

## UNIVERSITY OF CAPE TOWN (UCT)

# MANUAL IN TERMS OF SECTION 14(1) OF THE PROMOTION OF ACCESS TO INFORMATION ACT 2 OF 2000 (as amended)

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## About this manual

This manual will provide you with the necessary contact details and procedures if you need access to information that the University of Cape Town (UCT) holds. In addition, the manual provides a clear overview of our structure, functions and services and includes an index of information we hold to help identify where the required information could be. The manual also provides access to the forms you must complete and sets out the fees you may need to pay before we can assist you.

This manual is also available in Afrikaans and Xhosa. This version of the manual is dated March 2022.

## 1. Introduction: Functions of the University of Cape Town

UCT is a public higher education institution as set out in the Higher Education Act of 1997. The University undertakes teaching, research and public service.

The internal governance of UCT is determined in terms of the Higher Education Act of 1997 and the Statute of the University of Cape Town as published under the Government Gazette of 20 September 2002 as subsequently amended. The Statute is available for inspection at our UCT website: [www.uct.ac.za](http://www.uct.ac.za).

## 2. Structure of UCT

The UCT Statute describes the governance and other structures of the University. The Statute of the University of Cape Town was published under Government Notice 42967 of 24 January 2020.

## 3. Contact details

### 3.1 National/Head office

Postal address	UCT, Private Bag X3, Rondebosch, 7701
Physical address	Bremner Building, Lovers' Walk, Rondebosch
Telephone	021 650 2115/6
Website	<a href="http://www.uct.ac.za">www.uct.ac.za</a>

### 3.2 Information Officer

Name and surname	Professor Mamokgethi Phakeng
Position	Vice-Chancellor & Principal
Postal address	Private Bag X3, Rondebosch, 7701
Physical address	Bremner Building, Lovers' Walk, Rondebosch
Telephone	021 650 2106
E-mail	<a href="mailto:vc@uct.co.za">vc@uct.co.za</a>

The Registrar, Chief Operating Officer (COO) and Deputy Vice Chancellor (DVC) for Research act as Deputy Information Officers in terms of the powers and duties delegated to them by the Vice-Chancellor.

Requests in terms of the Promotion of Access to Information Act (PAIA) should be sent to the Deputy Information Officers (DIOs) listed below.

### 3.3 Deputy Information Officer(s)

Name and surname	Royston Pillay
Position	Registrar
Postal address	Private Bag X3, Rondebosch, 7701
Physical address	Room 201, Bremner Building, Lovers' Walk, Rondebosch
Telephone	021 650 2115/6
E-mail	<a href="mailto:paia@uct.ac.za">paia@uct.ac.za</a>

Name and surname	Reno Morar
Position	Chief Operating Officer (COO)
Postal address	Private Bag X3, Rondebosch, 7701
Physical address	Room 102, Bremner Building, Lovers' Walk, Rondebosch
Telephone	021 650 2170
E-mail	<a href="mailto:paia@uct.ac.za">paia@uct.ac.za</a>

Name and surname	Sue Harrison
Position	DVC Research
Postal address	Private Bag X3, Rondebosch, 7701
Physical address	Room 202, Bremner Building, Lovers' Walk, Rondebosch
Telephone	021 650 2173
E-mail	<a href="mailto:paia@uct.ac.za">paia@uct.ac.za</a>

## 4. Guide on how to use PAIA and how to obtain access to the guide

The Information Regulator has published a guide that introduces the Promotion of Access to Information Act 2 of 2000 (PAIA), as amended, to assist you in exercising your right to access information held by UCT. To read the guide, visit the website of the Information Regulator at <https://www.justice.gov.za/infoereg/>.

## 5. Availability of the manual

UCT's PAIA Manual will be available on our website at [www.uct.ac.za](http://www.uct.ac.za). You can inspect a hard copy of the PAIA Manual, available in English, Afrikaans and Xhosa, during regular business hours at UCT's Head Office. If you would like a hard copy of the manual, a reasonable fee will be payable.

## 6. Records held by UCT

### 6.1 Records that are automatically available or have voluntarily been disclosed:

All information or records published on the UCT website or that have been voluntarily disclosed, are automatically available. You do not have to submit PAIA requests to access these records. They include:

- Reports
- Student handbooks, rules and syllabus information
- Newsletters, media statements
- Information about the University

Please find details of the above on the website or apply for more details to the Information Officer.

