



**INFORMATION  
REGULATOR  
(SOUTH AFRICA)**

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



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**ANNUAL PERFORMANCE PLAN FOR THE  
2021/22 FINANCIAL YEAR**

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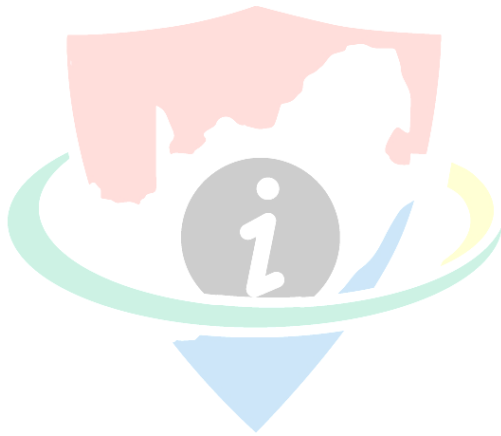
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## FOREWORD BY THE CHAIRPERSON

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.



**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.



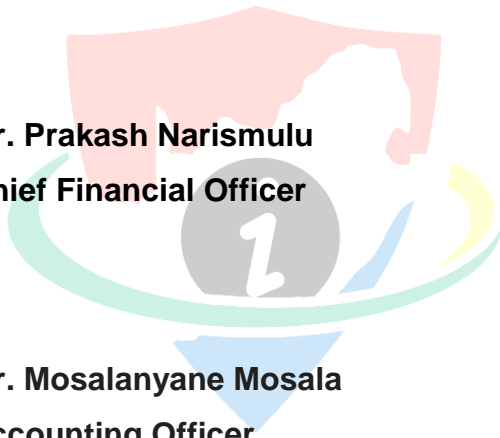
**Mr. Mosalanyane Mosala**  
**Accounting Officer**

## Official Sign-Off

It is hereby certified that this Annual Performance Plan (APP):

- 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 during the period 2021/22 financial year.

**Mr. Prakash Narismulu**  
Chief Financial Officer



**Mr. Mosalanyane Mosala**  
Accounting Officer

**Signature**

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**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.

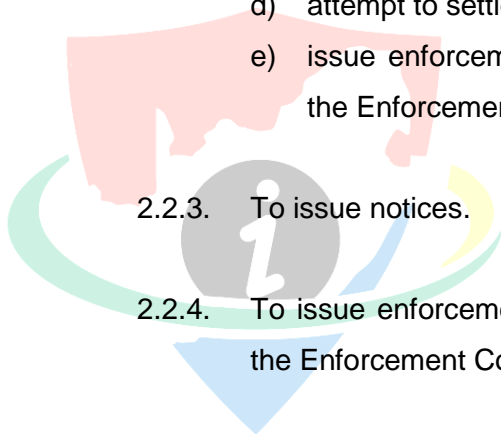
2.1.6. In respect of codes of conduct to:

- 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;



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- 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.
- m) A private and public 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



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### 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).RT C:  
**PERFORMANCE INFORMATION**

## **7. Institutional Performance**

### **7.1. Names of Programmes, Purpose, Sub Programmes, Outcomes, Outputs, Performance Indicators and Targets**

#### **7.1.1. Programme 1: Protection of Personal Information**

##### **7.1.1.1. Purpose**

To ensure the promotion and protection of personal information processed by public and private bodies.

##### **7.1.1.2. List of Sub-Programmes**

The following are sub-programmes within this programme:

###### **(a) Complaints and Investigations**

This sub-programme is responsible for the handling of complaints and conducting of investigations in accordance with the provisions of POPIA.

###### **(b) Compliance and Monitoring**

This sub-programme is responsible for the monitoring and enforcement of compliance by public and private bodies in accordance with the provisions of POPIA.

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### 7.1.1.3. Performance Matrix with Outcomes, Outputs, Indicators and Targets

Outcome	Outputs	Outputs indicators	Annual Targets				
			Audited/ Actual performance			Estimated Performance	MTEF Period
			2017/18	2018/19	2019/20	2020/21	2021/22
Personal information promoted, protected and respected	Pre-investigated Complaints	Percentage of complaints pre-investigated	-	-	-	-	50 % of pre-investigated complaints finalised
	Applications for Codes of Conduct finalised	Application for Codes of Conduct finalised within the prescribed time frame	-	-	-	Guidelines for Codes of Conduct published and Approved	Applications for Codes of Conduct finalised within 13 weeks from the date of receipt
	Prioritised actions in the readiness plan implemented	Percentage of prioritised actions in the readiness plan implemented	-	-	-	POPIA Readiness Plan developed and approved	100% of the prioritised actions in the readiness plan implemented
	Information Officers registered as prescribed	Percentage of Information Officers registered as prescribed	-	-	-		100% Information Officers registered as prescribed
	Guidance Note on application for prior authorisation implemented	Percentage of applications for prior authorisation processed	-	-	-	-	100% of application for prior authorisation processed
	Guidance Note on Exclusions and Exemptions	Approved Guidance Note on Exclusions and Exemption from POPIA			-	-	Guidance Note on Exclusions and Exemption from POPIA approved

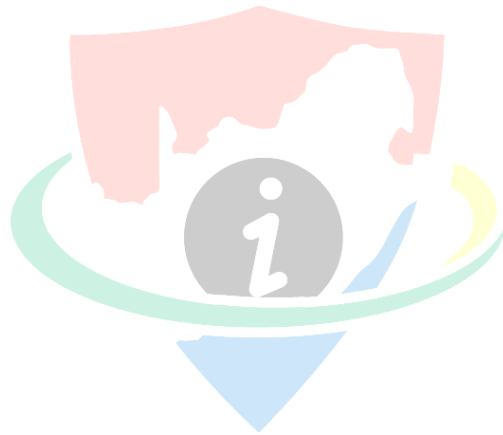


	from POPIA developed						
	Application for exemptions from POPIA processed	Percentage of applications for Exemption from POPIA					100% of applications for Exemption from POPIA processed.

