

# ASANDE WEALTH MANAGEMENT

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## PAIA MANUAL

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

## 1. LIST OF ACRONYMS AND ABBREVIATIONS

1.1	<b>“CEO”</b>	Chief Executive Officer
1.2	<b>“DIO”</b>	Deputy Information Officer;
1.3	<b>“IO”</b>	Information Officer;
1.4	<b>“Minister”</b>	Minister of Justice and Correctional Services;
1.5	<b>“PAIA”</b>	Promotion of Access to Information Act No. 2 of 2000
1.6	<b>“POPIA”</b>	Protection of Personal Information Act No.4 of 2013;
1.7	<b>“Regulator”</b>	Information Regulator; and
1.8	<b>“Republic”</b>	Republic of South Africa

## 2. PURPOSE OF PAIA MANUAL

This PAIA Manual is useful for the public to-

- 2.1 check the categories of records held by a body which are available without a person having to submit a formal PAIA request;
- 2.2 have a sufficient understanding of how to make a request for access to a record of the body, by providing a description of the subjects on which the body holds records and the categories of records held on each subject;
- 2.3 know the description of the records of the body which are available in accordance with any other legislation;
- 2.4 access all the relevant contact details of the Information Officer and Deputy Information Officer who will assist the public with the records they intend to access;
- 2.5 know the description of the guide on how to use PAIA, as updated by the Regulator and how to obtain access to it;
- 2.6 know if the body will process personal information, the purpose of processing of personal information and the description of the categories of data subjects and of the information or categories of information relating thereto;
- 2.7 know the description of the categories of data subjects and of the information or categories of information relating thereto;
- 2.8 know the recipients or categories of recipients to whom the personal information may be supplied;



- 2.9 know if the body has planned to transfer or process personal information outside the Republic of South Africa and the recipients or categories of recipients to whom the personal information may be supplied; and
- 2.10 know whether the body has appropriate security measures to ensure the confidentiality, integrity and availability of the personal information which is to be processed.

### 3. KEY CONTACT DETAILS FOR ACCESS TO INFORMATION OF THE:

#### 3.1. Chief Information Officer

Name: Sheila Maluleka  
Tel: 012 942 7900  
Email: [sheila@asandegroup.co.za](mailto:sheila@asandegroup.co.za)

#### 3.2 Access to information general contacts

Email: [admin@asandegroup.co.za](mailto:admin@asandegroup.co.za)

#### 3.3 National or Head Office

Postal Address: 75 George Storrar Drive, Cnr Engelenburg Groenkloof, Pretoria, 0181

Physical Address: 75 George Storrar Drive, Cnr Engelenburg Groenkloof, Pretoria, 0181

Telephone: 012 942 7900

Email: [admin@asandegroup.co.za](mailto:admin@asandegroup.co.za)

Website: [www.asandegroup.co.za](http://www.asandegroup.co.za)

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

- 4.1. The Regulator has, in terms of section 10(1) of PAIA, as amended, updated and made available the revised Guide on how to use PAIA (“Guide”), in an easily comprehensible form and manner, as may reasonably be required by a person who wishes to exercise any right contemplated in PAIA and POPIA.



- 4.2. The Guide is available in each of the official languages and in braille.
- 4.3. The aforesaid Guide contains the description of-
  - 4.3.1. the objects of PAIA and POPIA;
  - 4.3.2. the postal and street address, phone, and fax number and, if available, electronic mail address of-
    - 4.3.2.1. the Information Officer of every public body, and
    - 4.3.2.2. every Deputy Information Officer of every public and private body designated in terms of section 17(1) of PAIA<sup>1</sup> and section 56 of POPIA<sup>2</sup>;
  - 4.3.3. the manner and form of a request for-
    - 4.3.3.1. access to a record of a public body contemplated in section 11<sup>3</sup>; and
    - 4.3.3.2. access to a record of a private body contemplated in section 50<sup>4</sup>;
  - 4.3.4. the assistance available from the IO of a public body in terms of PAIA and POPIA;
  - 4.3.5. the assistance available from the Regulator in terms of PAIA and POPIA;
  - 4.3.6. all remedies in law available regarding an act or failure to act in respect of a right or duty conferred or imposed by PAIA and POPIA, including the manner of lodging-
    - 4.3.6.1. an internal appeal;
    - 4.3.6.2. a complaint to the Regulator; and

<sup>1</sup> Section 17(1) of PAIA- *For the purposes of PAIA, each public body must, subject to legislation governing the employment of personnel of the public body concerned, designate such number of persons as deputy information officers as are necessary to render the public body as accessible as reasonably possible for requesters of its records.*

