



**INFORMATION  
REGULATOR  
(SOUTH AFRICA)**

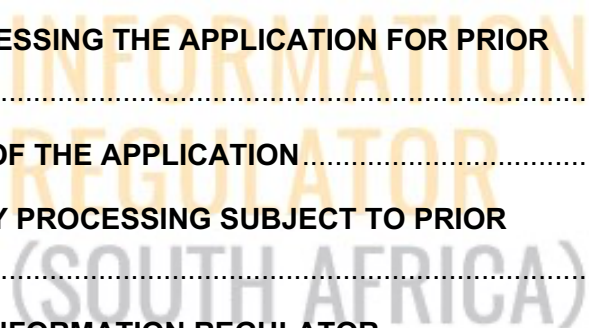
*Ensuring protection of your personal information  
and effective access to information*

**GUIDANCE NOTE ON APPLICATION  
FOR PRIOR AUTHORISATION  
(revised)**

January 2024

## TABLE OF CONTENTS

1. INTRODUCTION.....	3
2. DEFINITION.....	3
3. PROCESSING SUBJECT TO PRIOR AUTHORISATION.....	5
4. CONDITIONS FOR LAWFUL PROCESSING OF PERSONAL INFORMATION .....	7
5. HOW TO COMPLETE THE APPLICATION FORM FOR PRIOR AUTHORISATION .....	11
6. MANNER OF SUBMISSION OF AN APPLICATION FOR PRIOR AUTHORISATION .....	16
7. PRESCRIBED TIMELINES FOR PROCESSING THE APPLICATION FOR PRIOR AUTHORISATIONS.....	17
8. ACKNOWLEDGEMENT OF RECEIPT OF THE APPLICATION.....	18
9. PENALTIES FOR FAILURE TO NOTIFY PROCESSING SUBJECT TO PRIOR AUTHORISATION.....	19
10. REVIEW OF THE DECISION OF THE INFORMATION REGULATOR.....	19
11. CONTACT DETAILS .....	20
APPLICATION FORM FOR PRIOR AUTHORISATION .....	21



## 1. INTRODUCTION

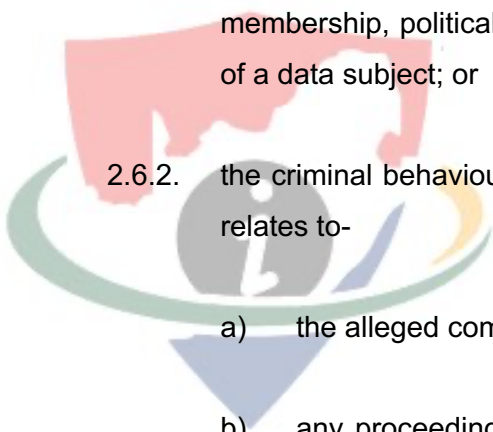
- 1.1 This Guidance Note is issued to guide responsible parties who are currently processing or intend to process personal information which is subject to prior authorisation to ensure compliance with the relevant provisions of the Protection of Personal Information Act 4 of 2013 (POPIA).
- 1.2 Some definitions provided herein are not specifically defined in any statute, are solely intended to simplify the understanding of the relevant provisions of POPIA and shall therefore not be construed as statutory definitions.
- 1.3 Responsible parties are required to answer all questions in the prior authorisation form as thoroughly as possible. This will ensure that the Information Regulator (Regulator) is provided with enough information to gain a full understanding of the nature of the personal information subject to prior authorisation processed by the applicant.
- 1.4 Responsible parties should not use internal acronyms or jargon to ensure that the content is clear to individuals who may not be familiar with the internal acronyms or jargon that may be used within their organisations.
- 1.5 Any examples provided in this guidance note are not exhaustive and should be regarded as mere guidance.

## 2 DEFINITION

- 2.1. **“Child”** refers to a person under the age of 18 years, as defined in the Children’s Act 38 of 2005;
- 2.2. **“Credit Bureau”** refers to a person required to apply for registration as such in terms of section 43(1) of the National Credit Act 34 of 2005;
- 2.3. **“Credit Reporting”** refers to the processing of personal payment history, lending, and credit worthiness of a data subject by creating a credit report based on that

information, and lenders or credit providers use credit reports along with other personal information to determine a data subject's creditworthiness;

