



**INFORMATION
REGULATOR
(SOUTH AFRICA)**

*Ensuring protection of your personal information
and effective access to information*

STRATEGIC PLAN

FOR

2021/22

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Foreword by the Chairperson

The year 2021 is a historic year for the country for number of reasons. Firstly, the country is celebrating 25 years of the adoption of the Constitution of the Republic of South Africa. Secondly, the Protection of Personal Information Act 4 of 2013 (POPIA) will become fully operational on 1 July 2021 when the enforcement powers of the Information Regulator (Regulator) come into effect. Thirdly, the amendment of the Promotion of Access to Information Act 2 of 2000 (PAIA) by POPIA will bring about two important changes. These are the transfer of the PAIA function from the South African Human Rights Commission (SAHRC), which has been the custodian of PAIA for almost two (2) decades, to the Regulator and the coming into effect of the additional functions of the Regulator which will enable it to enforce non-compliance with POPIA.

The coming into effect of the enforcement powers of the Regulator is causing apprehension amongst public and private bodies, particularly in view of the complexities of POPIA and the sanctions which non-compliance with its provisions and that of PAIA attract. In an attempt to alleviate this apprehension, we have been working tirelessly to ensure preparedness for 1 July 2021. In this regard, we have held numerous consultative workshops and information sessions with stakeholders in the public and private sectors to assist them with POPIA compliance requirements. We have also engaged robustly with the public through the media to provide progress on the work of the Regulator and promote our efforts.

In preparation for the 1 July 2021, we have adopted and published a number of important documents which will enable public and private bodies to comply with POPIA. These include, the Guidelines for the development of Codes of Conduct issued in terms of section 65 of POPIA, which were published in the Gazette on 1 March 2020 and the Guidance Note on Prior Authorisation provided for in sections 57-59 of POPIA. In addition, the Regulator has published a notice in the Gazette to bring into operation Regulations 4 and 5 of the Regulations which the Regulator made in terms of section 112(2) of POPIA on 5 May and 1 March 2021 respectively. The rest of the Regulations will come into effect on 1 July 2021.

We appreciate the budget increase for the Regulator by the Minister of Finance. The increase will assist in ensuring the recruitment of a skilled work force to carry out the complex functions of the Regulator effectively and efficiently. In this regard, we are making steady progress in filling the positions in the third phase of our organisational structure. The organisation is in the process of relocating its offices in order to accommodate the growth of the Regulator. We will continue to share our new offices with the SAHRC as part of our cost containment strategy.

The issue of the listing of the Regulator in the Public Finance Management Act 1 of 1999 (PFMA) remains unresolved. We have identified this as a risk which affects the independence of the Regulator and its efficiency due to the continued use of the policies and systems of the Department of Justice and Constitutional Development. (DoJ& CD). To mitigate this risk, we are in the process of developing a 'separation strategy' which will make recommendations to the Minister of Finance on the listing of the Regulator in the PFMA. We are counting on the support of Parliament on this issue, which goes to the heart of the independence of the Regulator.

The appointment of a part time Member of the Regulator in the fourth quarter is welcomed and has increased the much needed capacity in the membership of the Regulator. The term of the Chairperson and three (3) Members of the Regulator is coming to the end towards the end of this year. On behalf of my colleagues and on my behalf, I wish to thank the National Assembly and the President for affording us the opportunity to establish the first institution for the protection of personal information in our country. This is the opportunity that we shall forever cherish. We implore the National Assembly to begin the process of the recruitment of new Members as soon as possible.

We wish to express our gratitude to the DoJ & CD for continuing to hold our hand as we establish the Regulator, particularly given the broad mandate and the huge challenges that the department is faced with.

Finally, we want to assure South Africans of our commitment to realise the vision of the Regulator of being a world class institution in the protection of personal information and the promotion of access to information.

A handwritten signature in black ink, reading "P. Tlakula.", enclosed in a light grey rectangular box.

Adv. Pansy Tlakula

Chairperson

Statement by the Accounting Officer

This Annual Performance Plan (APP) for the 2021/22 financial year serves as the implementation plan for the Strategic Plan that covers the 2021/22 financial year. The first five (5) year term of the Regulator is coming to an end on 30 November 2021. It is for this reason that the strategic plan and the APP is for one financial year only, in order to allow for five year planning of the second term. The Regulator will during the 2021/22 financial year continue with the fulfilment of its dual mandate, which is encapsulated in sections 14 (right to privacy) and 32 (right to access to information) in the Constitution of the Republic of South Africa Act No.108 of 1996 (Constitution).

