

UNRESTRICTED

KUMBA IRON ORE LIMITED
(Registration number 2005/015852/06)
("Kumba")

**THE PROMOTION OF ACCESS TO INFORMATION ACT NO. 2, 2000
&
THE PROTECTION OF PERSONAL INFORMATION ACT NO.4, 2013
("The Manual")**

Prepared in terms of section 51 of the Promotion of Access to Information Act 2 of 2000 (as amended) and the Protection of Personal Information Act No. 4 of 2013
("The ACTS")

Last Updated: September 2025

A copy of the manual will be available for inspection at Kumba Iron Ore Head Office and is available on the company's website at www.angloamericankumba.com



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1. INTRODUCTION

- 1.1 This manual has been prepared in accordance with Section 51 of the Promotion of Access to Information Act No. 2 of 2000 (as amended) ("PAIA"), which came into effect on 9 March 2001. PAIA gives effect to the constitutional right of access to information, as set out in Section 32 of the Bill of Rights.
- 1.2 Additionally, this manual seeks to promote transparency and accountability by providing guidance on the procedures to be followed when requesting access to records held by Kumba Iron Ore Limited. It outlines the categories of information available, the process for submitting access requests, and the rights and obligations of both the requester and the Company.
- 1.3 Under PAIA, individuals (referred to as data subjects or requesters) are afforded certain rights, including the following:
 - 1.3.1 The right to request access to records held by public or private bodies, provided the request complies with procedural requirements and, in the case of private bodies, is made for the exercise or protection of a right.
 - 1.3.2 The right to be informed of the outcome of an access request, including reasons for refusal where applicable.
 - 1.3.3 The right to lodge a complaint with the Information Regulator or apply to court for appropriate relief if access is denied.
 - 1.3.4 The right to object to the processing of personal information and to request the correction or deletion of such information, as provided for under the Protection of Personal Information Act, 2013 ("POPIA"), which complements PAIA by safeguarding privacy rights.
- 1.4 This manual also reflects the amendments introduced by the Protection of Personal Information Act, 2013 ("POPIA"), ensuring that access to information is balanced with the right to privacy and the lawful processing of personal information.
 - 1.4.1 The POPI Act provides that data subjects have the right to have their personal information processed in accordance with the conditions for the lawful processing of personal information, which are set out in the POPI Act.
- 1.5 Section 51 of PAIA requires private bodies to compile an information manual that outlines, among other things, the types and categories of records held by the company. Additionally, in accordance with the POPI Act, the manual must include specific information relating to the processing of personal information, including the purpose of processing, categories of data subjects, planned transborder flows, and a general description of the information security measures implemented.
- 1.6 The PAIA and the POPI Act are collectively referred to in this document as the "Acts."

This document serves as Kumba Iron Ore Limited's manual in terms of the abovementioned Acts.

2. COMPANY OVERVIEW

Kumba Iron Ore Limited (hereinafter referred to as "Kumba") was incorporated in South Africa in 2005 and is a subsidiary of Anglo American plc, which is incorporated in the United Kingdom.

Kumba is a supplier of high-quality iron ore to the global steel industry. Kumba operates primarily in South Africa, with mining operations in the Northern Cape, a corporate office in Rosebank, Gauteng, and a port operation in Saldanha Bay, Western Cape.

Kumba is listed on the main board of the JSE Limited. Kumba holds a 75.37% interest in Sishen Iron Ore Company (Pty) Ltd (SIOC), an entity that Kumba manages. SIOC, in turn, owns the operating assets of the Company. The remaining 23.43% interest in SIOC is held by our black economic empowerment (BEE) partners Exxaro Resources Limited, a leading BEE company listed on the JSE (20.37%), the SIOC Community Development Trust, a trust that funds projects in local communities (3.06%) and the SIOC Employee Share Ownership Plan Trust (1.2%), a trust established to enable employees to share in the capital growth and/or income of SIOC.

3. SCOPE AND PURPOSE OF THE MANUAL

3.1 The scope of the manual includes Kumba Iron Ore Limited as well as its direct and indirect wholly owned subsidiaries in South Africa as detailed below:

- 3.1.1 Kumba Iron Ore Limited
- 3.1.2 Sishen Iron Ore Company (Pty) Ltd and its operating divisions, namely:
 - 3.1.2.1 Corporate Office
 - 3.1.2.2 Sishen Mine
 - 3.1.2.3 Kolomela Mine
 - 3.1.2.4 Saldanha Port Operations
- 3.1.3 Polokwane Iron Ore Company (Pty) Ltd
- 3.1.4 Sibelo Resource Development (Pty) Ltd
- 3.1.5 KIO Investment Holdings (Pty) Ltd
- 3.1.6 Essential Prospects 101 (Pty) Ltd
- 3.1.7 SIOC Solar SPV (Pty) Ltd
- 3.1.8 Kumba BSP Trust
- 3.1.9 Kumba Iron Ore Rehabilitation Trust
- 3.1.10 Dingleton HomeOwners Resettlement Trust
- 3.1.11 SIOC Employee Benefit Trust (Karolo)
- 3.1.12 Semela Share Ownership Plan Trust

The scope of this manual excludes Kumba's operations outside South Africa. This document serves as Kumba information manual and provides reference to the records held by the company at its Corporate office and various divisions from time to time.

3.2 PURPOSE OF THE MANUAL

- 3.2.1 This Manual is useful for the public to-
 - 3.2.1.1 check the categories of records held by the Kumba which are available without a person having to submit a formal PAIA request;
 - 3.2.1.2 have a sufficient understanding of how to make a request for access to a record of Kumba, by providing a description of the subjects on which the



- company holds records and the categories of records held on each subject;
- 3.2.1.3 know the description of the records of Kumba which are available in accordance with any other legislation;
 - 3.2.1.4 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;
 - 3.2.1.5 know the description of the guide on how to use PAIA, as updated by the Regulator and how to obtain access to it;
 - 3.2.1.6 know if the Kumba 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;
 - 3.2.1.7 know the description of the categories of data subjects and of the information or categories of information relating thereto;
 - 3.2.1.8 know the recipients or categories of recipients to whom the personal information may be supplied;
 - 3.2.1.9 know if Kumba 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
 - 3.2.1.10 know whether Kumba has appropriate security measures to ensure the confidentiality, integrity and availability of the personal information which is to be processed.

4. KEY CONTACT DETAILS - INFORMATION OFFICER (IO) AND DEPUTY INFORMATION OFFICER (DIO)

The Chief Executive Officer (CEO) of Kumba has formally authorised and delegated responsibility for the administration of, and compliance with the Acts to the designated Information Officer as outlined below. All requests pursuant to the provisions of the Acts should be directed as follows:

Information Officer:	Fazila Patel, The Company Secretary
Deputy Information Officer:	Rolsy Makamu
Postal Address:	Postnet Suite 153, Private Bag X31, Saxonwold, 2132
Physical Address:	144 Oxford Road, Rosebank, Melrose, 2196
Phone Number:	+27 (12) 683 7000
Email:	cosec.kumba@angloamerican.com

5. GUIDE FOR REQUESTERS ON HOW TO USE THE ACT

5.1 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

5.2 The Guide is available in each of the official languages and in braille.

5.3 The aforesaid Guide contains the description of

- 5.3.1 the objects of PAIA and POPIA;