- 2.4. **“Criminal Behaviour”** refers to, for example, a criminal record enquiry;
- 2.5. **“Unlawful or Objectionable Conduct”** may include, but is not limited to any reference check pertaining to past conduct or disciplinary action taken against a data subject;
- 2.6. **“Special Personal Information”**, as referred to in section 26 of POPIA, refers to the personal information concerning the following-
- 2.6.1. the religious or philosophical beliefs, race or ethnic origin, trade union membership, political persuasion, health or sex life or biometric information of a data subject; or
  - 2.6.2. the criminal behaviour of a data subject to the extent that such information relates to-
    - a) the alleged commission by a data subject of any offence; or
    - b) any proceedings in respect of any offence allegedly committed by a data subject or the disposal of such proceedings.
- 2.7. **“Processing”**, as defined in POPIA, means any operation or activity or any set of operations, whether or not by automatic means, concerning personal information, including-
- 2.7.1. the collection, receipt, recording, organisation, collation, storage, updating or modification, retrieval, alteration, consultation or use;
  - 2.7.2. dissemination by means of transmission, distribution or making available in any other form; or



2.7.3. merging, linking, as well as restriction, degradation, erasure or destruction of information;

2.8. **“Unique Identifier”**, as defined in POPIA, means any identifier that is assigned to a data subject and is used by a responsible party for the purposes of the operations of that responsible party and that uniquely identifies that data subject in relation to that responsible party”.

### 3. PROCESSING SUBJECT TO PRIOR AUTHORISATION

3.1 In terms of section 58(2) of POPIA, responsible parties may not carry out information processing that has been notified to the Regulator in terms of section 58(1), until the Regulator has completed its investigation or until they have received notice that a more detailed investigation will not be conducted.

3.2 The Regulator has, in terms of section 114(3) of the Protection of Personal Information Act, 2013 (No.4 of 2013), determined the **1 February 2022** as the date on which section 58(2) of the Protection of Personal Information Act, 2013 (No.4 of 2013) shall become applicable to processing referred to in section 57 of the said Act.

3.3 In accordance with section 58(1) of POPIA and subject to section 57(3) of POPIA, the responsible party must notify the Regulator that he, she or it is processing or intends to process any of the following personal information, as referred to in section 57(1) of POPIA-

**3.3.1 Unique identifiers of data subjects for a purpose other than the one for which the identifier was specifically intended at collection; and with the aim of linking the information together with information processed by other responsible parties;**

- Examples of unique identifier are, amongst others- Bank Account Numbers or any account number; Policy Number; Identity Number;

Employee Number; Student Number; Telephone or cell phone number; or Reference Number.

**3.3.2 Criminal behaviour or on unlawful or objectionable conduct of data subject on behalf of third parties;**

- This section may be applicable to any person contracted to conduct a criminal record enquiry, reference check pertaining to the past conduct or disciplinary action taken against a data subject.

**3.3.3 Credit reporting;**

- Subject to section 57(3) of POPIA, any credit bureaus registered with the National Credit Regulator or any person processing personal information for credit reporting purposes may apply for prior authorisation from the Regulator.

**3.3.4 Transfer of the special personal information or personal information of children to a third party in a foreign country that does not provide an adequate level of protection for the processing of personal information.**

- The responsible party that intends to transfer, (for any purposes, such as storage or subsequent updating or modification) the special personal information or personal information of children to a third party outside the boarder of the Republic of South Africa must assess if the said third party in a foreign country is subject to-
  - the law;
  - binding corporate rules; or
  - binding agreement;

which provide an adequate level of protection that effectively upholds principles for reasonable processing of the information that are

substantially similar to the eight (8) conditions for the lawful processing of personal information relating to a data subject.

- Special personal information and personal information of children transferred outside the Republic before the 01 July 2021 does not fall under the requirement of prior authorisation.

**3.3.5 Any other types of information processing by law or regulation which the Regulator may, from time to time, considers that it carries a particular risk for the legitimate interests of the data subject.**

- The Regulator will, if necessary, publish categories or types of information processing that it considers carrying a particular risk for the legitimate interests of the data subject.

3.4 Unless a Code of Conduct has been issued by the Regulator and has come into force in a specific sector/ industry or sectors of society in which the responsible party operates, the responsible party who is currently processing or intends to process the personal information of data subjects specified in paragraph 3.1 above must submit their applications in terms of section 57(1) of POPIA, prior to processing or any further processing.

## **4 CONDITIONS FOR LAWFUL PROCESSING OF PERSONAL INFORMATION**

**4.1** The Regulator has certain powers, duties and functions in terms of section 40 of POPIA. Section 40(1)(b)(vi) of POPIA, read with Part A of chapter 3 of POPIA, requires the Regulator to monitor and enforce compliance by conducting an assessment, on its own initiative or when requested to do so, of a public or private body, in respect of the processing of personal information by that body for the purpose of ascertaining whether or not the information is processed according to the conditions for the lawful processing of personal information.


