



INFORMATION REGULATOR (SOUTH AFRICA)

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

STRATEGIC PLAN 2022/23 – 2026/27



**INFORMATION
REGULATOR
(SOUTH AFRICA)**

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

TABLE OF CONTENTS

LIST OF ABBREVIATIONS.....	2
FOREWORD BY THE CHAIRPERSON	3
STATEMENT OF THE CHIEF EXECUTIVE OFFICER	5
PART A: OUR MANDATE	7
1. Constitutional Mandate	7
2. Legislative Mandate.....	7
3. Institutional Policies and Strategies Over the Five-Year Planning Period	10
4. Relevant Court Cases	10
PART B: OUR STRATEGIC FOCUS	11
5. Vision	11
6. Mission.....	11
7. Values	11
8. Situational Analysis.....	12
8.1. External Environmental Analysis.....	13
8.2. Internal Environmental Analysis.....	13
Part C: MEASURING OUR PERFORMANCE.....	14
9. Institutional performance information	14
10. Explanation of enablers to achieve targets.....	17
11. Explanation of the outcome's contribution to the achievement of the impact.	18
12. Key risks and mitigations.....	19
13. Technical Indicator Descriptions	20



**INFORMATION
REGULATOR
(SOUTH AFRICA)**

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

LIST OF ABBREVIATIONS

MTSF	–	Medium Term Strategic Framework
NDP	–	National Development Plan
NT	–	National Treasury
PAIA	–	Promotion of Access to Information Act
PFMA	–	Public Finance Management Act
PESTEL	–	Political, Economic, Social, Technological, Environmental and Legal
POPIA	–	Protection of Personal Information Act
ICT	–	Information and Communication Technology

FOREWORD BY THE CHAIRPERSON

It is with great honour and privilege to be appointed for the second term to serve South Africa and its people as the Chairperson of the Information Regulator (Regulator). This comes after the President of the Republic of South Africa, His Excellency Mr Cyril Ramaphosa, confirmed the appointment of four (4) Members of the Regulator on 1 December 2021. The Members of the Regulator (Adv Weapond, Adv Stroom-Nzama, Ms Tilley and Mr Gwala) and I look forward to the implementation of vision 2027, which we have charted for the next 5 years (2022-2027). The Regulator made tremendous strides in its inaugural term. It devoted its energy to the establishments of the organisation and brought the remaining sections of the Protection of Personal Information Act (POPIA) into effect. Its dual mandate enshrined in POPIA and the Promotion of Access to Information Act (PAIA) is a catalyst in ensuring that the protection of personal information and the right of access to information are realised.

The vision of the Regulator is to be "a world-class institution in the protection of personal information and the promotion of access to information". We commit to realising this vision by striving for excellence, being responsive and serving the communities with impartiality. In the next five (5) years, we will strengthen the understanding of the two (2) pieces of legislation, POPIA and PAIA, to our stakeholders and the public. In doing so, we will respond diligently to the educational mandate of the Regulator provided for in section 40 of POPIA and in section 83 of PAIA. We will create awareness, especially amongst disadvantaged communities and provide education through training programmes. The public can only assert the protection of their personal information and



ADV. PANSY TLAKULA

exercise their right of access to information if they understand POPIA and PAIA. Furthermore, well trained public and private bodies will, in turn, be equipped to be in compliance with the legislation to ensure that these rights are protected and respected.

We have transitioned from the establishment phase and have now entered the phase for action by implementing the Regulator's constitutional and legislative mandates. We have clear priorities for the term, which will respond to the challenges faced by the public in so far as the protection of personal information and access to information are concerned. We seek to develop policies that will strengthen the implementation of our mandate. We will strengthen and maintain sound governance structures, such as Committees, which

FOREWORD BY THE CHAIRPERSON

will coordinate the formulation and monitoring of policies. We will catapult the Regulator's position at a global scale through continuous international cooperation. We will do so through the positions the Regulator holds in regional, international, and continental networks on the protection of personal information and access to information.