The APP sets out a detailed plan which will guide the Regulator in its pursuit of the two (2) outcomes that have been identified for the MTSF period, namely: personal information is promoted and protected and access to information is promoted. In order to achieve these outcomes, the focus of the Regulator during this financial year will be on the implementation of the priority areas that are listed below:

- The coming in to effect of POPIA by 01 July 2021.
- The PAIA functions to be transferred from the South African Human Rights Commission to the Regulator by the 01 July 2021.

In order to support the achievement of the above priority areas, more funding was appropriated to fill vacancies for phase three (3) of the organisational structure. The financial resources appropriated to the Regulator will be used to support the identified priority areas and ensure the achievement of all the outputs in this plan.

The Accounting Officer working together with heads of divisions will endeavour to successfully achieve the outputs as set out in this plan.



Mr. Mosalanyane Mosala
Accounting Officer

Official Sign-Off

It is hereby certified that this Strategic Plan:

- Was developed by the Management of the Information Regulator (Regulator) under the guidance of the Chairperson and Members;
- Takes into account all relevant policies, legislation and other mandates which the Regulator is responsible for; and
- Accurately reflects the Impact, Outcomes and Outputs which the Regulator will endeavour to achieve over the period 2021 to 2022.

Mr. Prakash Narismulu
Chief Financial Officer

Signature



Mr. Mosalanyane Mosala
Accounting Officer

Signature



Adv. Pansy Tlakula
Chairperson

Signature



PART A: MANDATE

1. Constitutional Mandate

- 1.1. The Regulator was established to ensure respect for and to protect, enforce and fulfil the right to privacy and the right of access to information.

2. Legislative Mandate

2.1. Core functions in terms of POPIA

2.1.1. To provide education by:

- a) promoting an understanding and acceptance of the lawful processing of personal information;
- b) undertaking educational programmes;
- c) making public statements; and
- d) providing advice.

2.1.2. To monitor and enforce compliance by:

- a) public and private bodies;
- b) undertaking research and monitoring developments in information processing and computer technology
- c) examining proposed legislation, subordinate legislation, and policies, and provide a report on the result of the examination to the Minister of Justice and Correctional Services (Minister) and to Parliament.
- d) reporting to Parliament on policy matters affecting the protection of personal information including the need for legislative, administrative or other measures to enhance the protection of personal information;
- e) conducting assessments in respect of the processing of personal information;
- f) monitoring the use of unique identifiers and report to Parliament;
- g) maintaining and publishing copies of the registers prescribed in POPIA; and
- h) examining proposed legislation that makes provision for the collection and disclosure of personal information and provide the report of the results of the examination to the Minister.

2.1.3. To consult with interested parties by:

- a) receiving and inviting representations;
- b) co-operating on a national and international basis with other bodies concerned with the protection of personal information; and
- c) acting as a mediator between opposing parties.

- 2.1.4. To handle complaints by:
 - a) receiving and investigating complaints;
 - b) gathering information;
 - c) attempting to resolve complaints through dispute resolution mechanisms; and
 - d) serving notices.

- 2.1.5. To conduct research on:
 - a) the desirability of acceptance of international instruments relating to the protection of personal information; and
 - b) any other matter that should be drawn to Parliament's attention.

- 2.1.6. In respect of codes of conduct to:
 - a) issue, amend or revoke codes of conduct;
 - b) make guidelines to assist bodies to develop or apply codes of conduct; and
 - c) consider determinations by adjudicators under approved codes of conduct.

- 2.1.7. To facilitate cross-border cooperation in the enforcement of the privacy laws.

- 2.2. Core functions in terms of PAIA
 - 2.2.1. In respect of complaints to:
 - a) consider a complaint after the internal appeal procedures have been exhausted; and
 - b) receive written complaints or to provide assistance to a person who wishes to make a complaint in writing.

 - 2.2.2. In respect of investigations to:
 - a) investigate complaints and in the course of an investigation serve an information notice on the Information Officer (IO) or head of a private body;
 - b) refer a complaint to the Enforcement Committee;
 - c) decide to take no action on the complaint;
 - d) attempt to settle a complaint through conciliation; and
 - e) issue enforcement notices after considering the recommendation of the Enforcement Committee.

 - 2.2.3. To issue notices.

 - 2.2.4. To issue enforcement notices after considering the recommendations of the Enforcement Committee.