**4.2** The Regulator is therefore obliged to ensure that an application for prior authorisation is only granted when it is satisfied that all conditions for lawful processing of personal


information are complied with by the responsible party who intends to process personal information which is subject to prior authorisation by the Regulator.

4.3 The table below summarise each condition for lawful processing of personal information, without reference to the applicable exception to such condition-

Item	Conditions	Descriptions
1.	Accountability	The responsible party is required to ensure that the conditions set out in Chapter 3 of POPIA, and all the measures that give effect to such conditions, are complied with at the time of the determination of the purpose and means of the processing and during the processing itself.
2.	Processing limitation	<p>Personal information must be obtained in a lawful and in a reasonable fair manner that does not infringe the privacy of the data subject and only with the consent of the data subject. Personal information must be collected directly from the data subject.</p> <p><i>Ensuring protection of your personal information and effective access to information</i></p>
3.	Purpose specification	<p>Personal information must be collected for a specific, explicitly defined and lawful purpose related to a function or activity of the responsible party.</p> <p>The responsible party is also prohibited from retaining records of personal information longer than is necessary for achieving the purpose for which the information was collected or subsequently processed.</p>



Item	Conditions	Descriptions
4.	Further processing limitation	Personal information may not be processed for a secondary purpose unless that processing is compatible with the original purpose.
5.	Information quality	The responsible party must ensure the quality of the personal information by taking reasonable steps to ensure that personal information in its possession or under its control is complete, not misleading, up to date, and accurate;
6.		<p>A responsible party is required to maintain the documentation (records) of all processing operations under its responsibility as referred to in section 14 or 51 of the Promotion of Access to Information Act 2 of 2000.</p> <p>The responsible party must take reasonably practicable steps to ensure that the data subject is aware of (a) the information being collected and where the information is not collected from the data subject, the source from which it is collected; (b) the name and address of the responsible party; and (c) the purpose for which the information is being collected.</p>
7.	Security safeguards	A responsible party is required to secure the integrity and confidentiality of personal information in its possession or under its control by taking by taking appropriate, reasonable technical and organisational measures to prevent loss of, damage to or unauthorised destruction of

Item	Conditions	Descriptions
		<p>personal information and unlawful access to or processing of personal information.</p> <p>A responsible party is required, as soon as there are reasonable grounds to believe that the personal information of a data subject has been accessed or acquired by any unauthorised person, to notify the Regulator and the data subject.</p>
8.	<p>Data subject participation</p> 	<p>The data subject must be able to access their personal information that a responsible party has on them and must be able to request the correction and/or deletion of any personal information held about them, including information about the identity of all third parties, or categories of third parties, who have, or have had, access to the information. I.e. trained call centre division.</p> <p>A data subject may request a responsible party to correct or delete personal information about the data subject that is inaccurate, irrelevant, excessive, out of date, incomplete, misleading or obtained unlawfully; or destroy or delete a record of personal information that the responsible party is no longer authorised to retain in terms of section 14.</p>

## 5 HOW TO COMPLETE THE APPLICATION FORM FOR PRIOR AUTHORISATION

5.1 The prior authorisation application form includes the notification referred to in section 58(1) of POPIA.

### PART A

5.2 Information about the responsible party

#### 5.2.1 Type of Body

Please specify if the responsible party is a private or public body, as defined in POPIA.

#### 5.2.2 Full name of the Responsible Party

Please complete the name of the responsible party, as registered with the Companies and Intellectual Property Commission (CIPC) or if the responsible party is the public body, the full names as referred to in the founding legislation, including trading name, if any. If a responsible party is not registered with the CIPC, please provide the full trading name of a responsible party.

#### 5.2.3 Responsible Party's Registration Number

Please provide the registration number, if the responsible party is registered with the CIPC. This information is necessary to verify the responsible party's legal status.

#### 5.2.4 Registered Organisation Address

Please provide the business address.

#### 5.2.5 Name of the Information Officer

Please provide the full name of the Information Officer, as reflected in his/her identity card.

#### 5.2.6 Information Officer's Registration Number

If the Information Officer is already registered with the Regulator, in terms of section 55(2) of POPIA, please provide the Information Officers registration number.

#### 5.2.7 Postal Address and Physical Address

Please provide your trading address/es.

#### 5.2.8 Contact Details

5.2.8.1 Provide the landline number, cell number, fax number and email address of the Information Officer. You can also include the contact details; especially the email address and contact number, of the Deputy Information Officer.

5.2.8.2 Correspondence to be issued by the Regulator relating to this application will be sent to the email address of the Information Officer. This may include requests for further necessary information. Ensure that the email address provided is monitored constantly to avoid missing any correspondence from the Regulator.

