INFORMATION MANUAL OF GLAXOSMITHKLINE SOUTH AFRICA [PTY] LTD

Prepared in accordance with section 51 of the Promotion of Access to Information Act No. 2 of 2000 (as amended) and the Protection of Personal Information Act, 2013.(

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1. Background to the Promotion of Access to Information Act

1.1 In this Manual, all references to sections are to the Promotion of Access to Information Act, 2000 unless otherwise specified;

1.2 The Promotion of Access to Information Act, No. 2of 2000 (the **PAIA**") was enacted on 3 February 2000, giving effect to the constitutional right in terms of section 32 of the Bill of Rights contained in the Constitution of the Republic of South Africa 108 of 1996 (the **"Constitution**") of access to any information held by the state and any information that is held by another person and that is required for the exercise or protection of any rights. The PAIA seeks to advance the values of transparency and accountability.

1.3 In terms of section 51 of the Act, all Private Bodies are required to compile an Information Manual ("**PAIA Manual"**).

1.4 The PAIA establishes certain statutory rights of requesters to access records of a private body if:

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

Where a request is made in terms of the Act, the body to whom the request is made is obliged to release the information, subject to applicable legislative and / or regulatory requirements, except where the Act expressly provides that the information may be adopted when requesting information from a public or private body.

1.5 In terms of section 17 of the Protection of Personal Information Act, No. 4 of 2013 (the "**POPI Act**"), a responsible party must maintain the documentation of all processing operations under its responsibility in a PAIA Manual. The POPI Act seeks to give effect to the constitutional right to privacy as contained in section 14 of the Bill of Rights and regulates the manner in which personal information may be processed by public and private bodies. In terms of POPI Act, the Information Regulator is responsible to regulate compliance with PAIA and its regulations by private and public bodies.

1.6 The PAIA and the POPI Act are collectively referred to in this document as the "Acts".

2. Scope and Purpose of The Manual

2.1 The purpose of PAIA is to promote the right of access to information, to foster a culture of transparency and accountability within the Company by giving the right to information that is required for the exercise or protection of any right and to actively promote a society in which the people of South Africa have effective access to information to enable them to exercise and protect their rights.

2.2 The Act recognises that the right to access information cannot be unlimited and should be subject to justifiable limitations, including, but not limited to:

- Limitations aimed at the reasonable protection of privacy;
- Commercial confidentiality; and
- Effective, efficient and good governance;

and in a manner which balances that right with any other rights, including such rights contained in the Bill of Rights in the Constitution.

2.3 This PAIA Manual complies with the requirements of guide mentioned in section 10 of the Act.

3. About GlaxoSmithKline

GSK is a science-led global healthcare company with a special purpose: to help people do more, feel better, live longer.

GSK South Africa provides a broad portfolio of innovative and established medicines and vaccines for patients in South Africa including treatments for respiratory conditions, HIV, anti-infectives and the Central Nervous System. These are commercialised in partnership with Aspen Pharmacare. We are the world's largest vaccines company by revenue, delivering vaccines that help protect people at all stages of life. Globally, GSK is strengthening our R&D pipeline through a focus on immunology, human genetics and advanced technologies to help us deliver transformational new medicines for patients. In vaccines our focus is on developing vaccines against infectious diseases that combine high medical need and strong market potential. South Africa is a frequent location for GSK's clinical trials.

Further general information on GSK, its operations and activities can be obtained from its website at www.gsk.com.

4. Availability of The Manual

This manual is available for inspection

4.1 on the GSK website at www.gsk.com and

4.2 At our reception desk at our office / offices at 57 Sloane Street ,Flushing Meadows Building, The Campus,Bryanston,2191 during normal business hours ;

4.3 On request from our Information Officer

This Manual will be updated from time to time, as and when required

5. **Contact Details Of The General Manager** [Section 51(1)(a)]

General Manager:	Emma Knox
Registered Address	57 Sloane Street , The Campus, Flushing Meadows Building Bryanston, 2191
Postal Address	GlaxoSmithKline South Africa Private Bag X173 Bryanston 2021, South Africa
Telephone Number	

6. **The Information Officer** [Section 51(1)(b)]

6.1 The Act prescribes the appointment of an Information Officer for public bodies where such Information Officer is responsible to, inter alia, assess request for access to information. The head of a private body fulfils such a function in terms of section 51. The Company has opted to appoint an Information Officer to assess such a request for access to information as well as to oversee its required functions in terms of the Act.

6.2 The Information Officer appointed in terms of the Act also refers to the Information Officer as referred to in the Protection of Personal Information Act 4 of 2013. The Information Officer oversees the functions and responsibilities as required for in terms of both this Act as well as the duties and responsibilities in terms of section 55 of the Protection of Personal Information Act 4 of 2013 after registering with the Information Regulator.

