



POPI Policy in terms of the
Protection of Personal Information Act, No 4 of 2013

For

Linda Uhlmann and Associates

FSP no.: 43778

1. OBJECTIVE:

The objective of this policy is to protect Linda Uhlmann and Associates' information from threats, whether internal or external, deliberate or accidental, to ensure long term and sustainable business continuation. This policy establishes a general standard on the appropriate protection of personal information within the FSP. It provides principles regarding the right of individuals to privacy and to reasonable safeguards of their personal information.

2. SCOPE:

This policy applies to the key individuals, representatives and staff of the FSP. The key individual is ultimately responsible for ensuring that information security is properly managed by:

- the development and annual review of this policy.
- ensuring this policy is supported by appropriate documentation, including procedural instructions.
- ensuring that documentation is relevant and updated accordingly.

The key individual, representatives and staff are responsible for adhering to this policy. They must report any security breaches or incidents to the Information Officer. The external individual(s) who is (are) contracted to handle the information technology of the FSP must adhere to the same information security as that of the FSP and will confirm by separate agreement that they have such security measures in place in respect of processing of personal information.

3. KEY PRINCIPLES:

The key individual, representative and staff member of the FSP is committed to the following principles:

- They will comply with all applicable regulatory requirements regarding the collection and processing of personal information.
- They will collect personal information only by lawful and fair means and to process personal information in a manner compatible with the purpose for which it was collected.
- Operating procedures governing the collection and processing of personal information will be transparent.
- Where required by regulatory provisions, to inform individuals when personal information is collected about them.
- Where required by regulatory provisions or guidelines, to obtain individuals' consent to collect and/or process their personal information
- To strive to keep personal information accurate, complete and up to date and reliable for their intended use.
- To develop reasonable security safeguards against risks such as unauthorized access, loss and destruction.
- To develop reasonable security safeguards against risks such as unauthorized use, amendment or disclosure of personal information.
- To provide individuals with the opportunity to access the personal information relating to them and (where applicable) to comply with requests to correct, amend or delete personal information (Annexure A Personal Information Request Form)
- To share personal information, such as permitting access, transmission or publication, with third parties only with a reasonable assurance that the recipient has suitable privacy and security protection controls in place regarding personal information "POPI Notice and Consent Form" (Annexure C).
- To treat sensitive personal information that is collected and/or processed with the highest of care as prescribed by regulation.

4. REQUEST TO ACCESS PERSONAL INFORMATION PROCEDURE:

Data subjects have the right to:

- Request what personal information the organisation holds about them and why.
- Request access to their personal information.
- Be informed how to keep their personal information up to date.
- “Access to information requests” can be made by email (addressed to the Information Officer). The Information Officer will provide the data subject with a “Personal Information Request Form” (Annexure A) - the form is also available on the FSP’s website: www.lindauhlmann.co.za under the “Contact Us” tab.

Once the completed form has been received, the Information Officer will verify the identity of the data subject prior to handing over any personal information. All requests will be processed and considered against the organisation’s PAIA Policy.

The Information Officer will process all requests within a reasonable time.

5. POPI COMPLAINTS PROCEDURE

Data subjects have the right to complain in instances where any of their rights under POPIA have been infringed upon. The organisation takes all complaints very seriously and will address all POPI related complaints in accordance with the following procedure:

- POPI complaints must be submitted to the organisation in writing. Where so required, the Information Officer will provide the data subject with a “POPI Complaint Form” (Annexure B).
- The form is also available on the FSP’s website: www.lindauhlmann.co.za under the “Contact Us” tab.
- Where the complaint has been received by any person other than the Information Officer, that person will ensure that the full details of the complaint reach the Information Officer within 1 working day.
- The Information Officer will provide the complainant with a written acknowledgement of receipt of the complaint within 2 working days.
- The Information Officer will carefully consider the complaint and address the complainant’s concerns in an amicable manner. In considering the complaint, the Information Officer will endeavour to resolve the complaint in a fair manner and in accordance with the principles outlined in POPIA.
- The Information Officer must also determine whether the complaint relates to an error or breach of confidentiality that has occurred and which may have a wider impact on the organisation’s data subjects.
- Where the Information Officer has reason to believe that the personal information of data subjects has been accessed or acquired by an unauthorised person, the Information Officer will consult with the organisation’s governing body where after the affected data subjects and the Information Regulator will be informed of this breach.
- The Information Officer will revert to the complainant with a proposed solution with the option of escalating the complaint to the organisation’s governing body within 7 working days of receipt of the complaint. In all instances, the organisation will provide reasons for any decisions taken and communicate any anticipated deviation from the specified timelines.
- The Information Officer’s response to the data subject may comprise any of the following:
 - A suggested remedy for the complaint,
 - A dismissal of the complaint and the reasons as to why it was dismissed,
 - An apology (if applicable) and any disciplinary action that has been taken against any employees involved.

