



**Independent** Trustee Services

# PAIA MANUAL

For

Golden Pond Trading 616 (Pty) Ltd t/a Independent Trustee  
Services

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

DATE OF COMPILATION: 11/10/2023

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## 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(<br>as<br>Amended; |
| 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 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 INDEPENDENT TRUSTEE SERVICES**

#### **3.1. Chief Information Officer**

Name: Henry Nico Dul  
Tel: 011 675 2092  
Email: [henry@its-mail.co.za](mailto:henry@its-mail.co.za)  
Fax number: 0866133809

#### **3.3 Access to information general contacts**

Email: [info@its-mail.co.za](mailto:info@its-mail.co.za)

#### **3.4 National or Head Office**

Postal Address: 1<sup>st</sup> Floor, Quadrum 1, Quadrum Office Park,  
50 Constantia Boulevard,  
Constantia Kloof,  
Johannesburg,  
1709

Physical Address: 1<sup>st</sup> Floor, Quadrum 1, Quadrum Office Park,  
50 Constantia Boulevard,  
Constantia Kloof,  
Johannesburg,  
1709

Telephone: 011 675 2092

Email: [henry@its-mail.co.za](mailto:henry@its-mail.co.za)

Website: [www.independenttrusteeservices.co.za](http://www.independenttrusteeservices.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
  - 4.3.6.3. an application with a court against a decision by the information officer of a public body, a decision on internal

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<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.*

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-

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<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.”

4.5.1. upon request to the Information Officer;

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

4.6 A copy of the Guide is also available in the following two official languages, for public inspection during normal office hours-

4.6.1 English and IsiZulu

**5. CATEGORIES OF RECORDS OF THE INDEPENDENT TRUSTEE SERVICES 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 Intermediary Services (FAIS) | Debarment and date-of-first-appointment (DOFA documents) |                      | X                      |
| Commercial Records                                  | Brochures, Marketing and Newsletters                     |                      | X                      |
| Staffing                                            | Employee name, education, and experience.                | X                    | X                      |
| Privacy/ information                                | Access to information manual (PAIA Manual)               | X                    | X                      |

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

- Basic Conditions of Employment No. 75 of 1997
- Broad-Based Black Economic Empowerment Act, 2003
- Companies Act No. 61 of 1973
- Employment Equity Act No. 55 of 1998
- Financial Advisory and Intermediary Services Act No. 37 of 2002
- Financial Intelligence Centre Act No. 38 of 2001
- Financial Sector Regulation Act No. 9 of 2017

- Financial Services Board Act No. 97 of 1990
- Income Tax Act No. 95 of 1967
- Insurance Act No 27 of 1943
- Labour Relations Act No. 66 of 1995
- Long Term Insurance Act No. 52 of 1998
- Medical Schemes Act No. 131 of 1998
- Occupational Health & Safety Act No. 85 of 1993
- Pension Funds Act No. 24 of 1956
- Prevention of Organised Crime Act no. 121 of 1998
- Taxation Laws Amendment Act no. 7 of 2012
- Promotion of Access to Information Act No. 2 of 2000
- Protection of Personal Information Act No. 4 of 2013
- Unemployment Insurance Act No. 63 of 2001
- Value Added Tax Act No. 89 of 1991

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.

## **7. DESCRIPTION OF THE SUBJECTS ON WHICH THE BODY HOLDS RECORDS AND CATEGORIES OF RECORDS HELD ON EACH SUBJECT BY THE INDEPENDENT TRUSTEE SERVICES**

Each request for information will be dealt with on a case-by-case basis and the mere fact that a record is listed below does not mean that access to that record will be granted. Please note that the below list is not exhaustive.

| <b>Subjects on which the body holds records</b> | <b>Categories of records</b>                                                                                                                                                                        |
|-------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Strategic Documents, Plans, Proposals           | Annual Reports, Strategic Plan, Annual Performance Plan.                                                                                                                                            |
| Human Resources                                 | <ul style="list-style-type: none"> <li>- HR policies and procedures</li> <li>- Employees records</li> <li>- Training</li> <li>- Education</li> </ul>                                                |
| Management/Governance                           | <ul style="list-style-type: none"> <li>- Legal records not in the public domain</li> <li>- Organisational structure and positions</li> <li>- Internal Policies, Standards and Procedures</li> </ul> |

| Subjects on which the body holds records | Categories of records                                                                                                                                            |
|------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Customer                                 | <ul style="list-style-type: none"> <li>- Contract agreements</li> <li>- Customer due diligence</li> </ul>                                                        |
| Supply Chain Management                  | <ul style="list-style-type: none"> <li>- Third party onboarding records</li> <li>- Records of agreements/contracts</li> <li>- Service Level Agreement</li> </ul> |
| Regulatory                               | <ul style="list-style-type: none"> <li>- Licenses</li> </ul>                                                                                                     |

## 8. PROCESSING OF PERSONAL INFORMATION

### 8.1 Purpose of Processing Personal Information

This PAIA Manual has been put in place to ensure that Independent Trustee Services complies with the Act and make sure people are empowered and educated to understand their rights in terms of the Act. This Manual is also in place to foster a culture of transparency and accountability by giving effect to 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.

This right is however limited, based on Section 9 of the Act. These limitations are 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.

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

| <b>Categories of Data Subjects</b> | <b>Personal Information that may be processed</b>                                           |
|------------------------------------|---------------------------------------------------------------------------------------------|
| Customers / Clients                | name, address, registration numbers or identity numbers, employment status and bank details |
| Service Providers                  | names, registration number, vat numbers, address, trade secrets and bank details            |
| Employees                          | address, qualifications, criminal record, identification, gender and race                   |

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

| <b>Category of personal information</b>            | <b>Recipients or Categories of Recipients to whom the personal information may be supplied</b> |
|----------------------------------------------------|------------------------------------------------------------------------------------------------|
| Identity number and names, for criminal checks     | South African Police Services                                                                  |
| Qualifications, for qualification verifications    | South African Qualifications Authority                                                         |
| Credit and payment history, for credit information | Credit Bureaus                                                                                 |
| Race, for B-BBEE                                   | Financial Sector Transformation Council                                                        |
| Gender, for B-BBEE                                 | Financial Sector Transformation Council                                                        |

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

Independent Trustee Services does not store any information in other countries.

## **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**

Independent Trustee Services is committed to enforcing the necessary security measures to ensure the confidentiality, integrity and availability of information. Independent Trustee Services implements access control measures to restrict access to information to authorised individuals only. This is done through passwords and two-factor authentication.

We have also put in place a number of physical, electronic, and other security measures to protect the security, confidentiality and integrity of the personal information that we hold. Our employees and our contracted service providers are bound by internal information security policies and must process information securely. We regularly monitor and review our compliance with internal policies and industry best practice.

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

9.1 A copy of the Manual is available-

9.1.1 on [www.independenttrusteeservices.co.za](http://www.independenttrusteeservices.co.za)

9.1.2 head office of the Independent Trustee Services for public inspection during normal business hours;

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

9.1.4 to the Information Regulator upon request.

9.2 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 head of Independent Trustee Services will on a regular basis update this manual.

*Issued by*

*Henry Nico Dul*

*Managing Director*