6.3 The Information Officer may appoint, where it is deemed necessary, Deputy Information Officers, as allowed in terms of section 17 of the Act as well as section 56 of the Protection of Personal Information Act 4 of 2013. This is in order to render the Company as accessible as reasonable possible for requesters of its records and to ensure fulfilment of its obligations and responsibilities as prescribed in terms of section 55 of the Protection of Personal Information Act 4 of 2013. All request for information in terms of this Act must be addressed to the Information Officer.

Contact Details of the Information Officer

Information Officer	The Information Officer
Physical Address	GlaxoSmithKline Limited Industrial Area 23 Likoni Road Nairobi, Kenya
Postal Address	GlaxoSmithKline Limited P.O.Box 78392-00507 Nairobi, Kenya
Telephone Number	+254 206933000
Email Address	maria.r.leshamta@gsk.com

7. **Human Rights Commission / Information Regulator Guide** [Section 51(1)(b)(i)]

7.1 The ACT grants a requester access to records of a private body, if the record is required for the exercise or protection of any rights. If a public body lodges a request, the public body must be acting in the public interest.

7.2 Requests in terms of the ACT shall be made in accordance with the prescribed procedures, at the rates provided. The forms and tariff are dealt with in paragraphs 6 and 7 of the Act.

7.3 Requesters are referred to the Guide in terms of Section 10 which has been compiled by the South African Human Rights Commission, which will contain information for the purposes of exercising Constitutional Rights. The Guide is available from the SAHRC.

7.4 The contact details of the Commission are:

Contact body:	The South African Human Rights Commission
Physical Address	PAIA Unit 29 Princess of Wales Terrace Cnr. York and Andrew Streets Parktown
Postal Address	Private Bag 2700, Houghton 2041
Telephone Number	+27 11 877 3600
Email Address	PAIA@sahrc.org.za
Website	http://www.sahrc.org.za/

7.5 The Information Regulator is required to update (and make available) the Guide to include information required by persons wishing to exercise any right contemplated in the POPI Act.

7.6 The updated Guide will be available from the Information Regulator in the manner prescribed.

8. **Records Automatically Available to The Public** [section 51(1)(b)(ii)]

No notice has been published pursuant to Section 51(1)(b)(ii), regarding the categories of records which are automatically available without having to request access in terms of PAIA.

9. **Records Held In Accordance With Other Legislation** [section 51(1) (d)]

9.1 Where applicable to its operations, the Company also retains records and documents in terms of the legislation listed in Annexure 3. Unless disclosure is prohibited in terms of legislation, regulations, contractual agreement or otherwise, records that are required to be made available in terms of these acts shall be made available for inspection by interested parties in terms of the requirements and conditions of the Act; the mentioned legislation and applicable internal policies and procedures, should such interested parties be entitled to such information. A request to access must be done in accordance with the prescriptions of the Act.

9.2 Although we have used our best endeavours to supply a list of applicable legislation, it is possible that this list may be incomplete. Whenever it comes to our attention that existing or new legislation allows a Requester access on a basis other than as set out in PAIA, we shall update the list accordingly.

9.3 Note that the information will only be provided in accordance with the requirements stipulated in the relevant pieces of legislation. If a requester believes that a right to access to a record exists in terms of the legislation above, or any other legislation, the requester is required to indicate what legislative right the request is based on, to allow the Information Officer the opportunity to consider the request in light thereof.

9.4 It is further recorded that the accessibility of documents and records may be subject to the grounds of refusal set out in this PAIA Manual.

10. Records – Categories and Subject Of Records [Available only on Request to Access in Terms of the Act (Section 51(1) (e)**]**

The information contained in this section is intended to identify the main categories of records held by the Company and to help the requester to gain a better understanding of the main business activities of the Company Further assistance in identifying the records held by the Company is obtainable from the Information Officer.

Records to which access will be provided in accordance with the PAIA (subject to the restrictions and right of refusal to access provided for in the PAIA) are available in respect of the following (non- exhaustive) aspects of the Company's businesses and operations:

Category	**Type of Documents**
Company Records	Documents of incorporation; Memorandum and Articles of Association or Memorandum of Incorporation (as applicable); Records relating to the appointment of directors / auditor / secretary; Public officer and other officers; and Share Register and other statutory registers. Minutes of meetings of the Board of Directors; Share certificates;

	Special resolutions/Resolutions
Financial Records	Annual Financial Statements; Tax Returns; Accounting Records; Banking Records; Bank Statements; Electronic banking records; Asset Register; Invoices. Banking details and bank accounts Debtors / Creditors statements and invoices; General ledgers and subsidiary ledgers; General reconciliation; Policies and procedures;
Income Tax Records	PAYE Records; Documents issued to employees for income tax purposes; Records of payments made to SARS on behalf of employees; All other statutory compliances: VAT, Regional Services Levies, Skills Development Levies, UIF, Workmen's Compensation, PAYE Records;

