**[company name]**

**POPI Act Compliance Preparation Project**

**Advice on Personal Information identification as preparation to completion of the**

**Personal Information Diagnostic assessment tool**

**Objective**

To identify personal information processed by **[company name]** in order to process that information to the requirements of the POPI Act.

**Method**

Please refer to the contents of this document as you start to identify personal information which is processed in your area. To complete the diagnostic exercise please come to the work session with samples of the personal information processed.

These samples could include but are not limited to:

* Paper source documents
* Screen-shots or print-outs of online systems
* Sample reports
* Sample spreadsheet tables
* System held information structures available as a print-out of record structures
* Information dictionary print-outs for key records

The information samples that you bring to the work session will be used to populate the Personal Information Diagnostic Tool with what you provide and other “metadata” or information about the information.

**We suggest that you prioritise your efforts in the following areas**

* Where the volumes of the information are highest
* Where the impact of the failure to protect would be greatest
* Where the failure to protect the information would involve

**Potential sources of information**

Please think broadly about the potential sources of information in your area of responsibility. These include but is not limited to those on the list below

* Audio information capture e.g. over the phone recordings, through call centre recording applications
* Video information capture e.g. through CCTV cameras, through video conference recordings form apps such as Skype, Zoom, Google Hangouts
* Paper-based source documents e.g. all types of forms completed by a information subject, records of despatch and receipt
* Computer based information capture e.g. from direct interaction with the information subject via online forms, by capture of a voice conversation
* Electronic file transfer e.g. from an external source such as bulk information captured by a service provider, emails received and sent
* Personal information captured into informal record systems such as text documents, spreadsheets, presentations
* Scanned images of original documents e.g. copies of ID documents, passports, birth certificates, education records

**Potential formats of information**

Please think broadly about the formats in which you might store personal information in your area of responsibility. Such formats include but is not limited to those on the list in Appendix 1 below

**Potential source documents**

Personal information might be captured in one or more of the documents listed in Appendix 2 which is provided to prompt you when looking for possible areas where documents might contain personal information.

**Potential fields of personal information**

The POPI Act definition of personal information (information) appears in Chapter 1. Examples of possible personal information fields are shown in Appendix 3 below.

**Appendix 1 sample document formats**

* Address books (in personal Outlook or other mail tools or on paper
* Biometrics
* Books
* Completed paper documents (all types of forms from expense claims to applications for employment)
* Computer application files
* Drawing
* Electronic correspondence (emails)
* Fax documents
* Film
* Graphs
* Labels of various types
* Maps
* Microfiche
* Paper correspondence
* Photographs
* Presentations
* Scanned images of documents (popular in areas like insurance)
* Sound recordings such as at a call centre
* Spreadsheets of all types which have PI
* Video images (CCTV cameras)
* Word docs which have Personal Information such as proposals & contracts

**Appendix 2 sample source documents**

**Corporate Secretariat and Governance Record Name**

* Power of attorney, stop notices & similar court orders
* Returns, notices, reports, statements or minutes lodged with the Registrar
* Accounting records of stock of brokers & carrier against shares
* Allotment certificates
* Allotment letters
* Annual Financial Statements – Annual accounts, Directors report, Auditors report
* Annual Reports
* Annual return & supporting documents
* Anti-avoidance, exemptions and substantial compliance
* Applicable Statutory Documents
* Application forms
* Branch Register
* Cancelled share certificate forms
* Cancelled share or debenture certificates & balance receipts
* Certificate of Change of Name
* Certificate of Incorporation
* Certificate to Commence Business (if any)
* Change of address – notification
* Claim reports & accident reports
* Copies of Accounting Records as required by the Act
* Copies of Annual Financial Statements
* Copies of reports presented at the Annual General Meeting of the company
* Corporate Social Investment
* Fraud alerts and whistle blowing
* Health & Safety Records
* Investment records
* Letters of indemnity for lost share certificates
* List of members
* Minutes and resolutions of Directors’ meetings, audit committee and Directors’ committees
* Notice and minutes of all Shareholders Meeting including: Resolutions Adopted and Documents made available to holders of securities
* Public Corporate Records
* Record of Meetings
* Record of Directors and past Directors
* Records of proceedings relating to the justification of a compliant
* Records relating to the appointment of directors/ auditor/ secretary/public officer and other officers
* Redemption/conversion discharge forms of endorsed certificates
* Register of Company Secretary and Auditors
* Register of directors & officers
* Registration certificate
* Share Certificates
* Share Register and other statutory registers
* Share Registration Records
* Statutory Returns to Relevant Authorities
* Transfer of marketable securities
* Written communication to holders of securities

