
| South32 SA Holdings<br>Ltd                        | Joe Niehaus, Senior Manager Digital Technology   Technology Operations Africa & America |
| Hotazel Manganese<br>Mines Proprietary<br>Limited | Tebogo Dioka, Manager Technology Hotazel  |
| South32 Aluminium SA<br>Proprietary Limited       | Kevin Naidoo, Manager Technology Hillside   |

#### 5.4 South32 Africa Corporate Office

| Postal Address   | PO Box 61820, Marshalltown, Johannesburg 2107                  |
|------------------|--|
| Physical Address | 39 Melrose Boulevard, Melrose Arch, Melrose, Johannesburg 2076 |
| Telephone        | +27(11)376 2000  |
| Website          | www.south32.net  |



### 6. The Regulator PAIA Guide

The "Guide on how to use PAIA" issued by the Information Regulator is distinct from guides that may be created by individual public and private bodies. While the Information Regulator's guide provides a general framework and overview of how PAIA should be used, organisations may create their own internal guides to address specific procedures, policies, and processes that are unique to their operations. These internal guides are intended to help their own employees understand how to handle information requests and comply with PAIA within their context.

The Information Regulator Guide will specifically assist a person on how to access their personal information in terms of s23 of POPIA. The purpose of the guide is to provide practical guidance and instructions on how to navigate and comply with the provisions of PAIA, which is an important piece of legislation that promotes transparency and access to information in South Africa.

- 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.
- 2. The Guide from the Regulator is available in each of the official languages and in braille.
- 3. The Guide from the Regulator contains the description of:
  - · the objects of PAIA and POPIA;
  - the postal and street address, phone and fax number and, if available, electronic mail address of:
    - o 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;
  - the manner and form of a request for:
    - o access to a record of a public body contemplated in section 113; and
    - o access to a record of a private body contemplated in section 504;
  - the assistance available from the Information Officer of a public body in terms of PAIA and POPIA;
  - the assistance available from the Regulator in terms of PAIA and POPIA;
  - 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;
    - o a complaint to the Regulator; and

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<sup>&</sup>lt;sup>1</sup> 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.

<sup>&</sup>lt;sup>2</sup> 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.

<sup>&</sup>lt;sup>3</sup> 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.

<sup>&</sup>lt;sup>4</sup> 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.



- 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;
- the provisions of sections 14<sup>5</sup> and 51<sup>6</sup> requiring a public body and private body, respectively, to compile a manual, and how to obtain access to a manual;
- the provisions of sections 15<sup>7</sup> and 52<sup>8</sup> providing for the voluntary disclosure of categories of records by a public body and private body, respectively;
- the notices issued in terms of sections 22<sup>9</sup> and 54<sup>10</sup> regarding fees to be paid in relation to requests for access; and
- the regulations made in terms of section 92<sup>11.</sup>
- 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.
- 5. The Guide can also be obtained-
  - from the website of the Regulator (PAIA Guidelines Information Regulator (inforegulator.org.za).
  - upon request by completing and submitting <u>Form 1 Request for a copy of the guide</u> to the Information Officer.

- (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."

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<sup>&</sup>lt;sup>5</sup> 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.

<sup>&</sup>lt;sup>6</sup> 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.

<sup>&</sup>lt;sup>7</sup> 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

<sup>&</sup>lt;sup>8</sup> 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

<sup>&</sup>lt;sup>9</sup> 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.

<sup>&</sup>lt;sup>10</sup> 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.

<sup>&</sup>lt;sup>11</sup> Section 92(1) of PAIA provides that – "The Minister may, by notice in the Gazette, make regulations regarding-



#### 7. Personal record access

This section addresses the actions involved in obtaining access to personal records held by South32 SA.

