



Financial Planning
Institute of Southern Africa
SETTING THE STANDARD

PROMOTION OF ACCESS TO INFORMATION ACT, ACT 2 OF 2000 (The Act) SECTION 51 MANUAL FOR THE FINANCIAL PLANNING INSTITUTE OF SOUTHERN AFRICA (FPI)

Introduction to the FPI

The Financial Planning Institute of Southern Africa, formed in 1981, is the leading independent professional body for financial planners in South Africa. The FPI is recognised internationally and is South Africa's member on the International Financial Planning Standard Board Limited (FPSB).

The FPI provide an independent quality assurance process, ensuring that appropriate educational standards are maintained for its members and also ensure that its members comply with the ethical and professional standards required for financial planners in South Africa.

Persons who are members of the association are recognised as having certain professional qualifications, certain standards of professionalism and uncompromising commitment to competent and ethical standards. Therefore, paying members of the FPI as well as their clients benefit from the level of assurance that is provided through the standards and certifications of the FPI.

Particulars in terms of section 51

1. Contact Details [Section 51(1)(a)]

1.1. The Chief Executive Officer of the FPI has duly authorised **the Management Services Manager** to deal with all matters in connection with requests for information in terms of the Promotion of Access to Information Act, 2 of 2000.

Postal address:	PO Box 6493 Weltevredenpark 1715
Street address:	Palms Office Court, Block A, Ground Floor Kudu Avenue Allens Nek 1737
Telephone:	+27 11 470 6037
Facsimile:	086 633 7786
E-mail:	batwa@fpimail.co.za

1.2. For the sake of expediency **all requests relating to examinations only** may be addressed to **the Head of Certification and Membership Services:**

Telephone:	+27 11 470 6000
Facsimile:	086 636 0288
E-mail:	anthony@fpimail.co.za

2. The guide as described in section 10. [Section 51(1)(b)]

The guide will be available from the Human Rights Commission. Please direct any queries to:

The Human Rights Commission:

Postal address: Private Bag 2700
Houghton
2041
Telephone: +27 11 484 8300
Facsimile: +27 11 484 0582
Website: www.sahrc.org.za

2. Categories of records of the FPI which are available without a person having to request access in terms of the act in terms of section 52(2). [Section 51(1)(c)]

No notice of such records has been made to the Minister.

4. Records available in terms of any other legislation. [Section 51(1)(d)]

Records are kept in accordance with the following legislation:

- Pension Funds Act, 24 of 1956
- Trademarks Act, 194 of 1993
- Basic Conditions of Employment Act, 75 of 1997
- Companies Act, 61 of 1973
- Employment Equity Act, 55 of 1998
- Labour Relations Act, 66 of 1995
- Electronic Communications and Transactions Act, 25 of 2002

Any other legislation that may directly or indirectly be relevant

5. How to request a record, a description of the subjects of the records held by the FPI and the categories in which these subjects are classed. [Section 51(1)(e)]

5.1 How to request a record [See *pro forma* request form in Section 9]

- Section 53 prescribes that the requester must use the prescribed form to make the request for access to a record. This must be made to the head of the private body, or his duly authorised deputy. This request must be made to the address, fax number or electronic mail address of the body concerned.
- The requester must provide sufficient detail on the request form to enable the head of the private body to identify the record and the requester. The requester should also indicate which form of access is required. The requester should also indicate if he or she wishes to be informed in any other manner and state the necessary particulars to be so informed.
- The requester must identify the right that he or she is seeking to exercise or protect and provide an explanation of why the requested record is required for the exercise or protection of that right.
- If a request is made on behalf of a person, the requester must then submit proof of the capacity in which the requester is making the request to the satisfaction of the head of the private body.
- The head of the private body must notify the requester (other than a personal requester) by notice, requiring the requester to pay the prescribed fee (if any) before further processing the request.

- The fee for private bodies is R50. The requester may lodge an internal appeal or an application to the court against the tender or payment of the request fee.
- If the request is granted then a further access fee must be paid for the reproduction and the search and preparation, and for any time that has exceeded the prescribed hours to search and prepare the record for disclosure.

The head of the private body will then make a decision on the request and notify the requester in the required form.

