

# COMMISSION FOR CONCILIATION, MEDIATION AND ARBITRATION

## PAIA MANUAL

Prepared in terms of section 14 of the Promotion of Access to Information Act 2 of 2000 (as amended)

### **TABLE OF CONTENTS**

1.	FOREWORD BY THE CCMA DIRECTOR	3
2.	LIST OF ACRONYMS AND ABBREVIATIONS	4
3.	PURPOSE OF PAIA MANUAL	5
4.	ESTABLISHMENT OF THE COMMISSION FOR CONCILIATION, MEDIATION AND	
	ARBITRATION	5
5.	STRUCTURE OF THE CCMA AND FUNCTIONS	6
6.	KEY CONTACT DETAILS FOR ACCESS TO INFORMATION OF THE CCMA	10
7.	DESCRIPTION OF ALL REMEDIES AVAILABLE IN RESPECT OF AN ACT OR A	
	FAILURE TO ACT BY THE CCMA	12
8.	GUIDE ON HOW TO USE PAIA AND HOW TO OBTAIN ACCESS TO THE GUIDE	12
9.	CATEGORIES OF RECORDS HELD BY THE CCMA CATEGORIES	13
10.	RECORDS OF THE CCMA WHICH ARE AVAILABLE WITHOUT A PERSON HAVING T	Ю
	REQUEST ACCESS, IN TERMS OF SECTION 15(2) OF THE ACT	16
11.	PROCEDURE FOR ACCESS TO RECORDS HELD BY THE CCMA	17
12.	SERVICES AVAILABLE TO MEMBERS OF THE PUBLIC FROM THE CCMA	19
13.	PUBLIC INVOLVEMENT IN THE FORMULATION OF POLICY OR THE EXERCISE OF	
	POWERS OR PERFORMANCE OF DUTIES BY THE CCMA	20
14.	PROCESSING OF PERSONAL INFORMATION	
15.	PRESCRIBED FEES	25
16.	AVAILABILITY OF THE MANUAL	25
17.	UPDATING OF THE MANUAL	
ISSUED	) BY	25

### 1. FOREWORD BY THE CCMA DIRECTOR

The Commission for Conciliation, Mediation and Arbitration (CCMA), in compliance with the Promotion of Access to Information Act 2 of 2000, as amended<sup>1</sup> (PAIA), has prepared this PAIA Manual to facilitate the public's right of access to information held by the CCMA. This manual must be read in conjunction with the Guide on how to use PAIA, as published by the Information Regulator. The contact details of the Information Regulator are provided below for reference and further assistance.

Section 32 of the Constitution of the Republic of South Africa, 1996, establishes the right of everyone to access information held by the State and by private bodies where such information is required for the exercise or protection of any rights. PAIA gives effect to this right and promotes a culture of transparency, accountability and good governance in both public and private sectors. In doing so, it supports the country's constitutional commitment to an open and participatory democracy.

This manual sets out the types and categories of records held by the CCMA and outlines the procedures and requirements for requesting access to such information. This manual is intended to assist any person, including nonnationals, in understanding how to exercise their right of access to information in a lawful and informed manner.

The CCMA acknowledges that the right of access to information is not absolute and may be limited under certain circumstances. These limitations<sup>2</sup> are recognised in both PAIA and the Protection of Personal Information Act 4 of 2013 (POPIA) and serve to balance the right to access with other rights and interests, such as the protection of personal privacy, confidentiality, legal privilege, and the legitimate purposes linked to the operations of entities.

In accordance with PAIA, the CCMA may be required to grant access to records even where grounds for refusal exist, if the disclosure of the record would reveal evidence of a substantial contravention of, or failure to comply with the law, and the public interest in the disclosure of the record clearly outweighs the harm contemplated in any of the grounds for refusal of access to records.

This manual is a demonstration of the CCMA's commitment to openness, compliance with legal obligations, and the promotion of a transparent and accountable public institution.

### Details of the Regulator:

**Physical Address**: The Information Regulator (South Africa) JD House, 27 Stiemens Street, Braamfontein, Johannesburg, 2001

Postal Address: PO Box 31533, Braamfontein, Johannesburg 2017

E-mail:	enquiries@inforegulator.org.za
	PAIACompliance@inforegulator.org.za
Website: Cameron Morajane	https://www.inforegulator.org.za

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Signed by Cameron Morajane, CameronM@ccma.org.za

ADV. CAMERON MORAJANE CCMA DIRECTOR

<sup>&</sup>lt;sup>1</sup> Promotion of Access to Information Amendment Act, 2002, Protection of Personal Information Act, 2013 and Promotion of Access to Information Amendment Act, 2019

<sup>&</sup>lt;sup>2</sup> Grounds for refusal of access to records, sections 33-46 of PAIA

### LIST OF ACRONYMS AND ABBREVIATIONS 2.

Deputy Information Officer	This means the designated individuals in the CCMA who are responsible for assisting the Information Officer with compliance with the Promotion of Access to Information Act 2 of 2000 (PAIA) and the Protection of Personal Information Act 4 of 2013 (POPIA), as contemplated in section 17 of PAIA and sections 55 and 56 of POPIA.
Guide	This means the guide as contemplated in section 10 of PAIA on how to use PAIA for any person who wishes to exercise any right contemplated in PAIA and/or POPIA.
ICT	Information Communication Technology
Information Officer	In relation to the CCMA, a public entity, this means the CCMA Director, or the person who is acting as such.
Information Regulator	This means the Information Regulator established in terms of section 39 of the Protection of Personal Information Act 4 of 2013.
Personal information	This means information relating to an identifiable natural person, including, but not limited to -(a)Information relating to the race, gender, sex, pregnancy, marital status,
	<ul> <li>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;</li> <li>(b) information relating to the education or the medical, financial, criminal or</li> </ul>
	<ul> <li>employment history of the person;</li> <li>(c) any identifying number, symbol, email address, physical address, telephone number, location information, online identifier or other particular assigned to a person;</li> <li>(d) the biometric information of the person;</li> <li>(e) the personal opinions, views or preferences of a person;</li> </ul>
	<ul> <li>(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;</li> <li>(g) the views or opinions of another individual about the person; and</li> <li>(h) the name of the person if it appears with other personal information relating to the</li> </ul>
Popia	person or if the disclosure of the name itself would reveal information about the person, but excludes information about an individual who has been dead for more than 20 years. The Protection of Personal Information Act 4 of 2013
Public Body	This means –
Fubic Body	<ul> <li>(a) any department of state or administration in the national or provincial sphere of government or any municipality in the local sphere of government; or</li> <li>(b) any other functionary or institution when-</li> </ul>
	<ul> <li>exercising a power or performing a duty in terms of the Constitution or a provincial constitution; or</li> <li>exercising a public power or performing a public function in terms of any legislation<sup>3</sup>.</li> </ul>
Record	This means a form of documentation in relation to a public or private body or any recorded information safeguarded with the public or private body- a) regardless of form or medium;
	<ul> <li>b) in the possession or under the control of that public or private body, respectively; and</li> <li>c) whether or not it was created by that public or private body, respectively</li> </ul>
Responsible party	This means a public or private body or any other person which, alone or in conjunction with others, determines the purpose of and means for processing personal information.
The Act	This means the Promotion of Access to Information Act 2 of 2000 as amended, and includes any regulation made in force in terms of section 92.