#### 7.1.1.4. Quarterly Targets for 2021/22 Financial Year

Output Indicators	Annual Targets	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Percentage of complaints pre-investigated	50 % of pre-investigated complaints finalised	10% of pre-investigated complaints finalised	20% of pre-investigated complaints finalised	35% of pre-investigated complaints finalised	50% of pre-investigated complaints finalised
Application for Codes of Conduct finalised within the prescribed time frame	Applications for Codes of Conduct finalised within 13 weeks from the date of receipt	Applications for Code of Conduct finalised within 13 weeks from the date of receipt	Applications for Code of Conduct finalised within 13 weeks from the date of receipt	Applications for Code of Conduct finalised within 13 weeks from the date of receipt	Applications for Code of Conduct finalised within 13 weeks from the date of receipt
Percentage of prioritised actions in the readiness plan implemented	100% of the prioritised actions in the readiness plan implemented	25% implementation of prioritised actions in the readiness plan	50% implementation of prioritised actions in the readiness plan	75% implementation of prioritised actions in the readiness plan	100% implementation of prioritised actions in the readiness plan
Percentage of Information Officers registered as prescribed	100% Information Officers registered as prescribed	100% Information Officers registered as prescribed	100% Information Officers registered as prescribed	100% Information Officers registered as prescribed	100% Information Officers registered as prescribed
Percentage of applications for prior authorisation processed	100% of applications for prior authorisation processed	100% of applications for prior authorisation processed	100% of applications for prior authorisation processed	100% of applications for prior authorisation processed	100% of applications for prior authorisation processed
Approved Guidance Note on Exclusions and Exemption from	Guidance Note on Exclusions and Exemption from	Tabling and approval of guidance note on exclusion and	-	-	-

POPIA	POPIA approved	exemption from POPIA			
Percentage of applications for Exemption from POPIA	100% of applications for Exemption from POPIA	-	100% of applications for Exemption from POPIA	100% of applications for Exemption from POPIA	100% of applications for Exemption from POPIA



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## **7.1.2. Programme 2: Promotion of Access to Information**

### **7.1.2.1. Purpose**

To ensure the effective promotion, protection, monitoring and implementation of the constitutional right of access to any information held by the State and any information that is held by another person and that is required for the exercise or protection of any rights.

### **7.1.2.2. List of Sub-Programme**

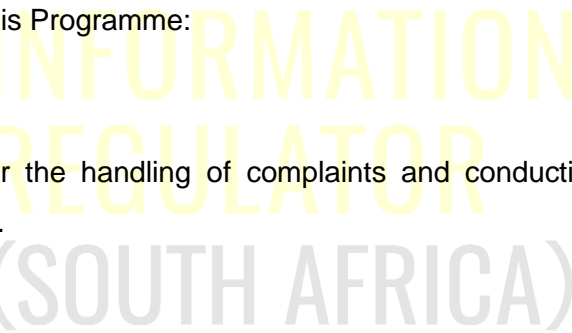
The following are sub-programmes within this Programme:

#### **(a) Complaints and Investigations**

The sub-programme is responsible for the handling of complaints and conducting of investigations in accordance with the provisions of PAIA.

#### **(b) Compliance and Monitoring**

The sub-programme conducts monitoring and enforcement of compliance by public and private bodies in accordance with the provisions of PAIA.

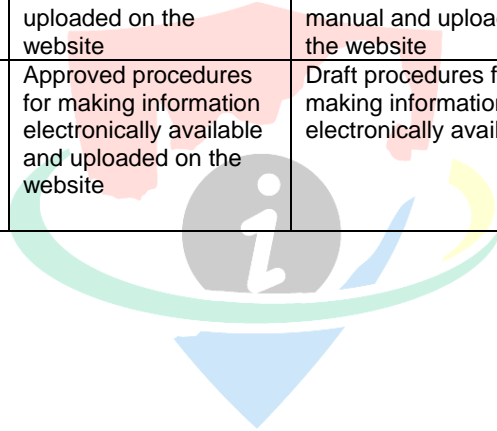


### 7.1.2.3. Performance Matrix with Outcomes, Outputs, Indicators and Targets

Outcome	Outputs	Outputs indicators	Annual Targets				
			Audited/ Actual performance			Estimated Performance	MTEF Period
			2017/18	2018/19	2019/20	2020/21	2021/22
Access to information promoted	Complaints Pre- Investigated	Percentage of complaints Pre- investigated and finalised					50% Pre- investigated complaints finalised
	PAIA Manual updated and uploaded on the website	Approved updated PAIA Manual and uploaded on the website				PAIA Manual drafted	Approved updated PAIA Manual and uploaded on the website
	Procedures for making information electronically available approved and uploaded on the website	Approved procedures for making information electronically available and uploaded on the website	-	-	-	-	Approved procedures for making information electronically available and uploaded on the website