## PART B

### 5.3 NOTIFICATION OF PROCESSING WHICH IS SUBJECT TO PRIOR AUTHORISATION

In the application / notification, please specify-

**5.3.1 Which of the processing of personal information is subject to a prior authorisation;**

Please select, from the pre-populated categories, the processing of personal information activity which is subject to a prior authorisation. You may select more than one category.

**PART C**

**5.4 CONDITIONS FOR LAWFUL PROCESSING OF PERSONAL INFORMATION**

5.4.1 The responsible party is required to specify how it complies with the eight (8) conditions for lawful processing of personal information, as contemplated in Part A of Chapter 3 of POPIA.

5.4.2 If the space provided in the application form is not sufficient, the responsible party may submit a separate letter and may also attach any relevant supporting documents to the application.

5.4.3 Please note that in instances where some conditions have exceptions the responsible party must specify how the exception is applicable to any of the conditions.

**PART D**

**5.5 GENERAL INFORMATION NECESSARY FOR ASSESSMENT OF RISKS AND MEASURES IN PLACE**

**5.5.1 Reasons why it is necessary to process the personal information;**

For example, to perform certain functions in terms of legislation or to provide a credit report to the credit providers.

**5.5.2 Is the processing of the personal information for a specific, explicitly defined and lawful purpose related to a function or activity of the responsible party?**

The responsible party is required to specify if the processing is for lawful purposes relating to its function and if so, the function or activity must be specified;

**5.5.3 Is the function or activity of the responsible party regulated by another regulatory body? If so, specify the regulatory body?**

If the function or activities of the responsible party is regulated by another regulatory body, the name of the regulatory body must be specified and proof of registration or authorisation to perform the function must be provided or attached to the application.

**5.5.4 Please specify the categories of data subjects whose information will be or is being processed.**

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

Please tick the applicable category (ies) of data subjects. If a category is not listed, please provide additional details in the section directly below "other".

**5.5.5 Estimated number of data subjects whose processing of their personal information is subject to prior authorisation**

The responsible party is not necessarily required to provide the actual number of data subjects, but an estimated number of data subjects.

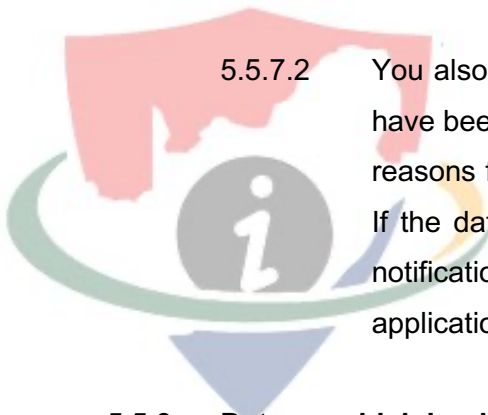
**5.5.6 Has the staff member involved in the intended processing of personal information received personal information protection training in the last 2 years?**

This could include online e-learning or face to face classroom training or any internal or in-house training.

**5.5.7 Has the organisation suffered any security breach in the past three (3) months?**

5.5.7.1 If the responsible party has suffered any security breach in the past three months, you are required to specify the nature of the breach and the preventative measures put in place (i.e. this could be clear policies and procedures, a checklist or potentially a system configuration or some description to help prevent breaches of this nature).

5.5.7.2 You also need to specify if the data subjects and the Regulator have been notified about the breach referred to above and if not, reasons for failing to notify the Regulator and the data subjects. If the data subjects and the Regulator have been notified, the notification letter or proof of notification must be attached to the application.



INFORMATION  
REGULATOR  
(SOUTH AFRICA)

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

**5.5.8 Date on which business activities of the responsible party commenced**

The responsible party needs to indicate how long it has been in business and this information will enable the Regulator to decide the manner of its investigation in terms of section 58(4) of POPIA.

**5.5.9 Number of employees who are employed by the responsible party**

Specify the number of employees who are employed by the responsible party. This will enable the Regulator to establish the scope and extent of processing of personal information.

**5.5.10 Number of branches in South African and outside South Africa.**

If the responsible party has more than one branch, specify the number of branches in South Africa. If there are other branches outside the Republic, please specify the number of offices outside the country and identify the country within which the office is located or based.

**5.5.11 Number of Deputy Information Officers designated or delegated**

Specify how many Deputy Information Officer(s) have been designated or delegated by the Information Officer. Also indicate if the Deputy Information Officers are appointed in each of the branches or situated at the head office only.

**PART E**

**5.6 Declaration**

The form must be signed by the Information Officer.