5.2 Categories of records held by the FPI

5.2.1 Web page and library records

The web page, www.fpi.co.za, is accessible to anyone who has access to the internet. The FPI's website has the following categories:

About us

History
 Mission and vision
 Our people
 International Affiliation
 Corporate Governance
 Awards
 Advertise with us
 Careers at FPI
 FAQ

Consumers

About financial planning
 Find a financial planner
 Verify a member
 Report Misconduct
 Consumer initiatives
 Your rights and responsibilities
 FAQ

Members

Member log
 Member benefits
 How to become a member
 Continued Professional Development (CPD)
 Use of FPI designations
 Renew my membership
 Volunteering
 Fees and forms
 FAQ

Online shopping

CFP[®] pins
 RFP[™] online material
 Ties
 Events
 Regulatory Exams
 Examinations
 Webinars

Resource Centre

Technical Committee
 Regional Committee
 Discussion Forum
 FPI Events Calendar
 Industry Events Calendar
 Products and Services

FAQ

Contact us

Physical address

Postal address

Map

GPS co-ordinates

Telephone and facsimile numbers

Accounts email address

General email address

Membership email address

5.2.2 Other records

• Operational information

This information can be defined as information needed in the day to day running of the organisation and is generally of little to no use to persons outside the organisation. (Examples of such information are: requisitions, internal telephone lists, address lists, company policies, directives, contracts, employee records and general “house-keeping” information).

• Communications

• Circulars

• Membership files

• Disciplinary files

• Examination scripts

• The FPI database (electronic)

• Committee minutes

• Incorporation documents of the FPI i.e. Articles of Association and Regulations

• Financial records, including accounting records and auditor’s reports

6. Other information as may be prescribed [Section 51(1)(f)]

Not applicable.

7. Availability of the manual [Section 51(3)]

This manual is available from the South African Human Rights Commission (see details above), the FPI (see details above), and in electronic format at www.fpi.co.za

8. Fees in respect of private bodies

1. 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.
2. The fees for reproduction referred to in regulation 11(1) are as follows:
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 - (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:
 - (i) Floppy disc 7,50
 - (ii) Compact disc 70,00

- (d) (i) For a transcription of visual images, for an A4 size page or part thereof 40,00
- (d) (ii) 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
- (e) (ii) For a copy of an audio record 30,00

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

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

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- (1) (a) For every photocopy of an A4 size page or part thereof 1,10
- (1) (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
- (1) (c) For a copy in a computer-readable form on:
 - (i) Floppy disc 7,50
 - (ii) Compact disc 70,00
- (d) (i) For a transcription of visual images, for an A4 size page or part thereof 40,00
- (d) (ii) 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
- (e) (ii) For a copy of an audio record 30,00
- (f) To search for and prepare the record for disclosure, 30,00 for each hour or part of an hour reasonably required for such search and preparation.

(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.

(3) The actual postage is payable when a copy of a record must be posted to a requester.

REQUEST OF ACCESS TO RECORD OF A PRIVATE BODY

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

(Act 2 of 2000))

[Regulation 10]

A. Particulars of the private body

The Head:

B. Particulars of the person requesting access to the record

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

(b) Furnish an address and/or fax number in the Republic to which information must be sent.

(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 the person on whose behalf the 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: _____

C. 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.***

1. Description of record or relevant part of the record: _____

2. Reference number, if applicable: _____

3. Any further particulars of record: _____

D. 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 therefore*

Reason for exemption from payment of fees: _____

E. Form of access to record

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: _____ _____
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Mark the appropriate box with an "X".

NOTES:

- (a) Your indication as to the required form of access depends 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 partly 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 images*
3. If record consists of recorded words or information which can be reproduced in sound -				
	Listen to 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)

<p>* If you requested a copy or transcription of a record (above), do you wish the copy or transcription to be posted to you?</p> <p>A postal fee is payable.</p>	YES	NO
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F. 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.***

1. Indicate which right is to be exercised or protected: _____

2. Explain why the requested record is required for the exercising or protection of the
aforementioned right: _____

G. Notice of decision regarding request for access

You will be notified in writing whether your request has been approved or 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**