



# AUDITING AND ASSURANCE STANDARDS BOARD

## PRIVACY POLICY



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## OVERVIEW

This privacy policy sets out how the Office of the AUASB complies with the Australian Privacy Principles (APPs) in the *Privacy Act 1988* (the Privacy Act).

In performing our functions and administering our legislation, we may collect, hold, use or disclose your personal information. This policy contains information about how we collect, use, disclose and store personal information, including sensitive information, and how individuals may access and correct personal information that we may hold.

We take privacy seriously and will only collect, use and disclose your personal information in accordance with the Privacy Act and other applicable laws.

The Privacy Act applies to information about individuals, not to information about entities such as businesses, firms or trusts. If we do not receive personal information about you, the Privacy Act will not apply. Detailed information on the Privacy Act can be found on the website of the Office of the Australian Information Commissioner.

## WHO SHOULD READ THIS PRIVACY POLICY?

You should read this policy if you are:

- an individual whose personal information may be given to or held by us;
- a contractor, consultant, supplier or vendor of goods or services to us or someone who has tendered to provide goods or services to us;
- a person seeking employment with us;
- a person who is or was employed by AUASB;
- a person who is appointed to, or is being considered for appointment, to a statutory position within the office;
- a person who has sent correspondence (including submissions) to us;
- a person who has made enquiries or complaints to us;
- a person who has made Freedom of Information (FOI) requests or Special Access requests to us.



## GUIDANCE ON AUASB'S INFORMATION HANDLING PRACTICES

### 1 WHAT IS PERSONAL INFORMATION?

'Personal information' is information or an opinion about an identified individual, or an individual who is reasonable identifiable, whether the information or opinion is true or not, and whether the information or opinion is recorded in a material form or not (section 6 of the Privacy Act).

#### What kinds of personal information does AUASB collect and hold?

We collect and hold a broad range of personal information in records relating to:

- employment services and human resource management;
- the performance of legislative and administrative functions;
- the performance of policy advice functions, including when we consult with other government agencies, private sector organisations or individuals and when we research policy issues;
- public awareness, including when people ask to be on an email or mailing list so that we can send them information about our activities and publications;
- the management of contracts;
- correspondence from members of the public;
- complaints (including privacy complaints) made;
- requests made to us under the *Freedom of Information Act 1982* (FOI Act); and
- the provision of legal advice received by us by external lawyers.

In performing our functions, we may collect and hold the following kinds of personal information, which will vary depending on the context of the collection:

- your name, address and contact details (phone and facsimile numbers and email address);
- photographs, video recordings and audio recordings of you (where you are an employee of the AUASB);
- information about your personal circumstances (for example, marital status, age, gender, occupation, accommodation and relevant information about your partner or children);
- financial information such as your bank account or credit card information (where we receive or make payments to you)



- information about your identity (for example, date of birth, country of birth, passport details, visa details, driver license, birth certificate);
- information about your background (for example, educational qualifications, the languages you speak);
- information about your work history (for example, work history, referee comments, remuneration); and
- government identifiers (for example, Tax File Numbers).

The Appendix provides detailed information about the types of personal information that we hold and our information handling practices.

### **How we collect personal information**

We collect personal information through a variety of different methods including:

- paper-based forms;
- electronic forms (including online forms);
- face to face meetings;
- the exchange of business cards;
- telephone communications;
- email communications;
- communications by letter;
- communications by fax;
- AUASB websites; and
- AUASB social media websites and accounts.

It is usual practice for us or an organisation acting on behalf of us (for example, a contracted service provider) to collect personal information directly from you or someone that you have authorised to provide information to us.

Under the Privacy Act, we are required to take contractual measures to ensure contracted service providers (including sub-contractors) comply with the same privacy requirements applicable to us.

Personal information about you may also be collected via other Commonwealth agencies, State or Territory government bodies, or other organisations. Sometimes we may collect personal information about you from a third party or a publicly available source, but only if you have



consented to such collection or would reasonably expect us to collect your personal information in this way.

From time to time, personal information is provided to us without being requested by us. When we receive such information, we will handle it in accordance with our obligations under the Privacy Act.