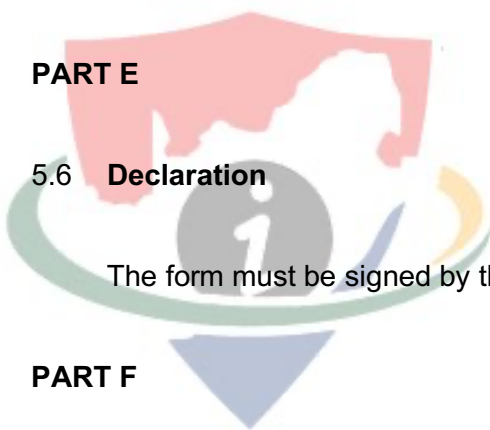
**PART F**

**5.7 Business Sector**

Please select from the pre-populated sectors or specify the industry or sector that your organisation falls under, if your industry or sector does not fall under any of the pre-populated industry or sector.

**6 MANNER OF SUBMISSION OF AN APPLICATION FOR PRIOR AUTHORISATION**

6.1 Application for prior authorisation is not applicable to the processing of personal information which is subject to prior authorisation that took place prior to 1 July 2021.





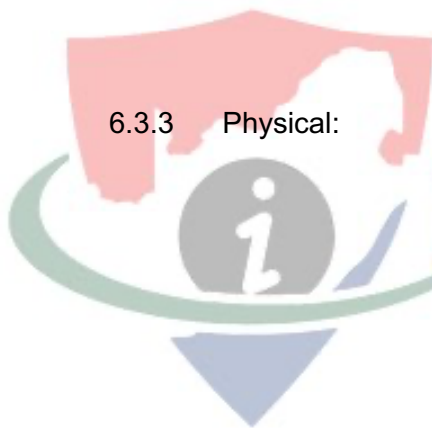
6.2 Any further processing of personal information which is subject to prior authorisation (although that personal information was initially processed prior to 1 July 2021) shall be done in accordance with section 57(1) and 58 of POPIA.

6.3 Prior authorisation application and/or notification for processing or intention to process personal information, as referred to in section 57(1) and 58(1) of POPIA must be submitted to the Regulator through the following channels-

6.3.1 Email: [PopiaCompliance@info regulator.org.za](mailto:PopiaCompliance@info regulator.org.za)

6.3.2 Postal: P.O Box 31533  
Braamfontein  
Johannesburg  
2017

6.3.3 Physical: JD House  
27 Stiemens Street  
Braamfontein  
Johannesburg  
2001



INFORMATION  
REGULATOR  
(SOUTH AFRICA)

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

## 7 PRESCRIBED TIMELINES FOR PROCESSING THE APPLICATION FOR PRIOR AUTHORISATIONS

### 7.1 Four (4) Weeks

7.1.1 Responsible parties may not carry out information processing that has been notified to the Regulator in terms of section 58(1) of POPIA until the Regulator has completed its investigation or until they have received notice that a more detailed investigation will not be conducted.

7.1.2 In the case of the notification of information processing which is subject to prior authorisation, the Regulator will inform the responsible party which

applied for a prior authorisation in writing within **four (4) weeks** of the notification as to whether or not it will conduct a more detailed investigation.

7.1.3 Therefore, the Regulator may approve or reject an application for prior authorisation within four (4) weeks of receipt of prior authorisation application, unless the Regulator decides to conduct a detailed investigation.

## **6.2 Thirteen (13) weeks**

6.2.1 In the event that the Regulator decides to conduct a more detailed investigation, as referred to in paragraph 6.1.1 above, the Regulator will inform the Responsible party in writing of the reasonable period within which it plans to conduct a detailed investigation, which period will not exceed **thirteen (13) weeks.**

6.2.2 The prescribed period of thirteen (13) weeks is the maximum period within which the detailed investigation referred to in paragraph 6.1.1 above and the decisions on the application must be finalised.

6.2.3 The decision of the Regulator following a detailed investigation will be issued in a form of a statement concerning the lawfulness of the information processing.

6.2.4 Should the Regulator find that the information processing is unlawful, such statement by the Regulator shall be deemed to be an enforcement notice served in terms of section 95 of POPIA.

## **8 ACKNOWLEDGEMENT OF RECEIPT OF THE APPLICATION**

8.1 Once the application is received and recorded on the system of the Regulator, the responsible party will receive an acknowledgement email or letter with a reference number for the application.

8.2 If you are providing additional information to your application, please include the application reference number to enable the Regulator to link the additional information to the existing application.

## **9 PENALTIES FOR FAILURE TO NOTIFY PROCESSING SUBJECT TO PRIOR AUTHORISATION**

9.1 The responsible party who fails to notify the Regulator of any processing that is subject to prior authorisation in terms of section 58(1) of POPIA is guilty of offence.