 $<sup>^3</sup>$  Section 1 of the Promotion of Access to Information Amendment Act, 2002  $${\rm Page}~4$  of 25

This PAIA Manual is useful for the public to-

- 3.1. check the nature of the records which may already be available at the CCMA, without the need for submitting a formal PAIA request;
- 3.2. understand how to make a request for access to a record of the CCMA;
- 3.3. access all the relevant contact details of the persons within the CCMA who will assist the public with the records they intend to access;
- 3.4. know all the remedies available from the CCMA regarding a request for access to the records, before approaching the Information Regulator or the Courts;
- 3.5. access the description of the services provided by the CCMA to members of the public and how to gain access to those services;
- 3.6. be aware of a description of the guide on how to use PAIA, as updated by the Information Regulator, and how to obtain access to it;
- 3.7. understand the circumstances in which the CCMA will process Personal Information;
- 3.8. to receive a description of the subjects on which the CCMA holds records and categories of records held on each subject;
- 3.9. know if the CCMA 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
- 3.10. know whether the CCMA has appropriate security measures to ensure the confidentiality, integrity and availability of the personal information which is to be processed.

### 4. ESTABLISHMENT OF THE COMMISSION FOR CONCILIATION, MEDIATION AND ARBITRATION

### 4.1. Founding Legislation

- 4.1.1. The CCMA is a statutory body established in terms of section 112 of the Labour Relations Act, 1995 (Act No. 66 of 1995), as amended (LRA).
- 4.1.2. The CCMA is governed by a Governing Body established in terms of section 116 of the LRA. The Governing Body consists of a chairperson and nine other members4, each nominated by NEDLAC and appointed by the Minister of Employment and Labour to hold office for three years, and the Director of the CCMA (who is a member of the governing body only by virtue of having been appointed director).
- 4.1.3. In terms of section 116 of the LRA, the Governing Body is the supreme policy-making body of the CCMA.

### 4.2. Objectives/Mandate

- 4.2.1. The CCMA draws its legislative mandate principally from section 23 of the Constitution of the Republic of South Africa, 1996 (Act No. 108 of 1996) and the LRA.
- 4.2.2. The CCMA's mandate is derived from the purpose of the LRA which, amongst others, is to advance economic development, social justice, labour peace and the democratisation of the workplace.
- 4.2.3. The mandate of the organisation is further enhanced by the statutes that deal with the world of work and in particular the Basic Conditions of Employment Act, 1997 (Act No. 75 of 1997), as amended ("the BCEA") and the Employment Equity Act, 1998 (Act No. 55 of 1998), as amended ("the EEA").

<sup>&</sup>lt;sup>4</sup> The nine other members consist of three each from organised labour, organised business, and the State.

4.2.4. The CCMA is independent of the State, any political party, trade union, employer, employers' organisation, federation of trade unions or federation of employers' organisations<sup>5</sup>. It has jurisdiction in all nine provinces of the Republic of South Africa.

### 4.3. Vision, Mission and Values of the CCMA

### 4.3.1. Vision

The CCMA is a world-class institution that promotes labour market stability, social justice and job security.

### 4.3.2. Mission

To give effect to everyone's Constitutional rights and freedom.

### 4.3.3. Values

Respect – We value those we serve, those who we work with and our organisation. Excellence – We continuously do our best in delivering on our mandate and in services to our people. Accountability – We hold ourselves responsible for our actions, and in the outcomes of our work. Diversity – We respect, embrace and celebrate the differences of our people. Integrity – We do the right thing even when no one is looking. Transparency - We work in a manner that is open, fair and honest.

### 5. STRUCTURE OF THE CCMA AND FUNCTIONS

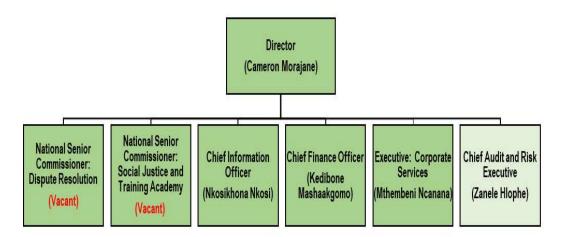
### 5.1. Structure of the CCMA

- 5.1.1. The CCMA consists of the National (Head) Office situated in Johannesburg, as well as provincial and regional offices across all nine (9) provinces of the Republic of South Africa.
- 5.1.2. In terms of **section 121(1)** of the **LRA**, the Governing Body may establish committees to assist the Commission. In line with this provision, the CCMA Governing Body has established the following committees:
  - 5.1.2.1. Audit and Risk Committee (ARC);
  - 5.1.2.2. Dispute Resolution Committee (DRC);
  - 5.1.2.3. Governance, Social and Ethics Committee (GSEC);
  - 5.1.2.4. Human Resources Committee (HRC); and
  - 5.1.2.5. Procurement Committee (PC)
- 5.1.3. In terms of **section 118(1)(a)–(b)** of the **LRA**, the Governing Body must appoint, as *Director* of the Commission, a person who—
  - 5.1.3.1. is skilled and experienced in labour relations and dispute resolution; and
  - 5.1.3.2. has not been convicted of any offence involving dishonesty.
- 5.1.4. In terms of section 118(1)(a)-(c) of the LRA, the Director must-
  - 5.1.4.1. perform the functions that are-
    - (i) conferred on the *Director* by or in terms of the *Act (LRA)* or by any other law;
    - (ii) delegated to the Director by the Governing Body;
  - 5.1.4.2. manage and direct the activities of the Commission; and
  - 5.1.4.3. supervise the Commission's staff.

<sup>&</sup>lt;sup>5</sup> See Section 113 of the LRA

### PAIA Manual: CCMA

5.1.5. The Executive Committee (EXCO) of the CCMA consists of the Director and six (6) Executives, namely: National Senior Commissioner: Dispute Resolution; National Senior Commissioner: Social Justice and Training Academy; Chief Information Officer (CIO); Chief Financial Officer (CFO); Executive: Corporate Services; and Chief Audit and Risk Executive. Below is a graphical representation of the current executive structure of the CCMA:



### 5.2. Functions of the CCMA

The functions of the Commission, as outlined in Section 115 of the LRA, include both mandatory and discretionary powers. These powers are as follows:

### 5.2.1. Mandatory Functions

- 5.2.1.1. Section 115(1) makes provision for the following powers, duties and functions: **The Commission must—** 
  - (a) attempt to resolve, through conciliation, any dispute referred to it in terms of this Act;
  - (b) if a dispute that has been referred to it remains unresolved after conciliation, arbitrate the dispute if—
    - (i) this Act requires arbitration and any party to the dispute has requested that the dispute beresolved through arbitration; or
    - (ii) all the parties to a dispute in respect of which the Labour Court has jurisdiction consent to arbitration under the auspices of the Commission;
  - (c) assist in the establishment of workplace forums in the manner contemplated in Chapter V;
  - (d) compile and publish information and statistics about its activities; and
  - (e) at least every second year, review any rules made in terms of this section.