 - 2.2.5. To make assessments whether public and private bodies comply with the provision of PAIA.

- 2.2.6. In respect of additional functions to:
- a) compile and make available a guide on the usage of PAIA;
 - b) where possible, develop and conduct educational programmes in particular for disadvantaged communities;
 - c) identify gaps in PAIA or any other laws and make recommendations to reform or amend PAIA or any other laws;
 - d) make recommendations for procedures on how private and public bodies make information electronically available;
 - e) monitor implementation of PAIA;
 - f) if possible, assist any person requesting information;
 - g) train Information Officers (IO) and Deputy Information Officers (DIO);
 - h) recommend to a public or private body to make changes in the manner in which it administers PAIA;
 - i) consult with and receive reports from public and private bodies on problems encountered in complying with PAIA;
 - j) obtain advice from, consult with, and consider proposals or recommendations from parties in connection with the Regulator's functions;
 - k) request the Public Protector (PP) to submit to the Regulator a report on the number of complaints processed relating to PAIA and the nature and outcome of those complaints; and
 - l) enquire into any matter including legislation, common law, practice and procedure related to PAIA.

- 2.2.7. A private body should submit information about requests for access to its records and include this information in its Annual Report, upon request by the Regulator.

3. Update to the Institutional Policies and Strategies Over the Five-Year Planning Period

The President issued a proclamation on the coming into effect of the remaining sections of POPIA on 22 June 2020. A policy and strategic framework to implement these sections is being developed by the Regulator. The Regulator has published the Guidelines to Develop Codes of Conduct, Checklist and a Complaints Standard to enable the development of codes of conduct.

The Information Regulator has given notice in terms of Section 112(2) of the Protection of Personal Information Act, 2013 (Act No. 4 of 2013), of the coming into effect of Regulation 4 with effect from the 1 May 2021, Regulation 5 on 1 March 2021 and the residual Regulations on 1 July 2021 of the remaining Regulations.

POPIA also empowers the Regulator to make Regulations and to:

“issue, from time to time, codes of conduct, amend codes and to revoke codes of conduct and make guidelines to assist bodies to develop codes of conduct or to apply codes of conduct”.

The Regulator is empowered in terms of POPIA to conduct research and to report to Parliament:

“from time to time on the desirability of the acceptance, by South Africa, of any international instrument relating to the protection of the personal information of a data subject”.

4. Relevant Court Cases

- My Vote Counts NPC v President of the Republic of South Africa and Others 2018 (2) SACR 644 (WCC)
- My Vote Counts NPC v Minister of Justice and Correctional Services and Another 2018 (8) BCLR 893 (CC); 2018 (5) SA 380 (CC)
- President of the Republic of South Africa v The Public Protector and Others 2018 (2) SA 100 (GP); [2018] 1 All SA 800 (GP); 2018 (5) BCLR 609 (GP)
- Black Sash Trust v Minister of Social Development And Others (Freedom Under Law Intervening) 2017 (3) SA 335 (CC); 2018 (12) BCLR 1472 (CC).
- Arena Holdings (Pty) Ltd. T/A Financial Mail and Others v South African Revenue Services and Others case number 88359/19
- Economic Freedom Fighters v Matamela Cyril Ramaphosa And Others case number 36809/20

PART B: STRATEGIC FOCUS

5. Vision, Mission and Values

5.1. Vision

A world-class institution in the protection of personal information and the promotion of access to information.

5.2. Mission

An independent institution which regulates the processing of personal information and the promotion of access to information in accordance with the Constitution and the law so as to protect the rights of everyone.

5.3. Values

- Transparency
- Accountability
- Integrity
- Excellence
- Impartiality
- Responsiveness

6. Updated Situational Analysis

The Regulator conducted a strategic planning review session with specific focus on the internal and external environments as follows:

6.1. External Environment

6.1.1. Opportunities

The Regulator was established at a critical time when there is an unprecedented retention of personal information in the digital space. This has resulted in a dire need to ensure the protection of personal information. Artificial Intelligence (AI) is intrinsically linked to the day to day living. Whilst the Regulator welcomes technological innovations, such innovations should comply with POPIA. The coming into effect of the remaining sections of POPIA will contribute towards building trust encouraging foreign and local investors to invest in the country thus boosting economic development.

The Regulator is a member of Regional and International bodies on the protection of personal information and access to information. The involvement of the Regulator in these bodies

provides it with the opportunity to share best practices with similar institutions globally. The Regulator is one of the three (3) authorities in Africa which have a dual mandate, namely the protection of personal information and the promotion of access to information. The full establishment of the Regulator will enable it to take the lead on the African Continent and will also serve as a benchmark for other countries that are still in the process of establishing regulatory bodies.