Personnel / Employee Documents and Records	Employment contracts; Employment Equity Plan; Medical Aid records; Pension Fund records; Disciplinary records; Salary records; SETA records; Disciplinary code; Leave records; Training records; and Training Manuals. Employee benefits arrangements rules and records; Employment Equity Plan Forms and Applications; Grievance Procedures; Workplace and Union agreements and records.
Procurement	Standard Terms and Conditions for supply of services and products; Contractor, client and supplier agreements; Lists of suppliers, products, services and distribution; and Policies and Procedures.
Sales	Customer details Credit application information Information and records provided by a third party
Marketing	Advertising and promotional material
Risk Management and Compliance	Audit reports; Risk management frameworks; and

	Risk management plans. Disaster recovery plans;
Safety, Health and Environment	Complete Safety, Health and Environment Risk Assessment Environmental Managements Plans Inquiries, inspections, examinations by environmental authorities SHE Policy; and Mandatory SHE Records.
IT Department	Computer / mobile device usage policy documentation; Hardware asset registers; Information security policies/standards/procedures; Information technology systems and user manuals Information usage policy documentation; Project implementation plans; Software licensing; and System documentation and manuals
CSR	CSR schedule of projects/record of organisations that receive funding; Reports, books, publications and general information related to CSR spend; Records and contracts of agreement with funded organisations.

Note that the accessibility of the records may be subject to the grounds of refusal set out in this PAIA manual. Amongst other, records deemed confidential on the part of a third party, will necessitate permission from the third party concerned, in addition to normal requirements, before the Company will consider access.

11. Access Requests

11.1 The requester must comply with all the procedural requirements contained in the Act relating to the request for access to a record.

11.2 *Completion & Submission of Access Request Form*

11.2.1 The requester must complete the prescribed form enclosed herewith as Annexure 1, and submit same as well as payment of a request fee and a deposit (if applicable) to the Information Officer or the Deputy Information Officer at the postal or physical address, or electronic mail address as noted in clause 6 above.

11.2.2 Proof of identity is required to authenticate the identity of the requester – in addition to the Access Request Form, requesters will be required to supply a certified copy of their identification document or a valid passport document, or if a legal entity, a certified copy of the Company Registration Certificate.

11.2.3 Type or print in BLOCK LETTERS an answer to every question.

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

11.2.5 If there is nothing to disclose in reply to a particular question state "NIL" in response to that question.

11.2.6 If there is insufficient space on the printed form, additional information may be provided of an additional attached folio.

11.2.7 When the use of an additional folio is required, precede each answer with the applicable title.

11.3. The prescribed from must be filled in with sufficient information to enable the Information Officer to identify:

11.3.1 the record or records requested; and

11.3.2 the identity of the requester.

11.4. The requester should indicate which form of access is required and specify a postal address email address or fax number of the requester in the Republic;

11.5. If an individual is unable to complete the prescribed form because of illiteracy or disability, such a person may make the request orally.

11.6 The requester must state that he/she requires the information in order to exercise or protect a right, and clearly state what the nature of the right is so to be exercised or protected. The requester must clearly specify why the record is necessary to exercise or protect such a right (section 53(2)(d)).

11.7 If a request is made on behalf of another person, then the requester must submit proof of the capacity in which the requester is making the request to the reasonable satisfaction of the Information Officer (section 53(2)(f)).

11.8 Please note that the successful completion and submission of an Access Request Form does not automatically allow the requester access to the requested record. An application for access to a record is subject to certain limitations if the requested record falls within a certain category as specified within Part 3 Chapter 4 of the Act.

11.9 If it is reasonably suspected that the requester has obtained access to records through the submission of materially false or misleading information, legal proceedings may be instituted against such requester.

11.10 Payment of Fees

11.10.1 Payment details can be obtained from the Information Officer indicated above and must be made via a direct deposit, by bank guaranteed cheque (no credit card or cash payments are accepted). Proof of payment must be supplied via the contact details stated in paragraph 5.

11.10.2

11.10.3 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 Annexure 2 hereto. The access fee must be paid prior to access being given to the requested record.

11.11 Notification

11.11.1 The Information Officer will process the request within 30 (thirty) days, unless the requester has stated special reasons to the satisfaction of the Information Officer that circumstances dictate that the above time periods not be complied with. In addition all information as listed in this clause 11 should be provided and failing which the process will be delayed until the required information is provided. The prescribed time periods will not commence until the requester has furnished all the necessary and required information.

11.11.2 The Information Officer will, within the prescribed 30 (thirty) days decide whether to grant or decline the request and give notice with reasons (if required) to that effect. The requester shall be advised whether access is granted or denied in writing. If, in addition, the requester requires the reasons for the decision in any other manner, the requester will be obliged to state which manner and the particulars required.