## **WHAT IS SENSITIVE INFORMATION?**

'Sensitive information' is defined in section 6 of the Privacy Act as:

(a) information or an opinion about an individual's:

- (i) racial or ethnic origin; or
- (ii) political opinions; or
- (iii) membership of a political association; or
- (iv) religious beliefs or affiliations; or
- (v) philosophical beliefs; or
- (vi) membership of a professional or trade association; or
- (vii) membership of a trade union; or
- (viii) sexual orientation or practices; or
- (ix) criminal record;

that is also personal information; or

(b) health information about an individual; or

(c) genetic information about an individual that is not otherwise health information; or

(d) biometric information that is to be used for the purpose of automated biometric verification or biometric identification; or

(e) biometric templates.

## **What kinds of sensitive information do we collect?**

On occasion, we may collect sensitive information about you including information about:

- your health (including information about your medical history and any disability or injury you may have);



- any criminal record you may have;
- your membership of a professional or trade association; and
- your racial or ethnic origin.

### **How we collect sensitive information**

We may collect sensitive information about you if:

- you have consented and the information is reasonably necessary for, or directly related to, one of our functions or activities; or
- the collection is required or authorised by law.

### **DATA QUALITY**

We hold personal and sensitive information in paper-based files, electronic records, emails and databases.

We will take reasonable steps to maintain and update personal information in our possession or control, or when we are advised by individuals that their personal information has changed.

### **DATA SECURITY**

We will take all reasonable steps to ensure that all personal information in our possession or control is protected against loss, unauthorised access, misuse, disclosure or modification.

Access to personal information held is restricted to authorised persons who are our employees or contractors to us.

Electronic and paper records containing personal information are protected in accordance with the Australian Government security policies; for example, we use password protection for electronic files, secure paper files in locked cabinets and compactuses and may use other physical access restrictions (for example, for personnel files).

Storage of personal information (and the disposal of information when no longer required) is managed in accordance with the Australian Government records management regime, including the Archives Act 1983 (Archives Act), Records Authorities and General Disposal Authorities.

### **Accidental or unauthorised disclosure of personal information**

We will take seriously any accidental or unauthorised disclosure of personal information. Complaints will be handled in accordance with AUASB's complaints process (please refer below).



If a breach of the Australian Privacy Principle(s) has been identified, we will advise you of our findings and proposed follow up action which may include, for example, an apology, targeted staff training, revised security or storage arrangements, or amendment of forms to prevent similar situations arising.

If you are not satisfied with our response, you have the option of making a complaint to the Privacy Commissioner (see below).

## **2 PURPOSES FOR WHICH PERSONAL INFORMATION IS COLLECTED, HELD, USED AND DISCLOSED**

We only collect personal information for purposes which are directly related to our functions or activities, and only when it is necessary for or directly related to such purposes.

These functions and activities include:

- performing recruitment, employment and human resource management functions in relation to individuals seeking employment with AUASB, AUASB staff, contractors and secondees to AUASB;
- performing legislative and administrative functions;
- policy development;
- complaints handling;
- program management;
- contract management;
- responding to enquiries and correspondence from members of the public; and
- responding to requests under the FOI Act and the Archives Act.

We will not ask you for personal information we do not need.

We will use and disclose personal information for the primary purposes for which it is collected (for example, to respond to the assistance sought, application or enquiry or to make referrals which the individual, applicant and or enquirer has consented to or is reasonably likely to expect us to make). We will take reasonable steps to provide you with information about the primary purpose of collection at the time the information is collected or as soon as practicable after collection.

Sometimes we will pass on personal information to other staff, government Offices, or organisations. We will only do so if the purpose of the disclosure is related to the purpose for which the information was collected. We may also pass on personal information where it is required by law. Where possible, we will notify you at the time we collect the information, or shortly after, if we are likely to pass the information on to another body and, if relevant, the bodies to which the information is likely to be given.



We will only use your personal information for secondary purposes where we are able to do so under the Privacy Act.

## **DISCLOSURE OF PERSONAL INFORMATION OVERSEAS**

We will not usually disclose personal information to overseas recipients. Where it is necessary for us to disclose personal information to overseas recipients, we will only do so where at least one of the exceptions under APP 8 apply.

## **ACCESSING YOUR PERSONAL INFORMATION**

### **3. HOW TO SEEK ACCESS TO AND CORRECTION OF PERSONAL INFORMATION**

You have a right under the Privacy Act to access personal information we hold about you.

You also have a right under the Privacy Act to request corrections to any personal information that we hold about you if you think the information is inaccurate, out-of-date, incomplete, irrelevant or misleading.