### 6.2 Categories of records held by the University that may be requested in terms of PAIA:

- Records of organs of internal governance (the Council, the Senate, the Institutional Forum, the SRC, the Convocation and University committees)
- Records of individual students
- Records of individual personnel
- Research, scientific and technical records
- Financial records, reports, contracts and asset registers

### 6.3 Categories of records available without a person having to request access to it (section 15):

To date no notice has been published.

## 7. Processing of personal information

### 7.1 Purpose of processing

UCT processes personal information of data subjects under its care in the following ways:

#### 7.1.1 Students:

- i. UCT uses applicants' information to make decisions about student applications and for internal planning purposes. Some of the information applicants share with UCT must be verified and the University may use third-party service providers to assist with the verification. UCT uses applicants' and students' information to create an institutional profile to obtain funding from the government.
- ii. UCT uses students' contact information to provide them with important information.
- iii. UCT uses information about students' disabilities to assist and support them.
- iv. UCT uses students' information to deliver the services students signed up for. For example, UCT must communicate with and bill students, provide catering in residences and process applications for deferment or leave of absence.
- v. UCT may use students' information to keep them safe. For example, UCT collects biometric information (like fingerprints) to give students access to buildings on campus. UCT also monitors its campuses with CCTV cameras. If there are security incidents, such as suspected theft, assault or fraud, UCT will share information with the police.
- vi. UCT uses students' contact details to send them marketing information if the students signed up for any marketing.
- vii. UCT will use students' photographs for marketing, but the University will get the student's consent before using individual photographs of them.

#### 7.1.2 Job applicants:

- i. UCT uses job applicants' information to review, correspond and arrange travel plans and accommodation for interviews.
- ii. UCT uses information about job applicants' race, gender, disability and nationality to implement the University's employment equity plan under the Employment Equity Act.
- iii. UCT may need to use third parties to verify job applicants' information by contacting the references provided and confirming qualifications. For some roles, UCT may do criminal and credit checks.

#### 7.1.3 Employees:

- i. UCT uses employees' information to manage the relationship between employees and the University in terms of their employment contracts, to run the business of the University, and to comply with legal obligations. For instance, to implement UCT's employment equity plan under the Employment Equity Act.
- ii. UCT uses health information to comply with health and safety regulations and may need health information to manage sick leave, access to benefits, and travel requirements.

- iii. UCT may intercept and monitor any real-time, stored, or archived communication when employees use UCT's communication services.
- iv. UCT may need to use third parties to assist with verifying some of the information employees shared with UCT, for instance, to confirm qualifications.
- v. UCT may use employees' information to keep them safe. For example, UCT collects biometric information (like fingerprints) to give employees access to buildings on campus and monitors campus with CCTV cameras. If there are security incidents such as suspected theft, assault, or fraud, UCT will share information with the police.

#### **7.1.4 Vendors:**

- i. UCT uses vendor information to conclude contracts with them and to meet their contractual obligations. UCT reviews all prospective vendors' information to assess their level of compliance with UCT's procurement policies and BBBEE requirements.
- ii. UCT must provide some information as required in terms of the Higher Education Act. For example, the Higher Education Act (Regulations for Reporting by Public Higher Education Institutions) encourages all South African public higher education institutions to comply with corporate governance standards as set out in the King Code. In addition, the Act requires all South African public universities to comply with International Financial Reporting Standards. This means that UCT must submit an independent auditor report in the University's annual report to the Department of Higher Education and Training.
- iii. UCT may need to use third parties to assist in verifying some of the information vendors shared with the University. When independent auditors conduct an annual financial audit, the law requires UCT to share vendor information with the independent auditor.

#### **7.1.5 Alumni:**

- i. UCT uses alumni's contact information to communicate and provide services to them, including information about:
  - UCT Alumni Connect;
  - events;
  - news and publications;
  - chapters and associations; and
  - convocation meetings.
- ii. UCT collects personal information of alumni to issue tax receipts when alumni donate or bequest funds or material to UCT. UCT may publish alumni's names on the UCT Donor Recognition page.

#### **7.1.6 Donors:**

- i. UCT collects and uses donors' personal information to issue tax receipts
- ii. UCT may publish donor's names on the UCT Donors Recognition page.