11.11.3 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 GSK and the information cannot reasonably be obtained within the original 30 (thirty) day period. The requester will be notified in writing should an extension be sought.

11.11.4 The Information Officer shall sever a record, if possible, and grant only access to that portion requested and which is not prohibited from being disclosed.

12 Grounds for Refusal of Access To Records (Chapter 4)

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

12.1.1 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;

12.1.2 Mandatory protection of the commercial information of a third party, if the record contains Trade secrets of that party;

12.1.3 Financial, commercial, scientific or technical information which disclosure could likely cause harm to the financial or commercial interests of that party;

12.1.4 Information disclosed by a third party to any of GSK if the disclosure could put that third party at a disadvantage in negotiations or commercial competition;

12.1.5 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;

12.1.6 Mandatory protection of the safety of individuals and the protection of property;

12.1.7 Mandatory protection of records which could be regarded as privileged in legal proceedings;

12.1.8 The commercial activities of the Companies, which may include (i) Trade secrets of the Companies; and (ii) Financial, commercial, scientific or technical information which, if disclosed, would likely cause harm to the financial or commercial interests of the Companies.

12.2 Requests for information that are clearly frivolous or vexatious, or which involve an unreasonable diversion of resources shall be refused.

12.3 All requests for information will be assessed on their own merits and in accordance with the applicable legal principles and legislation.

12.4 If a requested record cannot be found or if the record does not exist, the Information Officer shall, by way of an affidavit or affirmation, notify the requester that it is not possible to give access to the requested record. Such a notice will be regarded as a decision to refuse a request for access to the record concerned for the purpose of the Act. If the record should later be found, the requester shall be given access to the record in the manner stipulated by the requester in the prescribed form, unless the Information Officer refuses access to such record.

13 Appeal Against Refusal To Grant Access

13.1 The Company does not have internal appeal procedures. The decision made by the Information Officer is final. Requesters will have to exercise such external remedies at their disposal if the request for information is refused, and the requestor is not satisfied with the answer supplied by the Information Officer.

13.2 If a requester is aggrieved by the refusal of the Information Officer to grant a request for a record, the requester may, upon notification of the Information Officer's decision (or upon deemed refusal in terms of Section 58 of the PAIA), lodge a complaint to the Information Regulator or apply to court for appropriate relief within the timeframes as prescribed by the PAIA

14 Personal Information That Is Processed By The Company

14.1 Chapter 3 of POPIA provides for the minimum Conditions for Lawful Processing of Personal Information by a Responsible Party. These conditions may not be derogated from unless specific exclusions apply as outlined in POPIA. The purpose for which personal information is processed by the Company will depend on the nature of the

information. In general, personal information is processed by the Company for business administration purposes, including:

14.1.1 to carry out actions for the conclusion or performance of a contract;

14.1.2 to comply with obligations imposed by law;

14.1.3 to protect the legitimate interests of the data subjects; or

14.1.4 where it is necessary for pursuing the legitimate interests of the Company.

NB: *The above list is non-exhaustive.*

14.2 The Company needs Personal Information relating to both individual and juristic persons in order to carry out its business and organisational functions. The manner in which this information is Processed and the purpose for which it is Processed is determined by the Company. The Company is accordingly a Responsible Party for the purposes of POPIA and will ensure that the Personal Information of a Data Subject:

14.2.1 is processed lawfully, fairly and transparently. This includes the provision of appropriate information to Data Subjects when their data is collected by GSK, in the form of privacy or data collection notices. GSK must also have a legal basis (for example, consent) to process Personal Information;

14.2.2 is processed only for the purposes for which it was collected;

14.2.3 will not be processed for a secondary purpose unless that processing is compatible with the original purpose.

14.2.4 is adequate, relevant and not excessive for the purposes for which it was collected;

14.2.5 is accurate and kept up to date;

14.2.6 will not be kept for longer than necessary;

14.2.7 is processed in accordance with integrity and confidentiality principles; this includes physical and organisational measures to ensure that Personal Information, in both physical and electronic form, are subject to an appropriate level of security

when stored, used and communicated by GSK, in order to protect against access and acquisition by unauthorised persons and accidental loss, destruction or damage;

14.2.8 is processed in accordance with the rights of Data Subjects, where applicable.

14.3 Data Subjects have the right to-

14.3.1 be notified that their Personal Information is being collected by GSK. The Data Subject also has the right to be notified in the event of a data breach;

14.3.2 know whether GSK holds Personal Information about them, and to access that information. Any request for information must be handled in accordance with the provisions of this Manual;

14.3.3 request the correction or deletion of inaccurate, irrelevant, excessive, out of date, incomplete, misleading or unlawfully obtained personal information;

14.3.4 object to GSK's use of their Personal Information and request the deletion of such Personal Information (deletion would be subject to GSK's record keeping requirements);

14.3.5 object to the processing of Personal Information for purposes of direct marketing by means of unsolicited electronic communications; and

14.3.6 complain to the Information Regulator regarding an alleged infringement of any of the rights protected under POPI and to institute civil proceedings regarding the alleged non-compliance with the protection of his, her or its personal information.