6.1.2. Threats

The Regulator not being listed and classified poses a risk of it losing its independence in term of section 39 of POPIA.

The COVID 19 outbreak forces organisations to upgrade their IT Strategies and cyber protection in order to maintain operational integrity. As the virus spread across the globe, data subjects turn to internet to search for latest information on the virus. Cyber criminals and hackers take advantage and use the Corona Virus as an enabler for their activities. This increases the Regulator's role in ensuring that personal information of the country's citizens is protected.

6.2. Internal Environment

6.2.1. Strengths

The Regulator is currently building its internal capacity which will ensure the delivery of its legislative mandate.

6.2.2. Weaknesses

Inability to acquire capabilities for functions which require scarce and critical skills poses a challenge to the Regulator. Furthermore administrative capabilities are constrained by the delay in separating from the Department Justice and Constitutional Development (DOJ&CD).

PART C: PERFORMANCE INFORMATION

1. Institutional Performance

1.1. Measuring the Impact

Impact Statement	Promotion and protection of personal information and the promotion of access to information
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1.2. Measuring Outcomes and Outputs

Outcome	Outcome Indicator	Baseline 2019/20	Performance Targets over the Medium Term Period				
			2020/21	2021/22	2022/23	2023/24	2024/25
1. Personal information promoted, protected and respected	Number of complaints received	271	300	400	500	600	700
	Percentage of stakeholders who are aware of the existence of the Regulator	Nil	Nil	Nil	5 % of sampled population	10 % of sampled population	10 % of sampled population
2. Access to information promoted.	Percentage improvement in the compliance with section 32 of PAIA	Not yet determined	Nil	Nil	10%	15%	25%

1.3. Explanation of Planned Performance over the Five Year Period

a) Contribution towards the National Development Plan (NDP)

The Regulator does not contribute directly towards any of the outcomes in the National Development Plan. However, it supports constitutional democracy through the protection and promotion of two (2) rights which are enshrined in sections 14 and 32 of the Constitution.

b) Rationale for the choice of the Outcome Indicators

The selected Outcome Indicators focus on the mandate of the Regulator which is derived from sections 14 (right to privacy) and 32 (right of access to information) of the Constitution. The Regulator intends to measure the volume of complaints received as a determinant that people are aware of their constitutional rights to privacy as it relates to the protection of personal information and of the existence of the Regulator.

With regard to the PAIA, the intention is to determine the level of improvement in compliance with the Act by both the public and private bodies. Compliance relates to the development and implementation of the Guide on how to use PAIA and POPIA.

(a) Explanation of enablers to achieve the targets

The followings targets will be set over the medium-term period in each of the outcomes

Outcome	Explanation of enablers to achieve targets
1. Personal information is promoted, protected and respected 2. Access to information promoted	<ul style="list-style-type: none">• The implementation of education and awareness programmes nationwide aimed at informing and empowering the people to protect their right to privacy, as it relates to the protection of personal information; and their right to access information.• Development and implementation of the Complaints Management System will allow the public to lodge complaints and violation of their right.• Conduct research relating to proposed legislation or proposed policy of government that may affect personal information of data subject and access to information.• The Legal strategy will enable the Regulator to carry out its mandate.• The development human capital, systems, structures and business process for efficient and effective organisational performance management.• The Budget allocation will be used to support the programmes of the regulator in an efficient and effective manner

2. Key Risks

Outcome	Key risk	Mitigation Action
1. Personal information promoted, protected and respected and Access to information	Delay in the listing of the Regulator	Develop and implement a Separation strategy

3. Public Entities reporting to the Regulator

Name of Public Entity	Mandate	Outcome	Current Annual Budget
Not Applicable			

4. PART D: TECHNICAL INDICATOR DESCRIPTIONS

Programme 1: Protection of Personal Information

Indicator Title	Percentage of complaints pre-investigated
Definition	This indicator measures the percentage of complaints which have been pre-investigated in terms of section 79 of POPIA
Source of data	Complaints Register
Method of Calculation / Assessment	The number of complaints pre-investigated against the number of complaints received expressed as a percentage
Means of verification	Reports generated by complaints system
Assumptions	POPIA will be fully operational on the 1 st July 2021
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation Type	Cumulative
Reporting Cycle	Quarterly
Desired performance	Increased percentage of complaints pre-investigated
Indicator Responsibility	Executive: POPIA