### 5.2.2. Discretionary Functions

5.2.2.1. Section 115(2) makes provision for the following powers, duties and functions: **The Commission may—** 

(a) if asked, advise a party to a dispute about the procedure to follow in terms of this Act;21

(b) if asked, assist a party to a dispute to obtain legal advice, assistance or representation;22

(bA) if requested, provide assistance of an administrative nature to an employee earning less than the threshold prescribed by the Minister under section 6 (3) of the Basic Conditions of Employment Act to serve any notice or document in respect of conciliation or arbitration proceedings in terms of this Act, provided that the employee remains responsible in law for any such service;

[Para. (bA) inserted by s. 18 (b) of Act No. 6 of 2014.]

(c) offer to resolve a dispute that has not been referred to the Commission through conciliation;23 (cA) make rules—

(i) to regulate, subject to Schedule 3, the proceedings at its meetings and at the meetings of any committee of the Commission;

(ii) . . . . . .

[Sub-para. (ii) deleted by s. 18 (c) of Act No. 6 of 2014.]

(iii) regulating the practice and procedure—

(aa) for any process to resolve a dispute through conciliation; (bb) at arbitration proceedings; and

(iv) determining the amount of any fee that the Commission may charge under section 147, and regulating the payment of such a fee in detail;

[Para. (cA) inserted by s. 6 (a) of Act No. 127 of 1998.]

(d) [Para. (d) deleted by s. 31 (a) of Act No. 42 of 1996.]

(e) [Para. (e) deleted by s. 31 (a) of Act No. 42 of 1996.]

(f) conduct, oversee or scrutinise any election or ballot of a registered trade union or registered

employers' organisation if asked to do so by that trade union or employers' organisation;

(g) publish guidelines in relation to any matter dealt with in this Act;

(h) conduct and publish research into matters relevant to its functions. (i) ..... [Para. (i) deleted by s. 31 (a) of Act No. 42 of 1996.]

(2A) The Commission may make rules regulating—

(a) the practice and procedure in connection with the resolution of a dispute through conciliation or arbitration;

 (b) the process by which conciliation is initiated, and the form, content and use of that process;

(c) the process by which arbitration or arbitration proceedings are initiated, and the form, content and use of that process;

(d) the joinder of any person having an interest in the dispute in any conciliation and arbitration proceedings;

(e) the intervention of any person as an applicant or respondent in conciliation or arbitration proceedings;

(f) the amendment of any citation and the substitution of any party for another in conciliation or arbitration proceedings;

(g) the hours during which offices of the Commission will be open to receive any process;

(*h*) any period that is not to be counted for the purpose of calculating time or periods for delivering any process or notice relating to any proceedings;

(i) the forms to be used by parties and the Commission;

(*j*) the basis on which a commissioner may make any order as to costs in any arbitration;

### PAIA Manual: CCMA

(*k*) the right of any party to be represented by any person or category of persons in any conciliation or arbitration proceedings, including the regulation or limitation of the right to be represented in those

proceedings;

[Para. (k) substituted by s. 18 (d) of Act No. 6 of 2014.]

(kA) the consequences for any party to conciliation or arbitration proceedings for not attending those proceedings;

[Para. (kA) inserted by s. 18 (e) of Act No. 6 of 2014.]

(I) the circumstances in which the Commission may charge a fee in relation to any conciliation or arbitration proceedings or for any services the Commission provides; and

(*m*) all other matters incidental to performing the functions of the Commission. [Sub-s. (2A) inserted by s. 22 (a) of Act No. 12 of 2002.]

(3) The Commission may provide employees, employers, registered trade unions, registered employers' organisations, federations of trade unions, federations of employers' organisations or councils with advice or training relating to the primary objects of this Act or any other employment law, including but not limited to—

(a) establishing collective bargaining structures;

(b) designing, establishing and electing workplace forums and creating deadlock-breaking mechanisms;

(c) the functioning of workplace forums;

(d) preventing and resolving disputes and employees' grievances;

- (e) disciplinary procedures;
- (f) procedures in relation to dismissals;
- (g) the process of restructuring the workplace;
- (h) affirmative action and equal opportunity programmes; and

(i) the prevention of sexual harassment in the workplace.

[Sub-s. (3) amended by s. 18 (f) of Act No. 6 of 2014. Para. (i) substituted by s. 31 (b) of Act No. 42 of 1996.]

(4) The Commission must perform any other duties imposed, and may exercise any other powers conferred, on it by or in terms of this Act and is competent to perform any other function entrusted to it by any other law.

(5) The governing body's rules of procedure, the terms of appointment of its members and other administrative matters are dealt with in Schedule 3.

(6) (a) A rule made under subsection (2) (cA) or (2A) must be published in the Government Gazette. The Commission will be responsible to ensure that the publication occurs.

(b) A rule so made will not have any legal force or effect unless it has been so published.

(c) A rule so made takes effect from the date of publication unless a later date is stipulated.

### 6. KEY CONTACT DETAILS FOR ACCESS TO INFORMATION OF THE CCMA

### 6.1. Information Officer (IO)

Designation:	CCMA Director
Tel:	+2711 377 6633
Email:	directorsoffice@ccma.org.za
	executivesupport@ccma.org.za

### 6.2. Deputy Information Officers

PROVINCIAL OFFICE	DESIGNATION OF DIO	CONTACT INFORMATION
Head Office	Senior Manager: Governance and Strategy	Physical Address: 28 Harrison Street, Johannesburg, 2001 Postal Address: Private Bag X94, Marshalltown, 2107 Telephone: +2711 377-6944
Head Office	National Senior Commissioner: Social Justice and Training Academy	Physical Address: 28 Harrison Street, Johannesburg, 2001 Postal Address: Private Bag X94, Marshalltown, 2107 Telephone: +2741 509-1007
Head Office	National Senior Commissioner: Dispute Resolution	Physical Address: 28 Harrison Street, Johannesburg, 2001 Postal Address: Private Bag X94, Marshalltown, 2107 Telephone: +2731 362-2377
Head Office	Executive: Corporate Services	Physical Address: 28 Harrison Street, Johannesburg, 2001 Postal Address: Private Bag X94, Marshalltown, 2107 Telephone: +2711 377-6667
Head Office	Chief Audit and Risk Executive	Physical Address: 28 Harrison Street, Johannesburg, 2001 Postal Address: Private Bag X94, Marshalltown, 2107 Telephone: +2711 377-6712
Head Office	Chief Information Officer	Physical Address: 28 Harrison Street, Johannesburg, 2001 Postal Address: Private Bag X94, Marshalltown, 2107 Telephone: +2711 377-6628
Head Office	Senior Manager: Office of the Director	Physical Address: 28 Harrison Street, Johannesburg, 2001 Postal Address: Private Bag X94, Marshalltown, 2107 Telephone: +2711 377-6692
Gauteng	Provincial Senior Commissioner	E-Mail: johannesburg@ccma.org.za Physical Address: CCMA House, 127 Fox Street, Johannesburg, 2001 Postal Address: Private Bag X94, Marshalltown, 2107 Telephone: +2711 845-9011