We have established a capable administrative team that will implement the strategic goals for the Regulator and will do so with the full support of the Executive Authority and through Committees. We will draw on our strengths to deliver on our mandate efficiently. We have an improved organisational structure and have filled critical vacancies with qualified staff. The coming into effect of the Regulator's enforcement powers will see the Regulator being able to effectively enforce POPIA and PAIA and provide complainants with effective remedies. This will protect the people from those who exploit or violate their constitutional rights.

During this period, we ultimately would like to see all persons being empowered to assert their right to privacy as it relates to the protection of personal information and their right of access to information.



Adv. Pansy Tlakula
Chairperson

STATEMENT OF THE CHIEF EXECUTIVE OFFICER

The Regulator Strategic Plan 2022 – 2027 presents a new impact statement which is our response to the realities of our strategic and operational environments. Our impact statement is *“all persons are empowered to assert their right to privacy, as it relates to protection of personal Information, and their right of access to information.”* Our vision remains the same, which is to become *“a world-class institution in the protection of personal information and the promotion of access to information.”* We implement this vision through our mission which is *“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 to protect the rights of everyone.”* Our vision and mission are deeply anchored in the Constitution, as well as in POPIA and PAIA, wherein we draw our mandate.

Established in 2016, the Regulator has evolved and grown rapidly as an institution. The Regulator has also seen improvements in its approach in ensuring respect, protection, enforcement and realisation of the right to privacy (as it relates to the protection of personal information) and the right of access to information. Having assumed our enforcement powers on 30 June 2021 (in respect of PAIA) and 1 July 2021 (in respect of POPIA), compliance monitoring and complaints investigation has commenced with pre-investigation as the main target in the 2021/2022 financial year.

The Regulator has made significant achievements in establishing its administration. During the 2021/2022 financial year, the Regulator received additional resources to carry out its mandate. The budget allocation was increased from R31,3 million in the 2019/20 financial year to R45,4 million in the 2020/21 financial year, and R69 million in the



MOSALANYANE MOSALA

2021/2022 financial year, enabling the Regulator to recruit employees to conduct the core business of the Regulator and carry out the requisite support services. It was a significant achievement that the Regulator was able to implement Phase Two (2) and begin the implementation of Phase Three (3) of the organisational structure wherein forty-four (44) positions were funded and filled. Phase Two of the human resources provisioning process saw the addition of twenty-one (21) funded positions in addition to the thirteen (13) positions which were filled as part of Phase One (1) of the implementation of the structure which had started in the financial year 2019/2021. Considering these additional resources, as the Regulator, we can now broaden our outcome indicators in terms of this strategy to cover the broad areas of work that we never covered before.

STATEMENT OF THE CHIEF EXECUTIVE OFFICER

We plan to achieve our impact through the following outcome indicators:

1. Percentage of complaints received investigated and finalised
2. The number of targeted responsible parties monitored on compliance
3. Percentage of the nationally-representative sample of the population who are aware of their right to privacy (as it relates to the protection of personal information)
4. Percentage of the nationally-representative sample of the population who are aware of their right of access to information
5. The number of education programmes conducted to promote the protection of personal information and access to information

We believe that these outcome indicators will enable the Regulator to successfully chart the path towards ensuring that *“all persons are empowered to assert their right to privacy, as it relates to protection of personal information, and their right of access to information.”*



Mosalanyane Mosala
Chief Executive Officer

Part A: OUR 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 The core functions in terms of POPIA are:

- 2.1.1 To provide education by:

- 2.1.1.1 Promoting an understanding and acceptance of the lawful processing of personal information.
- 2.1.1.2 Undertaking educational programmes.
- 2.1.1.3 Making public statements.
- 2.1.1.4 Providing advice.

- 2.1.2 To monitor and enforce compliance by:

- 2.1.2.1 Public and private bodies.
- 2.1.2.2 Undertaking research and monitoring developments in information processing and computer technology.
- 2.1.2.3 Examining proposed legislation, subordinate legislation, policies and providing a report on the results of the examination to the Minister and Parliament.
- 2.1.2.4 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.
- 2.1.2.5 Conducting assessments in respect of the processing of personal information.
- 2.1.2.6 Monitoring the use of unique identifiers and reporting to Parliament.
- 2.1.2.7 Maintaining and publishing copies of the registers prescribed in POPIA.
- 2.1.2.8 Examining proposed legislation that makes provision for the collection and disclosure of personal information and providing the report of the results of the examination to the Minister.