15 **Categories Of Data Subjects And Information** [Section 51(1) (C) (Ii)]

As per section 1 of POPI, a Data Subject may either be a natural or a juristic person. The Company processes personal information relating to the following categories of data subjects and information:

15.1 Personnel / employees;

15.2 Consultants;

15.3 Contractors;

15.4 Customers;

15.5 Consumers

15.6 Distributors;

15.7 Service providers;

15.8 Suppliers;

15.9 Other third parties with whom GSK conducts business.

NB: *The above list is non-exhaustive.*

Categories Of Information

15.10 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, background checks, fingerprints, CVs, education history, remuneration and benefit information, details related to employee performance and disciplinary procedures.

15.11 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.

15.12 The above lists are non-exhaustive.

16 **Categories Of Recipients To Whom The Personal Information May Be Supplied** [Section 51(1)(C)(Iii)]

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

16.1 Other companies in the Group;

16.2 Service providers;

16.3 Medical aid, pension or provident funds;

16.4 Auditing and accounting bodies (internal and external);

16.5 Third parties with whom GSK has contracted for the retention of data;

16.6 Any firm, organisation or person that GSK uses to collect payments and recover debts or to provide a service on its behalf;

16.7 Relevant authorities, government departments, statutory bodies or regulators;

16.8 A court, administrative or judicial forum, arbitration or statutory commission making a request in terms of the applicable laws or rules.

NB: *The above list is non-exhaustive.*

17 **Planned Transborder Flows Of Personal Information [**Section 51(1) (c)(iv)]

17.1 POPIA provides that Personal Information may only be transferred out of the Republic of South Africa if the:

- recipient country can offer such data an "adequate level" of protection. This means that its data privacy laws must be substantially similar to the Conditions for Lawful Processing as contained in POPI; or
- Data Subject consents to the transfer of their Personal Information; or
- transfer is necessary for the performance of a contractual obligation between the Data Subject and the Responsible Party; or
- transfer is necessary for the performance of a contractual obligation between the Responsible Party and a third party, in the interests of the Data Subject; 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, and if it were, the Data Subject, would in all likelihood provide such consent.

17.2 GSK envisage that it 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 Act.

17.3 In addition, Personal Information may be transmitted transborder to GSK's suppliers in other countries, and Personal Information may be stored in data servers hosted outside South Africa. GSK will endeavour to ensure that its dealers and suppliers will make all reasonable efforts to secure said data and Personal Information.

18 **Information Security Measures [**Section 51(1) (c)(v)]

GSK strives to take appropriate, reasonable technical and organisational measures to secure the integrity and confidentiality of personal information in its possession or under its control. The details given below are to be interpreted as examples of how to achieve an adequate data protection level for each objective. GSK may use alternative measures and adapt to technological security development, as needed, provided that the objectives are achieved.

18.1 *Access Control of Persons :* GSK shall implement suitable measures in order to prevent unauthorized persons from gaining access to the data processing equipment where the data are processed.

18.2 *Data Media Control:* GSK undertakes to implement suitable measures to prevent the unauthorized manipulation of media, including reading, copying, alteration or removal of the data media used by GSK and containing personal data.

18.3 *Data Memory Control:* GSK undertakes to implement suitable measures to prevent unauthorized input into data memory and the unauthorised reading, alteration or deletion of stored data.

18.4 *User Control:* GSK shall implement suitable measures to prevent its data processing systems from being used by unauthorised persons by means of data transmission equipment.

18.5 *Access Control to Data:* GSK represents that the persons entitled to use GSK's data processing system are only able to access the data within the scope and to the extent covered by their respective access permissions (authorisation).

18.6 *Transmission Contro*l: GSK shall be obliged to enable the verification and tracing of the locations / destinations to which the personal information is transferred by utilization of GSK's data communication equipment / devices.

18.7 T*ransport Control:* GSK shall implement suitable measures to prevent Personal Information from being read, copied, altered or deleted by unauthorized persons during the transmission thereof or during the transport of the data media.

18.8 O*rganisation Control:* GSK shall maintain its internal organisation in a manner that meets the requirements of this Manual

19 **Objection to The Processing Of Personal Information By A Data Subject** [POPIA Regulation 2]

A data subject may at any time object to the processing of his / her / its personal information (as contemplated in Section 11(3)(a) of the POPI Act) in the prescribed form attached to this manual as Annexure 4, subject to exceptions contained in the POPI Act.

20 **Request For Correction Or Deletion Of Personal Information** [POPIA Regulation 3]

A Data Subject may request that his / her / its personal information be corrected or deleted (as contemplated in Section 24 of the POPI Act) in the prescribed form attached as Annexure 5.