- 5.3.2 the postal and street address, phone and fax number and, if available, electronic mail address of-
 - 5.3.2.1 the Information Officer of every public body, and
 - 5.3.2.2 every Deputy Information Officer of every public and private body designated in terms of section 17(1) of PAIA and section 56 of POPIA
 - 5.3.3 the manner and form of a request for-
 - 5.3.3.1 access to a record of a public body contemplated in section 11; and
 - 5.3.3.2 access to a record of a private body contemplated in section 50;
 - 5.3.4 the assistance available from the IO of a public body in terms of PAIA and POPIA;
 - 5.3.5 the assistance available from the Regulator in terms of PAIA and POPIA;
 - 5.3.6 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-
 - 5.3.6.1 an internal appeal;
 - 5.3.6.2 a complaint to the Regulator; and
 - 5.3.6.3 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;
 - 5.3.7 the provisions of sections 14 and 51 requiring a public body and private body, respectively, to compile a manual, and how to obtain access to a manual;
 - 5.3.8 the provisions of sections 15 and 52 providing for the voluntary disclosure of categories of records by a public body and private body, respectively;
 - 5.3.9 the notices issued in terms of sections 22 and 54 regarding fees to be paid in relation to requests for access; and
 - 5.3.10 the regulations made in terms of section 92.
- 5.4 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.
- 5.5 The Guide can also be obtained-
- 5.5.1 upon request to the Information Officers or the Company's website of www.angloamericankumba.com.
 - 5.5.2 from the website of the Regulator <https://infoeregulator.org.za>

Please direct any queries to:

Information Regulator

Chairperson: Adv Pansy Tlakula

Access to general information contact:

Email: enquiries@infoeregulator.org.za

Telephone: 010 023 5200

eService Portal: <https://eservices.infoeregulator.org.za/user/login.aspx>

Physical Address:

Woodmead North Office Park,54
Maxwell Dr, Woodmead,
Johannesburg
2191

Postal Address:

P.O. Box 31533
Braamfontein
Johannesburg
2017

6. AUTOMATIC AVAILABILITY OF CERTAIN RECORDS

Records lodged in terms of Government requirements with various statutory bodies, including the Registrar of Companies are available for inspection, purchase or copying on the Company's website of www.angloamericankumba.com or at Kumba offices from 07h30 to 16h00 during weekdays excluding public holidays.

The information available on our website may be automatically accessed without having to go through the formal PAIA request.

7. RECORDS HELD IN ACCORDANCE WITH OTHER LEGISLATION

Certain records held by Kumba are accessible under legislation other than PAIA. The specific records available in terms of such legislation, as amended from time to time are outlined within those laws. In some cases, access to these records is restricted to individuals specified in the relevant legislation. Please note that this list is not exhaustive:

Legislation	Records subjects and categories reference
Arbitration Act No. 42 of 1965	8.13
Apportionment of Damages Act No. 34 of 1956	8.3
Assessment of Damages Act No. 9 of 1969	8.3
Atmospheric Pollution Prevention Act No. 45 of 1965	8.10
Aviation Act No. 74 of 1962	8.10
Basic Conditions of Employment Act No. 75 of 1997	8.13
Broad Based Black Economic Empowerment Act No. 53 of 2003	8.12
Broadcasting Act No. 4 of 1999	8.12
Companies Act No. 71 of 2008	8.3
Compensation for Occupational Injuries and Disease Act No. 130 of 1993	8.10
Competition Act No. 89 of 1998 as amended	8.2, 8.6
Conventional Penalties Act No. 15 of 1962	8.2, 8.3
Corporate Laws Amendment Act, 2006	8.3
Conservation of Agricultural Resources Act No. 43 of 1983	8.10
Constitution of South Africa Act No. 108 of 1996	All
Copyright Act No. 98 of 1978	8.12
Currency and Exchanges Act No. 9 of 1933	8.2
Customs and Excise Act No. 91 of 1964	8.2
Deeds Registries Act No. 47 of 1937	8.12
Disaster Management Act No. 57 of 2002	8.10
Electronic Communications Amendment Act No. 1 of 2014	8.12
Electronic Communications and Transactions Act No. 25 of 2002	8.3
Employment Equity Act No. 55 of 1998	8.13

Legislation	Records subjects and categories reference
Environment Conservation Act No.73 of 1989	8.10
Environmental Laws Rationalisation Act No. 51 of 1997	8.10
Explosives Act No. 15 of 2003	8.10
Financial Advisory and Intermediary Services Act No. 37 of 2002	8.2
Financial Intelligence Centre Act No. 38 of 2001	8.2, 8.3
Financial Markets Act No. 19 of 2012	8.2
Financial Markets Control Act No. 55 of 1989	8.2
Fire Brigade Services Act No. 99 of 1987	8.10
Formalities in respect of Leases of Land Act No. 18 of 1969	8.12
Hazardous Substances Act No. 15 of 1973	8.10
Health Act No. 63 of 1977	8.10
Health Professions Act No. 56 of 1974	8.10
Immovable Property (Removal or Modification of Restrictions) Act No. 94 of 1965	8.12
Income Tax Act No. 58 of 1962	8.2
Insolvency Act No. 24 of 1936	8.2
Inquests Act No. 58 of 1959	8.2
Labour Relations Act No. 66 of 1995	8.13
Land Survey Act No. 8 of 1997	8.11, 8.12
Long-Term Insurance Act No. 52 of 1998	8.3
Marketable Securities Act No. 32 of 1948	8.2, 8.3
Medical Schemes Act No. 131 of 1998	8.13
Mine Health and Safety Act No. 29 of 1996	8.10
Minerals Act No. 50 of 1991	8.11, 8.12
Mineral and Petroleum Resources Development Act No. 28 of 2002	8.10, 8.11, 8.12
Mutual Banks Act No. 124 of 1993	8.2
National Credit Act No. 34 of 2005	8.2
National Environmental Management Act No. 107 of 1998	8.10
National Environmental Management: Air Quality Act No. 39 of 2004	8.10
National Environmental Management: Biodiversity Act No. 10 of 2004	8.10
National Environmental Management: Integrated Coastal Management Act No. 24 of 2008	8.10
National Environmental Management: Protected Areas Act No. 57 of 2003	8.10
National Environmental Management: Waste Act No. 59 of 2008	8.10
National Payment Systems Act No. 78 of 1998	8.2
National Veld and Forest Fire Act No. 101 of 1998	8.10
National Water Act No. 36 of 1998	8.10
Occupational Diseases in Mines and Works Act No. 78 of 1973	8.10
Occupational Health and Safety Act No. 85 of 1993	8.10
Pension Funds Act No. 24 of 1956	8.13
Prevention and Combating of Corrupt Activities Act No. 12 of 2004	8.3
Prevention of Illegal Eviction from and Unlawful Occupation of Land Act No. 19 of 1998	8.2
Precious Metals Act No. 37 of 2005	8.12
Prescription Act No.68 of 1969	8.3
Promotion of Access to Information Act No. 2 of 2000	8.3
Promotion of Equality and Prevention of Unfair Discrimination Act No. 4 of 2000	8.13
Protection of Personal Information Act No. 4 of 2013	8.3
Road Transportation Act No. 74 of 1977	8.10

Legislation	Records subjects and categories reference
Second Hand Goods Act No. 23 of 1955	8.2
Securities Transfer Tax Act 25 of 2007	8.2
Securities Transfer Tax Administration Act No. 26 of 2007	8.2
Skills Development Levies Act No. 9 of 1999	8.13
Skills Development Act No. 97 of 1998	8.13
South African Reserve Bank Act No. 90 of 1989	8.2
Stock Exchanges Control Act No. 1 of 1985	8.3
Tax Administration Act No. 28 of 2011	8.2
Trademarks Act No. 194 of 1993	8.3
Transfer Duty Act No. 40 of 1949	8.12
Trust Property Control Act No. 57 of 1988	8.3
Unemployment Insurance Act No. 63 of 2001	8.13
Unemployment Insurance Contributions Act No. 4 of 2002	8.13
Value-Added Tax Act No. 89 of 1991	8.2
Water Services Act No. 108 of 1997	8.10
Legislation which would ordinarily be considered applicable to the business of Kumba Iron Ore Limited	

8. SUBJECTS AND CATEGORIES OF RECORDS HELD BY KUMBA (CORPORATE OFFICE)

This section aims to identify the primary categories of records maintained by Kumba and to assist requesters in gaining a clearer understanding of Kumba's core business activities. Further assistance in identifying records held by Kumba, requesters are encouraged to contact the designated Information Officer or Deputy Information Officer.