If you wish to:

- query how your personal information is collected, held, used or disclosed;
- ask questions about this Privacy Policy; or
- obtain access to or seek correction of your personal information

Please contact AUASB using the following contact details:

#### **By Email:**

privacy@AUASB.gov.au

#### **By Post:**

Director — Finance and Administration  
AUASB  
PO Box 204  
Collins Street West VIC 8007

## **4. COMPLAINTS**

### **HOW TO MAKE A COMPLAINT**

If you are concerned about our handling of your personal information, you may wish to raise your concern directly with the area of the Office involved. This may allow for an informal and direct resolution of your complaint.



If you are not satisfied with this outcome, or prefer to make your complaint directly to AUASB's Privacy Officer, you may send your complaint in writing to either of the following:

**By Email:**

privacy@AUASB.gov.au

**By Post:**

Director — Finance and Administration  
AUASB  
PO Box 204  
Collins Street West VIC 8007

To assist us to consider your complaint, please provide as much information as possible in describing how you think your privacy has been interfered with, including:

- what happened;
- when it happened (including dates);
- what personal information of yours was affected;
- who did it (include individual names if known); and
- how and when you found out about it.

If you wish, you may interact with us anonymously or via a pseudonym. However, please note that if you do wish to make a complaint or for us to otherwise investigate a breach of the Australian Privacy Principles, it may assist us if you provide your personal details. We will treat any details you give us in confidence and in accordance with our obligations under the Privacy Act and any other applicable legislation.

We are committed to the timely and fair resolution of complaints. Your complaint will be investigated and you will be advised of the outcome.

**HOW TO MAKE A COMPLAINT TO THE FEDERAL PRIVACY COMMISSIONER**

You have the option of contacting the Federal Privacy Commissioner if you wish to make a privacy complaint against us.

**Telephone:**

1300 363 992

**Email:**

enquiries@oaic.gov.au

**Post:**



The Privacy Commissioner,  
Office of the Australian Information Commissioner,  
GPO Box 5218  
Sydney NSW 2001

If you make a complaint directly to the Privacy Commissioner rather than to us, the Privacy Commissioner may recommend you try and resolve the complaint directly with us in the first instance.

### **AVAILABILITY OF THIS POLICY**

If you wish to access this Policy in an alternative format (for example, hard copy) please contact AUASB using the following contact details.

#### **By Email:**

privacy@AUASB.gov.au

#### **By Post:**

Director — Finance and Administration  
AUASB  
PO Box 204  
Collins Street West VIC 8007

This Policy will be made available free of charge.

### **Privacy Policy Updates**

This Privacy Policy will be reviewed and updated as required.



## APPENDIX A – HOW WE HANDLE SPECIFIC TYPES OF FILES THAT CONTAIN PERSONAL INFORMATION

### PERSONNEL FILES

The purpose of personnel records is to maintain information for recruitment, human resource management and employment related purposes. Files may contain personal or sensitive information including:

- application(s) for employment including an individual's résumé(s), statement(s) addressing the criteria and referee reports;
- written tasks undertaken by an individual during a selection process;
- notes from the selection committee during the selection process;
- an individual's employment contract and other records relating to their terms and conditions of employment;
- details of financial and other personal interests supplied by some individuals and their immediate family members for the purpose of managing perceived or potential conflicts of interest;
- proof of Australian citizenship;
- certified copies of academic qualifications;
- records relating to an individual's salary, benefits and leave;
- medical certificates or health related information supplied by an individual or their medical practitioner;
- contact details;
- financial information (for example, bank account information);
- taxation details (including a Tax File Number);
- details of superannuation contributions; and
- information relating to an individual's training and development.

AUASB generally collects this information directly from the individual but may also collect personal information from others such as recruitment agents, personnel providers and managers/supervisors. AUASB may also collect personal information about employees and applicants from third parties where the individual has consented to such collection or would reasonably expect AUASB to collect the personal information in this way (for example, referee reports).

Personal information in personnel files is only used for the purpose of maintaining current employee data and information for business and employment related purposes.



AUASB does not give personal information held in these files to other agencies, organisations or anyone else without consent unless the individual would reasonably expect, or has been told, that information of that kind is usually passed to those agencies, organisations or individuals, or the disclosure is otherwise required or authorised by law.