Indicator Title	Applications for Codes of Conduct finalised within the prescribed time frame
Definition	This indicator measures the processing of applications for Codes of Conduct in terms of section 61(1)(b) of POPIA within 13 weeks from date of receipt
Source of data	Register for applications for codes of conduct
Method of Calculation / Assessment	Simple count
Means of verification	Register of application for codes of conduct indicating the date of receipt and finalised
Assumptions	POPIA will be fully operational on the 1 st July 2021
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation Type	Non-cumulative
Reporting Cycle	Quarterly
Desired performance	All applications for the Codes of Conduct finalised within 13 weeks
Indicator Responsibility	Executive: POPIA

Indicator Title	Percentage of prioritised actions in the readiness plan implemented
Definition	This indicator measures the implementation of the prioritised actions in the Readiness Plan
Source of data	The approved list of prioritised actions from the readiness plan
Method of Calculation / Assessment	The percentage of implemented prioritised actions against the approved list of prioritised actions
Means of verification	The approved list of prioritised actions that have been implemented
Assumptions	The prioritised recruitment plan will be implemented within the prescribed time frame
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation Type	Non-cumulative
Reporting Cycle	Quarterly

Desired performance	The full implementation of the Readiness Plan
Indicator Responsibility	Executive: POPIA
Indicator Title	Percentage of Information Officers registered as prescribed
Definition	This indicator will measure the percentage of the Information Officers registered with the Regulator in terms of Section 55(2) of POPIA
Source of data	Register of the Information Officers
Method of Calculation / Assessment	The percentage of registered Information Officers against the applications received for the registration of Information Officers.
Means of verification	System generated report
Assumptions	The portal for the registration of Information Officers will be operational by 30 April 2021
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation Type	Non-cumulative
Reporting Cycle	Quarterly
Desired performance	100% of applications for registration of Information Officers finalised
Indicator Responsibility	Executive: POPIA

Indicator Title	Percentage of applications for prior authorisation finalised
Definition	This indicator will measure the percentage of applications for prior authorisation finalised in terms of chapter 6 of POPIA
Source of data	Register of the applications for prior authorisation
Method of Calculation / Assessment	Percentage of the finalised applications for prior authorisation against the received applications for prior authorisations
Means of verification	Register of applications for prior authorisation
Assumptions	The prioritised recruitment plan will be implemented within the prescribed time frame
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation Type	Non- cumulative

Reporting Cycle	Quarterly
Desired performance	100% applications for prior authorization finalised
Indicator Responsibility	Executive: POPIA
Indicator Title	Approved Guidance Note on Exclusions and Exemption from POPIA
Definition	This indicator measures the development and approval of guidance note on Exclusion and Exemption from POPIA
Source of data	Approved Guidance Note on the Exclusions and Exemption from POPIA
Method of Calculation / Assessment	Check approved Guidance Note on the Exclusions and Exemption POPIA
Means of verification	Approved document
Assumptions	None
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation Type	N/A
Reporting Cycle	Quarterly
Desired performance	Approved Guidance Note on the Exclusions and Exemption POPIA
Indicator Responsibility	Executive: POPIA

Indicator Title	Percentage of applications for Exemption from POPIA
Definition	This indicator measures the percentage of applications for exemption from POPIA in terms of section 37 of POPIA
Source of data	Register of applications for exemption
Method of Calculation / Assessment	The percentage of finalised applications for the exemption against the received applications for exemption
Means of verification	The register for applications for exemption
Assumptions	The prioritised recruitment plan will be implemented within the prescribed time frame.

Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation Type	Non-cumulative
Reporting Cycle	Quarterly
Desired performance	100% of applications for exemption finalised
Indicator Responsibility	Executive: POPIA

Programme 2: Promotion of Access to Information

Indicator Title	Percentage of complaints Pre-investigated and finalised
Definition	This indicator measures the percentage of complaints which have been pre-investigated in terms of section 77E of PAIA.
Source of data	Complaints Register
Method of Calculation / Assessment	The number of complaints pre-investigated against the number of complaints received expressed as a percentage.
Means of verification	Reports generated by complaints system
Assumptions	PAIA regulations will be operational
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation Type	Cumulative
Reporting Cycle	Quarterly
Desired performance	Increased percentage of complaints pre-investigated
Indicator Responsibility	Executive: PAIA