Access to records will be granted in accordance with the provisions of PAIA, subject to the applicable limitations and grounds for refusal outlined in the Act. The records available relate to the following (non-exhaustive) areas of the Company's business and operations:

8.1 Chief Executive's Office

The Chief Executive's Office records comprise the following main categories:

8.1.1 Administration Records

8.2 Finance

This department maintains financial and management accounts for the Company. It further provides back-office activities that support Integrated Treasury and Cash Management. Corporate Accounting records comprise the following main categories:

- 8.2.1 Accounting Records and Consolidation Records
- 8.2.2 Investment Records
- 8.2.3 General Correspondence
- 8.2.4 Management Reports

- 8.2.5 Treasury Dealing and Settlement Records
- 8.2.6 Transactional Records
- 8.2.7 Detailed accounting policies and accounting directives
- 8.2.8 Budgets and forecasts
- 8.2.9 Contracts and Agreements
- 8.2.10 VAT Records
- 8.2.11 PAYE Records
- 8.2.12 Tax Records

8.3 Company Secretariat

The Company Secretary provides company secretarial (corporate governance) services to the Company and its subsidiaries. The secretariat records comprise the following main categories:

- 8.3.1 Statutory Records
- 8.3.2 Governance documents
- 8.3.3 Meeting packs, Minutes of Meetings and Resolutions
- 8.3.4 Agreements and Contracts
- 8.3.5 Company Registration Information
- 8.3.6 Policies and Procedures
- 8.3.7 Ethics related records
- 8.3.8 Regulatory Compliance audit reports and related documents
- 8.3.9 Intellectual Property records
- 8.3.10 Share Registration Records

8.4 Information Management

Information Management is provided by Anglo American and it is responsible for developing, supporting and providing assurance on the implementation of IT policies, standards and best practice in the Company. On-site IM records comprise the following main categories.

- 8.4.1 General Correspondence
- 8.4.2 Contracts and Agreements
- 8.4.3 Operational Records
- 8.4.4 Maps and Diagrams
- 8.4.5 Asset Records
- 8.4.6 Policy Records

8.5 Supply Chain Management

The Supply Chain management department is responsible for buying Kumba's commodities, consumable goods, capital equipment and services. The records in that Unit comprise:

- 8.5.1 BEE Expenditure records
- 8.5.2 Contracts and Agreements
- 8.5.3 Supplier databases

8.6 Strategy and Business Development

Strategy and Business Development is responsible for supporting and influencing strategic and tactical decision-making in Kumba. The records in that unit comprise:

- 8.6.1 Kumba Strategy as disclosed in the Integrated Report
- 8.6.2 Business Development Opportunities as disclosed in the Strategy

8.7 Technical Services and Projects

This division comprises Mining, Processing, Technology, Geosciences, Engineering and Growth Projects and records in the division comprise the following:

- 8.7.1 The Geosciences department is dedicated to satisfying the geoscientific needs of Kumba. Kumba subscribes to the guidelines as prescribed by the South African Code for Reporting Mineral Resources and Reserves (the SAMREC Code).

Records comprise the following main categories.

- 8.7.1.1 Mineral resource Investigation/Assessment records
 - 8.7.1.2 Geological and spatial data management records
 - 8.7.1.3 Geotechnical and Hydrological engineering records
 - 8.7.1.4 Mineral resource evaluation and estimation records
 - 8.7.1.5 Exploration geology records
 - 8.7.1.6 JSE geological standards compliance records
- 8.7.2 The Mining department includes mining operational excellence, mine planning, heavy mining equipment (HME) and survey. The department is dedicated to supporting the Kumba mining operations to achieve mining production targets safely and sustainably through the management of key technical processes and delivering on key technical work. These include strategic and integrated mine planning, reserve statement compilation, mine activity design (MAD), mine to plan compliance, ore value chain reconciliation and mining equipment productivity improvements. Mining further provides technical inputs and oversight to growth, stay in business and technology projects and business development initiatives. Lastly, Mining is responsible for assurance related activities and the health of the mining engineering and survey disciplines in Kumba.

Records comprise the following:

- 8.7.2.1 Resource Development Plans
- 8.7.2.2 Life of Mine plans
- 8.7.2.3 Life of Asset plans
- 8.7.2.4 Reserve Statements
- 8.7.2.5 Survey records
- 8.7.2.6 Value chain reconciliation statements
- 8.7.2.7 Mine to plan compliance reports
- 8.7.2.8 HME planning documents



8.7.3 The Technology department is responsible for developing a fit for purpose technology strategy roadmap and accelerating the adoption of appropriate technologies at the operations to:

- Sustainably improve safety
- Improve productivity and efficiencies, resulting in reduced costs

Records comprise the following:

- 8.7.3.1 Technology Strategy Roadmap Documentation
- 8.7.3.2 Technology Governance Documentation
- 8.7.3.3 Project Charters
- 8.7.3.4 Project Assurance Documentation
- 8.7.3.5 Risk Registers
- 8.7.3.6 Non-Disclosure Agreements
- 8.7.3.7 Field Test Agreements

8.7.4 The Engineering Department includes the following disciplines: Electrical, Mechanical, Control & Instrumentation, Industrial Information Technology, Civil and Structural as well as Asset Management. The ultimate goal of the department is to support the operations to ensure safe operations, best practice availability and utilisation, and statutory compliance of all mobile and fixed plants in Kumba. It further supports and provides technical inputs and project assurance into all growth, stay-in-business, and technology projects. The department achieves this by setting minimum requirements on all engineering standards, procedures, specifications, codes of practice and best practice guidelines as well as general health of discipline issues. The department's dedicated team of subject specialists discharge its duties by continuously staying in close collaboration with the operations and other departments as well as external stakeholders.

Records comprise the following:

- 8.7.4.1 HME planning documents
- 8.7.4.2 Governance documents in terms of minimum technical and legal requirements
- 8.7.4.3 Technical and SIMMS audit reports
- 8.7.4.4 Statutory proof of compliance records
- 8.7.4.5 Chamber of Mines Communications
- 8.7.4.6 Energy Intensive User Group correspondence
- 8.7.4.7 Engineering drawings, design calculations and documentation
- 8.7.4.8 Eskom contracts and correspondence
- 8.7.4.9 Export water supply contract and correspondence
- 8.7.4.10 Energy and Carbon footprint disclosure reports
- 8.7.4.11 Water use disclosure reports

8.7.5 The Processing department is responsible for all processing development activities within current and future operational plants. This includes process design, process reviews and optimization, analytical testing and technology development.

Records comprise the following main categories:

- 8.7.5.1 Metallurgical/Analytical review and technical reports
- 8.7.5.2 Analytical and sampling audits across the whole value chain including external entities
- 8.7.5.3 Annual algorithm development and compliance report



- 8.7.5.4 Process Design Criteria for all capital projects with detailed technical reports on process and technology development
- 8.7.5.5 And maximise the resource utilisation of current and future resources in order to remain competitive in the long term through the development of low grade beneficiation technology
- 8.7.6 The Projects Growth department is responsible for the development and implementation of Kumba's growth projects. The development of projects includes the the completion of concept studies where projects are developed and evaluated on a conceptual level to demonstrate investment potential. The pre-feasibility studies comprises the evaluation of project options and developing the selected option to the required level of detail. During the feasibility study, the technical detail is developed to a level where the required estimate accuracy is reached and the execution planning is done in detail. The implementation comprises the construction, commissioning and ramp-up of the growth projects.