#### 7.1 South32 SA request procedure

- 1. The requester must use <u>Form 2 Request for access to record (available on the Information Regulator website)</u>, to make the request for access to a record. The request must be directed to the Information Officer per email (information-officer-africa@south32.net).
- 2. The prescribed form must be submitted as well as payment of the request fee and a deposit (Refer Appendix 1), if applicable to the Information Officer at the postal or physical address, or electronic mail as is stated herein.
- 3. The prescribed form must be completed with enough particularity to enable the information officer to determine:
  - the record(s) requested;
  - the identity of the requestor;
  - · what form of access is required; and
  - the Postal address or fax number of the requestor.
- 4. The requestor must state that the records are required for the requestor to exercise or protect a right, and clearly state what the nature of the right is so to be exercised or protected. An explanation of why the records requested to exercise or protect the right, is required.
- 5. The request for access will be dealt with within 30 days from date of receipt, unless the requestor has set out special grounds that satisfies the Information Officer that the request be dealt with sooner.
- 6. The period of 30 days may be extended by not more than 30 additional days, if the request is for a large quantity of information, or the request requires a search for information held at another office of the Company and the information cannot be reasonably obtained within 30 days. The Information Officer will notify the requestor in writing should an extension be necessary.
- 7. The requestor will be informed in writing (by using Form 3 Outcome of request and of fees payable (available on the Information regulator website) whether access to the records have been granted or denied. If the requestor requires a reason for the decision, the request must be expressed in the prescribed form; the requestor must be further state what particulars of the reasoning the requestor requires.
- 8. If a requestor has requested the records on another individual's behalf, the requestor must submit proof of the capacity the requestor submits the request in, to the satisfaction of the Information Officer.
- 9. Should the requestor have any difficulty with the form or the process laid out herein, the requestor should contact the Information Officer for assistance.
- 10. An oral request can be made to the Information Officer should the requestor be unable to complete the form due to illiteracy or a disability. The Information Officer will complete the form on behalf of the requestor and provide a copy of the form to the requestor.

#### 7.2 Refusal grounds

The Information Officer shall, subject to other provisions of PAIA, refuse a request for information or record if that information or record relates to:

- Mandatory protection of the privacy of a third party who is a natural person, which involves the unreasonable disclosure of Personal Information of that natural person;
- Mandatory protection of the commercial information of a third party, if the record contains:
  - Trade secrets of that third party;
  - Financial, commercial, scientific or technical information which the disclosure could likely cause harm to the financial or commercial interests of that third party;
  - o Information supplied in confidence by a third party to South32 Africa, if the disclosure could put that third party at a disadvantage in negotiations or commercial competition.

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- Mandatory protection of confidential information of third parties if it is protected in terms of any agreement;
- Mandatory protection of the safety of individuals and the protection of property;
- Mandatory protection of records which would be regarded as privileged in legal proceedings;
- The information about research being or to be carried out by or on behalf of a third party where disclosure would likely expose that third party or the person that is or will be carrying on the research on behalf of that third party or the subject matter of the research to serious disadvantage.
- The Information Officer may refuse a request for information or record if that information or record relates to:
  - information that was supplied by a third party, in confidence, the disclosure of which could reasonably be expected to prejudice the future supply of similar information, or information from the same source and it is in the public interest that such information, or information from the same source should continue to be supplied;
  - o mandatory protection of safety of individuals and protection of property;
  - o mandatory protection of law enforcement and legal proceedings;
  - o the commercial activities of the Group, which may include:
    - trade secrets of the Group;
    - financial, commercial, scientific or technical information which disclosure could likely cause harm to the financial or commercial interests of South32 Africa;
    - information which, if disclosed could put the Group at a disadvantage in negotiations or commercial competition;
    - a computer program which is owned by the Group and which is protected by copyright.
  - information about research being or to be carried out by or on behalf of South32 Africa, the disclosure
    of which would likely to expose South32 Africa or the person that is or will be carrying out the research
    on behalf of South32 Africa or the subject matter of the research, to serious disadvantage.
  - an opinion, advice, report or recommendation obtained or prepared, or an account of a consultation, discussion or deliberation that has occurred, including but not limited to, minutes of a meeting, for the purpose of assisting to formulate a policy or to take a decision in the exercise of a power or performance of a duty conferred or imposed by law.
  - requests that are frivolous or vexatious or involve an unreasonable diversion of South32 Africa resources.