Indicator Title	Approved updated PAIA Manual and uploaded on the website
Definition	This indicator measures the updating and approval of the PAIA Manual and will essentially explain or provide guidance to the public on how they can access records held by the Regulator.
Source of data	The Information Regulator's website
Method of Calculation /	Manual check

Assessment	
Means of verification	The approved PAIA manual
Assumptions	The Regulator approves the PAIA Manual
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation type	Non-cumulative
Reporting Cycle	Quarterly
Desired performance	PAIA Manual approved and uploaded on the website
Indicator Responsibility	Executive: PAIA

Indicator Title	Approved procedures for making information electronically available and uploaded on the website
Definition	This indicator provides guidance on how public and private bodies can improve accessibility of information or records electronically in terms of Section 83(3)(a)(ii) of PAIA
Source of data	The Information Regulator's website
Method of Calculation / Assessment	Approved document
Means of verification	The approved PAIA manual
Assumptions	None
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation type	Non-cumulative
Reporting Cycle	Quarterly
Desired performance	Access to information electronically available
Indicator Responsibility	Executive: PAIA

Programme 3: Education and Communication

Indicator Title	Public awareness and education strategy developed
Definition	This indicator measures the approved Public Awareness and Education strategy to create awareness efficiently to the public to ensure that they are informed about POPIA and PAIA and encourage participation.
Source of data	Internal information resource centre
Method of Calculation / Assessment	Simple count
Means of verification	Approved Public Awareness and Education strategy
Assumptions	None
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation type	Non- cumulative
Reporting Cycle	Quarterly
Desired performance	Approved Strategy and Plan implemented within the financial year
Indicator Responsibility	Executive: Education and Communication

Indicator Title	Awareness programmes aimed at promoting the protection of personal information and access to Information conducted
Definition	This indicator measures the number of Public awareness programmes that are conducted in accordance with POPIA and PAIA.
Source of data	Information Resource Centre
Method of Calculation / Assessment	Simple Count
Means of verification	Invitations with attendance registers or Pictorial report
Assumptions	Covid regulations allow for the awareness sessions
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation Type	Non-cumulative
Reporting Cycle	Quarterly

Desired performance	Informed citizens and active participation
Indicator Responsibility	Executive Education and Communication

Indicator Title	Communication and Branding Strategy and Plan developed
Definition	This indicator measures the approval of the communication and branding strategy
Source of data	Internal information resource centre
Method of Calculation / Assessment	Simple count
Means of verification	Approved communication and branding strategy
Assumptions	None
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation type	Non- cumulative
Reporting Cycle	Quarterly
Desired performance	Approved Strategy and Plan implemented within the financial year
Indicator Responsibility	Executive: Education and Communication

Indicator Title	Communication programmes implemented and products developed
Definition	This indicator measure the number of communication programmes implemented and products developed to market the brand of the Regulator and raise awareness about its mandate.
Source of data	Information Resource Centre
Method of Calculation / Assessment	Simple count
Means of verification	<ul style="list-style-type: none"> - Media engagement reports, Media Records/Clippings/ media statements. - Developed content products - Internal communication products - Social media pages and website update report
Assumptions	Availability of resources
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation Type	Non-Cumulative
Reporting Cycle	Quarterly
Desired performance	Brand awareness and dissemination of information to citizen and stakeholders
Indicator Responsibility	Executive Education and Communication

Indicator Title	Approved Stakeholder Engagement strategy and plan
Definition	This indicator measures the approval of the stakeholder engagement strategy to coordinate and facilitate stakeholder engagement and maintain effective relations between the Regulator and stakeholders of different categories.
Source of data	Internal information resource centre
Method of Calculation / Assessment	Simple count
Means of verification	Approved stakeholder and engagement strategy
Assumptions	None
Disaggregation of Beneficiaries (where applicable)	N/A

Spatial Transformation (where applicable)	N/A
Calculation type	Non- cumulative
Reporting Cycle	Quarterly
Desired performance	Approved Strategy and Plan implemented within the financial year
Indicator Responsibility	Executive: Education and Communication

Indicator Title	Stakeholder engagement sessions held
Definition	This indicator measures the number of stakeholder engagements conducted to raise awareness in both private and public bodies regarding compliance with POPIA and PAIA.
Source of data	Information Resource Centre
Method of Calculation / Assessment	Simple count
Means of verification	Invitations with attendance registers/ Digital receipt
Assumptions	All stakeholders will attend the planned sessions
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation Type	Non-Cumulative
Reporting Cycle	Quarterly
Desired performance	Informed stakeholders
Indicator Responsibility	Executive: Education and Communication