PAIA Manual: CCMA

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PROVINCIAL OFFICE	DESIGNATION OF DIO	CONTACT INFORMATION
Free State and Northern Cape	Provincial Senior Commissioner	E-Mail: <u>blm@ccma.org.za</u> <b>Physical Address:</b> 60 Park Rd, Willows, Bloemfontein, 9301 <b>Postal Address:</b> Private Bag X20705, Bloemfontein, 9300 Telephone: +2751 411-1702
Eastern Cape	Provincial Senior Commissioner	E-Mail: <u>pe@ccma.org.za</u> <b>Physical Address:</b> CCMA House, 107 Govan Mbeki Avenue, Gqeberha <b>Postal Address:</b> Private Bag X 22500, Port Elizabeth, 6000 Telephone: +2741 509-1002
KwaZulu-Natal	Provincial Senior Commissioner	E-Mail: <u>kzn@ccma.org.za</u> <b>Physical Address:</b> 1 <sup>st</sup> & 3 <sup>rd</sup> Floors, Aquasky Building, 275 Anton Lembede Street, Durban, 4001 <b>Postal Address:</b> Private Bag X54363, Durban, 4000 Telephone: +2731 362-2381
Limpopo	Provincial Senior Commissioner	E-Mail: <u>ptb@ccma.org.za</u> <b>Physical Address:</b> CCMA House, 104 Hans van Rensburg Street, Polokwane, 0699 <b>Postal Address:</b> Private Bag X 9512, Polokwane, 0700 Telephone: +2715 287-7477
Mpumalanga	Provincial Senior Commissioner	E-Mail: <u>wtb@ccma.org.za</u> <b>Physical Address:</b> 25 Samora Machel, Sanlam Centre Building, 7 <sup>th</sup> Floor Nelspruit <b>Postal Address:</b> Private Bag X 7290, Witbank, 1035 Telephone: +2713 655-2619
North West	Provincial Senior Commissioner	E-Mail: <u>kdp@ccma.org.za</u> <b>Physical Address:</b> CCMA House, 111 Klopper Street, Klerksdorp, 2570 <b>Postal Address:</b> Private Bag X5004, Klerksdorp, 2571 Telephone: +2713 655-2619
Western Cape	Provincial Senior Commissioner	E-Mail: <u>ctn@ccma.org.za</u> <b>Physical Address:</b> CCMA House, 78 Darling Street, Cape Town, 8001 <b>Postal Address:</b> Private Bag X9167, Cape Town, 8000 Telephone: +2721 469-0145

### 6.3. Access to information general contacts

Email:

paia@ccma.org.za popia@ccma.org.za

### PAIA Manual: CCMA

### 6.4. National / Head Office

Postal Address:	Private Bag X94, Marshalltown, 2107
Physical Address:	28 Harrison Street, Johannesburg, 2001
Telephone:	+2711 377-6600
Email:	info@ccma.org.za
Website:	https://www.ccma.org.za

### 7. DESCRIPTION OF ALL REMEDIES AVAILABLE IN RESPECT OF AN ACT OR A FAILURE TO ACT BY THE CCMA

- 7.1. If a requester or any aggrieved person has submitted a PAIA request to the CCMA and either has not received a response or has been denied access to the requested information, they may lodge a complaint with the Information Regulator.
- 7.2. To lodge a complaint, the requestor must:
  - 7.2.1. complete the prescribed PAIA Complaint Form (Form 5), which is available on the Information Regulator's website.
  - 7.2.2. the completed form can be submitted via email to PAIAComplaints@inforegulator.org.za
  - 7.2.3. through the online complaint portal on the Regulator's website at www.inforegulator.org.za.
- 7.3. In terms of Section 82 of PAIA, a requester or aggrieved person may, within 180 days of becoming aware of the decision or failure to respond, apply to a court for appropriate relief where access to a record has been denied or not properly addressed.

### 8. GUIDE ON HOW TO USE PAIA AND HOW TO OBTAIN ACCESS TO THE GUIDE

- 8.1. The Regulator has, in terms of section 10(1) of PAIA, as amended, updated the PAIA Guide, as initially compiled by the SAHRC.
- 8.2. The purpose of the aforesaid Guide is to provide information that is needed by any person who wishes to exercise any right contemplated in PAIA and POPIA.
- 8.3. The Guide will specifically assist a person, also called a data subject, on how to access his/her or its personal information in terms of section 23 of POPIA.
- 8.4. Members of the public can access the Guide as follows:
  - 8.4.1. Inspect or make copies of the Guide from the offices of the Information Regulator during normal working hours;
  - 8.4.2. Inspect or make copies of the Guide from the offices of the CCMA during normal working hours;
  - 8.4.3. From the Government Gazette;
  - 8.4.4. From the CCMA's website: <u>https://www.ccma.org.za</u>; and
  - 8.4.5. From the Information Regulator's website: <u>https://inforegulator.org.za</u>

### 9. CATEGORIES OF RECORDS HELD BY THE CCMA CATEGORIES

- 9.1. The CCMA, through its various departments and units, generates a wide range of substantive and operational records. These records relate directly to the core functions, outputs, and activities of each department in the execution of the CCMA's mandate.
- 9.2. In the course of its operations, the CCMA acquires certain records relevant to its functions. Additionally, records may be submitted by external parties, particularly in relation to dispute prevention and resolution processes. The collection, retention, and use of such records are governed by the applicable provisions of PAIA and POPIA.
- 9.3. The CCMA reserves the right to create new categories of records as necessitated by operational, legal, or regulatory developments. Any changes in the classification of records will be reflected in future revisions of this Manual to ensure accuracy and compliance with PAIA and POPIA.
- 9.4. Below is the list of records held by the CCMA, generated through its operations and departmental functions (*NB: This list is illustrative and may be updated periodically in accordance with changes to the CCMA's operational and legislative requirements*).

Category	Document Type	Available on Website	Available upon request
Dispute Resolution	<ul> <li>Dispute Referral Forms (LRA)</li> <li>CCMA Rules</li> <li>Complaints Management Process Flow</li> </ul>	Х	
	<ul> <li>Case-related Correspondence</li> <li>CCMA Arbitration awards</li> <li>Settlement Agreements</li> <li>Information on the status of case- related queries</li> <li>Accreditation documents</li> <li>Collective agreements between Bargaining Councils</li> <li>Private agency applications</li> </ul>		X
Governance and Strategy	<ul> <li>Annual Performance Reports</li> <li>Strategic Plan</li> <li>Annual Performance Plan</li> <li>Media Statements</li> </ul>	Х	
	<ul> <li>Governance Policies</li> <li>Memoranda of Understandings (MoU) and Partnership Agreements</li> <li>Event Documentation, including presentations</li> </ul>		X
Essential Services Committee (ESC)	<ul> <li>ESC Government Gazette Notices</li> <li>Minimum Service Agreement (MSA) Guidelines</li> <li>ESC Function and Committee Members</li> </ul>	Х	
	- ESC Case Recordings		Х