<sup>2</sup> Section 56(a) of POPIA- *Each public and private body must make provision, in the manner prescribed in section 17 of the Promotion of Access to Information Act, with the necessary changes, for the designation of such a number of persons, if any, as deputy information officers as is necessary to perform the duties and responsibilities as set out in section 55(1) of POPIA.*

<sup>3</sup> Section 11(1) of PAIA- *A requester must be given access to a record of a public body if that requester complies with all the procedural requirements in PAIA relating to a request for access to that record; and access to that record is not refused in terms of any ground for refusal contemplated in Chapter 4 of this Part.*

<sup>4</sup> Section 50(1) of PAIA- *A requester must be given access to any record of a private body if-*

- a) *that record is required for the exercise or protection of any rights;*
- b) *that person complies with the procedural requirements in PAIA relating to a request for access to that record; and*
- c) *access to that record is not refused in terms of any ground for refusal contemplated in Chapter 4 of this Part.*



- 4.3.6.3. an application with a court against a decision by the information officer of a public body, a decision on internal appeal or a decision by the Regulator or a decision of the head of a private body;
- 4.3.7. the provisions of sections 14<sup>5</sup> and 51<sup>6</sup> requiring a public body and private body, respectively, to compile a manual, and how to obtain access to a manual;
- 4.3.8. the provisions of sections 15<sup>7</sup> and 52<sup>8</sup> providing for the voluntary disclosure of categories of records by a public body and private body, respectively;
- 4.3.9. the notices issued in terms of sections 22<sup>9</sup> and 54<sup>10</sup> regarding fees to be paid in relation to requests for access; and
- 4.3.10. the regulations made in terms of section 92<sup>11</sup>.
- 4.4. Members of the public can inspect or make copies of the Guide from the offices of the public and private bodies, including the office of the Regulator, during normal working hours.
- 4.5. The Guide can also be obtained-
  - 4.5.1. upon request to the Information Officer;

<sup>5</sup> Section 14(1) of PAIA- The information officer of a public body must, in at least three official languages, make available a manual containing information listed in paragraph 4 above.

<sup>6</sup> Section 51(1) of PAIA- The head of a private body must make available a manual containing the description of the information listed in paragraph 4 above.

<sup>7</sup> Section 15(1) of PAIA- The information officer of a public body, must make available in the prescribed manner a description of the categories of records of the public body that are automatically available without a person having to request access

<sup>8</sup> Section 52(1) of PAIA- The head of a private body may, on a voluntary basis, make available in the prescribed manner a description of the categories of records of the private body that are automatically available without a person having to request access

<sup>9</sup> Section 22(1) of PAIA- The information officer of a public body to whom a request for access is made, must by notice require the requester to pay the prescribed request fee (if any), before further processing the request.

<sup>10</sup> Section 54(1) of PAIA- The head of a private body to whom a request for access is made must by notice require the requester to pay the prescribed request fee (if any), before further processing the request.

<sup>11</sup> Section 92(1) of PAIA provides that –“The Minister may, by notice in the Gazette, make regulations regarding-  
 (a) any matter which is required or permitted by this Act to be prescribed;  
 (b) any matter relating to the fees contemplated in sections 22 and 54;  
 (c) any notice required by this Act;  
 (d) uniform criteria to be applied by the information officer of a public body when deciding which categories of records are to be made available in terms of section 15; and  
 (e) any administrative or procedural matter necessary to give effect to the provisions of this Act.”



4.5.2. from the website of the Regulator (<https://www.justice.gov.za/infoereg/>).

4.6 A copy of the Guide is also available in the **English**, for public inspection during normal office hours-

## 5. CATEGORIES OF RECORDS WHICH ARE AVAILABLE WITHOUT A PERSON HAVING TO REQUEST ACCESS

Category of records	Types of the Record	Available on Website	Available upon request
Financial Advisory and Information Service General Code of Conduct	Advertising Policy	X	X
Protection Of Personal Information Act	Website Disclaimer	X	X
Promotion of Access to Information Act 2 of 2000	PAIA Manual	X	X
Financial Advisory and Information Service General Code of Conduct	Conflict of Interest	X	X
Financial Advisory and Information Service Act	Complaints Policy	X	X
Protection Of Personal Information Act	Privacy Statement	X	X
Internal Marketing	Company Profile		X
Financial Advisory and Information Service Act	Representative Introduction and Disclosures		X