ANNEXURE 1

REQUEST FOR ACCESS TO RECORD OF PRIVATE BODY IN RELATION TO PAIA

(Section 53 (1) of the Promotion of Access to Information Act, 2000

(Act No. 2 of 2000))

[Regulation 10]

1. Particulars of Private Body:

Requests can be submitted either via conventional mail, e-mail or fax and should be addressed to the Information Officer as indicated below:

Information Officer	Maria Leshamta
Street address	GlaxoSmithKline Limited Industrial Area 23 Likoni Road Nairobi, Kenya
Business phone	+254 206933000
E-mail address	maria.r.leshamta@gsk.com

2. Particulars Of Person Requesting Access To The Record (Requester)

(a) The particulars of the person who requests access to the record must be given below.

(b) The address and/or fax number in the Republic to which the information is to be sent must be given.

(c) Proof of the capacity in which the request is made, if applicable, must be attached.

Full names and surname:	
Identity number:	
Postal address:	
Fax number:	
Telephone number:	
email address:	
Capacity in which request is made, when made on behalf of another person:	

Particulars Of Requester (If A Legal Entity)

(a) The particulars of the entity that requests access to the record must be given below.

(b) The address and/or fax number in the Republic to which the information is to be sent must be given.

(c) Proof of the capacity in which the request is made, if applicable, must be attached.

Registered Name of Entity:	
Registration Number:	
Postal address:	
Fax number:	
Telephone number:	
email address:	
Capacity of the person submitting the request on behalf of the Legal Entity:	

3. Particulars of Person On Whose Behalf Request Is Made

*This section must be completed **ONLY** if a request for information is made on behalf of another person.*

Full names and surname	
Identity number	

4. Particulars Of Record

(a) 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.

(b) If the provided space is inadequate, please continue on a separate folio and attach it to this form. The requester must sign all the additional folios.

Description of record or relevant part of the record:	
Reference number, if available:	
Any further particulars of record:	

5. Fees

(a) A request for access to a record, other than a record containing personal information about yourself, will be processed only after a request fee has been paid.

(b) You will be notified of the amount required to be paid as the request fee.

(c) 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.

(d) If you qualify for exemption of the payment of any fee, please state the reason for exemption.

Reason for exemption from payment of fees:

6. Form Of Access To Records

If you are prevented by a disability to read, view or listen to the record in the form of access provided for in 1 to 4 hereunder, state your disability and indicate in which form the record is required.

Disability:	**Form in which record is required:**

Mark the appropriate box with an X.

NOTES:

(a) Compliance with your request in the specified form may depend on the form in which the record is available.

(b) Access in the form requested may be refused in certain circumstances. In such a case you will be informed if access will be granted in another form.

(c) The fee payable for access to the record, if any, will be determined by the form in which access is requested.

1	**If the record is in written or printed form:**				
		copy of record*			inspection of record;
2	**If record consists of visual images** (this includes photographs, slides, video recordings, computer-generated images, sketches, etc.):				
		view the images		copy of the images*	transcription of the images*
3	**If record consists of recorded words or information which can be reproduced in sound:**				
		Listen to the soundtrack (audio cassette)			transcription of soundtrack* (written or printed document)
4	**If record is held on computer or in an electronic or machine-readable form:**				

		printed copy of record*		printed copy of information derived from the record*		copy in computer readable form* (stiffy or compact disc)			
	*If you requested a copy or transcription of a record (above), do you wish the copy or transcription to be posted to you?					YES		NO	
	NB: Postage is payable.								

7. Particulars Of Right To Be Exercised Or Protected

If the provided space is inadequate, please continue on a separate folio and attach it to this form. The requester must sign all the additional folios.

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.

8. Notice Of Decision Regarding Request For Access

You will be notified in writing whether your request has been approved/denied. If you wish to be informed in another manner, please specify the manner and provide the necessary particulars to enable compliance with your request.

How would you prefer to be informed of the decision regarding your request for access to the record?

Signed at_____ on this _____ day of

_____ 20____

_____

Signature of Requester / Person On Whose Behalf Request Is Made

ANNEXURE 2

GENERAL: VALUE-ADDED TAX

Private bodies registered under the Value-Added Tax Act, 1991 (Act No. 89 of 1991), as vendors may add value-added tax to all fees prescribed in this Annexure.

PART I

FEES IN RESPECT OF GUIDE

1. The fee for a copy of the guide as contemplated in regulations 2 (3) (*b*) and 3 (4) (*c*) is R0,60 for every photocopy of an A4-size page or part thereof.

PART II

FEES IN RESPECT OF PRIVATE BODIES

2. The fee for a copy of the manual as contemplated in regulation 9 (2) (*c*) is R1,10 for every photocopy of an A4-size page or part thereof.