PART A: OUR MANDATE

- 2.1.3 To consult with interested parties by:
 - 2.1.3.1 Inviting and receiving representations.
 - 2.1.3.2 Co-operating on a national and international basis with other bodies concerned with the protection of personal information.
 - 2.1.3.3 Acting as a mediator between opposing parties.
 - 2.1.4 To handle complaints by:
 - 2.1.4.1 Receiving and investigating complaints.
 - 2.1.4.2 Gathering information.
 - 2.1.4.3 Attempting to resolve complaints through dispute resolution mechanisms.
 - 2.1.4.4 Serving notices.
 - 2.1.5 To conduct research on:
 - 2.1.5.1 The desirability of acceptance of international instruments relating to the protection of personal information,
 - 2.1.5.2 Any other matter that should be drawn to Parliament's attention.
 - 2.1.6 In respect of codes of conduct to:
 - 2.1.6.1 Issue, amend or revoke codes of conduct.
 - 2.1.6.2 Make guidelines to assist bodies to develop or apply codes of conduct
 - 2.1.6.3 Consider determinations by adjudicators under approved codes of conduct.
 - 2.1.7 The Regulator is mandated to facilitate cross border cooperation in the enforcement of the privacy laws.
- 2.2 The core functions in terms of PAIA are:
- 2.2.1 In respect of complaints to:
 - 2.2.1.1 Consider a complaint after the internal appeal procedures have been exhausted.
 - 2.2.1.2 Receive written complaints or provide assistance to a person who wishes to make a complaint in writing.
 - 2.2.2 In respect of investigations to:
 - 2.2.2.1 Investigate complaints and, during an investigation, serve an information notice to the Information Officer or head of a private body.
 - 2.2.2.2 Refer a complaint to the enforcement committee; or
 - 2.2.2.3 Decide to take no action on the complaint; or
 - 2.2.2.4 Attempt to settle a complaint through conciliation.
 - 2.2.2.5 Issue enforcement notices after considering the recommendation of the enforcement committee.

PART A: OUR MANDATE

- 2.2.3 The Regulator is also mandated in terms of POPIA to,
 - 2.2.3.1 Issue notices.
 - 2.2.3.2 Make assessments on whether public and private bodies comply with the provision of PAIA.
- 2.3 In respect of additional functions, to:
 - 2.3.1 Compile and make available a guide in an easily comprehensible form and manner, as may reasonably be required by a person who wishes to exercise any right contemplated in PAIA and POPIA.
 - 2.3.2 The extent that financial and other resources are available to:
 - 2.3.2.1 Develop and conduct educational programmes, in particular for disadvantaged communities, on how to exercise the rights contemplated in this Act.
 - 2.3.2.2 Encourage public and private bodies to participate in the development and conduct of educational programmes and to undertake such programmes themselves.
 - 2.3.2.3 Promote timely and effective dissemination of accurate information by public bodies about their activities.
 - 2.3.3 Identify gaps in PAIA or any other laws and make recommendations to reform or amend PAIA or any other laws.
 - 2.3.4 Make recommendations for:
 - 2.3.4.1 The development, improvement, modernisation, reform or amendment of PAIA or other legislation or common law having a bearing on access to information held by public and private bodies, respectively.
 - 2.3.4.2 Procedures on how private and public bodies make information available electronically.
 - 2.3.5 Monitor implementation of PAIA.
 - 2.3.6 If reasonably possible, on request, assist any person wishing to exercise a right of access to information under PAIA.
 - 2.3.7 Train Information Officers and Deputy Information Officers.
 - 2.3.8 Recommend to a public or private body to make changes in how it administers PAIA, as the Regulator considers advisable.
 - 2.3.9 Consult with and receive reports from public and private bodies on problems encountered in complying with PAIA.