#### 7.1.2.4. Quarterly Targets for 2020/21 Financial Year

Output Indicators	Annual Targets	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Percentage of complaints Pre-investigated and finalised	50% Pre- investigated complaints finalised	10% of pre-investigated complaints finalised	20% of pre-investigated complaints finalised	35% of pre-investigated complaints finalised	50% of pre-investigated complaints finalised
Approved updated PAIA Manual and uploaded on the website	Approved updated PAIA Manual and uploaded on the website	Approval and translation of the PAIA manual and upload on the website	-	-	-
Approved procedures for making information electronically available and uploaded on the website	Approved procedures for making information electronically available and uploaded on the website	Draft procedures for making information electronically available	Consultation on the procedures for making information electronically available	Tabling procedures for making information electronically available for approval	Approval of the procedures for making information electronically available and upload on website



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### 7.1.3. Programme 3: Education and Communication

#### 7.1.3.1. Purpose

To provide strategic direction for the provision of Education and Communication

#### 7.1.3.2. List of Sub-Programme

The following are sub-programmes within this Programme:

##### (a) Education and Public Awareness

This sub-programme is responsible for the provision of public education, awareness and stakeholder management.

##### (b) Communication and Media Relations

This sub-programme is responsible for the provision of communication, media relations, public liaison and branding services.

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### 7.1.3.3. Performance Matrix with Outcomes, Outputs, Indicators and Targets

Outcome	Outputs	Outputs indicators	Annual Targets				
			Audited/ Actual performance			Estimated Performance	MTEF Period
			2017/18	2018/19	2019/20	2020/21	2021/22
Personal information promoted, protected and respected	Public awareness and education strategy developed	Approved public awareness and education strategy	-	-	-	-	Development of public awareness and education strategy and plan
Access to information promoted	Awareness programmes aimed at promoting the protection of personal information and access to Information conducted	Number of public awareness sessions conducted	-	-	-	9 Public awareness programmes in all Provinces	24 Public awareness sessions in all Provinces
	Communication and Branding Strategy and Plan developed	Approved Communication and Branding Strategy and Plan	-	-	-	Development of communication and brand strategy	Development of communication and brand strategy and plan
	Communication programmes and products developed and implemented	Number of communication programmes and products developed and implemented	-	-	-	-	188 Communication programmes and products developed and implemented

	Stakeholder Engagement strategy and Plan developed	Approved stakeholder engagement strategy and plan	-	-	-	-	Stakeholder engagement strategy and plan developed
	Stakeholder engagement sessions held	Number of stakeholders engagement sessions held	57	75	75	80 Stakeholder Engagements held	90 Stakeholder Engagements held

#### 7.1.3.4. Quarterly Targets for 2020/21 Financial Year

Output Indicators	Annual Targets	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Public awareness and education strategy developed	Approved strategy and plan	Development of strategy and plan	Development of strategy and plan	Approval of strategy	Aligned -Phased in implementation
Awareness programmes aimed at promoting the protection of personal information and access to Information conducted	24 Public awareness sessions in all Provinces	5	7	7	5
Communication and Branding Strategy and Plan developed	Approved strategy and plan	Development of strategy and plan	Development of strategy and plan	Approval of strategy	Aligned -Phased in implementation
Communication programmes and products developed and implemented	188 Communication products and programmes	47	47	47	47
Stakeholder Engagement strategy and Plan developed	Approved strategy and plan	Development of strategy and plan	Development of strategy and plan	Approval of strategy	Aligned -Phased in implementation
Stakeholder engagement sessions held	90 Stakeholder Engagements held	20	25	25	20



#### **7.1.4. Programme 4: Legal, Policy, Research and Information Technology Analysis**

##### **7.1.4.1. Purpose**

To ensure the rendering of legal services, policy advice, research and information technology analysis services.

##### **7.1.4.2. List of Sub-Programme**

The following are sub-programmes within this Programme:

(a) **Legal Services and Litigation**

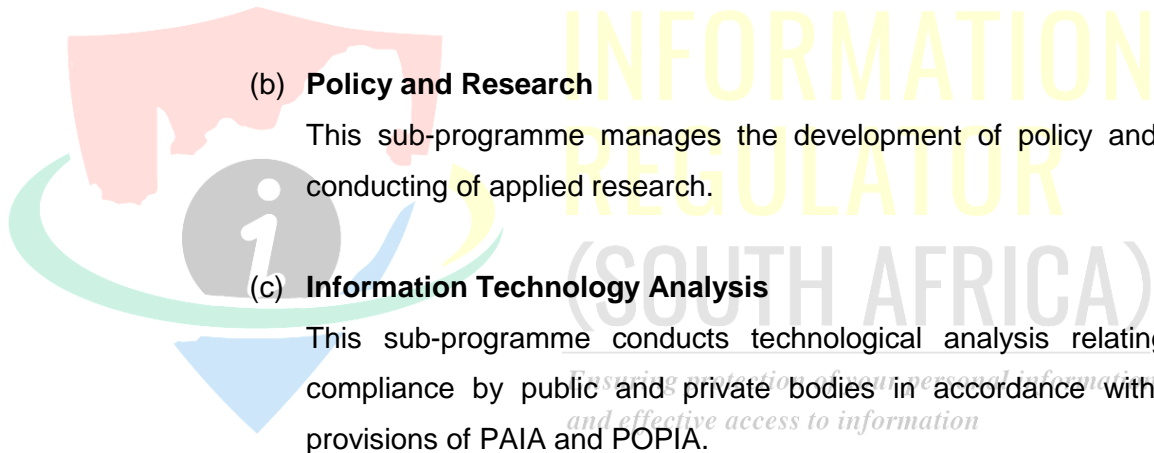
This sub-programme provides legal advice and represents the Regulator in litigation matters before courts and similar *fora*.