Category	Document Type	Available on Website	Available upon request
Internal Audit and Risk	<ul> <li>Internal Audit Charter</li> <li>Three Year &amp; Annual Audit Plans</li> <li>Internal audit reports</li> <li>Audit working papers / evidence</li> <li>Quarterly Audit Committee Reports</li> <li>Combined Assurance Governance Documents &amp; Reports</li> </ul>		X
	<ul> <li>Risk Registers (Strategic &amp; Operational)</li> <li>Compliance Regulatory Universe (CRU)</li> <li>Conformance Working Papers</li> <li>Compliance /Risk Management Working Papers</li> <li>Risk and Compliance Management Frameworks &amp; Governance Documents</li> <li>Manuals, policies and presentations regarding risk and compliance management training and awareness.</li> <li>Business Continuity Plans (BCPs) &amp; Business Impact Analysis (BIAs)</li> </ul>		X
Corporate Services	<ul> <li>Employment records</li> <li>Training manuals</li> <li>Salary structures</li> <li>Employment Equity plan</li> <li>Work on the Skills Development Act</li> <li>Agreements and Contracts</li> <li>Litigation Documents</li> </ul>		X
Finance Department	<ul> <li>Approved Annual and Mid-term Budget</li> <li>Annual Financial Statements</li> <li>Quarterly and Monthly Management Accounts.</li> <li>RFQs and Bids Documents</li> <li>Suppliers Documentations i.e. Company Profiles, CSD, CIPC, Certificates, Quotations etc.</li> <li>Any other financial records</li> </ul>		X
Social Justice and Training Academy	<ul> <li>Training Manuals</li> <li>Information Sheets (employment law)</li> <li>Codes of Good Practice</li> <li>Books</li> <li>Journals</li> </ul>	Х	X
CCMA Provinces	<ul> <li>Case files</li> <li>Statistics on settlement rates</li> <li>Case load by province</li> <li>Disputes by sector</li> <li>Awards</li> </ul>	<u> </u>	X

Category	Document Type	Available on Website	Available upon request
Information and Communications Technology Department	<ul> <li>Reports produced requiring consolidation, for example:</li> <li>ICT project reports</li> <li>Antivirus report</li> <li>Service level agreement reports</li> <li>Hardware/software procurement report</li> </ul>		X

### 9.5. Categories of records that may be subject to the grounds for refusal of access to records

- 9.5.1. The records listed in the categories below may be formally requested from the CCMA in terms of PAIA. However, access to all or part of these records may be lawfully refused based on the grounds for refusal outlined in Sections 33 to 46 of PAIA.
- 9.5.2. All requesters are encouraged to consult the PAIA Guide published by the Information Regulator on their wesite (<u>https://www.inforegulator.org.za</u>) for further clarity on how to submit a request and understand the grounds for potential refusal.

Cat	legory of Record	On Request form Only
-	Provision of case-related information, including but not limited to correspondence and recordings, to individuals who are not parties to the dispute prevention or resolution process	Х
-	Records held by Legal Services Unit	Х
-	Executive Management internal confidential communication	Х
-	Accreditation documents	Х
-	Collective agreements between Bargaining Councils	Х
-	Private agency applications	Х
-	ESC Case Recordings	Х
-	Privileged information held in the course of investigations (including forensic investigations), conciliations, arbitrations, mediations, closed hearings, attorney–client communications, matters involving national security, or information relating to third parties	Х
-	Specific human resource personnel information, including but not limited to disciplinary files and records, medical information, and other personal data	Х
-	Certain Tender Documentation	Х
-	Asset disclosures and asset protection procedures	Х
-	Agendas and minutes of governance committees, management committees, and operational meetings, including related correspondence	Х
-	Policies, governance committee charters, codes of conduct for governance structures, and related information	Х
-	Draft reports, policies and discussions documents	Х
-	Certain service level agreements, partnership agreements, and legal contracts	Х

Category of Record	On Request form Only
- Enforcement notices, settlement agreements between parties, subpoenas, and related documents	Х
- Training manuals, guidelines, and frameworks intended strictly for internal use within the CCMA	Х
- Invoices and proof of payments	Х

### 10. RECORDS OF THE CCMA WHICH ARE AVAILABLE WITHOUT A PERSON HAVING TO REQUEST ACCESS, IN TERMS OF SECTION 15(2) OF THE ACT

Category	Document Type	Website
Legislation/Regulations	<ul> <li>Dispute Referral Forms (LRA)</li> <li>CCMA Rules</li> <li>Information Sheets (employment law)</li> <li>Essential Services Committee Gazettes</li> </ul>	Х
Manuals/Guides	<ul> <li>CCMA PAIA Manual (English, IsiZulu and Afrikaans)</li> <li>PAIA Guide as developed by the Information Regulator</li> <li>Training Manuals</li> <li>Minimum Service Agreement (MSA) Guidelines</li> <li>Essential Services Committee Frequently Asked Questions &amp; Brochure</li> </ul>	x
Supply Chain Management	<ul> <li>Published Tenders</li> <li>Awarded Tenders</li> <li>Cancelled Tenders</li> <li>Received Tenders</li> </ul>	x
Strategic Documents (Plans and Report)	<ul> <li>Organisational profile (Overview, Goals, Mission, Vision, Values)</li> <li>Essential Services Committee Function and Committee Members</li> <li>List of Essential Service Designations</li> <li>Annual Performance Reports</li> <li>Strategic Plan</li> <li>Annual Performance Plan</li> </ul>	Х
Human Resources	- Job Advertisement	Х
Media Centre	<ul> <li>Events</li> <li>Media Statements</li> <li>Newsletters</li> <li>Conference Presentations</li> <li>Labour Law Blogs</li> </ul>	X

### 11. PROCEDURE FOR ACCESS TO RECORDS HELD BY THE CCMA

- 11.1. A requester or data subject must use the prescribed FORM 2 when requesting access to a record or personal information. This form is available for download from the Information Regulator's website at <u>https://inforegulator.org.za/paia/</u>. For ease of access, the form is also available on the CCMA website at <u>https://www.ccma.org.za, titled PAIA FORM REQUEST FOR ACCESS TO RECORD.</u>
- 11.2. The requester may print FORM 2 and must complete all required fields. The completed form must be submitted to the Information Officer of the CCMA or to the Deputy Information Officer in the province where the requester resides. Alternatively, the request may be submitted via email to the PAIA generic email address: <a href="mailto:paia@ccma.org.za">paia@ccma.org.za</a>.
- 11.3. The requester must provide sufficient information of the record(s) requested in order for the Information Officer or Deputy Information Officer, if any, to identify the record(s). The prescribed form must be filled in with enough particularity to at least enable the Information Officer to identify:
  - 11.3.1. the identity of the requester;
  - 11.3.2. particulars of record requested;
  - 11.3.3. type of record;
  - 11.3.4. form of access; and
  - 11.3.5. manner of access.
- 11.4. Some additional important points to remember when completing the request form:
  - 11.4.1. each section of the form contains instructions that must be followed to improve the likelihood of the request being granted and to minimise potential delays in processing;
  - 11.4.2. if records are being requested on behalf of another person, a copy of the mandate or written authorisation granting permission to act on their behalf must be provided;
  - 11.4.3. a detailed description of the records being requested must be provided to enable the Information Officer or Deputy Information Officer to identify the records accurately and process the request efficiently.
- 11.5. The requester must indicate the preferred form of access to the record, as required under section 29(2) of PAIA<sup>6</sup>.
- 11.6. If a requester specifies a particular manner of access, access should be granted in that manner, unless doing so would unreasonably interfere with the operations of the CCMA, cause damage to the record, or infringe on copyright not owned by the CCMA. If it is not reasonably practicable to provide access in the requested manner but access is provided in an alternative form, the applicable fee must still be calculated based on the form of access initially requested.
- 11.7. The CCMA will acknowledge receipt of a request in writing within three (3) days of receiving it. A decision regarding the availability of the requested information will be communicated within thirty (30) days, along with details on how and where the requester may access or collect the information. If an acknowledgment of receipt is not received within three (3) days, the requester is advised to contact the Information Officer or the relevant Deputy Information Officer to ensure that the request has been received.
- 11.8. If the requester wishes to be informed of the decision regarding their request through any means in addition to a written response, e.g., by telephone, this preference must be clearly indicated.
- 11.9. If a requester is unable to read or write, or has a disability, then they can make the request for the record orally. The information officer or the Deputy Information Officer or the authorised person must then fill in the form on behalf of such a requester and give them a copy.
- 11.10. If the request is granted, then a further access fee must be paid for the search, preparation, reproduction and for any time that has exceeded the prescribed hours to search and prepare the record for disclosure.