**Finance and Taxation Record Name**

* Accounting Records
* Ancillary books of account and supporting schedules
* Annual financial statement working papers
* Annual financial statements
* Audit reports, working papers, statements, correspondence, books or other documents in the possession or under the control of a registered
* Cheques
* Correspondence: · General · Accounting related
* Creditors invoices and statements
* Creditors ledgers
* Debtor's ledgers
* Debtors statements
* Deposit slips
* Documents issued to employees for income tax purposes
* Electronic banking records
* Income tax required records
* Income Tax Returns
* Journals (books & vouchers)
* Management Reports
* Outstanding Tax Returns
* PAYE Records
* Payment History
* Purchase invoices (with supporting documentation)
* Purchase journals (with supporting documentation)
* Records of certain sales of property
* Records of importation of goods and documents bill of entry, or other documents prescribed by the Custom and Excise Act
* Records of payments made to SARS on behalf of employees
* Records of subscriptions or levies paid by members
* Rental Agreements
* Risk Management and Insurance
* Sales invoices (with supporting documentation)
* Sales journal
* Shipping documents
* Skills Development Levies Returns
* Submitted Tax Returns
* Tax Records and Returns
* Tax returns and assessments
* Transaction Records
* Treasury Dealing
* UIF Returns
* VAT Returns
* Waybills
* Working papers, statements, correspondence, books or other documents in the possession or under the control of a registered auditor
* Workmen’s Compensation Returns
* Year-end working papers

**Personnel Documents and Records Record Name**

* Accident books and records
* All personal information
* All records of training given to an employee in terms of the lead regulation
* Application for jobs - unsuccessful
* Arbitration award records (CCMA, Bargaining Councils, Private Arbitrations etc)
* CV’s, application details
* Date of birth of any employee under 18 years of age
* Disciplinary Records
* Employee Benefit Records
* Employee Information
* Employee’s name and occupation
* Employment Contracts
* IP assignment & confidentiality agreement with staff
* IRP5’s
* Leave Records
* Letters of Appointment and Employment Contracts
* Medical records
* PAYE Returns
* Payroll Reports
* Pension and Retirement Funding Records
* Performance Records
* Personal Records
* Record of any third party to whom the information was disclosed
* Records for each employee specifying the nature of any disciplinary transgressions, the actions taken by the employer and the reasons for the actions
* Remuneration paid to each employee
* Salary revision schedules
* SETA Records
* Skills Development
* Study Assistance Scheme/s
* Tax returns (employee tax)
* Time records
* Training and Development
* Wage and salary records

**Information Technology and Infrastructure Record Name**

* All personal information of internal users

**Intellectual Property Record Name**

* Patent agreement with staff

**Corporate Affairs and Investor Relations / Communications Record Name**

* Client Events
* Newsletters and Publications
* Police investigations and cases
* Subpoenas

**Sales, Marketing and Communication Record Name**

* Proposals and Tenders
* Prospect and customer records of all types

**Business Interactions with other entities Record Name**

* Customer Contracts (after expiry of contract)
* Customer Credit vetting
* Customer Satisfaction (after expiry of contract)
* Service Level Agreements

**Administrative Record Name**

* Correspondence with internal and external parties

**Appendix 3 Sample personal information fields**

These are examples given in the POPI Act plus other relevant fields based on the POPI Act definition.

* first name
* surname
* email address
* office phone
* cell phone
* fax number
* postal address
* Skype ID
* LinkedIn Id
* Twitter ID
* Facebook Id
* physical address
* GPS location of address
* billing address
* shipment address
* user name
* user id
* account name
* account number
* sex (Male/Female)
* marital status
* nationality
* social origin
* age
* language
* birth
* education
* financial history
* employment history
* personal opinions, view or preferences
* private correspondence sent by the person
* views or opinions of another about the person
* name with other personal information
* name leads to other information

These fields are deemed to represent “Special Personal Information” and are subject to more rigorous control

* race
* pregnancy status
* ethnic origin
* colour
* sexual orientation
* physical health
* mental health
* well-being
* disability
* religion
* conscience
* belief
* culture
* medical history
* criminal history
* biometric information
* Under 16 records (Y/N)