PART A: OUR MANDATE

- 2.3.10 Obtain advice from, consult with, and consider proposals or recommendations from parties in connection with the Regulator's functions.
- 2.3.11 Request the Public Protector to submit to the Regulator a report on the number of complaints processed relating to PAIA and the nature and outcome of those complaints.
- 2.3.12 Enquire into any matter including any legislation, the common law, any practice and procedure related to the objects of PAIA.
- 2.3.13 Submit, in its annual reports to the National Assembly, information contemplated in section 84 of PAIA.

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

- 3.1 In relation to contribution to National Development Plan and the seven priorities set in the Medium Term Strategic Framework (MTSF), the Regulator does not contribute directly towards any of the outcomes in the National Development Plan (NDP). However, it supports democracy through the protection and promotion of two (2) rights, which are enshrined in sections 14 and 32 of the Constitution.

4. Relevant Court Cases

- 4.1 My Vote Counts NPC v President of the Republic of South Africa and Others 2018 (2) SACR 644 (WCC).
- 4.2 My Vote Counts NPC v Minister of Justice and Correctional Services and Another 2018 (8) BCLR 893 (CC); 2018 (5) SA 380 (CC).
- 4.3 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).
- 4.4 Black Sash Trust v Minister of Social Development and Others (Freedom Under Law Intervening) 2017 (3) SA 335 (CC); 2018 (12) BCLR 1472 (CC).
- 4.5 Arena Holdings (Pty) Ltd. T/A Financial Mail and Others v South African Revenue Services and Others case number 88359/19.
- 4.6 Economic Freedom Fighters v Matamela Cyril Ramaphosa and Others case number 36809/20.

Part B: OUR STRATEGIC FOCUS

5. Vision

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

6. Mission

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

7. Values

The Regulator is committed to the values of transparency, accountability, integrity, excellence, impartiality and responsiveness in each of these dimensions as follows:

Transparency

We are open about our processes and decisions that affect members of the public and the Regulator.

Accountability

We take accountability by owning the decisions we make, using work resources responsibly and appropriately, sharing and disclosing information as intended in accordance with POPIA and PAIA.

Integrity

We act honestly, openly and consultatively in the performance of our work and use our positions fairly and responsibly.

Excellence

We strive for excellence by exceeding standards for service delivery to public and private bodies.

Impartiality

We act in the best interests of the public and our staff by making fair, unbiased and objective decisions based on facts and without fear, favour or prejudice.

Responsiveness

We strive to respond to all requests timeously while being attentive to expressed and unexpressed needs.

8. Situational Analysis

8.1 External Environmental Analysis

Political, Economic, Social, Technological, Environmental and Legal (PESTEL) analysis was also considered to give an analysis of external factors or environment that have the potential to impact the implementation of the strategic plan.

PESTEL ¹	THREATS (EXTERNAL)	IMPLICATIONS FOR THE REGULATOR	OPPORTUNITIES (EXTERNAL)	IMPLICATIONS FOR THE REGULATOR
Political	The listing of the Regulator in the Public Finance Management Act (PFMA)	Independence could be compromised	<ul style="list-style-type: none"> New policies and legislation can influence, functional, efficient and integrated State Policies and bills that are aligned to the mandate of the Regulator 	Collaboration with other entities to enhance implementation of the Regulator’s mandate
Economic	The increase in the country’s national debt	The increase in the country’s national debt may lead to budget cuts, which will have implications on the budget of the Regulator	Government initiatives and programmes to revive the economy	There would be more work for Regulator
Social	<ul style="list-style-type: none"> High unemployment levels Limitations that arise out of the disasters (e.g. Covid 19) 	<ul style="list-style-type: none"> High security compromise complaints Inability to execute the Regulator’s mandate efficiently Inaccessibility of the Regulator’s services 	Increased advocacy around security measures and building resilience	Increased resources to increase advocacy
Technological	Rapid advancing technology	Cyber security risks and the Regulator’s inability to keep abreast with technologies	Ability to leverage the technology to support access to information and protection of personal information	Ability to adapt to the changes
Environmental	Global Warming	Create a conducive working environment	Opportunity to adopt a green posture as an organisation	Business continuity
Legal	Low level of compliance and understanding of the legislation	Increased number of complaints	Public awareness programmes and stakeholder engagements should be undertaken	Improved level of compliance

¹ PESTEL stands for Political, Economic, Social, Technological, Environmental & Legal.