<sup>&</sup>lt;sup>6</sup> Section 29(2)(a) of PAIA provides that "record must be provided in written or printed form or visual images or printed transcriptions, by supplying a copy of the record or by making arrangements for the inspection of the record.

- 11.11. The Information Officer to whom a request for access has been made or transferred, may extend the period of 30 days referred to in section 25 (1) o f PAIA once for a further period of not more than 30 days, if-
  - 11.11.1. the request is for a large number of records or requires a search through a large number of records and compliance with the original period would unreasonably interfere with the activities of the CCMA;
  - 11.11.2. the request requires a search for records in, or collection thereof from, an office of the CCMA not situated in the sametown or city as the office of the information officer receiving the request, and cannot reasonably be completed within the original period;
  - 11.11.3. consultation between departments within the CCMA or with another public body is necessary or desirable to make a decision on the request, and such consultation cannot reasonably be concluded within the original time period;
  - 11.11.4. more than one of the circumstances outlined above applies to the request, making it unreasonable to comply within the original timeframe; or where the requester has provided written consent to an extension of the period.
- 11.12. Where a request is made for access to records containing information that may or must be refused, any part of the record that does not contain such information and can reasonably be severed from the exempt portions must be disclosed, in accordance with section 28 of PAIA.
- 11.13. A requester whose request for access to a CCMA record has been granted must be provided access in their preferred language, if the record exists in that language. If the record is not available in the preferred language, it must be provided in any language in which it exists, in accordance with section 31 of PAIA.
- 11.14. If a request for access to a record has been refused, delayed or granted subject to unreasonable fees or is granted in an unacceptable form, the requester may lodge an appeal as per Section 74 of PAIA.
- 11.15. Section 74 of PAIA allows for appeals against the decision of the Information Officer of the Regulator and the appeal processes (which are not compulsory) are detailed in section 7 above.

# 12. SERVICES AVAILABLE TO MEMBERS OF THE PUBLIC FROM THE CCMA

# 12.1. NATURE OF SERVICES AVAILABLE TO THE PUBLIC

The services of the CCMA are schematically depicted in the table below:

DISPUTE RESOLUTION	SOCIAL JUSTICE AND TRAINING ACADEMY	FINANCE	INTERNAL AUDIT & RISK	ICT	CORPORATE SERVICES	GOVERNANCE AND STRATEGY
- Conciliations	- Capacity building, awareness	<ul> <li>Expenditure and</li> </ul>	<ul> <li>Audit Services: ICT Audits,</li> </ul>	<ul> <li>Technology refresh</li> </ul>	<ul> <li>Operational support</li> </ul>	<ul> <li>Secretariat Services</li> </ul>
- Arbitrations	raising, and information sharing	Budget	Bid Reviews, Consulting, Data	projects including but	and employee	to the Governance
- Facilitations	and support services for external	management	Analytics, Follow Up IBTC,	not limited to cloud	relations	and Management
<ul> <li>Pre-Dismissal arbitrations</li> </ul>	stakeholders	- Variance	Management Requests,	services, Uispute	<ul> <li>Compliance with and</li> </ul>	Committees
- Con/Arb processes	<ul> <li>Workplace change and</li> </ul>	Reporting	Combined Assurance, Risk	Management System as	reporting to relevant	- Governance advisory
- Administration of Case	transformation interventions	<ul> <li>Accounts Payable</li> </ul>	Based Auditing, Fraud &	part or trie naperiess Caca Dichrircamant	employment Iogiclotics	to the Governance
Management System	<ul> <li>Promotion and facilitation of social</li> </ul>	- Medium Term	Irregularities, Compliance	Process ChatBot as	Doornitmont and	Committees
(CMS)	dialogue through sector summits,	Expenditure	- Assurance and	part of AI, ERP	<ul> <li>reculations</li> </ul>	- Imnlementation of
<ul> <li>CCMA Contact Centre</li> </ul>	user and sector forum meetings,	Framework	advisory activities	implementation and Big	<ul> <li>Development and</li> </ul>	Corporate
- Collective Bargaining and	etc.	(MTEF)	- Strategic risk	data analytics.	promotion of internal	Governance
Mediation Services	<ul> <li>Compilation of Research</li> </ul>	<ul> <li>Estimates of</li> </ul>	registers	<ul> <li>Establishing and</li> </ul>	talent	<ul> <li>Implementation of the</li> </ul>
- Pre-Bargaining Conferences	Publications/Articles	National	- Operational risk	maintaining the network,	<ul> <li>Ensure occupational</li> </ul>	Ethics and Fraud
- Collective Bargaining	<ul> <li>Development of Economic</li> </ul>	Expenditure (ENE)	registers	Including WI-FI rollout	health and safety on	Prevention and Anti-
support processes	Dashboards and Barometers	- General Ledger	- Fraud Risk	ano oara comminicatione	CCMA premises by	corruption measures
- Overall labour market	- Library Services	- Accounts	Assessment	communications infrastructure platforms	eliminating possible	- Framework for Managing
monitoring	<ul> <li>Design and development of training</li> </ul>	Receivable	- Emerging risks	necessary to host	Finazarus ariu risks Employee Wellnees	Periornance Dovisor and dovelonment
- Job Saving Strategy	materials and assessments for	<ul> <li>Banking Services</li> </ul>	<ul> <li>Monitoring of nsk</li> </ul>	business applications.	- Lilipioyee weilitess - Lease Management	<ul> <li>Review and uevelopment</li> <li>Af the Strateoric and</li> </ul>
<ul> <li>Accreditation process of</li> </ul>	internal and external stakeholders	- Payroll	appetite and	<ul> <li>Establish and maintain</li> </ul>	- Travel Mananement	or trie otracegie and Annual Performance
Bargaining Councils,	<ul> <li>Development of accredited skills</li> </ul>	<ul> <li>Asset and</li> </ul>		data centre	- Records management	
Statutory Councils and	programmes	Inventory	- Compliance		- Defending	<ul> <li>Tabling of the Strategic</li> </ul>
Private Agencies	<ul> <li>Development and delivery of the</li> </ul>	management	monitoring and	leciliougles	representation and	Plan and APP in
<ul> <li>Certification of arbitration</li> </ul>	Labour Dispute Resolution	- Financial	contormance testing	<ul> <li>Dackup and uisaster</li> </ul>	protection of the	Parliament
awards of Bargaining	Practitioner (LDRP) Programme in	Reporting	- Business Impact	husiness continuity	interests of the	- Stakeholder
Councils, Statutory Councils	partnership with seven public	<ul> <li>Provision of SCM strategic</li> </ul>	Analysis	- ICT Governance	Commission in	Relationship
and Private Agencies (LRA	universities.	support in execution of the	- Crisis Management	Compliance & Security	respect of litigious	management
s143)	<ul> <li>Capacity building interventions for</li> </ul>	procurement plan, including	Han 		matters	<ul> <li>Communication and</li> </ul>
<ul> <li>Payment of subsidies to</li> </ul>	commissioners, interpreters,	the demand, requisition and	- Disaster Recovery		- Legal advice and	Media Relations
accredited Councils	management and support staff	contract management	Han (II)		guidance	Management