9.2 A responsible party who has notified the Regulator in terms of section 58(1) of POPIA and carries out personal information processing before the investigation by the Regulator is completed or before receiving a notice that a more detailed investigation will not be conducted, is guilty of an offence.

9.3 Any person convicted of an offence specified in paragraph 8.1 or 8.2 above is liable to a fine or to imprisonment for a period not exceeding 12 months, or to both a fine and such imprisonment.

9.4 Failure to comply with the Regulator' statement, issued in terms of section 58(5) of POPIA, concerning the lawfulness of the information processing which is subject to prior authorisation, constitutes an offence and the responsible party may upon conviction, be liable to a fine or to imprisonment for a period not exceeding 10 years, or to both a fine and such imprisonment.

9.5 The Regulator may impose an administrative fine not exceeding R10 million payable by the responsible party who is alleged to have committed any of the offences specified in paragraph 8.1, 8.2 and 8.4 above.

## **10 REVIEW OF THE DECISION OF THE INFORMATION REGULATOR**

The decision of the Regulator (i.e. approval or rejection of an application for prior authorisation) is final and any person aggrieved by such a decision may review it in the High Court having jurisdiction.

## 11 CONTACT DETAILS

A responsible party who after reading this Guidance Note still requires further assistance in completing the prior authorisation form, please contact the Regulator at Tel: (010) 023 5200; or email: [PopiaCompliance@inforregulator.org.za](mailto:PopiaCompliance@inforregulator.org.za). Please note that the Regulator operates from 8h30 am to 5pm Monday to Friday only.

**Issued by**

**INFORMATION REGULATOR**



**INFORMATION  
REGULATOR  
(SOUTH AFRICA)**

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



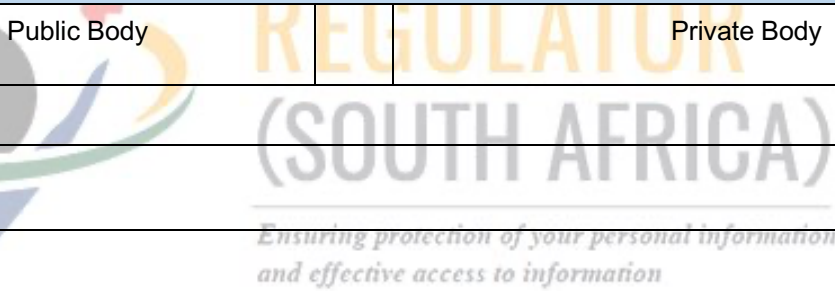
**INFORMATION  
REGULATOR  
(SOUTH AFRICA)**

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

# APPLICATION FORM FOR PRIOR AUTHORISATION

**NOTE:** The personal information submitted herein shall be solely used for purposes of prior authorisation application submitted to the Information Regulator (“Regulator”) in terms of section 58(1) of the Protection of Personal Information Act, 2013 (POPIA).

All the information submitted herein shall be used for the purpose stated above, as mandated by law. This Information may be disclosed to the public. The Regulator undertakes to ensure that appropriate security control measures are implemented to protect all the personal information to be submitted in this document.

PART A				
RESPONSIBLE PARTY				
Type of Body	Public Body			Private Body
Full Name of the Body (Registered Name)				
Trading Name (if any)				
Registration No, if any				
Full Name of Information Officer				
Information Officer's Registration Number				
Postal Address				
Physical Address				

<b>Landline Number</b>	
<b>Cell Number</b>	
<b>Fax Number</b>	
<b>Email Address</b>	
<b>Website, if any</b>	

**PART B**  
**NOTIFICATION OF PROCESSING WHICH IS SUBJECT TO PRIOR**  
**AUTHORISATION**

*Please select a category of personal information you intend to process which is subject to a prior authorisation*

	Unique identifiers of data subjects for a purpose other than the one for which the identifier was specifically intended at collection; and with the aim of linking the information together with information processed by other responsible parties;	
	Specify nature or categories of Identifiers:	
	Criminal behaviour or on unlawful or objectionable conduct of data subject on behalf of third parties	
	Specify nature or categories of unlawful or objectionable conduct	

	Credit reporting ( <b>NB: Please attach proof of registration with the National Credit Regulator</b> )	
	Transfer of the special personal information or personal information of children, to a third party in a foreign country that does not provide an adequate level of protection for the processing of personal information	
	Specify the country(ies):	
	Any other types of information processing by law or regulation which the Regulator has considered that it carries a particular risk for the legitimate interests of the data subject	
	Specify the type(s) of information processing, if any:	