#### 7.3 Request refusal remedies

- Decisions made by the Information Officer is final.
- The requestor may in accordance with sections 56(3) (c) and 78 of PAIA, apply to a court for relief within 180 days of notification of the decision for appropriate relief.

## 8. Freely available records

There are specific categories of records held by South32 that are available without a person having to request access. These are:

- records of a public nature that are disclosed on the South32 website may be accessed without having to make a request. This information includes annual reports, stock exchange announcements, media releases, our business (such as operations and commodities), and approach to community and the environment; and
- other records which are not confidential, such as those maintained at CIPC, may be accessed without a formal request.

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# 9. Records under other legislation

The following records held by South32 are available in accordance with other legislation:

| Category of Records                            | Applicable Legislation  |
|--|---|
| Company records                                | Companies Act 71 of 2008  |
| PAIA Manual                                    | PAIA  |
| Privacy Policy                                 | POPIA<br>PAIA   |
| HR documents in line with specific legislation | Basic Conditions of Employment Act, 75 of 1997<br>Employment Equity Act, 55 of 1998<br>Labour Relations Act, 66 of 1995 |



South32 SA processes information as required by South African legislation (such as listed below). Where required in terms of the relevant legislation, documents referred to in terms of the legislation may be requested by using the access procedure provided for in paragraph <u>7 - Access to personal records held by South32 SA.</u>

| • | Basic Conditions of Employment Act 75 of 1997                       | • | Long Term Insurance Act 52 of 1998   |
|---|---|---|--|
| • | Broad-Based Black Economic Empowerment Act 53 of 2003               | • | Magistrates Court Act 32 of 1944   |
| • | Companies Act 71 of 2008  | • | Mine Health and Safety Act 29 of 1996  |
| • | Compensation for Occupational Injuries and Diseases Act 130 of 1993 | • | Mineral Petroleum Resources Development Act 28 of 2002   |
| • | Competition Act 89 of 1998  | • | National Environmental Management Act 107 of 1998  |
| • | Constitution of South Africa Act 108 of 1996                        | • | Non-Profit Organisations Act 71 of 1997  |
| • | Copyright Act 98 of 1987  | • | Occupational Diseases in Mines and Works Act 78 of 1973  |
| • | Consumer Protection Act 68 of 2008                                  | • | Occupational Health and Safety Act 85 of 1993  |
| • | Criminal Procedure Act 51 of 1977                                   | • | Patents Act 57 of 1987   |
| • | Deeds Registries Act 57 of 1937                                     | • | Prevention of Organised Crime Act 14 of 1998   |
| • | Debt Collectors Act 114 of 1998                                     | • | Regulation of Interception of Communications and Provision of Communication Related Information Act 70 of 2002 |
| • | Electronic Communications and Transactions Act 25 of 2002           | • | Short Term Insurance Act. 53 of 1998   |
| • | Employment Equity Act 55 of 1998                                    | • | Skills Development Act 97 of 1998  |
| • | Finance Act 2 of 2007   | • | Skills Development Levies Act 97 of 1999   |
| • | Financial Markets Act 19 of 2012                                    | • | South African Revenue Service Act 34 of 1997   |
| • | Firearms Control Act 60 of 2000;                                    | • | Statistics Act 6 of 1999   |
| • | Income Tax Act 58 of 1962   | • | Supreme Court Act 59 of 1959   |
| • | Insolvency Act 24 of 1936   | • | Unemployment Insurance Act 63 of 2001  |
| • | Labour Relations Act 66 of 1995                                     | • | Value Added Tax Act 89 of 1991   |
|   |   |   |  |

## 10. Subjects and categories of records

The table below provides various categories of records organised by subject.