3. The fees for reproduction referred to in regulation 11 (1) are as follows:

		Rand
(a)	For every photocopy of an A4-size page or part thereof	1,10
(b)	For every printed copy of an A4-size page or part thereof held on a computer or in electronic or machine-readable form	0,75

(c)	For a copy in a computer-readable form on—	
	(ii) stiffy disc	7,50
	(iii) compact disc	70,00
(d)	(i) For a transcription of visual images, for an A4-size page or part thereof;	40,00
	(iii) For a copy of visual images	60,00
(e)	(i) For a transcription of an audio record, for an A4-size page or part thereof	20,00
	(ii) For a copy of an audio record	30,00

4. The request fee payable by a requester, other than a personal requester, referred to in regulation 11 (2) is R50,00.

5. The access fees payable by a requester referred to in regulation 11 (3) are as follows:

			RAND
5.1	(a)	For every photocopy of an A4-size page or part thereof	1,10
	(b)	For every printed copy of an A4-size page or part thereof held on a computer or in electronic or machine-readable form	0,75
	(c)	For a copy in a computer-readable form on—	
		stiffy disc	7,50
		compact disc	70,00

	(d)	For a transcription of visual images, for an A4-size page or part thereof	40,00
		For a copy of visual images	60,00
	(e)	(i) For a transcription of an audio record, for an A4-size page or part thereof	20,00
		(ii) For a copy of an audio record	30,00
	(f)	To search for and prepare the record for disclosure, R30,00 for each hour or part of an hour reasonably required for such search and preparation.	
5.2	For purposes of section 54 (2) of the Act, the following applies:		
		(a) Six hours as the hours to be exceeded before a deposit is payable; and	
		(b) one third of the access fee is payable as a deposit by the requester.	
5.3		The actual postage is payable when a copy of a record must be posted to a requester.	

ANNEXURE 3

RECORDS HELD IN ACCORDANCE WITH OTHER LEGISLATION

[Section 51(1)(b)(iii)]

Records are available in terms of the following legislation, as amended from time to time:

1. Accreditation for Conformity Assessment, Calibration and Good Laboratory Practice Act 19 of 2006;
2. Administrative Adjudication of Road Traffic Offences Act 46 of 1998 (and Amendment Bill);
3. Advertising on Roads and Ribbon Development Act 21 of 1940;
4. Basic Conditions of Employment Act 75 of 1997 (and Amendment Act);
5. Broad-Based Black Economic Empowerment Act 53 of 2003 (and Amendment Act and Regulations) Broad-Based Black Economic Empowerment Revised Codes of Good Practice 2014;
6. Companies Act 71 of 2008;
7. Compensation for Occupational Injuries and Diseases Act 130 of 1993;
8. Competition Act, No 89 of 1998;
9. Consumer Protection Act 68 of 2008;
10. Copyright Act 98 of 1978;
11. Counterfeit Goods Act 37 of 1997;
12. Currency and Exchanges Act 9 of 1933;
13. Customs and Excise Act 91 of 1964;
14. Customs and Excise Amendment Act 32 of 2014;
15. Customs Control Act 31 of 2014;
16. Customs Duty Act 30 of 2014;
17. Electronic Communications and Transactions Act 25 of 2002;

18. Employment Equity Act 55 of 1998;
19. Employment Services Act 4 of 2014;
20. Employment Tax Incentive Act 26 of 2013;
21. Environment Conservation Act 73 of 1989;
22. Environmental Legislation – Other: (i) Atmospheric Pollution Prevention Act No. 45 of 1965; (ii) National Environmental Management: Biodiversity Act No.10 of 2004 (iii) National Environmental Management: Protected Areas Act No. 57 of 2003 (iv) National Heritage Resources Act No. 25 of 1999;
23. Financial Intelligence Centre Act 38 of 2001 (and Amendment Act) Financial Markets Act 19 of 2012;
24. Foodstuffs, Cosmetics and Disinfectants Act 54 of 1972 (and Regulations Relating to Miscellaneous Additives in Foodstuffs);
25. Hazardous Substances Act 15 of 1973;
26. Income Tax Act 58 of 1962;
27. Labour Relations Act 66 of 1995 (and Amendment Act);
28. Medicines and Related Substances Act 101 of 1965 (and Amendment Act and Regulations) Merchandise Marks Act 17 of 1941;
29. National Credit Act 34 of 2005;
30. National Environmental Management Act 107 of 1998 (and Amendment Acts);
31. National Environmental Management: Air Quality Act 39 of 2004 (and Amendment Act) National Environmental Management: Waste Act 59 of 2008 (and Amendment Act) National Health Act 61 of 2003;
32. National Water Act 36 of 1998 (and Amendment Act) Occupational Health and Safety Act 85 of 1993;
33. Patents Act 57 of 1978;
34. Pension Funds Act 24 of 1956;
35. Pharmacy Act 53 of 1974;