AUASB may use personal information on these files for reporting purposes and may publish information on a de-identified basis in the Annual Report or disclose information on a de-identified basis to other bodies such as the Australian Public Service Commission.

AUASB will maintain and update personal information on these files as reasonably necessary, or when we are advised by individuals that their personal information has changed.

AUASB will take all reasonable steps to ensure that the information on these files that is in its possession or control is protected against loss, unauthorised access, misuse, disclosure or modification and that only authorised employees have access to such material.

The following agency staff have access to information contained on these files:

- officers in the Office with responsibilities for managing staff on a 'need to know' basis.

The information contained in these files is not disclosed to overseas recipients except where reasonably necessary, for example, for the purposes of arranging overseas employment (for example, deployments in overseas countries) or for the purposes of making travel arrangements overseas. In such circumstances, AUASB will take reasonable efforts to seek your consent prior to making the disclosure.

## **FREEDOM OF INFORMATION FILES**

The purpose of these records is to maintain a record of requests for access to documents under the FOI Act in order to process the requests.

Personal information contained in FOI files may include: name, contact details (address, telephone number, and email address), gender, occupation, marital status, financial information and other personal information volunteered by the applicant. On rare occasions, applicants may volunteer sensitive information including: information relating to physical or mental health, disabilities, racial or ethnic origin, citizenship information, criminal convictions and political beliefs.

The personal information in these records may relate to the FOI applicant and/or third parties to whom the information relates.

AUASB collects personal information in FOI files directly from individuals who make an FOI request.

AUASB uses the personal information in FOI files for the purpose of assessing and processing the FOI application. AUASB may also use the personal information in FOI files for the purposes of reporting (including to the Office of the Australian Information Commissioner). Where such information is published, it will be done so on a de-identified and aggregated basis in order to maintain confidentiality over the information.



The following AUASB staff have access to this personal information: Senior staff and officers in divisions responsible for processing and decision-making in relation to particular FOI requests. Staff of the offices of Treasurer and Treasury portfolio. Ministers may have access to the information on a 'need to know' basis or in relation to requests made to their offices. The information is not disclosed to overseas recipients.

We do not give personal information held in FOI files to other agencies, organisations or anyone else without consent unless the individual would reasonably expect, or has been told, that information of that kind is usually passed to those agencies, organisations or individuals, or the disclosure is otherwise required or authorised by law (for example, under the transfer provisions in section 16 of the FOI Act).

The personal information contained in these records may also be disclosed to other agencies with responsibility for the subject of particular FOI requests, the Administrative Appeals Tribunal, the Office of the Commonwealth Ombudsman and the Office of the Australian Information Commissioner.

### **ACCESS REQUEST CASE FILES**

The purpose of these records is to process requests for access to records controlled by AUASB. Most of these requests are made under the provisions of the Archives Act.

Personal information contained in these files may include: name, address, date of birth, gender, research interests and employment details.

The personal information in these records relates to individuals who have requested access to AUASB records outside the FOI Act and the Privacy Act.

The following AUASB staff have access to this personal information: records management staff and staff in functional areas responsible for the records that are the subject of a request. The information is not usually disclosed to overseas recipients.

Some of this information may be disclosed to staff of the National Archives of Australia, the Office of the Prime Minister and Cabinet, the Administrative Appeals Tribunal and the Office of the Commonwealth Ombudsman.

### **RECORDS RELATING TO APPOINTMENTS TO STATUTORY POSITIONS WITHIN THE AUASB OFFICE**

The purpose of these records is to arrange appointments of persons as statutory office-holders within the AUASB office and to administer terms and conditions of appointment.

Personal information contained in these files may include: names, addresses and curriculum vitae, leave, financial, travel information or an assessment of suitability.

Sensitive information contained in these files may include: health information, information on racial or ethnic origin or membership of professional or trade organisations.

The personal information in these records relates to persons considered for appointment or appointed as statutory office-holders.



The following AUASB staff have access to some or all of this information: officers of the Office in relation to statutory appointments within their areas of responsibility and senior staff of the Office. Some of this information is disclosed to the Treasurer or other AUASB office Ministers, other government agencies, the Cabinet and the Governor-General on a 'need to know' basis.

This information is not usually disclosed to overseas recipients.

### **RECORDS OF GIFTS RECEIVED**

The purpose of these records is to maintain a register of gifts received which are over the allowable limit.

Personal information contained in these files may include: names of the recipient of the gift(s) and presenter of the gift(s).

