**BAIRD FINANCIAL SERVICES**



PAIA MANUAL

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

**DATE OF COMPILATION: 01/10/2021**

**DATE OF REVISION: 01/10/2021**

# LIST OF ACRONYMS AND ABBREVIATIONS

* 1. **“CEO”** Chief Executive Officer
  2. **“DIO”** Deputy Information Officer;
  3. **“IO“** Information Officer;
  4. **“Minister”** Minister of Justice and Correctional Services;
  5. **“PAIA”** Promotion of Access to Information Act No. 2 of 2000( as

Amended;

* 1. **“POPIA”** Protection of Personal Information Act No.4 of 2013;
  2. **“Regulator”** Information Regulator; and
  3. **“Republic”** Republic of South Africa

# PURPOSE OF PAIA MANUAL

This PAIA Manual is useful for the public to-

* 1. check the categories of records held by a body which are available without a person having to submit a formal PAIA request;
  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;
  3. know the description of the records of the body which are available in accordance with any other legislation;
  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;
  5. know the description of the guide on how to use PAIA, as updated by the Regulator and how to obtain access to it;
  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;
  7. know the description of the categories of data subjects and of the information or categories of information relating thereto;
  8. know the recipients or categories of recipients to whom the personal information may be supplied;
  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
  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.

# KEY CONTACT DETAILS FOR ACCESS TO INFORMATION OF BAIRD FINANCIAL SERVICES

* 1. **Chief Information Officer**

Name: DARRYN QUENTIN BAIRD

Tel: (016) 349 7860

Email: DARRYN@BAIRDFIN.CO.ZA

Fax number: NONE

* 1. **Deputy Information Officer***.*

Name: HANLI BAIRD

Tel: 0829281060

Email: HANLI@BAIRDFIN.CO.ZA

Fax Number: NONE

* 1. **Access to information general contacts**

Email: HANLI@BAIRDFIN.CO.ZA

* 1. **National or Head Office**

Postal Address: PO BOX 1145

HEIDELBERG, 1438

Physical Address: 44A UECKERMANN STREET

HEIDELBERG, 1438

Telephone: (016) 3496870

Email: OFFICE@BAIRDFIN.CO.ZA

Website: WWW.BAIRDFIN.CO.ZA

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

* 1. The Regulator has, in terms of section 10(1) of PAIA, as amended, updated and made available the revised Guideon 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.
  2. The Guide is available in each of the official languages and in braille.
  3. The aforesaid Guide contains the description of-
     1. the objects of PAIA and POPIA;
     2. the postal and street address, phone and fax number and, if available, electronic mail address of-
        1. the Information Officer of every public body, and
        2. every Deputy Information Officer of every public and private body designated in terms of section 17(1) of PAIA[[1]](#footnote-1) and section 56 of POPIA[[2]](#footnote-2);
     3. the manner and form of a request for-
        1. access to a record of a public body contemplated in section 11[[3]](#footnote-3); and
        2. access to a record of a private body contemplated in section 50[[4]](#footnote-4);
     4. the assistance available from the IO of a public body in terms of PAIA and POPIA;
     5. the assistance available from the Regulator in terms of PAIA and POPIA;
     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-
        1. an internal appeal;
        2. a complaint to the Regulator; and
        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;
     7. the provisions of sections 14[[5]](#footnote-5) and 51[[6]](#footnote-6) requiring a public body and private body, respectively, to compile a manual, and how to obtain access to a manual;
     8. the provisions of sections 15[[7]](#footnote-7) and 52[[8]](#footnote-8) providing for the voluntary disclosure of categories of records by a public body and private body, respectively;
     9. The regulations made in terms of section 92[[9]](#footnote-9).
  4. Members of the public can inspect or make copies of the Guide from the offices of the public and private bodies, including the office of the Regulator, during normal working hours.
  5. The Guide can also be obtained-
     1. upon request to the Information Officer;
     2. from the website of the Regulator (<https://www.justice.gov.za/inforeg/>).
  6. A copy of the Guide is also available in the following two official languages, for public inspection during normal office hours- Afrikaans and English

1. **CATEGORIES OF RECORDS OF BAIRD FINANCIAL SERVICES WHICH ARE AVAILABLE WITHOUT A PERSON HAVING TO REQUEST ACCESS**

*NB: Please specify the categories of records held by the body which are available without a person having to request access by completing Form C, types of the records and how the records can be accessed. These are mostly records that maybe available on the website and a person may download or request telephonically or by sending an email or a letter.*

|  |  |  |
| --- | --- | --- |
| **Category** **of records** | **Types of the Record** | Available upon request |
| Code of conduct |  | x |
| Conflict of Interest |  | x |
| Complaints policy |  | x |
| Treating customers fairly |  | x |
| Risk Management Policy |  | x |
| Business plan |  | x |
| Operational Manaul |  | x |