8.2 Internal Environmental Analysis

In an endeavour to better understand the environment within which the Regulator operates, the strengths and weaknesses are analysed below:

STRENGTHS	<ul style="list-style-type: none"> An approved organisational structure that is aligned to our mandate Critical vacancies filled The Regulator has effective enforcement powers Qualified staff A dual mandate of the Regulator encourages a careful balancing of the rights to privacy and access to information in the execution of its mandate
WEAKNESSES	<ul style="list-style-type: none"> Human resource capacity in some areas Information and Communication Technology (ICT) infrastructure Inadequate office space Inaccessibility of the Regulator Inadequate processes Lack of approval of policies for the Regulator

Part C: MEASURING OUR PERFORMANCE

9. Institutional performance information

Impact statement

All persons are empowered to assert their right to privacy, as it relates to protection of personal Information, and their right of access to information.

OUTCOME	OUTCOME INDICATOR	BASELINE 2021/22	PERFORMANCE TARGETS OVER THE MEDIUM-TERM PERIOD				
			2022/23	2023/24	2024/25	2025/26	2026/27
Personal information protected and Access to information promoted	Percentage of complex complaints received, investigated and finalised. (POPIA)	0%	50% of complex complaints received, investigated and finalised	60% of complex complaints received, investigated and finalised	70% of complex complaints received, investigated and finalised	80% of complex complaints received, investigated and finalised	80% of complex complaints received, investigated and finalised
	Percentage of simple complaints received, investigated and resolved. (POPIA)	0%	100% of simple complaints received, investigated and resolved	100% of simple complaints received, investigated and resolved	100% of simple complaints received, investigated and resolved	100% of simple complaints received, investigated and resolved	100% of simple complaints received, investigated and resolved
	Percentage of complex complaints received, investigated and finalised. (PAIA)	0%	50% of complex complaints received, investigated and finalised	60% of complex complaints received, investigated and finalised	70% of complex complaints received, investigated and finalised	80% of complex complaints received, investigated and finalised	80% of complex complaints received, investigated and finalised
	Percentage of simple complaints received, investigated and resolved. (PAIA)	0%	100% of simple complaints received, investigated and resolved	100% of simple complaints received, investigated and resolved	100% of simple complaints received, investigated and resolved	100% of simple complaints received, investigated and finalised	100% of simple complaints received, investigated and resolved
	Percentage of the nationally representative sample of the population who are aware of their right to privacy (as it relates to protection of personal information)	0%	5%	10%	15%	20%	25%

OUTCOME	OUTCOME INDICATOR	BASELINE 2021/22	PERFORMANCE TARGETS OVER THE MEDIUM-TERM PERIOD				
			2022/23	2023/24	2024/25	2025/26	2026/27
Personal information protected and Access to information promoted	Percentage of the nationally representative sample of the population who are aware of their right of access to information	0%	5%	10%	15%	20%	25%
	Number of education programmes conducted to promote protection of personal information	0	7	9	9	11	11
	Number of education programmes conducted to promote Access to information	0	7	9	9	11	11

10. Explanation of enablers to achieve targets

OUTCOME	EXPLANATION OF ENABLERS TO ACHIEVE TARGETS
Access to information promoted	<p>10.1 Recent significant amendments of PAIA require the Regulator to develop and conduct educational programmes to advance the public understanding, particularly the disadvantaged communities, of how to exercise their constitutional rights of access to any information held by the public or private bodies.</p> <p>10.2 The Regulator is currently using an ineffective manual system to manage or handle complaints. The Regulator intends to deploy, in this current financial year, the Complaints Management System to ensure:</p> <p>10.2.1 Proper management of records electronically.</p> <p>10.2.2 The integrity and confidentiality of information to prevent loss of damage to or unauthorised destruction of information and unlawful access to, or processing of, information.</p> <p>10.2.3 An efficient complaints management process.</p> <p>10.3 The approval of the Compliance, Monitoring and Enforcement Framework will provide the foundation for the Regulator's mandate to promote the creation of records timely and effective dissemination of accurate information by public and private bodies.</p> <p>10.4 The establishment and efficiencies of the Enforcement Committee and human resource capacity. The achievement of the above mentioned outcomes will go a long way in ultimately achieving the constitutional right of access to any information held by a public or private body.</p> <p>10.5 Agreements with training service providers and universities on partnerships with the Regulator to develop and provide educational programmes on PAIA.</p>
Personal Information Protected	<p>10.6 The POPIA Compliance, Monitoring and Enforcement Framework, once approved, will provide a foundation for the Regulator's mandate to effectively promote the protection of personal information and dissuade responsible parties from unlawfully processing the personal information of data subjects.</p> <p>10.7 Agreements with training service providers and universities on partnerships with the Regulator to develop and provide educational programmes on POPIA.</p>