Where the data subject is not satisfied with the Information Officer's suggested remedies, the data subject has the right to complain to the Information Regulator at the following address:

The Information Regulator: Ms Mmamoroke Mphelo
Physical Address: SALU Building, 316 Thabo Sehume Street, Pretoria
Email: infoereg@justice.gov.za
Website: <http://www.justice.gov.za/infoereg/index.html>

The Information Officer will review the complaints process to assess the effectiveness of the procedure on a periodic basis and to improve the procedure where it is found wanting. The reason for any complaints will also be reviewed to ensure the avoidance of occurrences giving rise to POPI related complaints.

6. MONITORING:

The Information Officer of the FSP is responsible for administering and overseeing the implementation of this policy. Where applicable, supporting guidelines, standard operating procedures, notices, consents and appropriate related documents and/or processes will also be managed by the Information Officer.

The key individuals, representatives and staff of the FSP are trained according to their functions in line with the regulatory requirements, policies and guidelines that govern the protection of personal information. As and when required, the FSP will conduct periodic reviews and audits to demonstrate compliance with privacy regulation, policy and guidelines.

7. OPERATING CONTROLS:

The FSP shall establish appropriate privacy standard operating controls that are consistent with this policy and regulatory requirements. This will include:

- information security systems.
- incident reporting to management.
- information security training and education.
- data backup.

8. INFORMATION OFFICER:

Name and Surname: Antoinette Uhlmann
Postal address: Postnet Suite 58, Private Bag x25 Lynnwood Ridge, 0040
Email: Antoinette@lindauhlmann.co.za
Telephone number: +27(0) 12 807 5755

9. IMPLIMENTATION:

This policy is implemented by the FSP and will be adhered to by the key individual, representatives and staff who are tasked with collecting and processing of personal information.

Non-compliance with this policy may result in disciplinary action and possible termination of employment or mandate, where applicable.

ANNEXURE B – POPI COMPLAINT FORM

We are committed to safeguarding your privacy and the confidentiality of your information and are bound by the Protection of Personal Information Act.

Please submit the completed form to the **Information Officer**:

Name and Surname: Antoinette Uhlmann
Contact number: +27(0) 12 807 5755
Email: Antoinette@lindauhlmann.co.za

1. Particulars of the Complainant

Name and Surname	
Identity Number	
Postal Address	
Contact Number	
Email	

2. Details of the Complaint:

3. Desired Outcome:

Where we are unable to resolve your complaint, to your satisfaction, you have the right to complain to the Regulator:

The Information Regulator: Ms Mmamoroke Mphelo
Physical Address: SALU Building, 316 Thabo Sehume Street, Pretoria
Email: infoereg@justice.gov.za
Website: <http://www.justice.gov.za/infoereg/index.html>

Signature _____ Signed at _____ on the _____ of _____ 20 ____.

ANNEXURE C – POPI NOTICE AND CONSENT FORM

Your privacy is just as important to us than to you. We are committed to safeguarding and processing your information in a lawful manner.

If for any reason you think that your information is not processed in a correct manner, or that your information is being used for a purpose other than that for what it was originally intended, you can contact **our Information Officer** at:

Name and Surname: Antoinette Uhlmann
Contact number: +27(0) 12 807 5755
Email: Antoinette@lindauhlmann.co.za

You can request access to the information we hold about you at any time and if you think that we have outdated information, please request us to update or correct it.

Purpose for Processing your Information

We collect, hold, use and disclose your personal information mainly to provide you with access to the services and products that we provide. We will only process your information for a purpose you would reasonably expect, including:

- Providing you with advice, products and services that suit your needs as requested
- Verifying your identity and to conduct credit reference searches
- To issue, administer and manage your insurance policies
- To process insurance claims and to take recovery action
- To notify you of new products or developments that may benefit you
- To confirm, verify and update your details
- To comply with any legal and regulatory requirements

Some of your information that we hold may include, your first and last name, email address, a home, postal or other physical address, other contact information, your title, birth date, gender, occupation, qualifications, past employment, residency status, your investments, assets, liabilities, insurance, income, expenditure, family history, medical information and your banking details.

Consent to Disclose and Share your Information

We may need to share your information to provide advice, reports, analyses, products or services that you have requested.

Where we share your information, we will take all precautions to ensure that the third party will treat your information with the same level of protection as required by us. Your information may be hosted on servers managed by a third-party service provider, which may be located outside of South Africa.

1. Your personal detail:

Name and Surname	
Identity Number	
Postal Address	
Contact Number	
Email	

2. I herewith authorise and consent to the organisation sharing my personal information with the following persons and/or organizations:

Signature _____ Signed at _____ on the _____ of _____ 20 ____.



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www.lindauhlmann.co.za