The records comprise the following:

- 8.7.6.1 Project study reports
- 8.7.6.2 Project technical design drawings and reports
- 8.7.6.3 Project financial models
- 8.7.6.4 Project execution planning documentation
- 8.7.6.5 Project schedules and capital estimates
- 8.7.6.6 Growth portfolio planning documents
- 8.7.6.7 Project budgets and forecasts
- 8.7.6.8 Steering committee presentations and minutes of meetings
- 8.7.6.9 License to operate documents

8.8 Stay-in-Business Projects

Stay-in-Business Projects focus on initiating, planning, executing and close-out of projects required for efficiency improvement of operations and/or risk mitigation. Records comprise the following main categories:

Concept, Pre-feasibility (A & B); Feasibility studies (typical); execution documentation:

- 8.8.1 Project charter
- 8.8.2 Project Study Reports
- 8.8.3 Funds release instructions
- 8.8.4 Technical reviews
- 8.8.5 Economic evaluations
- 8.8.6 Control philosophy
- 8.8.7 Discipline approval registers
- 8.8.8 Project execution plan
- 8.8.9 Organogram
- 8.8.10 Delegation of Authority Framework (DAF)



- 8.8.11 Project Scope
- 8.8.12 Stage gate approval mandate
- 8.8.13 Project Work Breakdown Structure (WBS)
- 8.8.14 Project Schedule
- 8.8.15 Basis of schedule
- 8.8.16 Project estimate
- 8.8.17 Basis of estimate
- 8.8.18 Cost Breakdown Structure (CBS)
- 8.8.19 Financial model
- 8.8.20 Risk matrix
- 8.8.21 Project budget & Forecast
- 8.8.22 RACI Matrix
- 8.8.23 Management plans
- 8.8.24 Concept and engineering
 - 8.8.24.1 Design criteria
 - 8.8.24.2 Designs
 - 8.8.24.3 Standards
- 8.8.25 Specifications
- 8.8.26 Deliverables and Acceptance criteria
- 8.8.27 Vendor Document Requirements List (VDRL)
- 8.8.28 Site Instructions
- 8.8.29 Project Trend Notices (PTN)
- 8.8.30 Project Change Notices (PCN)
- 8.8.31 Project Change register
- 8.8.32 Memoranda
- 8.8.33 Letters
- 8.8.34 Discipline Reports
- 8.8.35 Steering committee packs
- 8.8.36 Minutes of meetings
- 8.8.37 Environmental Impact Assessments
- 8.8.38 Method statements
- 8.8.39 Construction procedures/ methodology
- 8.8.40 Contractors daily diaries
- 8.8.41 Early warning notifications
- 8.8.42 Technical queries
- 8.8.43 Project progress reports
- 8.8.44 Communication and risk management plans
- 8.8.45 Drawings
- 8.8.46 Data books
- 8.8.47 End state operational readiness plans
- 8.8.48 Commissioning management plan
- 8.8.49 Quality management plans
- 8.8.50 Field engineering queries
- 8.8.51 Technical queries
- 8.8.52 Quality control plans
- 8.8.53 Concessions
- 8.8.54 Non conformances
- 8.8.55 Test reports
- 8.8.56 Inspection reports
- 8.8.57 Procedures
- 8.8.58 Contracts
- 8.8.59 Purchase orders
- 8.8.60 Bill of quantities
- 8.8.61 Cost estimatess
- 8.8.62 TEAR documents
- 8.8.63 Relevant e-mails



8.9 Business Integration

The Business Integration department is responsible for managing the implementation of the Anglo American Operating Model in Kumba. The Business Integration department consists of the following sections: 1) Integrated Planning, 2) Operational Excellence, 3) Work Management and 4) Data Analytics.

Records comprise the following main categories:

- 8.9.1 Operating Model training material
- 8.9.2 Operating Model Flowsheets and Task Assignments
- 8.9.3 Kumba Annual Business Planning Process
- 8.9.4 OMS Procedure
- 8.9.5 Operating Model review assessments
- 8.9.6 SORD Reporting Details
- 8.9.7 Data Analytics Product details
- 8.9.8 Group Data Policy
- 8.9.9 Data Governance Committee documentation
- 8.9.10 Equipment Performance reports and Value Driver Trees
- 8.9.11 General Correspondence

8.10 Safety, Health and Environment

The Safety, Health and Environmental (SHE) department includes safety, health, environment, quality and land management. The department is responsible for ensuring the safety and health of employees and good care of the environment.

The SHE records comprise the following main categories:

- 8.10.1 SHE (Safety, Health and Environment) Assessment Records
- 8.10.2 SHE Audit Reports
- 8.10.3 Sustainable development records
- 8.10.4 Medical records of all employees and contractors
- 8.10.5 Environmental Approvals
- 8.10.6 Risk assessments

8.11 Land Management

The Land Management section is the custodian of non-mining land. The section is responsible for ensuring that non mining land is actively managed in accordance with general obligations of a landowner and maintaining the livestock and game operations. Land Management is also responsible for the implementation and management of nature reserves and biodiversity offsets.

The Land Management records comprise the following main categories:

- 8.11.1 Permits, licences, and authorisations related to agriculture and conservation
- 8.11.2 Title deeds of non-mining land
- 8.11.3 Lease agreements, purchase agreements and sale agreements of land

- 8.11.4 Nature reserve promulgations and nature reserve management plans
- 8.11.5 Land Management Strategy
- 8.11.6 General Correspondence

8.12 Corporate Affairs and Mineral Rights

- 8.12.1 Corporate Affairs provides public relations services to Kumba. It is responsible for all media and community and stakeholder engagements. The Corporate Affairs department takes care of an integrated communications policy geared to the functioning of the organisation and its goals. The records comprise the following main categories:

- 8.12.1.1 Stakeholder Engagements
- 8.12.1.2 News Releases/Statements
- 8.12.1.3 Annual Reports/Integrated Reports
- 8.12.1.4 Newsletters
- 8.12.1.5 Events
- 8.12.1.6 Videos
- 8.12.1.7 Broadcast interviews
- 8.12.1.8 Presentations
- 8.12.1.9 General Correspondence

- 8.12.2 The Stakeholder Engagement function is responsible for management of relationships with the Company's key stakeholders and records comprise the following main categories:

- 8.12.2.1 Stakeholders Engagement reports
- 8.12.2.2 B-BBEE verification records

- 8.12.3 The Community Development function is responsible for the management of the Company's relationship with host communities and records comprise the following main categories:

- 8.12.3.1 Social Development project and donation agreements
- 8.12.3.2 Community Engagement and Development reports
- 8.12.3.3 Social Grievance and Incidents records
- 8.12.3.4 Social Way records
- 8.12.3.5 Social and Labour Plans and reports
- 8.12.3.6 Sustainable Mining Plan

- 8.12.4 The Mineral Rights department is responsible for the management of the surface, prospecting and mining rights as well as all property related matters. The records comprise the following:

- 8.12.4.1 Surface rights
- 8.12.4.2 Prospecting Rights
- 8.12.4.3 Mining Rights
- 8.12.4.4 Permits / licences / authorisations
- 8.12.4.5 Geological tenure management records
- 8.12.4.6 Statutory reports
- 8.12.4.7 General Correspondence

8.13 People and Organisation

8.13.1 The People and Organisation Department's primary objective is to develop and implement a competitive human resource strategy that will support the Group. People and Organisation records comprise the following main categories:

- 8.13.1.1 General Correspondence
- 8.13.1.2 Employee Records
- 8.13.1.3 General HR Policies and Procedures
- 8.13.1.4 Training Records
- 8.13.1.5 Pension Records
- 8.13.1.6 Employee Benefit Records
- 8.13.1.7 Labour Relations Records
- 8.13.1.8 Statutory Records
- 8.13.1.9 Employment Equity Records
- 8.13.1.10 Ad hoc Incentive Awards (attraction or retention)
- 8.13.1.11 Equity Awards (Karlolo, Semela and Management Incentive Schemes)
- 8.13.1.12 Payroll and Taxation Records
- 8.13.1.13 Talent and Succession Records
- 8.13.1.14 Psychological Assessment Records
- 8.13.1.15 Recruitment and Job application records for internal and external candidates