11. Explanation of the outcome’s contribution to the achievement of the impact.

- 11.1. The selected outcome indicators focus on the Regulator's mandate, which is derived from section 32 of the Constitution, and which guarantees the right of access to any information held by the public and private bodies to everyone. The Regulator intends to measure the;
- 11.1.1. Percentage of complaints received, investigated and finalised within the prescribed timeframes, as a determinant that records are timely and effectively disseminated by public and private bodies.
- 11.1.2. Number of targeted public and private bodies monitored on compliance to ascertain the effectiveness of compliance initiatives undertaken and measures taken against public and private bodies.
- 11.2. The outcomes chosen frame the Regulator's work as stimulating the demand side (the public) to exercise their rights to enhance the supply side (holders of public and personal information) through competent responses to the public's demands. An assertive demand side (the public) and a capable supply side (responsible parties, public and private bodies) mean personal information is protected, and access to information is promoted. If the public is aware of their information rights, they will assert them and seek to protect them through enabling legislation such as POPIA and PAIA. Assertion of these rights by the public naturally forces the information holders to enhance their capacity to meet the demand.
- 11.3. Section 14 of the Constitution of the Republic of South Africa guarantees the right of privacy of every person, and the Regulator is mandated to promote the protection of personal information of data subjects. These outcomes were specifically chosen to enable the Regulator to carry out its mandate further. The Regulator intends to, firstly, 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 any infringement thereof. Secondly, the Regulator will monitor compliance of targeted responsible parties with the requirements of POPIA.

12. Key risks and mitigations

OUTCOME	KEY RISKS	RISK MITIGATION
Personal information protected and access to information promoted	Misinterpretation of legislation	<ul style="list-style-type: none"> Guidance notes to be developed Training of staff. Increased public awareness and stakeholder engagements Keep abreast with the current law Use the online library and conduct adequate research
	Inadequate enforcement powers	Full establishment of an Enforcement Committee and approval of the rules of procedure relating to the manner in which a complaint must be referred to the Enforcement Committee.
	Backlog of complaints	Funding secured from the National Treasury (NT) to fill prioritised positions on a phased-in approach over the MTSF period.
	Inadequate compliance monitoring	<ul style="list-style-type: none"> Approval of Compliance, Monitoring and Enforcement Framework Develop and implement Compliance Monitoring Plan
	Ineffective stakeholder engagements	Adoption of a stakeholder engagement policy that binds all members and staff of the Regulator to agreed standards, procedures and conduct in stakeholder engagement management.
	Ineffective education and awareness	Conclusion of partnership agreements with other public agencies and training service providers on the delivery of education awareness programmes.
	Successful/Unsuccessful management of litigation	<ul style="list-style-type: none"> Ensuring that parties are held accountable in court proceedings for abuse and delays of court processes Transparent and accountable decision making Procuring a digitised practice management system Effective management and monitoring of all litigation work
	Inability to deliver on goods and services by suppliers	Monitoring of purchase orders and adherence to Terms and Conditions of Contract for the supply of goods and services for the Regulator.
	Non-compliance to Legislation/Negative Audit Outcomes	Compliance to laws and regulations by monitoring, supervision and review by suitable qualified, skilled, knowledgeable and experienced Senior Managers in Finance and SCM as per the approved but unfunded human resource plan.
	High staff turnover	Implementation of the staff retention policy.
Inability to back up and continue services/business continuity disruptions	<ul style="list-style-type: none"> Medium Term – ICT to budget and plan for a backup solution in the next financial year Long Term – ICT to establish a disaster recovery site 	