(b) **Policy and Research**

This sub-programme manages the development of policy and the conducting of applied research.

(c) **Information Technology Analysis**

This sub-programme conducts technological analysis relating to compliance by public and private bodies in accordance with the provisions of PAIA and POPIA.



### 7.1.4.3. Performance Matrix with Outcomes, Outputs, Indicators and Targets

Outcome	Outputs	Outputs indicators	Annual Targets				
			Audited/ Actual performance			Estimated Performance	MTEF Period
			2017/18	2018/19	2019/20	2020/21	2021/22
Personal information promoted, protected and respected	Prioritised actions in the readiness plan implemented	Percentage of prioritised actions in the readiness plan implemented	-	-	-	-	100% Actions in the readiness plan implemented
	POPIA Compliance framework developed, monitored, maintained and approved for the Regulator	Approved POPIA compliance framework for the Regulator	-	-	-	-	POPIA Compliance framework developed, monitored, maintained and approved
	Rules of procedures for the enforcement committee approved	Approved rules of procedure for the enforcement committee	-	-	-	-	Rules of procedures for the enforcement committee approved
	Legal strategy approved	Approved Legal strategy				N/A	Approved Legal strategy
	Approved Research Strategy implemented	Number of research projects in line with the approved research strategy implemented	-	-	-	Research strategy and plan developed and approved	2 researched projects implemented
	POPIA Personal information Impact assessment	Approved POPIA personal information impact assessment	-	-	-	-	Developed POPIA personal information impact assessment

	developed for the Regulator						
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#### 7.1.4.4. Quarterly Targets for 2020/21 Financial Year

Output Indicators	Annual Targets	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Percentage of prioritised actions in the readiness plan implemented	100% Actions in the readiness plan implemented	25% implementation of prioritised actions in the readiness plan	50% implementation of prioritised actions in the readiness plan	75% implementation of prioritised actions in the readiness plan	100% implementation of prioritised actions in the readiness plan
Approved POPIA Compliance framework for the Regulator	Compliance framework developed, monitored, maintained and approved	Development and approval of the compliance framework	Monitor and maintain the implementation of the compliance framework	Monitor and maintain the implementation of the compliance framework	Monitor and maintain the implementation of the compliance framework
Approved rules of procedure for the enforcement committee	Rules of procedures for the enforcement committee approved	Approval of the rules of procedure for the enforcement committee	-	-	-
Approved Legal strategy	Approved Legal strategy	Draft legal strategy	Consultation legal strategy	Tabling legal strategy	Approval of legal strategy
Number of research projects in line with the approved research strategy implemented	2 researched projects implemented	-	Identification and preparation of research proposal and establish partnerships	Conducting of research, and preparation of first drafts	2 finalised research papers
Approved POPIA personal impact assessment for the Regulator	Approved POPIA personal information impact assessment implemented	Development of the POPIA Personal information Impact Assessment	Consultation and approved POPIA Personal information Impact Assessment	Approved POPIA personal information impact assessment implementation	Approved POPIA personal information impact assessment implementation

## 7.1.5. Programme 5: Administration

### 7.1.5.1. Purpose

To provide effective and efficient leadership, corporate and financial support services in the Information Regulator.

### 7.1.5.2. List of Sub-Programme

The following are sub-programmes within this Programme:

#### (a) Office of the Chief Executive Officer

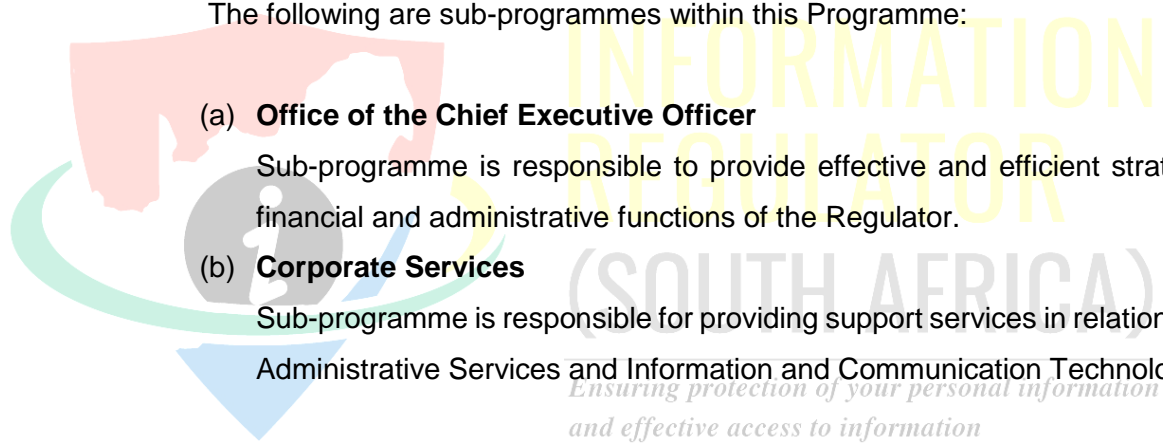
Sub-programme is responsible to provide effective and efficient strategic leadership in the financial and administrative functions of the Regulator.