**7.1.7 Website users:**

- i. When someone visits UCT’s website, the University collects personal information about how website users interact with the site and submit online forms. UCT uses this information to respond to requests and to improve the University’s website.
- ii. When someone completes online forms available on UCT’s website, the University uses this to review and respond to applications, queries, or requests. When appropriate, UCT will provide more detail about how the University uses website users’ information on the form.
- iii. UCT uses cookies to make the University’s website work and measure how website users use the site. Essential cookies enable core functionality, such as security, network management and accessibility. UCT also uses cookies to manage preferences. For instance, to hide a pop-up notice for a specific time after it’s been acknowledged.
- iv. UCT uses analytics software to collect information about the behaviour of website users when they visit the University’s website. UCT uses the aggregated view of website users’ behaviour to improve their overall experience. The University doesn’t track individual users, however UCT uses analytics, market research and targeted advertising tracking technologies to share individuals’ website usage data with third parties.

**7.2 Description of the categories of data subjects and the information or categories of information relating thereto**

Categories of data subjects	Personal information that may be processed
Students	Name and surname, address, date of birth, nationality, race, gender, identity document, home language, passport, study permit, permanent residence, contact details, financial requirements, disability information, educational history, employment history, banking details, dietary requirements, participation in sports and cultural activities, biometric information, emergency contact information, student profiles, student academic performance, photographs, appeals and disciplinary records, reports on student applications.
Job applicants	Name and surname, address, date of birth, identity number, race, gender, disability, contact details, work permit and residence status, employment history, educational history, publications, research and memberships, disciplinary and criminal history, criminal checks, credit checks, interview notes, results of competency assessments and psychometric tests, shortlisting summary, selection committee meeting reports.
Employees	Name and surname, address, date of birth, identity number, race, gender, disability, contact details, banking details, health information, work permit and residence status, employment history, educational history, visual images and videos, beneficiaries and dependants for medical aid, pension scheme and provident fund, publications, research and memberships, disciplinary and criminal history, performance reviews, investigations and disciplinary, grievance and dismissal proceedings records, training participation records, acknowledgement and compliance with



	safety rules and codes of conduct when using UCT's facilities, access to facilities, CCTV footage, use of support services.
Vendors	Name, identity documents, CIPC registration certificates, VAT number, banking details, BBBEE certificate, tax compliance verification certificate, health certificate, trade references, company profiles and annual turnover, conflict of interest declaration, industry certifications, proof of insurance, proof of registration with a professional body, details of previous projects worked on, financial statements, online profile of tender applications, tender evaluation reports, minutes of committee meeting documenting decisions when a current or potential vendor has to be awarded a tender or commercial lease, online profile for all UCT registered vendors used for payment and other day-to-day administration.
Alumni	Name and surname, contact details, event attendance records, donation records, alumni profiles, minutes of meetings.
Donors	Name and surname, contact details.
Website users	Cookies and how the site is being used, user preferences, all information from online forms, behaviour on UCT's websites.

### 7.3 The recipients or categories of recipients to whom personal information may be supplied

Category of personal information	Recipients or categories of recipients
Identity number and names for criminal checks. CCTV camera footage or biometric information if there are security incidents such as suspected theft, assault or fraud.	South African Police Services
Full name, surname, identity number, contact details, residential address, postal address and work address of drivers of UCT's vehicles against whom fines were issued.	Municipal Traffic Department(s)
Qualifications, for qualification verifications	South African Qualifications Authority
Name, ID/registration number and contact information for credit checks	Credit bureaus





<p>Post-Doctoral Research Fellow number, South African Identity number, Post-Doctoral Research Fellow, Name of doctoral qualification obtained, date when doctoral qualification obtained, CESM category for first (or primary) area of specialisation (of doctoral qualification), date of birth, gender, race, nationality, citizen-resident status, home language, research field CESM, home postcode, disability status, start data of contract, institution where doctoral qualification obtained, funding source 1 – 4 and staff number.</p>	<p>Department of Higher Education and Training</p>
<p>Staff’s date of birth, race, gender, nationality, qualifications, year of employment, appointment type and appointment category.</p>	<p>Higher Education Management Information System</p>
<p>Contact details such as physical and postal address, email address, telephone number, online identifier (e.g. a person’s twitter handle) or location information and any other personally identifiable information.</p>	<p>Council on Higher Education</p>

#### 7.4 Planned transborder flows of personal information

UCT may share personal information with service providers, research partners and collaborating universities in other countries. These third parties must agree to keep personal information safe and confidential before we share information with them. They must also agree to only use personal information for the reasons we shared it with them.