13. Technical Indicator Descriptions

INDICATOR TITLE	PERCENTAGE OF COMPLEX POPIA COMPLAINTS RECEIVED, INVESTIGATED AND FINALISED.
Definition	The indicator measures the percentage of complex complaints received, investigated and finalised within the stipulated or prescribed turnaround times.
Source of data	<ul style="list-style-type: none"> Complaints form Complaints register
Method of calculation/assessment	Number of complaints finalised divided by the total number of complaints received multiplied by one hundred (100).
Means of verification	<ul style="list-style-type: none"> Case files <ul style="list-style-type: none"> Investigation reports Settlement agreements Enforcement notices and rulings of members as applicable
Assumptions	<ul style="list-style-type: none"> The Regulator will receive complaints The Enforcement Committee is fully functional and operating efficiently
Disaggregation of beneficiaries (where applicable)	N/A
Spatial transformation (where applicable)	N/A
Calculation type	Non-cumulative
Reporting cycle	Quarterly
Desired performance	Exceed the annual target
Indicator responsibility	Executive: POPIA

INDICATOR TITLE	PERCENTAGE OF SIMPLE POPIA COMPLAINTS RECEIVED, INVESTIGATED AND RESOLVED.
Definition	The indicator measures the percentage of simple complaints received and resolved through settlement or conciliation process within the stipulated or prescribed turnaround times.
Source of data	<ul style="list-style-type: none"> Complaints form Complaints register
Method of calculation/assessment	Number of simple complaints resolved divided by the total number of simple complaints received multiplied by one hundred (100).
Means of verification	<ul style="list-style-type: none"> Investigation files Settlement certificates Conciliation certificate
Assumptions	<ul style="list-style-type: none"> The Regulator will receive complaints
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial transformation (where applicable)	N/A
Calculation type	Non-cumulative
Reporting cycle	Annually
Desired performance	Exceed annual targets for each of the five years.
Indicator responsibility	Executive: POPIA

PART C: MEASURING OUR PERFORMANCE

INDICATOR TITLE	PERCENTAGE OF COMPLEX PAIA COMPLAINTS RECEIVED, INVESTIGATED AND FINALISED.
Definition	The indicator measures the percentage of complex complaints received, investigated and finalised within the stipulated or prescribed turnaround times.
Source of data	<ul style="list-style-type: none"> Complaints register
Method of calculation/ assessment	Number of complex complaints finalised divided by the total number of complaints received multiplied by one hundred (100).
Means of verification	<ul style="list-style-type: none"> Investigation reports Investigation files Settlement certificates Enforcement notices Rulings of the members
Assumptions	<ul style="list-style-type: none"> The Regulator will receive complaints The Enforcement Committee is fully functional and operating efficiently
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial transformation (where applicable)	N/A
Calculation type	Cumulative
Reporting cycle	Annually
Desired performance	Exceed annual targets for each of the five years.
Indicator responsibility	Executive: PAIA

PART C: MEASURING OUR PERFORMANCE

INDICATOR TITLE	PERCENTAGE OF SIMPLE PAIA COMPLAINTS RECEIVED, INVESTIGATED AND RESOLVED.
Definition	The indicator measures the percentage of simple complaints received and resolved through settlement or conciliation process within the stipulated or prescribed turnaround times.
Source of data	<ul style="list-style-type: none"> Complaints register
Method of calculation/ Assessment	Number of simple complaints resolved divided by the total number of simple complaints received multiplied by one hundred (100).
Means of verification	<ul style="list-style-type: none"> Investigation files Settlement certificates Conciliation certificate
Assumptions	<ul style="list-style-type: none"> The Regulator will receive complaints
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial transformation (where applicable)	N/A
Calculation type	Non-Cumulative
Reporting cycle	Annually
Desired performance	Exceed annual targets for each of the five years.
Indicator responsibility	Executive: PAIA