#### (b) Corporate Services

Sub-programme is responsible for providing support services in relation to Human Resources, Administrative Services and Information and Communication Technology (ICT).

#### (c) Finance

Sub-programme is responsible for providing Financial Management and Supply Chain Management services.



**7.1.5.3. (a) Office of the Chief Executive Officer- Performance Matrix with Outcomes, Outputs, Indicators and Targets**

Outcome	Outputs	Outputs indicators	Annual Targets				
			Audited/ Actual performance			Estimated Performance	MTEF Period
			2017/18	2018/19	2019/20	2020/21	2021/22
Personal information promoted, protected and respected  Access to information promoted	Separation Strategy approved	Approved separation strategy	N/A	N/A	N/A	N/A	Approved separation strategy

**7.1.5.4. Office of the Chief Executive Officer - Quarterly Targets for 2020/21 Financial Year**

Output Indicators	Annual Targets	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Approved separation strategy	Approved separation strategy	Policy proposals developed	Policy proposals consulted internally	Policy proposal consulted externally	Policy proposal approved internally

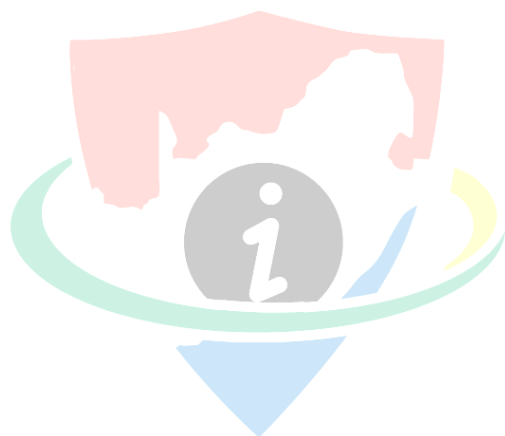
**7.1.5.5. (b) Corporate Services - Performance Matrix with Outcomes, Outputs, Indicators and Targets**

Outcome	Outputs	Outputs indicators	Annual Targets				
			Audited/ Actual performance			Estimated Performance	MTEF Period
			2017/18	2018/19	2019/20	2020/21	2021/22
Personal information promoted, protected and respected	Human Resource Strategy and Plan approved	Approved Human Resource Strategy and plan	N/A	N/A	N/A		Approved Human Resource strategy and plan
	Vacancy rate on funded posts maintained at the level in line with the relevant prescripts	Percentage of vacancy rate on funded posts maintained	N/A	N/A	N/A		Maintain vacancy rate of 10% or less on funded posts
	ICT Strategy and Plan approved	Approved ICT Strategy and plan	N/A	N/A	N/A	N/A	Approved ICT Strategy and Plan

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**7.1.5.6. (b) Corporate Services - Quarterly Targets for 2020/21 Financial Year**

<b>Output Indicators</b>	<b>Annual Targets</b>	<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>
Approved Human Resource Strategy and plan	Approved Human Resource strategy and plan	Human Resource Strategy and Plan approved	-	-	-
Percentage of vacancy rate on funded posts maintained	Maintain vacancy rate of 10% or less on funded posts	Fill 20% of funded vacant posts	Fill 40% of funded vacant posts	Fill 20% of funded vacant posts	20% of funded vacant posts
Approved ICT Strategy and plan	Approved ICT Strategy and Plan	-	ICT Strategy and Plan developed	ICT Strategy and Plan developed	ICT Strategy and Plan approved



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**7.1.5.7. (c) Finance - Performance Matrix with Outcomes, Outputs, Indicators and Targets**

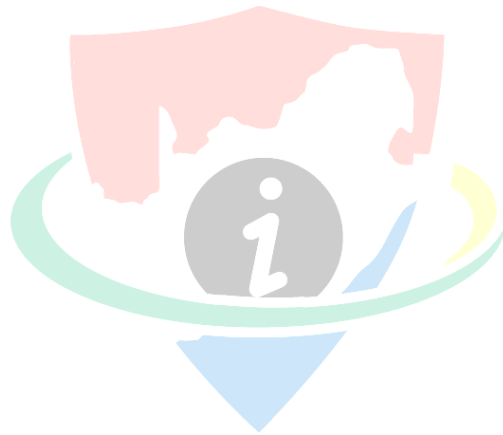
Outcome	Outputs	Outputs indicators	Annual Targets				
			Audited/ Actual performance			Estimated Performance	MTEF Period
			2017/18	2018/19	2019/20	2020/21	2021/22
Personal information protected and access to information promoted.	Budget spent as allocated on goods and services, machinery and equipment.	Percentage expenditure on allocated budget per quarter for goods and services, machinery and equipment.	N/A	N/A	-		95% Expenditure on allocated budget on goods and services, machinery and equipment
	Procurement plan approved and implemented	Percentage achievement on the approved procurement plan	N/A	N/A	-	-	95% on procurement achieved