9. PERSONAL INFORMATION

The POPI Act defines personal information as follows:

"personal information" means information relating to an identifiable, living, natural person, and where it is applicable, an identifiable, existing juristic person, including, but not limited to—

- (a) information relating to the race, gender, sex, pregnancy, marital status, national, ethnic, or social origin, colour, sexual orientation, age, physical or mental health, well-being, disability, religion, conscience, belief, culture, language, and birth of the person;
- (b) information relating to the education or the medical, financial, criminal or employment history of the person;
- (c) any identifying number, symbol, e-mail address, physical address, telephone number, location information, online identifier, or other particular assignment to the person;
- (d) the biometric information of the person. **"biometrics"** means a technique of personal identification that is based on physical, physiological, or behavioural characterisation including blood typing, fingerprinting, DNA analysis, retinal scanning, and voice recognition;

- (e) the personal opinions, views or preferences of the person;
- (f) correspondence sent by the person that is implicitly or explicitly of a private or confidential nature or further correspondence that would reveal the contents of the original correspondence;
- (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.

9.1 Purpose of Processing

The purpose for which personal information is processed by Kumba and/or its subsidiaries will depend on the nature of the information. In general, personal information is processed by Kumba and/or its subsidiaries for business administration purposes, including:

- 9.1.1 to carry out actions for the conclusion or performance of a contract;
- 9.1.2 to comply with obligations imposed by law;
- 9.1.3 to protect the legitimate interests of the data subjects; or
- 9.1.4 where it is necessary for pursuing the legitimate interests of Kumba and/or its subsidiaries.

The above list is non-exhaustive.

9.2 Categories Of Data Subjects And Information

- 9.2.1 Kumba and/or its subsidiaries process personal information relating to the following categories of data subjects and information:

9.2.2 Categories of Data Subjects

- 9.2.2.1 Employees;
- 9.2.2.2 Candidates/ job applicants;
- 9.2.2.3 Visitors;
- 9.2.2.4 Consultants;
- 9.2.2.5 Contractors;
- 9.2.2.6 Customers;
- 9.2.2.7 Service providers;
- 9.2.2.8 Suppliers;
- 9.2.2.9 Investors;
- 9.2.2.10 Directors;
- 9.2.2.11 Shareholders;
- 9.2.2.12 Beneficiaries;
- 9.2.2.13 Website users
- 9.2.2.14 Other third parties with whom Kumba and/or its subsidiaries conduct business.

The above list is non-exhaustive.

9.2.3 Categories of Information

- 9.2.3.1 In respect of natural persons may include: name, identifying number (identity or passport number), date of birth, citizenship, age, gender, race, marital status, language, telephone number(s), email address(es), physical and postal addresses, income tax number, banking information, disability information, employment history, medical records, background checks, fingerprints, CVs, education history, remuneration and benefit information, details related to employee performance and disciplinary procedures.

- 9.2.3.2 In respect of juristic persons may include: name, registration number, tax information, contact details, physical and postal addresses, FICA documentation, BEE certificates, payment details (including bank accounts), invoices and contractual agreements.

The above lists are non-exhaustive.

9.3 Categories of Recipients to whom the Personal Information may be supplied

The categories of recipients to whom the Companies may supply the personal information will depend on the nature of the information. In general, such categories of recipients would include:

- 9.3.1 Other companies in the Group;
- 9.3.2 Service providers;
- 9.3.3 Medical aid, pension or provident funds;
- 9.3.4 Auditing and accounting bodies (internal and external);
- 9.3.5 Third parties with whom Kumba and/or its subsidiaries have contracted for the retention of data;
- 9.3.6 Relevant authorities, government departments, statutory bodies or regulators;
- 9.3.7 A court, administrative or judicial forum, arbitration or statutory commission making a request in terms of the applicable laws or rules.

The above list is non-exhaustive.

9.4 Planned Transborder Flows of Personal Information

Kumba and/or its subsidiaries envisage that they may transfer personal information to third parties or other companies in the Group, who are situated in a foreign country and such transfers would be subject to the relevant provisions of the POPI and The General Data Protection Regulation (GDPR) Acts.

9.5 Information Security Measures

Kumba and/or its subsidiaries will endeavour to implement appropriate and reasonable technical and organisational safeguards to ensure the integrity and confidentiality of personal information in their possession or under their control.

9.6 Objection to the Processing of Personal Information by a Data subject

A data subject may at any time object to the processing of their personal information in accordance with 11(3)(a) of the POPI Act, subject to exceptions provided for in the Act.

9.7 Request for Correction or Deletion of Personal Information

A Data Subject may request the correction or deletion of their personal information, as provided for in Section 24 of the POPI Act.

10. ACCESS REQUESTS

This section aims to guide requesters through the procedures required to request access to records held by Kumba

It is important to note that a request for access may be declined if it does not meet the procedural requirements set out in the Act. Furthermore, the completion and submission of the Access Request Form (Form 2) does not automatically entitle the requester to access the requested record.

Note:

If there is reasonable suspicion that access to Kumba's records was obtained through the submission of false or misleading information, legal action may be taken against the requester.

10.1 Access Request Procedure

10.1.1 Completion of Access Request Form

10.1.1.1 To enable Kumba to respond to access requests efficiently and in a timely manner, requesters are required to complete the Access Request Form, taking careful note of the following instructions for completing the form:

10.1.1.2 The Access Request Form attached as Form 2 hereto, must be completed in the English language.

10.1.1.2.1 Type or print in BLOCK LETTERS an answer to every question

10.1.1.2.2 If a question does not apply, state "N/A" in response to that question

10.1.1.2.3 If there is nothing to disclose in reply to a particular question state "nil" in response to that question

10.1.1.2.4 If there is insufficient space on a printed form in which to answer a question, additional information may be provided on an additional folio.

10.1.1.2.5 When the use of an additional folio is required, precede each answer thereon with the title applicable to that question.

10.1.1.2.6 To verify the identity of the requester, proof of identity must be provided. In addition to completing the Access Request Form, individuals are required to submit a certified copy of their identity document or valid passport. If the requester is a legal entity, a certified copy of the Company Registration Certificate must be provided.

10.1.2 Submission of Access Request Form

10.1.2.1 The completed Access Request Form, accompanied by a certified copy of the requester's identity document, valid passport, and/or Company Registration Certificate (in the case of a legal entity), must be submitted to the Information Officer or Deputy Information Officer. Submission may be made via conventional mail, email, or fax, as specified in paragraph... of this manual.

10.1.2.2 An initial, non-refundable request fee of R140.00 is payable on submission. This fee is not applicable to Personal Requesters, referring to any person seeking access to records that contain their personal information

10.1.3 Payment of Fees

- 10.1.3.1 Payment details can be obtained from the Information Officer/ Deputy Information Officer as indicated in this manual and payment can be made either via a direct deposit, or by postal order (no credit card payments are accepted). Proof of payment must be supplied via e-mail to the e-mail address of cosec.kumba@angloamerican.com.
- 10.1.3.2 If the request for access is successful, an **access fee** may be required for the search, reproduction and/or preparation of the record(s) and will be calculated based on the Prescribed Fees as set out in **Form 3** attached hereto. The access fee must be paid prior to access being given to the requested record.

10.1.4 Notification

- 10.1.4.1 The relevant Information Officer / Deputy Information Officer will, within 30 (thirty) days of receipt of the request, decide whether to grant or decline the request and give notice with reasons (if required) to that effect.
- 10.1.4.2 This 30 (thirty) day period may be extended for a further period of not more than 30 (thirty) days, if the request is for a large volume of information, or the request requires a search for information held at other offices of one or more of the Companies and the information cannot reasonably be obtained within the original 30 (thirty) day period.
- 10.1.4.3 The requester will be notified in writing should an extension be sought including adequate reasons for the extension and notice that the requester may lodge an application with a court against the extension and the procedure, including the period, for lodging the application.