Page 19 of 25

### 12.2. DUTY TO ASSIST REQUESTERS THROUGH TRANSFER OF REQUESTS

In line with Section 19 and Section 20 of the PAIA, the CCMA will ensure that incoming requests for records or information of other public bodies are redirected to the relevant institution or public body. In addition to this, a notification will be sent to the requester informing them of redirection.

### 13. PUBLIC INVOLVEMENT IN THE FORMULATION OF POLICY OR THE EXERCISE OF POWERS OR PERFORMANCE OF DUTIES BY THE CCMA

- 13.1. In the performance of its duties and the exercise of its powers in terms of the LRA, the CCMA actively promotes public involvement and participation in the development and review of rules, and procedures that guide its operations.
- 13.2. Public participation at the CCMA is primarily facilitated through the following channels:

### 13.2.1. User and Sectoral Forums:

These platforms enable key stakeholders to engage directly with the CCMA by providing input on process improvements and raising challenges related to the rules and procedures governing CCMA operations.

### 13.2.2. Participation in Committees:

Stakeholders may be invited to serve on committees such as the Rules Committee, which is responsible for reviewing and amending the CCMA Rules to align with legislative requirements and operational realities.

### 13.2.3. Stakeholder Engagements and Conferences:

The CCMA organises stakeholder engagements (both online and in person0, as well as conferences to encourage dialogue, share developments, and gather input from a broad range of interested parties.

- 13.3. The CCMA encourages members of the public, including social partners, legal practitioners, labour representatives, and business stakeholders, to participate in these forums to help shape the effectiveness, fairness, and accessibility of its dispute resolution processes.
- 13.4. Participation may take the form of attending scheduled meetings, or contributing to structured dialogues hosted by the CCMA.
- 13.5. Inputs received from the public are carefully considered and where applicable, form the basis for regulatory, procedural, or operational reforms that improve the CCMA's service delivery and responsiveness.
- 13.6. The CCMA communicates public participation opportunities and disseminates related information through:
  - 13.6.1. its official website (<u>www.ccma.org.za</u>);
  - 13.6.2. email invitations and stakeholder bulletins;
  - 13.6.3. official social media platforms; and
  - 13.6.4. conferences and outreach events.

### 14. PROCESSING OF PERSONAL INFORMATION

### 14.1. Purpose of Processing

In terms of POPIA, Personal Information must be processed for a specified purpose. The purpose for which Personal Information is processed by the CCMA will depend on the nature of the Personal Information and the particular data subject. This purpose is generally disclosed, explicitly or implicitly, at the time the data is collected. Personal Information is mostly processed for purposes of dispute referrals by users, the on-boarding of clients and suppliers, service or product delivery, records management, security, employment and related matters.

The CCMA requires Personal information relating to both natural and juristic persons in order to carry out its operations and statutory mandate. The CCMA accordingly has a legitimate purpose for collecting personal information and generally consent is not required. The manner in which Personal Information is processed and the purpose for which it is processed is determined by the CCMA. Accordingly, the CCMA is a Responsible Party for purposes of POPIA.

### 14.2. Description of the categories of Data Subjects and of the information or categories of information relating thereto

- 14.2.1. Employees / personnel of the CCMA;
- 14.2.2. Families or relatives of employees;
- 14.2.3. Stakeholder / users of the CCMA;
- 14.2.4. Any third party with whom the CCMA conducts its business services with;
- 14.2.5. Contractors of the CCMA.

Categories of Data Subjects	Personal Information that may be Processed
Natural Persons – Users	Names and surname; contact details (contact number(s), fax number, email address); Residential, postal or business address; Unique Identifier/Identity Number and confidential correspondence
Juristic Persons – Strategic stakeholders, Contractors, Suppliers/ Users	Names of contact persons; Name of legal entity; physical and postal address; contact details (contact number(s), fax number, email address); registration number; financial, commercial, scientific or technical information and trade secrets

Categories of Data Subjects	Personal Information that may be Processed
Employees, Governing Body	Gender, pregnancy; marital status; Race age, language,
	educational information (qualifications); financial information;
	employment history; ID number; physical and postal address;
	contact details(contact number(s), fax number, email address);
	criminal behaviour; well-being and their relatives ( family
	members) race, medical, gender, sex, nationality, ethnic or
	social origin, sexual orientation, age, physical or mental health,
	well-being, disability, religion, conscience, belief, culture,
	language, biometric information of the person.

### 14.3. The recipients or categories of recipients to whom the personal information may be supplied

Depending on the nature of the data, the CCMA may supply information or records to the following categories of recipients:

- 14.3.1. Statutory oversight bodies, regulators or judicial commissions of enquiry making a request for data;
- 14.3.2. Any court, administrative or judicial forum, arbitration body, statutory commission, or ombudsman making a request for data or discovery in terms of applicable rules (e.g., the Public Protector);
- 14.3.3. The South African Revenue Service (SARS) or any other similar statutory authority;
- 14.3.4. Any person who has made a successful application for access to information in terms of PAIA;
- 14.3.5. Any individual or entity conducting business with the CCMA in the ordinary course of operations, such as contractors, service providers, or Users;
- 14.3.6. A third party that obtains knowledge about a request for access other than in terms of section 71(1)- may (a) make written or oral representations to the Deputy Information Officer or (b) give written consent for the disclosure of the record to the requester.

### 14.4. Planned transborder flows of personal information

- 14.4.1. In instances where the CCMA may need to transfer a data subject's information to other persons in countries outside South Africa, the CCMA will fully comply with applicable data protection legislation as these countries may not have data-protection laws which are similar to those of South Africa.
- 14.4.2. Where there is a need to transfer Personal Information, the CCMA shall strive to promote access to data and information and related services and avoid the creation of unjustified barriers to the international exchange of data and information.
- 14.4.3. In compliance with regulations and policies, the CCMA shall strive to ensure transparency of information, computer and communications services affecting trans-border data flows.
- 14.4.4. CCMA will endeavour to ensure that its Service Providers and third parties will make all reasonable efforts to secure data and Personal Information via contractual clauses or notices in agreements and otherwise.