| Subjects on which records are held             | Categories of records  |  |
|--|--|--|
| Stakeholder engagement                         | Donations, CSI projects and investments, media releases, CSI performance information, newsletters and publications.  |  |
| Finance and tax                                | Accounting records, agreements, bank statements, budgets, management accounts, asset registers, debtor and creditor's list, invoices, financial statements, UIF records, VAT records, PAYE records.  |  |
| Human Resources                                | Education and training records, employee benefit records, employment contracts, employment equity records, group HR policies and procedures, labour relations records, leave records, medical records, personnel information, retirement benefit and medical aid records, UIF records, tax returns of employees, statutory employee records. |  |
| Information and technology management          | Agreements.  |  |
| Operations and technical                       | Access control, administration documentation, agreements, production statistics, resource and reserve information.   |  |
| Safety, health, environment and sustainability | Environmental assessment records, safety and environmental statistics, incident reports and investigations, sustainability information, licenses and approvals, training records, mining charter compliance information, safety, health, environment and sustainability policies and management standards, philosophy and strategy.          |  |
| Supply chain management                        | Agreements with contractors and suppliers, contractor and supplier information.  |  |

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## 11. Processing of Personal Information (PI)

#### 11.1 Purpose of processing

- Human Resources (HR) data is collected for reasons including for HR and statutory reporting, payroll, communicating with employees and to use in the case of emergencies. It is also used for employee benefits purposes to provide medical aid cover and for retirement benefits.
- Health & safety use information for purposes including reporting to regulators (DMR, DOH), assessing
  medical risk factors and health exposure history. Information may also be used for compensation
  purposes in the case of an injury.
- Finance processes information for reasons such as to manage sundry receivables.

#### 11.2 Data Subjects and related information categories

| Data subject types  | Categories of information / information relating to data subjects   |
|---------------------|---|
| Employees/Directors | Onboarding and exit processes   |
|                     | <ul> <li>Process payments to employees</li> </ul>   |
|                     | <ul> <li>Medical surveillance program and injury reporting</li> </ul>   |
|                     | <ul> <li>Enterprise Supplier Development (ESD) collects personal information on directors<br/>of companies (personal information not in public domain)</li> </ul> |
| Service Providers   | Onboarding and payment for services rendered.   |
|                     | <ul> <li>General management of the lifecycle on employee benefits; share payroll related<br/>information for tax purposes</li> </ul>                              |
|                     | <ul> <li>Audit</li> </ul>   |
|                     | SARS - IRP5   |
|                     | Medical Aids  |
|                     | <ul> <li>Medical surveillance clinics (qualifications of clinic employees &amp; registration status)<br/>and contractor data</li> </ul>                           |
| Suppliers           | Onboarding and payment for services rendered.   |
|                     | <ul> <li>Medical surveillance clinics (qualifications of clinic employees &amp; registration status)<br/>and contractor data</li> </ul>                           |
|                     | <ul> <li>Suppliers approach ESD in view of financial assistance, including verifying<br/>personal information, banking information of suppliers</li> </ul>        |
| Prospects           | Potential employment  |
|                     | <ul> <li>Pre-employment medical to ensure that requirements (minimum fitness) are met<br/>before employment</li> </ul>  |
| Vendors             | In terms of services rendered   |
|                     | <ul> <li>Process payments to Vendors</li> </ul>   |
|                     | Master Data Services  |
|                     | <ul> <li>Onboarding, creation of new vendor (personal information)</li> </ul>   |
|                     | <ul> <li>Update existing vendor information/banking accounts (update)</li> </ul>  |
|                     | Supply services   |
|                     | Capturing contracts on ARIBA  |
|                     | Supply processing   |
|                     | <ul> <li>Create service entry sheets / process invoices for payment / modifications on<br/>invoice</li> </ul>   |