#### 7.1.5.8. (b) Finance - Quarterly Targets for 2020/21 Financial Year

Output Indicators	Annual Targets	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Budget spent as allocated on goods and services, machinery and equipment.	95% Expenditure on allocated budget on goods and services, machinery and equipment	80% of the budget allocation for the quarter spent on Goods and Services and Machinery and Equipment	90% of the budget allocation for the quarter spent on Goods and Services and Machinery and Equipment	95% of the budget allocation for the quarter spent on Goods and Services and Machinery and Equipment	100% of the budget allocation for the quarter spent on Goods and Services and Machinery and Equipment



Procurement plan approved and implemented	95% on procurement achieved	80% of the Goods and Services planned for the quarter procured	90 % of the Goods and Services planned for the quarter procured	90 % of the Goods and Services planned for the quarter procured	100 % of procurement for the year finalised.
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## 8. Explanation of Planned Performance over the Five Year Period

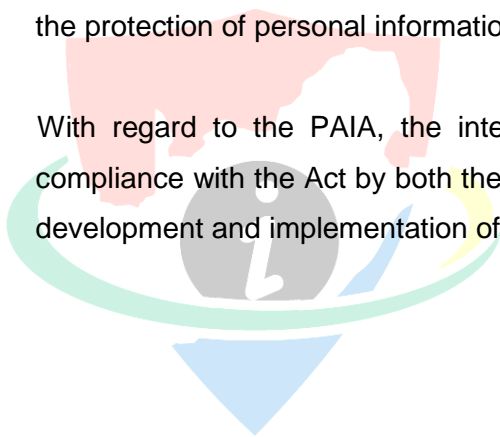
### 8.1 Contribution towards the National Development Plan (NDP)

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.

### 8.2 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.



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### 8.3 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
<p>1. Personal information is promoted, protected and respected</p> <p>2. Access to information promoted</p>	<ul style="list-style-type: none"> <li>• 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.</li> <li>• Development and implementation of the Complaints Management System will allow the public to lodge complaints and violation of their right.</li> <li>• Conduct research relating to proposed legislation or proposed policy of government that may affect personal information of data subject and access to information.</li> <li>• The Legal strategy will enable the Regulator to carry out its mandate.</li> <li>• The development human capital, systems, structures and business process for efficient and effective organisational performance management.</li> <li>• The financial resources to support the programmes of the Regulator in an efficient and effective manner</li> </ul>

## 9. Key Risks

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

## 10. Resource Considerations

### 10.1. Medium Term Budget Allocation

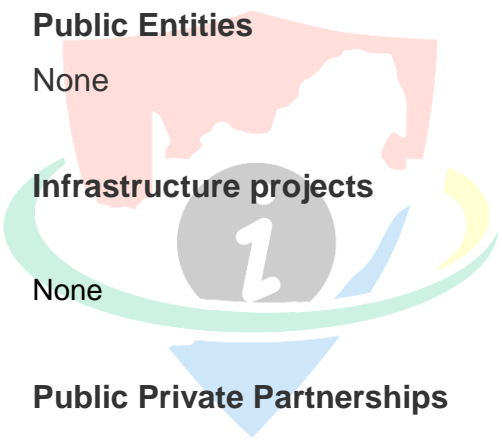
Economic classification	2020/21	2021/22	2022/23	2023/24
	R'000	R'000	R'000	R'000
<b>Current payments</b>	<b>42 797</b>	<b>82 022</b>	<b>93 013</b>	<b>100 257</b>
Compensation of Employees	32 251	61 474	69 984	75 304
Goods and services	10 546	20 548	23 029	24 953
<b>Payments for capital assets</b>	<b>2 700</b>	<b>5 152</b>	<b>5 705</b>	<b>6 269</b>
Machinery and equipment	2 700	5 152	5 705	6 269
<b>Total</b>	<b>45 497</b>	<b>87 174</b>	<b>98 718</b>	<b>106 526</b>
<b>Year on Year Growth</b>		<b>92%</b>	<b>13%</b>	<b>8%</b>

**10.2. Narrative.**

The Regulator’s mandate is to ensure respect for and to promote, enforce and fulfil the right to privacy as it relates to the protection of personal information and the right of access to information. The Regulator has been allocated an additional amount of R105 million over the medium term (R30 million in 2021/22, R35 million in 2022/23 and R40 million in 2023/24) for the creation of new employee positions in the organisation structure of the Regulator.

The Compensation of employee’s budget remains specifically and exclusively appropriated for the Regulator to manage its personnel establishments within the allocated budget ceiling. The major spending focus of the Regulator will therefore be on creating human resource capacity for the Regulator, as well as improving access to the services of the Regulator by digitising and automating processes.