**6. DESCRIPTION OF THE RECORDS WHICH ARE AVAILABLE IN ACCORDANCE WITH ANY OTHER LEGISLATION**

<b>Category of records</b>	<b>Application Legislation</b>
No 98 of 1978	Copyright Act
No 55 of 1998	Employment Equity Act
No 95 of 1967	Income Tax Act
No 66 of 1995	Labour Relation Act
No 89 of 1991	Value Added Tax
No 37 of 2002	Financial Advisory and Intermediary Services
No 75 of 1997	Basic Condition of Employment
No 53 of 1998	Short Term Insurance Act
No 25 of 2002	Electronic Communication and Transactions Act
No 2 of 2000	Promotion of Access of information Act
No 30 of 1996	Unemployment Insurance Act
No 38 of 2001	Financial Intelligent Centre Act
No 58 of 1992	Long Term Insurance Act



**7. DESCRIPTION OF THE SUBJECTS ON WHICH THE BODY HOLDS RECORDS AND CATEGORIES OF RECORDS HELD ON EACH SUBJECT;**

Subjects on which the body holds records	Categories of records
Public Affairs	<ul style="list-style-type: none"> <li>• Public Product Information</li> <li>• Public Corporate Records</li> <li>• Media Releases</li> </ul>
Companies Act Records	<ul style="list-style-type: none"> <li>• Documents of incorporation</li> <li>• Memorandum and Articles of Association</li> <li>• Records relating to the appointment of members and other officers</li> <li>• Member Register and other statutory registers</li> </ul>
Financial Records	<ul style="list-style-type: none"> <li>• Annual Financial Statements</li> <li>• Tax Returns</li> <li>• Accounting Records</li> <li>• Banking Records</li> <li>• Bank Statements</li> <li>• Paid Cheques</li> <li>• Electronic banking records</li> <li>• Asset Register</li> <li>• Rental Agreements</li> <li>• Invoice</li> </ul>
Income Tax Records	<p>PAYE Records</p> <ul style="list-style-type: none"> <li>• Documents issued to employees for income tax purposes</li> </ul>



Subjects on which the body holds records	Categories of records
	<ul style="list-style-type: none"> <li>• Records of payments made to SARS on behalf of employees</li> <li>• All other statutory compliances:</li> <li>• UIF</li> </ul>
Personnel Documents and Records	<ul style="list-style-type: none"> <li>• Employment contracts</li> <li>• Employment Equity Plan (if applicable)</li> <li>• Pension Fund records</li> <li>• Disciplinary records</li> <li>• Salary records</li> <li>• SETA records</li> <li>• Disciplinary code</li> <li>• Leave records</li> <li>• Training records</li> <li>• Training Manuals</li> </ul>

## 8. PROCESSING OF PERSONAL INFORMATION

### 8.1 Purpose of Processing Personal Information

This personal information management policy ensures that Asande Wealth Management:

- Complies with data protection regulation and follows good practice;
- Protects the rights of staff, customers as well as partners;
- Is open about how it stores and processes clients' data;
- Protects itself from the risks of data breaches.



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

Categories of Data Subjects	Personal Information that may be processed
Customers /Clients	name, address, registration numbers or identity numbers, employment status and bank details, email addresses and contact numbers, lifestyle details, financial statements, income tax numbers, dependent and spouse details
Service Providers	names, registration number, vat numbers, address, email addresses and contact numbers
Employees	address, qualifications, gender and race, ID numbers, next of kin details

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

Category of personal information	Recipients or Categories of Recipients to whom the personal information may be supplied
Identity number and names, for verification and internal risk compliance	Financial Intelligence Centre (FIC) Sanctions List Search on the Office of Foreign Assets Control United Nations Security Council
Qualifications, for qualification verifications	South African Qualifications Authority (SAQA) Health Professions Council of South Africa (HPSCSA)



#### **8.4 Planned transborder flows of personal information**

Asande Wealth Management does have planned transborder flow of personal information.

#### **8.5 General description of Information Security Measures to be implemented by the responsible party to ensure the confidentiality, integrity and availability of the information**

- Firewall Protection
- Data backup protection
- Physical safe-keeping of records in fireproof safe
- Data Encryption
- Anti-Virus
- Anti-malware solution

### **9 AVAILABILITY OF THE MANUAL**

9.4 A copy of the Manual is available-

9.4.1 on [www.asandegroup.co.za](http://www.asandegroup.co.za)

9.4.2 head office of Asande Wealth Management for public inspection during normal business hours;

9.4.3 to any person upon request and upon the payment of a reasonable prescribed fee; and

9.4.4 to the Information Regulator upon request.

9.5 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.

### **10 UPDATING OF THE MANUAL**

The Information Officer of Asande Wealth Management will on a regular basis update this manual.



**Review Information**

Date Reviewed	Topic

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***Next revision date: 30 June 2023***

***Issued by:***

***SHEILA MALULEKA***

***EXECUTIVE DIRECTOR***