#### 7.5 General description of information security measures to be implemented by the responsible party to ensure the confidentiality, integrity and availability of the information

- i. UCT is continuously working towards establishing, and maintaining appropriate, reasonable technical and organisational measures to prevent:
  - loss of, damage to or unauthorised destruction of personal information; and
  - unlawful access to personal information or unlawful processing of personal information.
- ii. UCT is taking reasonable measures to:
  - identify reasonably foreseeable internal and external risks to personal information in its possession or under its control;

- establish and maintain appropriate safeguards against the risks identified;
- regularly verify that the safeguards are effectively implemented; and
- ensure that the safeguards are continually updated in response to new risks or deficiencies in previously implemented safeguards.

## **8. Services available from UCT to members of the public**

You can find a comprehensive list of services in the University's annual handbooks available at <http://www.uct.ac.za>.

## **9. Participation in policy or decision-making**

Students and staff participate in policy and decision-making processes of the University in accordance with section 14(g) of the Higher Education Act 101 of 1997, as amended, and in terms of internal procedures as agreed with student and staff representative bodies from time to time.

Other interested persons may submit their comments or proposals in writing to the Registrar at the address stated in paragraph 3 above.

## **10. Remedies and appeals in respect of an act or failure to act by the University**

If UCT acts or fails to act in terms of PAIA then:

- members of the public may lodge written complaints to the Registrar;
- staff members may use the University's internal grievance procedure to lodge complaints; or
- the complainant may take steps set out in sections 74 to 82 of PAIA.

Students must follow the procedures for student complaints and appeals as set out in the annual handbooks available at <http://www.uct.ac.za/>.

## **11. Other information**

For any other information not contained in this manual:

- contact the Information Officer at the contact details given in paragraph 3 above; or
- visit UCT's website at <http://www.uct.ac.za>.

## 12. Requests

### 12.1 Requester:

A requester must be given access to a record of UCT as a public body, if the requester complies with:

- all the procedural requirements of PAIA relating to the request for access to that record; and
- access to that record is not refused on any grounds of refusal mentioned in the Act.

### 12.2 Nature of the request:

A request for access to a record must be made by completing the prescribed Form 2 of Annexure A of the PAIA Regulations. The prescribed Form 2 is available on the Information Regulator's website at <https://www.justice.gov.za/infoereg/>.

The requester must indicate if the request is for a copy of the record and the form in which they want to receive the copy, or if the requester wants to inspect the record. (If the record is not a document, the record can be viewed in the requested form, if possible [s 29(2)].)

A requester who asks for access in a particular form should get access in the manner they asked for unless providing access in this manner would unreasonably interfere with the running of the University or would damage the record or infringe copyright. If, for practical reasons, access cannot be given in the requested form but in another way, the fee must be calculated according to the way the requester asked for it [s29(3) and(4)].

The requester must indicate if they want a written reply or want to be informed about the decision in any other way, for example, by telephone [s 18(2) (e)].

The requester must indicate the capacity in which the request is being made if a requester is asking for the information on behalf of somebody else [s 18(2)(f)].

A requester who is unable to read or write due to a disability can make a verbal request to the Information Officer, who will then be responsible to complete Form 2 on behalf of that requester [s 18(3)].

If a disability prevents a requester to view, read or listen to the mentioned record, the Information Officer must, at the requester's request, take reasonable steps to make the mentioned record available in such a format that the requester will be able to read, view or hear the record [s29(5)].

## 13. Fees

- i. The prescribed fees are listed in item 1 of Annexure B of the PAIA Regulations.
- ii. A requester who seeks access to any record may be required to pay a fee, unless one of the exemptions referred to in paragraph (iii) below applies.
- iii. The requester does not need to pay an access fee if:
  - the requester is a single person whose annual income, after permissible deductions such as PAYE and UIF, is less than R14 712 a year; or



- the requestor is married and the joint income with their partner, after permissible deductions such as PAYE and UIF, is less than R27 192 per year.

Royston Pillay

Registrar

March 2022