36. Prevention and Combating of Corrupt Activities Act 12 of 2004;
37. Prevention of Organised Crime Act 121 of 1998;
38. Promotion of Access to Information Act 2 of 2000;
39. Promotion of Equality and Prevention of Unfair Discrimination Act 4 of 20 ;
40. Protected Disclosures Act 26 of 2000 (and Amendment Bill) Protection of Personal Information Act 4 of 2013;
41. Regulations on Interception of Communications and the Provisions of Communication Related to Information Act 70 of 2002;
42. Skills Development Act 97 of 1998;
43. Skills Development Levies Act 9 of 1999;
44. Tax Administration Act 28 of 2011;
45. Trade Marks Act 194 of 1993;
46. Unemployment Insurance Contributions Act 4 of 2002;
47. Value-Added Tax Act 89 of 1991

PLEASE NOTE: *Whilst all reasonable endeavours have been made to provide a complete list of applicable legislation above, it is possible that the above list may be incomplete. Wherever it comes to the Companies' attention that existing or new legislation allows a requester access on a basis other than that set out in the PAIA, the above list will be updated.*

ANNEXURE 4

OBJECTION TO THE PROCESSING OF PERSONAL INFORMATION IN TERMS OF SECTION 11(3) OF THE PROTECTION OF PERSONAL INFORMATION ACT, 2013 (ACT NO. 4 OF 2013)

REGULATIONS RELATING TO THE PROTECTION OF PERSONAL INFORMATION, 2018

[Regulation 2]

Note:

1. *Affidavits or other documentary evidence as applicable in support of the objection may be attached.*
2. *If the space provided for in this Form is inadequate, submit information as an Annexure to this Form and sign each page.*
3. *Complete as is applicable.*

A. DETAILSOF DATA SUBJECT	
Name(s) and surname/ registered name of data subject:	
Unique Identifier/ Identity Number	
Residential, postal or business address:	
	Code (_____)

Contact number(s):	
Fax number / E-mail address:	
B. DETAILS OF RESPONSIBLE PARTY	
Name(s) and surname/ Registered name of responsible party:	
Residential, postal or business address:	
	Code (_____)
Contact number(s):	
E-mail address:	
C. REASONS FOR OBJECTION IN TERMS OF SECTION 11(1)(d) to (f) (*Please provide detailed reasons for the objection*)	

Signed at_____ on this _____ day of

_____ 20____

_____

Signature of data subject/designated person

ANNEXURE5

REQUEST FOR CORRECTION OR DELETION OF PERSONAL INFORMATION OR DESTROYING OR DELETION OF RECORD OF PERSONAL INFORMATION IN TERMS OF SECTION 24(1) OF THE PROTECTION OF PERSONAL INFORMATION ACT, 2013 (ACT NO. 4 OF 2013)

REGULATIONS RELATING TO THE PROTECTION OF PERSONAL INFORMATION, 2018

[Regulation 3]

Note:

1. *Affidavits or other documentary evidence as applicable in support of the request may be attached.*
2. *If the space provided for in this Form is inadequate, submit information as an Annexure to this Form and sign each page.*
3. *Complete as is applicable.*

Mark the appropriate box with an "x".

Request for:

	Correction or deletion of the personal information about the data subject which is in possession or under the control of the responsible party.
	Destroying or deletion of a record of personal information about the data subject which is in possession or under the control of the responsible party and who is no longer authorised to retain the record of information.

A. DETAILSOF DATA SUBJECT	
Name(s) and surname/ registered name of data subject:	
Unique Identifier/ Identity Number	
Residential, postal or business address:	
	Code (_____)
Contact number(s):	
Fax number / E-mail address:	
B. DETAILS OF RESPONSIBLE PARTY	
Name(s) and surname/ Registered name of responsible party:	
Residential, postal or business address:	
	Code (_____)

Contact number(s):	
E-mail address:	
C. INFORMATION TO BE CORRECTED/DELETED/ DESTRUCTED/ DESTROYED	
**D. REASONS FOR *CORRECTION OR DELETION OF THE PERSONAL INFORMATION ABOUT THE DATA SUBJECT IN TERMS OF SECTION 24 (1) (a) WHICH IS IN POSSESSION OR UNDER THE CONTROL OF THE RESPONSIBLE PARTY; and or REASONS FOR *DESTRUCTION OR DELETION OF A RECORD OF PERSONAL INFORMATION ABOUT THE DATA SUBJECT IN TERMS OF SECTION 24 (1) (b) WHICH THE RESPONSIBLE PARTY IS NO LONGER AUTHORISED TO RETAIN (*Please provide detailed reasons for the request)*	

Signed at_____ on this _____ day of

_____ 20___

_____

Signature of data subject/designated person