# DESCRIPTION OF THE RECORDS OF BAIRD FINANCIAL SERVICES WHICH ARE AVAILABLE IN ACCORDANCE WITH ANY OTHER LEGISLATION

|  |  |
| --- | --- |
| **Category** **of Records** | **Applicable Legislation** |
| Memorandum of incorporation | Companies Act 71 of 2008 |
| PAIA Manual | Promotion of Access to Information Act 2 of 2000 |
| Policy POPIA | * section 14 of the [Constitution of the Republic of South Africa](http://www.justice.gov.za/legislation/constitution/SAConstitution-web-eng.pdf), 1996, provides that everyone has the right to privacy; |
|  |  |

# DESCRIPTION OF THE SUBJECTS ON WHICH THE BODY HOLDS RECORDS AND CATEGORIES OF RECORDS HELD ON EACH SUBJECT BY BAIRD FINANCIAL SERVICES

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# *NB: Describe the subjects (i.e. Finance, SCM or HR), in respect of which the body holds records and the categories of records held on each subject. Below is an example of the table that can be used. .*

| **Subjects** **on which the body holds records** | **Categories of records** |
| --- | --- |
| Strategic Documents, Plans, Proposals | Annual Reports, Strategic Plan, Annual Performance Plan. |
| Human Resources | * Employees records |
| Financial statements | * Finances |
| Operations manual | * Strategic |
| RMP | * Strategic |
|  |  |

# PROCESSING OF PERSONAL INFORMATION

* 1. **Purpose of Processing** **Personal Information**

*The sole purpose for handling personal information at Baird financial services, is for the clients benefit. We need the information to do a FNA and determine the clients needs in regards to giving them the best possible advice, in their specific circumstances.*

* 1. **Description of the categories of Data Subjects and of the information or categories of information relating thereto**

***NB:*** *Specify the categories of data subjects in respect of whom the body processes personal information and the nature or categories of the personal information being processed.*

| **Categories of Data Subjects** | **Personal Information that may be processed** |
| --- | --- |
| Customers / Clients | name, address, registration numbers or identity numbers, employment status and bank details |
| Service Providers | Hollard, Sanlam, Old Mutual, Momentum, Satrix, Western National, PPS, All About Brokers, Santam , Mutual & Federal, Quicksure, IUM, Allan Gray, Glacier (Sanlam), Discovery and Liberty Life.  Please take noteThese service providers details are available on request |
| Employees | address, qualifications, gender and race |

* 1. **The recipients or categories of recipients to whom the personal information may be supplied**

***NB:*** *Specify the person or category of persons to whom the body may disseminate personal information. Below is an example of the category of personal information which may be disseminated and the recipient or category of recipients of the personal information.*

| **Category of personal information** | **Recipients or Categories of Recipients** **to whom the personal information may be supplied** |
| --- | --- |
| 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 |

* 1. **Planned transborder flows of personal information**

*Short term - Loyds*

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

*NB: Specify the nature of the security safeguards to be implemented or under implementation to ensure the confidentiality and integrity of the personal information under the care of the body. This may, for example, include Data Encryption; Anti-virus and Anti-malware Solutions.*

* Personal information flow and mitigation policy of Baird Financial services can be accessed on request.

1. **AVAILABILITY OF THE MANUAL**
   1. A copy of the Manual is available-
      1. head office of the BAIRD FINANCIAL SERVICES for public inspection during normal business hours.
      2. to the Information Regulator upon request.
2. **UPDATING OF THE MANUAL**

The head of BAIRD FINANCIAL SERVICES will on a regular basis update this manual.

1. 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.*  [↑](#footnote-ref-1)
2. *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.* [↑](#footnote-ref-2)
3. *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.* [↑](#footnote-ref-3)
4. *Section 50(1) of PAIA- A requester must be given access to any record of a private body if-*

   *that record is required for the exercise or protection of any rights;*

   *that person complies with 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.* [↑](#footnote-ref-4)
5. *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.* [↑](#footnote-ref-5)
6. *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.* [↑](#footnote-ref-6)
7. *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* [↑](#footnote-ref-7)
8. *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* [↑](#footnote-ref-8)
9. *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.”* [↑](#footnote-ref-9)