10.1.5 Payment of Deposit (if applicable)

- 10.1.5.1 The requester may be notified whether a deposit is required. A deposit will be required depending on certain factors such as the volume and/or format of the information requested and the time required for search and preparation of the record(s). The notice will state:
 - 10.1.5.1.1 The amount of the deposit payable (if applicable); and
 - 10.1.5.1.2 That the requester may lodge an application with a court against the payment of the deposit and the procedure, including the period, for lodging the application.
- 10.1.5.2 In the event that access is refused to the requested record, the full deposit will be refunded to the requester.

10.1.6 Grounds for Refusal of Access to Records

The main grounds for refusal of a request for information are:

- 10.1.6.1 Mandatory protection of the privacy of a third party who is a natural person, which would involve the unreasonable disclosure of personal information of that natural person;
- 10.1.6.2 Mandatory protection of the commercial information of a third party, if the record contains:
 - 10.1.6.2.1 Trade secrets of that party;
 - 10.1.6.2.2 Financial, commercial, scientific or technical information which disclosure could likely cause harm to the financial or commercial interests of that party; and

- 10.1.6.2.3 Information disclosed by a third party to any of the Companies if the disclosure could put that third party at a disadvantage in negotiations or commercial competition;
- 10.1.6.3 Mandatory protection of confidential information of third parties if it is protected in terms of any agreement – the provisions of the PAIA to apply in relation to the rights of the relevant third parties;
- 10.1.6.4 Mandatory protection of the safety of individuals and the protection of property;
- 10.1.6.5 Mandatory protection of records which could be regarded as privileged in legal proceedings; and
- 10.1.6.6 The commercial activities of the Companies, which may include:
 - 10.1.6.6.1 Trade secrets of the Companies; and
 - 10.1.6.6.2 Financial, commercial, scientific or technical information which, if disclosed, would likely cause harm to the financial or commercial interests of the Companies

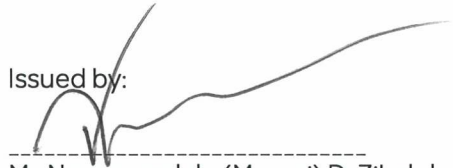
10.1.7 Appeal Against Refusal to Grant Access

If a requester is aggrieved by the decision of the relevant Information Officer / Deputy Information Officer to refuse access to a record, they may, upon receiving notification of the decision or in the case of a deemed refusal, lodge a complaint with the Information Regulator using a form substantially similar to Form 5. Alternatively, the requester may apply to a court for appropriate relief, within the timeframes prescribed by PAIA.

11. ADDITIONAL PRESCRIBED INFORMATION

The Minister of Justice has not prescribed any additional information to be included in this PAIA manual beyond what is already required under Section 51 of the Promotion of Access to Information Act (PAIA), as amended by POPIA.

Issued by:



Ms Nompumelelo (Mpumi) D. Zikalala
Chief Executive Officer
Kumba Iron Ore Limited

Signed at Johannesburg on the day of 07 October 2025

FORM 1

REQUEST FOR A COPY OF THE GUIDE

[Regulations 3]

TO: The Information Officer

I,

Full names:				
In my capacity as (mark with "x"):	Information officer		Other	
Name of *public/private body (<i>if applicable</i>)				
Postal Address:				
Street Address:				
E-mail Address:				
Facsimile:				
Contact numbers:	Tel.(B):		Cellular:	

Hereby request the following copy (ies) of the Guide:

Language (<i>mark with "X"</i>)		No of copies	Language (<i>mark with "X"</i>)		No of copies
	Sepedi			Sesotho	
	Setswana			siSwati	
	Tshivenda			Xitsonga	
	Afrikaans			English	
	isiNdebele			isiXhosa	
	isiZulu				

Manner of collection (*mark with "x"*):

Personal collection	Postal address	Facsimile	Electronic communication (Please specify)

Signed at _____ this _____ day of _____ 20 _____

Signature of requester _____

FORM 2

REQUEST FOR ACCESS TO RECORD

[Regulation 7]

NOTE:

1. *Proof of identity must be attached by the requester.*
2. *If requests made on behalf of another person, proof of such authorisation, must be attached to this form.*

TO: The Information Officer

(Address)

E-mail address:

--

Fax number:

--

Mark with an "X"

☐Request is made in my own name
another person.☐

Request is made on behalf of

PERSONAL INFORMATION				
Full Names				
Identity Number				
Capacity in which request is made (when made on behalf of another person)				
Postal Address				
Street Address				
E-mail Address				
Contact Numbers	Tel. (B):		Facsimile: <table border="1"><tr><td></td></tr></table>	
Cellular:				
Full names of person on whose behalf request is made (if applicable):				
Identity Number				
Postal Address				

Street Address			
E-mail Address			
Contact Numbers	Tel. (B)		Facsimile
	Cellular		
PARTICULARS OF RECORD REQUESTED <i>Provide full particulars of the record to which access is requested, including the reference number if that is known to you, to enable the record to be located. (If the provided space is inadequate, please continue on a separate page and attach it to this form. All additional pages must be signed.)</i>			
Description of record or relevant part of the record:			
Reference number, if available			
Any further particulars of record			
TYPE OF RECORD (Mark the applicable box with an "X")			
Record is in written or printed form			
Record comprises virtual images (this includes photographs, slides, video recordings, computer-generated images, sketches, etc.)			
Record consists of recorded words or information which can be reproduced in sound			
Record is held on a computer or in an electronic, or machine-readable form			

FORM OF ACCESS (Mark the applicable box with an "X")	
Printed copy of record <i>(including copies of any virtual images, transcriptions and information held on computer or in an electronic or machine-readable form)</i>	
Written or printed transcription of virtual images <i>(this includes photographs, slides, video recordings, computer-generated images, sketches, etc.)</i>	
Transcription of soundtrack <i>(written or printed document)</i>	
Copy of record on flash drive <i>(including virtual images and soundtracks)</i>	
Copy of record on compact disc drive <i>(including virtual images and soundtracks)</i>	
Copy of record saved on cloud storage server	

MANNER OF ACCESS (Mark the applicable box with an "X")	
Personal inspection of record at registered address of public/private body <i>(including listening to recorded words, information which can be reproduced in sound, or information held on computer or in an electronic or machine-readable form)</i>	
Postal services to postal address	
Postal services to street address	
Courier service to street address	
Facsimile of information in written or printed format <i>(including transcriptions)</i>	
E-mail of information <i>(including soundtracks if possible)</i>	
Cloud share/file transfer	
Preferred language <i>(Note that if the record is not available in the language you prefer, access may be granted in the language in which the record is available)</i>	

PARTICULARS OF RIGHT TO BE EXERCISED OR PROTECTED	
<i>If the provided space is inadequate, please continue on a separate page and attach it to this Form. The requester must sign all the additional pages.</i>	
Indicate which right is to be exercised or protected	

Explain why the record requested is required for the exercise or protection of the aforementioned right:	

FEES	
a)	<i>A request fee must be paid before the request will be considered.</i>
b)	<i>You will be notified of the amount of the access fee to be paid.</i>
c)	<i>The fee payable for access to a record depends on the form in which access is required and the reasonable time required to search for and prepare a record.</i>
d)	<i>If you qualify for exemption of the payment of any fee, please state the reason for exemption</i>
Reason	

You will be notified in writing whether your request has been approved or denied and if approved the costs relating to your request, if any. Please indicate your preferred manner of correspondence:

Postal address	Facsimile	Electronic communication (Please specify)

Signed at _____ this _____ day of _____ 20 _____

Signature of Requester / person on whose behalf request is made.