- 11. **Public Entities**  
None
- 12. **Infrastructure projects**  
None
- 13. **Public Private Partnerships**  
None



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## PART D: TECHNICAL INDICATOR DESCRIPTIONS

### Programme 1: Protection of Personal Information

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

<b>Indicator Title</b>	<b>Applications for Codes of Conduct finalised within the prescribed time frame</b>
<b>Definition</b>	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
<b>Source of data</b>	Register for applications for codes of conduct
<b>Method of Calculation / Assessment</b>	Simple count
<b>Means of verification</b>	Register of application for codes of conduct indicating the date of receipt and finalised
<b>Assumptions</b>	POPIA will be fully operational on the 1 <sup>st</sup> July 2021

<b>Disaggregation of Beneficiaries (where applicable)</b>	N/A
<b>Spatial Transformation (where applicable)</b>	N/A
<b>Calculation Type</b>	Non-cumulative
<b>Reporting Cycle</b>	Quarterly
<b>Desired performance</b>	All applications for the Codes of Conduct finalised within 13 weeks
<b>Indicator Responsibility</b>	Executive: POPIA

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

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

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



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

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

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

### Programme 2: Promotion of Access to Information

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

<b>Indicator Title</b>	<b>Approved updated PAIA Manual and uploaded on the website</b>
<b>Definition</b>	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.
<b>Source of data</b>	The Information Regulator's website
<b>Method of Calculation / Assessment</b>	Manual check
<b>Means of verification</b>	The approved PAIA manual
<b>Assumptions</b>	The Regulator approves the PAIA Manual
<b>Disaggregation of Beneficiaries (where applicable)</b>	N/A
<b>Spatial Transformation (where applicable)</b>	N/A
<b>Calculation type</b>	Non-cumulative
<b>Reporting Cycle</b>	Quarterly
<b>Desired performance</b>	PAIA Manual approved and uploaded on the website
<b>Indicator Responsibility</b>	Executive: PAIA

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<b>Indicator Title</b>	<b>Approved procedures for making information electronically available and uploaded on the website</b>
<b>Definition</b>	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
<b>Source of data</b>	The Information Regulator's website
<b>Method of Calculation / Assessment</b>	Approved document
<b>Means of verification</b>	The approved PAIA manual
<b>Assumptions</b>	None
<b>Disaggregation of Beneficiaries (where applicable)</b>	N/A

<b>Spatial Transformation (where applicable)</b>	N/A
<b>Calculation type</b>	Non-cumulative
<b>Reporting Cycle</b>	Quarterly
<b>Desired performance</b>	Access to information electronically available
<b>Indicator Responsibility</b>	Executive: PAIA

### Programme 3: Education and Communication

<b>Indicator Title</b>	<b>Public awareness and education strategy developed</b>
<b>Definition</b>	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.
<b>Source of data</b>	Internal information resource centre
<b>Method of Calculation / Assessment</b>	Simple count
<b>Means of verification</b>	Approved Public Awareness and Education strategy
<b>Assumptions</b>	None
<b>Disaggregation of Beneficiaries (where applicable)</b>	N/A
<b>Spatial Transformation (where applicable)</b>	N/A
<b>Calculation type</b>	Non- cumulative
<b>Reporting Cycle</b>	Quarterly
<b>Desired performance</b>	Approved Strategy and Plan implemented within the financial year
<b>Indicator Responsibility</b>	Executive: Education and Communication

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

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<b>Indicator Title</b>	<b>Communication and Branding Strategy and Plan developed</b>
<b>Definition</b>	This indicator measures the approval of the communication and branding strategy
<b>Source of data</b>	Internal information resource centre
<b>Method of Calculation / Assessment</b>	Simple count
<b>Means of verification</b>	Approved communication and branding strategy
<b>Assumptions</b>	None
<b>Disaggregation of Beneficiaries (where applicable)</b>	N/A

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

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

<b>Indicator Title</b>	<b>Approved Stakeholder Engagement strategy and plan</b>
<b>Definition</b>	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.
<b>Source of data</b>	Internal information resource centre
<b>Method of Calculation / Assessment</b>	Simple count
<b>Means of verification</b>	Approved stakeholder and engagement strategy
<b>Assumptions</b>	None
<b>Disaggregation of Beneficiaries (where applicable)</b>	N/A
<b>Spatial Transformation (where applicable)</b>	N/A
<b>Calculation type</b>	Non- cumulative
<b>Reporting Cycle</b>	Quarterly
<b>Desired performance</b>	Approved Strategy and Plan implemented within the financial year
<b>Indicator Responsibility</b>	Executive: Education and Communication

<b>Indicator Title</b>	<b>Stakeholder engagement sessions held</b> <i>Ensuring protection of your personal information and effective access to information</i>
<b>Definition</b>	This indicator measures the number of stakeholder engagements conducted to raise awareness in both private and public bodies regarding compliance with POPIA and PAIA.
<b>Source of data</b>	Information Resource Centre
<b>Method of Calculation / Assessment</b>	Simple count
<b>Means of verification</b>	Invitations with attendance registers/ Digital receipt
<b>Assumptions</b>	All stakeholders will attend the planned sessions
<b>Disaggregation of Beneficiaries (where applicable)</b>	N/A

<b>Spatial Transformation (where applicable)</b>	N/A
<b>Calculation Type</b>	Non-Cumulative
<b>Reporting Cycle</b>	Quarterly
<b>Desired performance</b>	Informed stakeholders
<b>Indicator Responsibility</b>	Executive: Education and Communication