INDICATOR TITLE	PERCENTAGE OF THE NATIONALLY REPRESENTATIVE SAMPLE OF THE POPULATION WHO ARE AWARE OF THEIR RIGHT TO PRIVACY.
Definition	This indicator measures the percentage of respondents within a (specified) nationally representative sample of the population that indicates awareness about their right to privacy (as it relates to protection of personal information).
Source of data	<ul style="list-style-type: none"> Completed survey questionnaires
Method of calculation/ assessment	The total number of respondents that indicate awareness about their right to privacy divided by the total number of the sample population multiplied by one hundred (100).
Means of verification	<ul style="list-style-type: none"> Proposal and survey report
Assumptions	<ul style="list-style-type: none"> Potential respondents will be willing to participate in the survey Timeously approved research proposal
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial transformation (where applicable)	N/A
Calculation type	Cumulative
Reporting cycle	Annually
Desired performance	We desire that at least 50% of the sample will be aware of their right to privacy (as it relates to protection of personal information).
Indicator responsibility	Executive: Education & Communication

INDICATOR TITLE	PERCENTAGE OF THE NATIONALLY REPRESENTATIVE SAMPLE OF THE POPULATION WHO ARE AWARE OF THEIR RIGHTS OF ACCESS TO INFORMATION.
Definition	This indicator measures the percentage of respondents within a (specified) nationally representative sample of the population that indicates awareness about their right of access to information.
Source of data	<ul style="list-style-type: none"> Completed survey questionnaires
Method of calculation/ assessment	The total number of respondents that indicate awareness about access to information divided by the total number of the sample population multiplied by one hundred (100).
Means of verification	<ul style="list-style-type: none"> Proposal and survey report
Assumptions	<ul style="list-style-type: none"> Potential respondents will be willing to participate in the survey Timeously approved research proposal
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial transformation (where applicable)	N/A
Calculation type	Cumulative
Reporting cycle	Annually
Desired performance	We desire that at least 50% of the sample will be aware of their right of access to information.
Indicator responsibility	Executive: Education & Communication

PART C: MEASURING OUR PERFORMANCE

INDICATOR TITLE	NUMBER OF EDUCATION AND TRAINING PROGRAMMES CONDUCTED FOR THE PUBLIC TO PROMOTE PROTECTION OF PERSONAL INFORMATION.
Definition	This indicator measures the number of education programmes conducted for the public to promote the protection of personal information.
Source of data	<ul style="list-style-type: none"> Attendance registers for each programme conducted
Method of calculation/assessment	<ul style="list-style-type: none"> Simple count of education programmes conducted
Means of verification	<ul style="list-style-type: none"> Materials developed and approved Evaluation form Training reports Photographs/pictorial reports
Assumptions	The targeted audience will be responsive to the sessions scheduled and to be conducted.
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial transformation (where applicable)	N/A
Calculation type	Cumulative
Reporting cycle	Annually
Desired performance	Education programmes will be effective and promote compliance by responsible parties and empower the public to take active measures to protect their personal information.
Indicator responsibility	Executive: Education & Communication

PART C: MEASURING OUR PERFORMANCE

INDICATOR TITLE	NUMBER OF EDUCATION AND TRAINING PROGRAMMES CONDUCTED FOR THE PUBLIC TO PROMOTE ACCESS TO INFORMATION.
Definition	This indicator measures the number of education programmes that are conducted for the public to promote access to information.
Source of data	<ul style="list-style-type: none"> Attendance registers per each programme conducted
Method of calculation/assessment	<ul style="list-style-type: none"> Simple count of education programmes conducted
Means of verification	<ul style="list-style-type: none"> Materials developed and approved Evaluation form Training reports Photographs/pictorial reports
Assumptions	The targeted audience will be responsive to the sessions scheduled and to be conducted.
Disaggregation of Beneficiaries (where applicable)	N/A
Spatial transformation (where applicable)	N/A
Calculation type	Cumulative
Reporting cycle	Annually
Desired performance	Education programmes planned will be effective and will promote compliance by public and private bodies and empower the public to take active measures to protect their right of access to information.
Indicator responsibility	Executive: Education & Communication



**INFORMATION
REGULATOR**
(SOUTH AFRICA)

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

27 Stiemens Street, JD House, Braamfontein, Johannesburg, 2001
Tel: 010 023 2000 • E-mail: enquiries@inforegulator.org.za