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#### 11.3 Recipients of personal information

| Category of personal information | Recipients or categories of recipients to whom the personal information may be supplied  Auditors Department of Labour CCMA Training service providers |  |
|----------------------------------|--|--|
| HR Data                          |  |  |
| Commercial                       | <ul><li>Auditors</li><li>Couriers</li></ul>  |  |
| Enterprise Supply Development    | ABSA bank  |  |
| Finance                          | <ul><li>Auditors</li><li>Debtors</li></ul>   |  |
| Payment and cash services        | <ul><li>Auditors</li><li>Banks</li></ul>   |  |
| Health & Safety                  | <ul> <li>Department of Mineral Resources</li> <li>Department of Health</li> <li>Department of Labour</li> </ul>  |  |

#### 11.4 Planned cross-border data flows

#### Continuous data flows to other countries:

In some cases, third parties to whom South32 may disclose the Data Subject's Personal Information may be located outside the Data Subject's country of residence (for example, in a cloud service, system or server), and may be subject to different privacy regimes. This includes South32's own related entities.

South32 has operations in many countries across the world (including Australia, Brazil, Canada, Colombia, Mozambique, Singapore, South Africa, the United Kingdom and the United States of America) and we may need to share information throughout our network for operational purposes. This means that when we collect the Data Subject's Personal Information we may process or transfer it to a country other than the country in which the data subject is located.

Where required by applicable law when we disclose Personal Information overseas, we will take appropriate safeguards to protect the Data Subject's Personal Information and that the recipient will handle the information in a manner consistent with this Policy and all applicable privacy laws.

#### 11.5 Information security measures

South32's cyber controls are designed and operated as per the National Institute of Standards and Technology Cybersecurity Framework (NIST CSF), an international best practice standard for information security controls. South32 engages independent auditors annually to review our cyber security risk management and control performance, to identify any gaps or potential improvements in our information security controls. A comprehensive assessment is performed by the Technology Risk & Compliance team, and an external auditor.

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## 12. Availability of the PAIA Manual

A copy of the PAIA Manual is available:

- on the website: https://www.south32.net/privacy;
- head office of South32 Africa 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.

## 13. Updating of the PAIA Manual

South32 Africa's Information Officer will update this PAIA Manual as necessary.



# 14. Appendix 1 Fees for access requests

| No. | Description   | Amount  |
|-----|---|---|
| 1   | The request fee payable by every requester  | R 140.00                                      |
| 2   | Photocopy/printed black & white copy of A4-size page  | R 2.00 per page or part thereof.              |
| 3   | Printed copy of A4-size page  | R 2.00 per page or part thereof.              |
| 4   | For a copy in a computer-readable form on:  |   |
|     | (i) Flash drive (to be provided by requestor)   | R 40.00                                       |
|     | (ii) Compact disc   |   |
|     | <ul> <li>If provided by requestor</li> </ul>  | R 40.00                                       |
|     | If provided to the requestor  | R 60.00                                       |
| 5   | or a transcription of visual images per A4-size page  |   |
|     |   | _Service to be outsourced. Will depend on     |
| 6   | Copy of visual images   | quotation from Service provider.              |
| 7   | Transcription of an audio record per A4-size page   | R 24.00                                       |
| 8   | Copy of an audio record on:   |   |
|     | (i) Flash drive (to be provided by requestor)   | R 40.00                                       |
|     | (ii) Compact disc   |   |
|     | If provided by requestor  | R 40.00                                       |
|     | If provided to the requestor  | R 60.00                                       |
| 9   | To search for and prepare the record for disclosure for each hour or part of an hour, excluding the first hour, reasonably required for such search and preparation | R 145.00                                      |
|     | To not exceed a total cost of:  | R 435.00                                      |
| 10  | Deposit: If search exceeds 6 hours  | One third of amount per request calculated in |
|     | NOTE: the amount payable as a deposit must not exceed one third of the amount payable if the request is granted   | terms of items 2 to 8.                        |
| 11  | Postage e-mail or any other electronic transfer   | Actual expense if any.                        |

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