FOR OFFICIAL USE

Reference number:	
Request received by: (State Rank, Name and Surname of Information Officer)	
Date received:	
Access fees:	
Deposit (if any):	

Signature of Information Officer

FORM 3
OUTCOME OF REQUEST AND OF FEES PAYABLE
 [Regulation 8]

1. *If your request is granted the—*
 - (a) *amount of the deposit, (if any), is payable before your request is processed; and*
 - (b) *requested record/portion of the record will only be released once proof of full payment is received.*
2. *Please use the reference number hereunder in all future correspondence.*

Reference number: _____

TO: _____

Your request dated _____, refers.

1. You requested:

Personal inspection of information at registered address of public/private body (<i>including listening to recorded words, information which can be reproduced in sound, or information held on computer or in an electronic or machine-readable form</i>) is free of charge. You are required to make an appointment for the inspection of the information and to bring this Form with you. If you then require any form of reproduction of the information, you will be liable for the fees prescribed in Annexure B.	
---	--

OR

2. You requested:

Printed copies of the information (<i>including copies of any virtual images, transcriptions and information held on computer or in an electronic or machine-readable form</i>)	
Written or printed transcription of virtual images (<i>this includes photographs, slides, video recordings, computer-generated images, sketches, etc.</i>)	
Transcription of soundtrack (<i>written or printed document</i>)	
Copy of information on flash drive (<i>including virtual images and soundtracks</i>)	
Copy of information on compact disc drive (<i>including virtual images and soundtracks</i>)	
Copy of record saved on cloud storage server	

3. To be submitted:

Postal services to postal address	
Postal services to street address	
Courier service to street address	
Facsimile of information in written or printed format (<i>including transcriptions</i>)	
E-mail of information (<i>including soundtracks if possible</i>)	
Cloud share/file transfer	
Preferred language: (<i>Note that if the record is not available in the language you prefer, access may be granted in the language in which the record is available</i>)	

Kindly note that your request has been:

- ☐ Approved
- ☐ Denied, for the following reasons:

4. Fees payable with regards to your request:

Item	Cost per A4-size page or part thereof/item	Number of pages/items	Total
Photocopy			
Printed copy			
For a copy in a computer-readable form on:			
(i) Flash drive	R40.00		
• To be provided by requestor			
(ii) Compact disc	R40.00		
• If provided by requestor			
• If provided to the requestor	R60.00		
For a transcription of visual images per A4-size page	Service to be outsourced. Will depend on the quotation of the service provider		
Copy of visual images			
Transcription of an audio record, per A4-size	R24.00		
Copy of an audio record			
(i) Flash drive	R40.00		
• To be provided by requestor			
(ii) Compact disc	R40.00		
• If provided by requestor			
• If provided to the requestor	R60.00		
Postage, e-mail or any other electronic transfer:	Actual costs		
TOTAL:			

5. Deposit payable (if search exceeds six hours):

☐

Yes

☐

No

Hours of search	Amount of deposit (calculated on one third of total amount per request)

The amount must be paid into the following Bank account:

Name of Bank: _____
 Name of account holder: _____
 Type of account: _____
 Account number: _____
 Branch Code: _____
 Reference Nr: _____
 Submit proof of payment to: _____

Signed at _____ this _____ day of _____ 20 _____

Information officer

FORM 4
INTERNAL APPEAL FORM

[Regulation 9]

Reference Number:

PARTICULARS OF PUBLIC BODY				
Name of Public Body				
Name and Surname of Information Officer:				
PARTICULARS OF COMPLAINANT WHO LODGES THE INTERNAL APPEAL				
Full Names				
Identity Number				
Postal Address				
Contact Numbers	Tel. (B)		Facsimile	
	Cellular			
E-Mail Address				
Is the internal appeal lodged on behalf of another person?	Yes	☐	No	☐
If answer is "yes", capacity in which an internal appeal on behalf of another person is lodged: <i>(Proof of the capacity in which appeal is lodged, if applicable, must be attached.)</i>				
PARTICULARS OF PERSON ON WHOSE BEHALF THE INTERNAL APPEAL IS LODGED <i>(If lodged by a third party)</i>				
Full Names				
Identity Number				
Postal Address				
Contact Numbers	Tel. (B)		Facsimile	
	Cellular			
E-Mail Address				

DECISION AGAINST WHICH THE INTERNAL APPEAL IS LODGED (mark the appropriate box with an "X")	
Refusal of request for access	
Decision regarding fees prescribed in terms of section 22 of the Act	
Decision regarding the extension of the period within which the request must be dealt with in terms of section 26(1) of the Act	
Decision in terms of section 29(3) of the Act to refuse access in the form requested by the requester	
Decision to grant request for access	
GROUNDS FOR APPEAL <i>(If the provided space is inadequate, please continue on a separate page and attach it to this form. all the additional pages must be signed)</i>	
State the grounds on which the internal appeal is based:	
State any other information that may be relevant in considering the appeal:	

You will be notified in writing of the decision on your internal appeal. Please indicate your preferred manner of notification:

Postal address	Facsimile	Electronic communication (Please specify)

Signed at _____ this _____ day of _____ 20 _____

Signature of Appellant/Third party

FOR OFFICIAL USE
OFFICIAL RECORD OF INTERNAL APPEAL

Appeal received by: <i>(state rank, name and surname of Information Officer)</i>				
Date received:				
Appeal accompanied by the reasons for the information officer's decision and, where applicable, the particulars of any third party to whom or which the record relates, submitted by the information officer:				Yes ☐ No ☐
OUTCOME OF APPEAL				
Refusal of request for access. Confirmed?	Yes	☐	New decision <i>(if not confirmed)</i>	
	No	☐		
Fees (Sec 22). Confirmed?	Yes	☐	New decision <i>(if not confirmed)</i>	
	No	☐		
Extension (Sec 26(1)). Confirmed?	Yes	☐	New decision <i>(if not confirmed)</i>	
	No	☐		
Access (Sec 29(3)). Confirmed?	Yes	☐	New decision <i>(if not confirmed)</i>	
	No	☐		
Request for access granted. Confirmed?	Yes	☐	New decision <i>(if not confirmed)</i>	
	No	☐		

Signed at _____ this _____ day of _____ 20 _____

Relevant Authority

COMPLAINT FORM

FORM 5

[Regulation 10]

NOTE:

1. This form is designed to assist the Requester or Third Party (hereinafter referred to as "the Complainant") in requesting a review of a Public or Private Body's response or non-response to a request for access to records under the Promotion of Access to Information Act, 2000 (Act No. 2 of 2000) ("PAIA"). Please fill out this form and send it to the following email address: PAIAComplaints@infoRegulator.org.za or complete online complaint form available at <https://www.justice.gov.za/infoereg/>.
2. PAIA gives a member of the public a right to file a complaint with the Information Regulator about any of the nature of complaints detailed in part F of this complaint form.
3. It is the policy of the Information Regulator to defer investigating or to reject a complaint if the Complainant has not first given the public or private body (herein after referred to as "the Body") an opportunity to respond to and attempt to resolve the issue. To help the Body address your concerns prior to approaching the Information Regulator, you are required to complete the prescribed **PAIA Form 2** and submit it to the Body.
4. A copy of this Form will be provided to the Body that is the subject of your complaint. The information you provide on this form, attached to this form or that you supply later, will only be used to attempt to resolve your dispute, unless otherwise stated herein.
5. The Information Regulator will only accept your complaint once you confirm having complied with the prerequisites below.
6. **Please attach copies of the following documents if you have them:**
 - a. Copy of the form to the Body requesting access to records;
 - b. The Body's response to your complaint or access request;
 - c. Any other correspondence between you and the Body regarding your request;
 - d. Copy of the appeal form, if your complaint relate to a public body;
 - e. The Body's response to your appeal;
 - f. Any other correspondence between you and the Body regarding your appeal;
 - g. Documentation authorizing you to act on behalf of another person (if applicable);
 - h. Court Order or Court documents relevant to your complaint, if any.
7. If the space provided for in this Form is inadequate, submit information as an Annexure to this Form and sign each page.