Programme 4: Legal, Policy, Research and Information Technology

Indicator Title	Percentage of prioritised actions in the readiness plan implemented
Definition	This indicator measures the implementation of the prioritised actions in the Readiness Plan
Source of data	The approved list of prioritised actions from the readiness plan
Method of Calculation / Assessment	The percentage of implemented prioritised actions against the approved list of prioritised actions
Means of verification	The approved list of prioritised actions that have been implemented
Assumptions	The prioritised recruitment plan will be implemented within the prescribed time frame
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation Type	Non-cumulative
Reporting Cycle	Quarterly
Desired performance	The full implementation of the Readiness Plan
Indicator Responsibility	Executive: Legal, Policy, Research and IT Analysis

Indicator Title	Approved compliance framework and implementation report
Definition	This indicator measures the development, implementation, monitoring and maintenance of the compliance framework in terms of section 55 (1) and Regulation 4 (1) (a) of POPIA
Source of data	Internal compliance framework register
Method of Calculation / Assessment	<ul style="list-style-type: none"> - Simple count to measure approved compliance framework - Quarterly report on assessment of implementation in line with the compliance framework
Means of verification	<ul style="list-style-type: none"> - The approved compliance framework - Compliance framework implementation report
Assumptions	The prioritised recruitment plan will be implemented within the prescribed time frame
Disaggregation of Beneficiaries (where applicable)	N/A

Spatial Transformation (where applicable)	N/A
Calculation Type	Non-cumulative
Reporting Cycle	Quarterly
Desired performance	Approval and implementation of the compliance framework
Indicator Responsibility	Executive: Legal, Policy, Research and IT Analysis

Indicator Title	Approved rules of procedure for the enforcement committee
Definition	This indicator measures the approval of the rules of procedures for the enforcement committee
Source of data	Compliance universe
Method of Calculation / Assessment	Simple count
Means of verification	The approved rules of procedure for the enforcement committee
Assumptions	None
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation Type	Non-cumulative
Reporting Cycle	Quarterly
Desired performance	Approval of rules of procedure for the enforcement committee
Indicator Responsibility	Executive: Legal, Policy, Research and IT Analysis

Indicator Title	Establishment of the enforcement committee as prescribed in POPIA
Definition	This indicator measures the establishment of the enforcement committee as prescribed in POPIA section 50
Source of data	Approved memorandum
Method of Calculation / Assessment	Simple count
Means of verification	<ul style="list-style-type: none"> - Minutes of consultation sessions - Appointment letters of members
Assumptions	Co-operation by relevant stakeholders

Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation Type	Non-cumulative
Reporting Cycle	Quarterly
Desired performance	Fully functional enforcement committee
Indicator Responsibility	Executive: Legal, Policy, Research and IT Analysis

Indicator Title	Approved Legal strategy implemented
Definition	This indicator measures the approval and implementation of the legal strategy
Source of data	Compliance universe
Method of Calculation / Assessment	Simple count
Means of verification	Approved legal strategy
Assumptions	none
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation Type	Non-cumulative
Reporting Cycle	Quarterly
Desired performance	Approved legal strategy
Indicator Responsibility	Executive: Legal, Policy, Research and IT Analysis

Indicator Title	Number of research projects in line with the approved research strategy implemented
Definition	This indicator measures the number of research project done in line with the research strategy and plan
Source of data	Information Regulator website
Method of Calculation / Assessment	Simple count

Means of verification	Research proposals and final research papers
Assumptions	The prioritised recruitment plan will be implemented within the prescribed time frame. Implementation of cooperation agreements with academic and research institutions
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation Type	Non-cumulative
Reporting Cycle	Quarterly
Desired performance	Completion of research papers
Indicator Responsibility	Executive: Legal, Policy, Research and IT Analysis

Indicator Title	Approved personal information impact assessment
Definition	This indicator measures the approved personal information impact assessment
Source of data	Compliance universe
Method of Calculation / Assessment	Simple count
Means of verification	Approved personal information impact assessment
Assumptions	None
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation Type	Non-cumulative
Reporting Cycle	Quarterly
Desired performance	Compliance by the Information Regulator with the personal information impact assessment
Indicator Responsibility	Executive: Legal, Policy, Research and IT Analysis