#### Programme 4: Legal, Policy, Research and Information Technology

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



<b>Indicator Title</b>	<b>Approved compliance framework and implementation report</b>
<b>Definition</b>	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
<b>Source of data</b>	Internal compliance framework register
<b>Method of Calculation / Assessment</b>	<ul style="list-style-type: none"> <li>- Simple count to measure approved compliance framework</li> <li>- Quarterly report on assessment of implementation in line with the compliance framework</li> </ul>
<b>Means of verification</b>	<ul style="list-style-type: none"> <li>- The approved compliance framework</li> <li>- Compliance framework implementation report</li> </ul>
<b>Assumptions</b>	The prioritised recruitment plan will be implemented within the prescribed time frame
<b>Disaggregation of Beneficiaries (where applicable)</b>	N/A
<b>Spatial Transformation (where applicable)</b>	N/A
<b>Calculation Type</b>	Non-cumulative
<b>Reporting Cycle</b>	Quarterly
<b>Desired performance</b>	Approval and implementation of the compliance framework
<b>Indicator Responsibility</b>	Executive: Legal, Policy, Research and IT Analysis

<b>Indicator Title</b>	<b>Approved rules of procedure for the enforcement committee</b>
<b>Definition</b>	This indicator measures the approval of the rules of procedures for the enforcement committee
<b>Source of data</b>	Compliance universe
<b>Method of Calculation / Assessment</b>	Simple count
<b>Means of verification</b>	The approved rules of procedure for the enforcement committee
<b>Assumptions</b>	None
<b>Disaggregation of Beneficiaries (where applicable)</b>	N/A

<b>Spatial Transformation (where applicable)</b>	N/A
<b>Calculation Type</b>	Non-cumulative
<b>Reporting Cycle</b>	Quarterly
<b>Desired performance</b>	Approval of rules of procedure for the enforcement committee
<b>Indicator Responsibility</b>	Executive: Legal, Policy, Research and IT Analysis

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

<b>Indicator Title</b>	<b>Number of research projects in line with the approved research strategy implemented</b>
<b>Definition</b>	This indicator measures the number of research project done in line with the research strategy and plan
<b>Source of data</b>	Information Regulator website
<b>Method of Calculation / Assessment</b>	Simple count
<b>Means of verification</b>	Research proposals and final research papers

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

<b>Indicator Title</b>	<b>Approved POPIA personal information impact assessment for the Regulator</b>
<b>Definition</b>	This indicator measures the approved POPIA personal information impact assessment
<b>Source of data</b>	Compliance universe
<b>Method of Calculation / Assessment</b>	Simple count
<b>Means of verification</b>	Approved personal information impact assessment
<b>Assumptions</b>	None
<b>Disaggregation of Beneficiaries (where applicable)</b>	N/A
<b>Spatial Transformation (where applicable)</b>	N/A
<b>Calculation Type</b>	Non-cumulative
<b>Reporting Cycle</b>	Quarterly

<b>Desired performance</b>	Compliance by the Information Regulator with the personal information impact assessment
<b>Indicator Responsibility</b>	Executive: Legal, Policy, Research and IT Analysis



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## Programme 5: Administration

### (a) Office of the Chief Executive Officer

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

### (b) Corporate Service

<b>Indicator Title</b>	<b>Approved Human Resource Strategy and plan</b>
<b>Definition</b>	This indicator measures the approval of the Human resource strategy and plan
<b>Source of data</b>	Information Resource Centre
<b>Method of Calculation / Assessment</b>	Simple count
<b>Means of verification</b>	Approved annual HR Strategy and Plan
<b>Assumptions</b>	N/A

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

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

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

(c) Finance

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

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

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



## **PART E: LIST OF ACRONYMS AND ABBREVIATIONS**

<b>AI</b>	<b>Artificial Intelligence</b>
<b>APP</b>	<b>Annual Performance Plan</b>
<b>CEO</b>	<b>Chief Executive Officer</b>
<b>CFO</b>	<b>Chief Financial Officer</b>
<b>CoE</b>	<b>Compensation of Employees</b>
<b>DoJ &amp; CD</b>	<b>Department of Justice and Constitutional Development</b>
<b>EE</b>	<b>Employment Equity Plan</b>
<b>ENE</b>	<b>Estimate of National Expenditure</b>
<b>ICT</b>	<b>Information and Communication Technology</b>
<b>4IR</b>	<b>Fourth Industrial Revolution</b>
<b>MoC</b>	<b>Memorandum of Cooperation</b>
<b>Minister</b>	<b>Minister of Justice and Correctional Services</b>
<b>MTEF</b>	<b>Medium Term Expenditure Framework</b>
<b>MTSF</b>	<b>Medium Term Strategic Framework</b>
<b>PAIA</b>	<b>Promotion of Access to Information Act No. 2 of 2000</b>
<b>PFMA</b>	<b>Public Finance Management Act No.1 of 1999 as amended</b>
<b>POPIA</b>	<b>Protection of Personal Information Act No.4 of 2013</b>
<b>Regulator</b>	<b>Information Regulator</b>
<b>SAHRC</b>	<b>South African Human Rights Commission</b>
<b>SOP</b>	<b>Standard Operating Procedures</b>

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