CAPACITY OF PERSON/PARTY LODGING A COMPLAINT

(Mark with an "X")

☐

Complainant Personally

☐

Representative of Complainant

☐

Third Party

PREREQUISITES

Did you submit request (PAIA form) for access to record of a public/private body?	Yes		No	
Has 30 days lapsed from the date on which you submitted your PAIA form?	Yes		No	
Did you exhaust all the internal appeal procedure against a decision of the Information officer of a public body?	Yes		No	
Have you applied to Court for appropriate relief regarding this matter?	Yes		No	

FOR INFORMATION REGULATOR'S USE ONLY			
Received by: (Full names)			
Position			
Signature			
Complaint accepted	Yes		No
Reference Number			
Date stamp			

Postal address	Facsimile	Other electronic communication (Please specify)	
PART A PERSONAL INFORMATION OF COMPLAINANT			
Full Names			
Identity Number			
Postal Address			
Street Address			
E-Mail Address			
Contact numbers	Tel. (B)		Facsimile
	Cellular		
PART B REPRESENTATIVE INFORMATION <i>(Complete only if you will be represented. A Power of Attorney must be attached if complainant is represented, failing which the complaint will be rejected)</i>			
Full Names of Representative			
Nature of representation			
Identity Number / Registration Number			
Postal Address			
Street Address			
E-mail Address			
Contact Numbers	Tel. (B)		Facsimile
	Cellular		
PART C THIRD PARTY INFORMATION <i>(Please attach letter of authorisation)</i>			
Type of Body	Private		Public
Name of Public / Private Body			
Registration Number (if any)			
Name, Surname and Title of person authorised to lodge a complaint			
Postal Address			
Street Address			
E-mail Address			

Contact Numbers	Tel. (B):		Facsimile	
	Cellular			
PART D				
BODY AGAINST WHICH THE COMPLAINT IS LODGED				
Type of body	Private		Public	
Name of public / private Body				
Registration number (if any)				
Name, surname and title of person you dealt with at the public or private body to try to resolve your complaint or request for access to information				
Postal Address				
Street Address				
E-mail Address				
Contact Numbers	Tel. (B):		Facsimile	
	Cellular			
Reference Number given. (if any)				
PART E				
COMPLAINT				
<i>Tell us about the steps you have taken to try to resolve your complaint (Complaints should first be submitted directly to the public or private body for response and possible resolution)</i>				
Date on which request for access to records submitted.				
Please specify the nature of the right(s) to be exercised or protected, if a complaint is against a private body.				
Have you attempted to resolve the matter with the organisation?	Yes		No	
If yes, when did you receive it? (Please attach the letter to this application.)				
Did you appeal against a decision of the information officer of the public body?	Yes		No	
If yes, when did you lodge an appeal?				
Have you applied to Court for appropriate relief regarding this matter?	Yes		No	
If yes, please indicate when was the matter adjudicated by the Court? Please attach Court Order, if there is any.				
PART F				
DETAILED TYPE OF ACCESS TO RECORDS				
<i>(Please select one or more of the following to describe your complaint to the Information Regulator)</i>				
Unsuccessful appeal (Section 77A(2)(a) or section 77A(3)(a) of PAIA)	I have appealed against the decision of the public body and the appeal is unsuccessful.			
Unsuccessful application for condonation (Sections 77A(2)(b) and 75(2) of PAIA)	I filed my appeal against the decision of the public body late and applied for condonation. The condonation application was dismissed.			

Refusal of a request for access (Section 77A(2)(c)(i) or 77A(2)(d)(i) or 77A(3)(b) of PAIA)	<i>I requested access to information held by a body and that request was refused or partially refused.</i>	☐
The body requires me to pay a fee and I feel it is excessive (Sections 22 or 54 of PAIA)	<i>Tender or payment of the prescribed fee.</i>	☐
	<i>The tender or payment of a deposit.</i>	☐
Repayment of the deposit (Section 22(4) of PAIA)	<i>The information officer refused to repay a deposit paid in respect of a request for access which is refused.</i>	☐
Disagree with time extension (Sections 26 or 57 of PAIA)	<i>The body decided to extend the time limit for responding to my request, and I disagree with the requested time limit extension or a time extension taken to respond to my access request.</i>	☐
Form of access denied (Section 29(3) or 60(a) of PAIA)	<i>I requested access in a particular and reasonable form and such form of access was refused.</i>	☐
Deemed refusal (Section 27 or 58 of PAIA)	<i>It is more than 30 days since I made my request and I have not received a decision.</i>	☐
	<i>Extension period has expired and no response was received.</i>	☐
Inappropriate disclosure of a record (Mandatory grounds for refusal of access to record)	<i>Records (that are subject to the grounds for refusal of access) have inappropriately/unreasonably been disclosed.</i>	☐
No adequate reasons for the refusal of access (Section 56(3)(a) of PAIA)	<i>My request for access is refused, and no valid or adequate reasons for the refusal, were given, including the provisions of this Act which were relied upon for the refusal.</i>	☐
Partial access to record (Section 28(2) or 59(2) of PAIA)	<i>Access to only a part of the requested records was granted and I believe that more of the records should have been disclosed.</i>	☐
Fee waiver (Section 22(8) or 54(8) of PAIA)	<i>I am exempt from paying any fee and my request to waive the fees was refused.</i>	☐
Records that cannot be found or do not exist (Section 23 or 55 of PAIA)	<i>The Body indicated that some or all of the requested records do not exist and I believe that more records do exist.</i>	☐
Failure to disclose records	<i>The Body decided to grant me access to the requested records, but I have not received them.</i>	☐
No jurisdiction (exercise or protection of any rights) (Section 50(1)(a) of PAIA)	<i>The Body indicated that the requested records are excluded from PAIA and I disagree.</i>	☐
Frivolous or vexatious request (Section 45 of PAIA)	<i>The Body indicated that my request is manifestly frivolous or vexatious and I disagree.</i>	☐
Other (Please explain)		

**PART G EXPECTED
OUTCOME**

How do you think the Information Regulator can assist you? Describe the result or outcome that you seek.

**PART H
AGREEMENTS**

The legal basis for the following agreements is explained in the Privacy Notice on how to file your complaint document. In order for the Information Regulator to process your complaint, you need to check each one of the checkboxes below to show your agreement:

☐

I agree that the Information Regulator may use the information provided in my complaint to assist it in researching issues relating to the promotion of the right of access to information as well as the protection of the right to privacy in South Africa. I understand that the Information Regulator will never include my personal or other identifying information in any public report, and that my personal information is still protected by the Protection of Personal Information Act, 2013 (Act No. 4 of 2013). I understand that if I do not agree, the Information Regulator will still process my complaint.

☐

The information in this Complaint Form is true to the best of my knowledge and belief.

☐

I authorize the Information Regulator to collect my personal complaint information (such as the information about me in this complaint form) and use it to process my human rights complaint relating to the right of access to information and / or the protection of the right to privacy.

☐

I authorise anyone (such as an employer, service provider, witness) who has information needed to process my complaint to share it with the Information Regulator. The Information Regulator can obtain this information by talking to witnesses or asking for written records. Depending on the nature of the complaint, these records could include personnel files or employer data, medical or hospital records, and financial or taxpayer information.

☐

If any of my contact information changes during the complaint process, it is my responsibility to inform the Information Regulator; otherwise my complaint could experience a delay or even be closed.

Signed at _____ this _____ day of
_____ 20 _____

Complainant/Representative/Authorised person of Third party