Programme 5: Administration

(a) Office of the Chief Executive Officer

Indicator title	Approved separation strategy
Definition	This indicator measures the approval of the separation strategy
Source of data	Information Resource centre
Method of Calculation / Assessment	Simple count
Means of verification	Approved separation strategy
Assumptions	Buy in and support of the separation strategy from the Regulator
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation Type	Non- Cumulative
Reporting Cycle	Quarterly
Desired performance	Approved separation strategy
Indicator Responsibility	Chief Executive Officer

(b) Corporate Service

Indicator Title	Approved Human Resource Strategy and plan
Definition	This indicator measures the approval of the Human resource strategy and plan
Source of data	Information Resource Centre
Method of Calculation / Assessment	Simple count
Means of verification	Approved annual HR Strategy and Plan
Assumptions	N/A
Disaggregation of Beneficiaries (where applicable)	N/A

Spatial Transformation (where applicable)	N/A
Calculation Type	Non-Cumulative
Reporting Cycle	Quarterly
Desired performance	Approved strategy implemented
Indicator Responsibility	Executive: Corporate Services

Indicator Title	Percentage of vacancy rate on funded posts maintained
Definition	This indicator measures the vacancy rate on funded positions
Source of data	PERSAL
Method of Calculation / Assessment	Percentage of funded vacancies against filled positions
Means of verification	PERSAL reports and manual database
Assumptions	No delay in filling vacant funded positions
Disaggregation of Beneficiaries (where applicable)	Target for Women: 50% at SMS Level Target for Youth: N/A Target for People with Disabilities: 2%
Spatial Transformation (where applicable)	N/A
Calculation type	Non-Cumulative
Reporting Cycle	Quarterly
Desired performance	Maintain a vacancy rate of 10% or less annually
Indicator Responsibility	Executive: Corporate Services

Indicator Title	Approved ICT Strategy and plan
Definition	This indicator measures the approval of the annual ICT Strategy and Plan
Source of data	Information Resources Centre
Method of Calculation / Assessment	Simple count
Means of verification	Approved ICT strategy and plan
Assumptions	Appointment of the Chief Information Officer
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation Type	Non-cumulative
Reporting Cycle	Quarterly
Desired performance	Approved ICT strategy and plan
Indicator Responsibility	Executive: Corporate Service Executive

(c) Finance

Indicator Title	Percentage expenditure on allocated budget per quarter for goods and services, machinery and equipment
Definition	This indicator measures the percentage of allocated budget on goods and services, machinery and equipment spent on quarterly basis
Source of data	BAS, JYP and PERSAL, Source documents
Method of Calculation / Assessment	Percentage of actual expenditure to budget allocated for goods and services, machinery and equipment
Means of verification	<ul style="list-style-type: none"> - Financial expenditure reports - Goods received notes - Invoices and payment advices
Assumptions	N/A

Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation Type	Cumulative
Reporting Cycle	Quarterly
Desired performance	100% of allocated budget spent
Indicator Responsibility	CFO

Indicator Title	Percentage achievement on the approved procurement plan
Definition	This indicator measures the implementation of the approved procurement plan.
Source of data	JYP, BAS ,and Contractual agreements
Method of Calculation / Assessment	Percentage achievement of the procurement plan for the quarter
Means of verification	<ul style="list-style-type: none"> - Purchase order - Contractual agreements /Invoice - Goods receipt note
Assumptions	Adherence to the quarterly procurement plan
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial Transformation (where applicable)	N/A
Calculation Type	Cumulative
Reporting Cycle	Quarterly
Desired performance	100% achievement of procurement plan
Indicator Responsibility	CFO

PART E: LIST OF ACRONYMS AND ABBREVIATIONS

AI	Artificial Intelligence
AO	Accounting Officer
Adv.	Advocate
APP	Annual Performance Plan
CEO	Chief Executive Officer
CFO	Chief Financial Officer
CoE	Compensation of Employees
DIO	Deputy Information Officer
DoJ & CD	Department of Justice and Constitutional Development
EE	Employment Equity Plan
ENE	Estimates of National Expenditure
IO	Information Officer
4IR	Fourth Industrial Revolution
Minister	Minister of Justice and Correctional Services
MoC	Memorandum of Cooperation
MTEF	Medium Term Expenditure Framework
MTSF	Medium Term Strategic Framework
NDP	National Development Plan
PAIA	Promotion of Access to Information Act
POPIA	Protection of Personal Information Act
PP	Public Protector
Regulator	Information Regulator
SAHRC	South African Human Rights Commission