- 14.4.5. Furthermore, the CCMA shall implement a set of measures aimed at safeguarding individuals (data subjects) from harm, resulting from the computerised or manual processing of their personal information by data controllers.
- 14.4.6. The CCMA will not transfer Personal Information about a data subject to a third party who is in a foreign country unless—
  - (a) The third party who is the recipient of the information is subject to a law, binding corporate rules or binding agreement which provide an adequate level of protection that—
    - Effectively upholds principles for reasonable processing of the information that are substantially similar to the conditions for the lawful processing of Personal Information relating to a data subject who is a natural person and, where applicable, a juristic person; and
    - Includes provisions that are substantially similar to this section, relating to the further transfer of Personal Information from the recipient to third parties who are in a foreign country; or
    - The data subject consents to the transfer; or
    - The transfer is necessary for the performance of a contract between the data subject and the responsible party, or for the implementation of pre-contractual measures taken in response to the data subject's request; or
    - The transfer is necessary for the conclusion or performance of a contract concluded in the interest of the data subject between the responsible party and a third party; or the transfer is for the benefit of the data subject, and
    - It is not reasonably practicable to obtain the consent of the data subject to that transfer; and
    - If it were reasonably practicable to obtain such consent, the data subject would be likely to give it.

### 14.5. General Description of Information Security Measures to be implemented by the responsible party to ensure the confidentiality, integrity and availability of the information

- 14.5.1. The CCMA must ensure that there are processes in place to guide the information officer in its reporting to the Regulator any suspected and unauthorised access to personal information.
- 14.5.2. The CCMA will ensure the security, integrity and confidentiality of personal information in its possession or under its control by taking appropriate, reasonable technical and organisational measures to prevent—
  - (a) loss of, damage to or unauthorised destruction of personal information;
  - (b) unlawful access to or processing of personal information;
  - (c) unauthorised destructions to individuals, their personal information, and or property.
- 14.5.3. In order to give effect to the requirement set out above and specifically under Condition 7 (Security Safeguards) of POPIA, the CCMA will take reasonable measures to—
  - (a) identify all reasonably foreseeable internal and external risks to personal information in its possession or under its control;
  - (b) establish and maintain appropriate safeguards against the risks identified;
  - (c) regularly verify that the safeguards are effectively implemented; and
  - (d) ensure that the safeguards are continually updated in response to new risks or deficiencies in previously implemented safeguards.
- 14.5.4. Furthermore, in compliance with POPIA the CCMA will have due regard to generally accepted information security practices and procedures which may apply to it generally or

be required in terms of specific industry or professional rules and regulations.

- 14.5.5. The CCMA has set of tools and processes used to ensure that sensitive data is not lost, misused, or accessed by unauthorised users. Tools monitor and control endpoint activities, filter data streams on the network, and monitor data to protect data at rest, in motion and in use including the following:
  - (a) User Access Review: Administrative access rights are reviewed on an ongoing basis.
  - (b) Awareness: Employee education arguably has the greatest impact in protecting data and securing information systems within, ICT provides Quarterly IT security tips educate users
  - (c) AD clean-up & User Account Termination: Monthly user account termination review
  - (d) Targeted Threat Protection Solution ICT implemented targeted threat protection features or modules, to protect the CCMA against targeted threats such Phishing.
  - (e) User Data Storage: Data is stored on SharePoint and folders with restricted access.
  - (f) Firewalls: monitors incoming and outgoing network traffic and decides whether to allow or block specific traffic based on a defined set of security rules;
  - (g) **Penetration testing**: Active third party testing is conducted once a year to determine the degree in which a malicious attacker can gain unauthorized access to our assets;
  - (h) Malware protection: Antivirus with Adaptive Threat protection;
  - Vulnerability assessment: Monthly technical review of infrastructure to evaluate if systems are susceptible to any known vulnerabilities and recommends remediation or mitigation;
  - Password controls: CCMA employees are required to reset or change password on a regular basis;
  - (k) Patch updates: CCMA ICT ensures that software and operating systems are patched with the latest security and operational patches from the vendors. These updates contain patches that resolve the latest known exploits and vulnerabilities.
  - BitLocker: Provides an encryption to protect data in local machines, in the event of the laptop being stolen.
  - (m) **Customer Data Protection:** Client data (CCMA and BC) is protected within secured database.
  - (n) Latest Antivirus Updates: Installed to ensure that systems are as safe as possible against virus outbreaks.
  - (o) Backup Storage: CCMA ICT performs daily backups of data.
  - (p) **Intrusion Assessment**: Firewall reports are assessed monthly, to determine potential network security threats.
  - (q) Secure CCMA Infrastructure: CCMA ICT monitors the infrastructure and triggers alerts when anomalous activities are detected. Trend analysis reports are generated, network traffic is monitored, system performance is reported on and monitor systems are tracked.
  - (r) Security policies and procedures: These are in place and serve to define and regulate the acceptable use of information by employees, independent contractors and other personnel.
  - (s) Physical access controls: The access controls are in place and enable the CCMA to keep track of who has accessed the server rooms.
  - (t) File sharing: Sending confidential or personal information online can be worrisome. ICT has implemented OneDrive, whereby a user has to acquire a password to access a shared link. This prevents unauthorised access to files if the recipient forwards or shares the link.
  - (u) Email protection of sensitive information: Microsoft Office 365 solution to encrypt emails, limit access to protected emails by not allowing the recipient of the email to share the email or forward.
  - (v) **Microsoft Defender for endpoints**: it helps ICT department to Detect, investigate, and respond to advanced threats, including ransomware and malware.

### 15. PRESCRIBED FEES

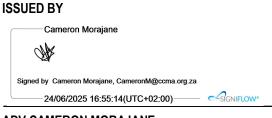
- 15.1. Section 22(1) of PAIA provides that fees payable for access to records of the CCMA must be prescribed. These prescribed fees are detailed in Annexure B of the PAIA Regulations, which is accessible on the Information Regulator's website at <a href="https://www.inforegulator.org.za">https://www.inforegulator.org.za</a>.
- 15.2. A requester who seeks access to any record may be required to pay a fee, unless an exempted, as referred to in paragraph 15.3 below.
- 15.3. The requester does not need to pay an access fee<sup>7</sup> to a public body if:-
  - 15.3.1. He or she is a single person whose annual income, after permissible deductions, such as PAYE and UIF, is less than R14 712 a year, or
  - 15.3.2. He or she is married and the joint income with his or her partner, after permissible deductions, such as PAYE and UIF, is less than R27 192 per year.

### 16. AVAILABILITY OF THE MANUAL

- 16.1. This Manual is made available in the following three official languages-
  - 16.1.1. English;
  - 16.1.2. IsiZulu; and
  - 16.1.3. Afrikaans
- 16.2. A copy of this Manual or the updated version thereof, is also available as follows-
  - 16.2.1. on the CCMA website at https://www.ccma.org.za;
  - 16.2.2. at the National Office (Head Office) of the CCMA for public inspection during normal business hours;
  - 16.2.3. to any person upon request and upon the payment of a reasonable prescribed fee; and
  - 16.2.4. to the Information Regulator upon request.
- 16.3. A fee for a copy of the Manual, as contemplated in Annexure B of the Regulations, shall be payable per each A4-size photocopy made. Annexure B is retrievable from the Information Regulator's website at <u>https://www.inforegulator.org.za</u>.

### 17. UPDATING OF THE MANUAL

17.1. The CCMA will, if necessary, update and publish this Manual annually.



### ADV.CAMERON MORAJANE CCMA DIRECTOR

<sup>&</sup>lt;sup>7</sup> as per Government Notice R991 of 14 October 2005