[company name]

Consider Phase Integrated Assessments Report Template

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Report date:

Reviewers list:

Approval list:

Document version control:

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# Objective

this report supports the integration and review of the POPI Act compliance assessments which have been undertaken.

# Introduction to the report

This report provides an integrated review of the multiple POPI compliance assessments which have taken place across [company name] since the POPI project kick-off meeting was held on [insert date].

## POPI Act compliance project context

This project forms part of the preparation by [company name] for compliance with the Protection of Personal Information Act, no. 4 of 2013. This project has approval from [company name] Executive Committee and forms part of the [company name] overall Risk and Audit Committee scope of work.

## IACT-Africa POPI Methodology

IACT-Africa has been engaged as the lead POPI compliance consultant for this project. Their methodology is being used on this project and has four main phases as indicated below:

* Initiate Phase. Status: [insert status]. This included projection kick-off; project charter and appointment letter for the Information Officer and deputy; development of the project plan, including identification of project stakeholders;
* Assess Phase. Status: [insert status]. This included the use of multiple POPI compliance assessment tools supplied by IACT-Africa as shown below in Table 1;
* Consider Phase. Status: [insert status]. This report forms the main part of this phase along with a review of the report and agreement on recommended actions;
* Translate Phase. Status: [insert status]. Full completion is expected by [insert date].

# Objectives of this report

* Summarise the assessment findings: see Table 1 and detailed discussion in section 5;
* Present alternatives for remedial action: see section 5
* Initiate an action plan for remediation: see section 6

# Assessments completed

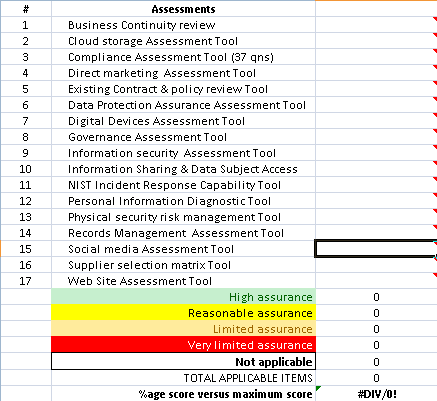
Table 1 shows the list of assessments available and completed at the time of writing this report.

Table 1 Assessments completed to date

|  |  |  |
| --- | --- | --- |
| **Item #** | **Assessments** | **Assessments completed by** |
| 1 | Business Continuity Assessment |  |
| 2 | Cloud Services Assessment |  |
| 3 | Compliance Assessment Tool (37 questions - alignment with the Act) |  |
| 4 | Data Protection Assurance Assessment |  |
| 5 | Digital Devices Risk Assessment |  |
| 6 | Direct marketing Assessment |  |
| 7 | Existing contracts and policies Assessment |  |
| 8 | Incident response capability Assessment |  |
| 9 | Information security Assessment |  |
| 10 | Information Sharing & Data Subject Access |  |
| 11 | Personal Information Diagnostic Assessment |  |
| 12 | Physical security and site access Assessment |  |
| 13 | POPI Governance Assessment |  |
| 14 | Records Management Assessment |  |
| 15 | Social media Assessment |  |
| 15 | Supplier Selection matrix Assessment |  |
| 16 | Web site review |  |

Table 2 Assessments output summary

Note: insert assessments output from Assessments and Impact Summary, sample shown



In summary, [add appropriate comments].

# Further assessments to be completed

[add comments if not all assessments completed]

# [company name] Risk Appetite

In light of the assessments completed the [company name] Risk Appetite should be used when determining the balance between the cost of reducing the risks identified and the benefits of addressing the risks. This approach also applies to any residual risk once the remediation action has been taken. During the review of this report it is recommended the rules for the application of the Risk Appetite are documented for future reference.

# Recommended actions

Each of the assessments completed is reviewed in table 2, with recommended actions shown. Where necessary, detailed reviews of the assessments may be needed, to facilitate risk appetite based decisions as to how to address the risks identified.

Table 3 Recommendations

|  |  |  |
| --- | --- | --- |
| **Item #** | **Assessments** | **Recommendation** |
| 1 | Business Continuity | Recommendation: xxxx  Action: xxxx  Timing: xxxx |
| 2 | Cloud Services | Recommendation: xxxx  Action: xxxx  Timing: xxxx |
| 3 | Compliance Assessment Tool (37 questions - alignment with the Act) | Recommendation: xxxx  Action: xxxx  Timing: xxxx |
| 4 | Data Protection Assurance | Recommendation: xxxx  Action: xxxx  Timing: xxxx |
| 5 | Digital Devices Risk | Recommendation: xxxx  Action: xxxx  Timing: xxxx |
| 6 | Direct marketing | Recommendation: xxxx  Action: xxxx  Timing: xxxx |
| 7 | Existing contracts and policies | Recommendation: xxxx  Action: xxxx  Timing: xxxx |
| 8 | Incident response capability | Recommendation: xxxx  Action: xxxx  Timing: xxxx |
| 9 | Information security | Recommendation: xxxx  Action: xxxx  Timing: xxxx |
| 10 | Information Sharing & Data Subject Access | Recommendation: xxxx  Action: xxxx  Timing: xxxx |
| 11 | Personal Information Diagnostic | Recommendation: xxxx  Action: xxxx  Timing: xxxx |
| 12 | Physical security and site access | Recommendation: xxxx  Action: xxxx  Timing: xxxx |
| 13 | POPI Governance | Recommendation: xxxx  Action: xxxx  Timing: xxxx |
| 14 | Records Management | Recommendation: xxxx  Action: xxxx  Timing: xxxx |
| 15 | Social media | Recommendation: xxxx  Action: xxxx  Timing: xxxx |
| 16 | Supplier Selection matrix | Recommendation: xxxx  Action: xxxx  Timing: xxxx |
| 17 | Web site review | Recommendation: xxxx  Action: xxxx  Timing: xxxx |

# Remediation action plan

In addition to the recommendations contained in the assessment results listed above there are a number of other items which may need remedial action. It is recommended that the “Assessments and Remediation Tracker” Tool from IACT-Africa is used to integrate all of the remediation items and to assign and track the completion of those actions. This Tool needs to be combined with a realistic schedule for completion of the remedial actions in line with the imperative for compliance and routine business pressures.

# Lessons learned for future POPI assessments

## Assessment tools skills

There has been support from IACT-Africa during the assessment phase which has resulted in knowledge, skills and experience being transferred to a number of [company name] staff. The dependence on IACT-Africa should reduce as the re-use of the tools continues in the remaining activities on the project.

## Availability of [company name] staff to complete the assessments

[use if appropriate] Probably the biggest issue encountered during the completion of assessments was the availability of [company name] staff. This has resulted in some items being delayed or simply not completed at all. It is a reality that competing business pressures are unlikely to reduce in the coming months. [company name] management therefore needs to review the extent to which this project is prioritised as the project moves into the implementation of remedial actions that have been recommended.