**PART C**

**CONDITIONS FOR LAWFUL PROCESSING OF PERSONAL INFORMATION**


*Please note that it is the Regulator’s mandate, in terms of section 40(1)(b)(vi) of POPIA, read with chapter 3 of POPIA, to ascertain whether or not the personal information of data subject which is subject to prior authorisation is processed in accordance with the conditions for the lawful processing of personal information.*


Please specify how the responsible party complies with the eight (8) conditions for lawful processing of personal information, as contemplated in Part A of Chapter 3 of POPIA. Please submit a separate letter, if the space provided herein is not sufficient and attach any relevant supporting documents. **NB:** If any of the exceptions are applicable to any of the conditions, please specify how the exception is applicable to such condition.

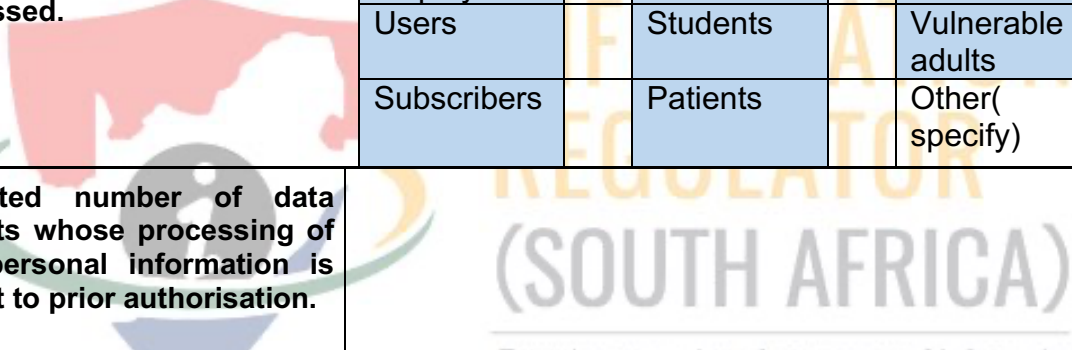
<p><b>Accountability</b> (as referred to in section 8)</p> <p><i>Please explain measures put in place to ensure that all conditions for lawful processing of personal information are complied with at the time of the determination of the purpose and means of the processing and during the processing itself. I.e. Policies.</i></p>	
------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--

<p><b>Processing limitation</b> (as referred to in sections 9 to 12)- Please explain how the responsible party ensure that personal information is-</p> <ul style="list-style-type: none"> <li>• processed lawfully;</li> <li>• collected directly from the data subject;</li> <li>• is adequate, relevant and not excessive;</li> <li>• is processed with the consent of the data subject; and</li> <li>• is collected directly from the data subject.</li> </ul>	
<p><b>Purpose specification</b> (as referred to in sections 13 and 14)</p> <ul style="list-style-type: none"> <li>• Please confirm if the personal information is collected or processed for a specific, explicitly defined and lawful purpose related to a function or activity of the responsible party.</li> <li>• Please specify the functions or activities for which the personal information is collected.</li> </ul>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p> <p><b>INFORMATION REGULATOR (SOUTH AFRICA)</b></p> <p><i>Ensuring protection of your personal information and effective access to information</i></p>
<p><b>Further processing limitation</b> (as referred to in section 15)</p> <ul style="list-style-type: none"> <li>• Please confirm if the personal information will be processed for a secondary purpose and whether such secondary purpose is compatible with the original purpose.</li> </ul>	



<ul style="list-style-type: none"> <li><i>Please specify the secondary purpose for which the personal information may be processed</i></li> </ul>	
<p><b>Information quality</b> (as referred to in section 16)</p> <p><i>Please specify the reasonable steps taken by the responsible party to ensure that personal information in its possession or under its control is complete, not misleading, up to date, and accurate.</i></p>	
<p><b>Openness</b> (as referred to in sections 17 and 18)</p> <ul style="list-style-type: none"> <li><i>Please explain how the Responsible party maintain the documentation records of all processing operations under its responsibility</i></li> <li><i>Please specify reasonably practicable steps taken to ensure that the data subject is aware of-</i> <ol style="list-style-type: none"> <li><i>the fact that his or her personal information is being collected;</i></li> <li><i>where the information is not collected from the data subject, the source from which it is collected; the name and address of the responsible party; and</i></li> <li><i>the purpose for which the information is being collected.</i></li> </ol> </li> </ul>	 <p><b>INFORMATION REGULATOR</b> <b>(SOUTH AFRICA)</b></p> <p><i>Ensuring protection of your personal information and effective access to information</i></p>

<p><b>Security safeguards</b> ( as referred to in sections 19 to 22)</p> <ul style="list-style-type: none"> <li>• Please specify the appropriate, reasonable technical and organisational measures taken to prevent loss of, damage to or unauthorised destruction of personal information and unlawful access to or processing of personal information.</li> <li>• Please specify measures put in place to identify any security threats or compromise.</li> </ul>	
<p><b>Data subject participation</b> ( as referred to in sections 23 to 25)</p> <p>Please explain the measures put in place by the responsible party to ensure that the data subjects can access their personal information securely and be able to effect the correction and/or deletion of any personal information held about them, that is inaccurate, irrelevant, excessive, out of date, incomplete, misleading or obtained unlawfully; or destroy or delete a record of personal information that the responsible party is no longer authorised to retain in terms of section 14.</p>	 <p><b>INFORMATION REGULATOR (SOUTH AFRICA)</b></p> <p><i>Ensuring protection of your personal information and effective access to information</i></p>
<p><b>PART D</b></p> <p><b>GENERAL INFORMATION NECESSARY FOR ASSESSMENT OF RISKS AND MEASURES IN PLACE</b></p>	
<p>Is the processing in compliance with all the conditions?</p> <p>If not, please confirm if the responsible party has obtained or applied for an exemption.</p>	<p>YES <input type="checkbox"/></p> <p>NO <input type="checkbox"/></p>

<p>Reasons why it is necessary to process the personal information</p>				
<p>Is the function or activity of the responsible party regulated by another regulatory body?</p> <p>If so, specify the regulatory body and proof of registration or authorisation to perform the function or activity must also be provided or attached.</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>			
<p>Please specify the categories of data subjects whose information will be or is being processed.</p>	<p>Employees / Prospective employees</p>	<p>Customers/ Prospective Customers</p>	<p>Children</p>	
	<p>Users</p>	<p>Students</p>	<p>Vulnerable adults</p>	
	<p>Subscribers</p>	<p>Patients</p>	<p>Other( specify)</p>	
<p>Estimated number of data subjects whose processing of their personal information is subject to prior authorisation.</p>				
<p>Has the staff member involved in the intended processing of personal information received Personal Information Protection training in the last 2 years? If so, please specify nature of the training.</p>				
<p>Has the organisation suffered any security compromise in the past three (3) months? If so, please specify-</p> <p>a) the nature of the breach;</p> <p>b) the preventative measures put in place; and</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>			

c) if the data subjects and the Regulator has been notified about the breach.	
Date on which business activities, which is subject to prior authorisation, of the responsible party commenced.	
Number of employees employed by the responsible party.	
Number of branches in South African and outside South Africa, if any.	
Number of Deputy Information Officers designated or delegated, if any.	

**PART E  
DECLARATION**

I declare that the information contained herein is true, correct and accurate.


**SIGNED** and **DATED** at \_\_\_\_\_ on this the \_\_\_\_\_ day of \_\_\_\_\_ **20**\_\_

\_\_\_\_\_  
**INFORMATION OFFICER**

## PART F

The following information is required for statistical purposes. Please choose a sector(s) that apply to your body.

GOVERNMENT			PUBLIC ENTITIES			PRIVATE BODY			PROFESSION		
Item	Name of Entity	X	Item	Name of Public Entity	X	Item	Name of Public Entity	X	Item	Type of profession	X
	National Government		1.	Constitutional Entities		1	Education		1	Legal	
	Provincial Government		2.	Schedule 2 Public Entity		2	Insurance		2	Built Environment	
	Local Government		3.	Schedule 3A Public Entity		3	Health Facilities		3	Financial	
<b>LEGISLATURE</b>			4.	Schedule 3B Public Entity		4	Telecommunications		4	Medical and Allied Health Services	
Parliament of the Republic of South Africa			5.	Schedule 3C Public Entity		5	Pharmaceutical		<b>OTHERS, Specify</b>		
			<b>OTHERS, specify</b>			6	Media And Social Media				
Gauteng Provincial Legislature			6.			7	Retail/Direct Marketing				
Western Cape Provincial Legislature						8	Tourism				

GOVERNMENT			PUBLIC ENTITIES	PRIVATE BODY			PROFESSION
Northern Cape Provincial Legislature				9	Transportation, Storage and Logistics		
Limpopo Provincial Legislature				10	Manufacturing/Production		
Northwest Provincial Legislature				11	Banks		
Free State Provincial Legislature				12	International Organizations		
Mpumalanga Provincial Legislature				13	Real Estate		
				14	Credit Bureaus		
Eastern Cape Provincial Legislature				OTHERS, specify			
Kwazulu-Natal Provincial Legislature							