The following AUASB staff have access to this personal information: officers in the finance department and senior staff of the AUASB on a 'need to know' basis. The information is not disclosed to overseas recipients.

### **MAILING/SUBSCRIPTION LISTS OF THE OFFICE**

The purpose of these records is to distribute information to subscribers. The content of the material distributed will vary depending on the particular subscription list to which the individual or organization has subscribed.

Personal information recorded may include: name, address, telephone number, facsimile numbers and email addresses of a subscriber.

AUASB staff that have responsibility for maintaining the particular mailing lists may have access to the personal information.

The personal information contained in these records is for AUASB's use only and is not disclosed to other parties without prior consent.

To unsubscribe from these mailing lists, please refer to the relevant part of the AUASB website or contact the relevant area of the Office.

### **DOCUMENTS RELATING TO APPLICATIONS FOR CONTRACTS AND CONSULTANCIES**

The purpose of these records is to provide information about contractors and consultants who have submitted a response to an AUASB tender.

Personal information contained in these files may include: name, position, contact information (address, telephone and facsimile numbers and email address), curricula vitae of individuals seeking to provide services to AUASB.

The following staff have access to this personal information: AUASB staff involved in evaluating the particular tender and staff in the Finance department.

For information about how to access or correct personal information in administrative files please refer to the 'Accessing Your Personal Information' section of this policy.



## **FINANCIAL MANAGEMENT RECORDS**

The purpose of these records is to comply with legislative requirements in respect of the recording of transactions and to assist management in its planning and accountability responsibilities.

Personal information contained in these files may include: creditors or debtor's name, address, contact information, bank account details and transaction history.

The following AUASB staff have access to this information on a 'need-to-know' basis: officers in the Finance department. All AUASB officers who are involved in processing and approving financial transactions on behalf of AUASB may have security controlled access to relevant information on the financial management information system.

Some of this information is disclosed as required to the Department of Finance and the Australian National Audit Office. For information about how to access or correct personal information in administrative files please refer to the 'Accessing Your Personal Information' section of this policy.

## **CORRESPONDENCE TO THE OFFICE (INCLUDING SUBMISSIONS)**

The purpose of these records is to process correspondence (including submissions) received by the AUASB (including inquiries, taskforces and the like for whose records AUASB has responsibility).

Content may include: name, address, date of birth, occupation, gender, marital status, names and status of partners or relatives and other information volunteered by the correspondent.

Sensitive content volunteered may include: physical or mental health, disabilities, racial or ethnic origin, criminal convictions, criminal intelligence, religious affiliations, tax file numbers and other information volunteered by the correspondent.

The following AUASB staff have access to this information: staff that are processing, evaluating or preparing responses to the correspondence.

Personal information contained in these records may be disclosed to AUASB staff if they are involved in processing, evaluation or the preparation of the response to the correspondence and other AUASB staff on a 'need to know' basis.

Specifically in relation to submissions made on possible, proposed or existing financial reporting requirements, or on the standard-setting process, the AUASB states in its due process documents that submissions will be placed on the public record unless the Chairman of the AUASB agrees to them being treated as confidential. The latter will occur only if the public interest warrants such treatment. In terms of personal information, such submissions would generally include only the name, address and organisation of the submitter.



## APPENDIX B — WEBSITE INFORMATION

The AUASB, and affiliated websites, are managed internally by the Office.

Generally, AUASB only collects personal information from its website where a person chooses to provide that information.

If you visit our website to read or download the information, we record a range of technical information which does not reveal your identity. This information includes your IP or server address, your general locality and the date and time of your visit to the website. This information is used for statistical and development purposes.

No attempt is made to identify you through your browsing other than in exceptional circumstances, such as an investigation into the improper use of the website.

Some functionality of the AUASB website is not run by AUASB and third parties may capture and store your personal information outside Australia. These third parties include (but are not limited to) Facebook, Twitter and Google and may not be subject to the Privacy Act. AUASB is not responsible for the privacy practices of these third parties and encourages you to examine each website's privacy policies and make your own decisions regarding their reliability.

The AUASB website contains links to other websites. AUASB is not responsible for the content and privacy practices of other websites and encourages you to examine each website's privacy practices and make your own decisions regarding the reliability of material and information found.

### COLLECTION

#### Forms

Sometimes, AUASB collects personal information that individuals choose to give AUASB via online forms or by email, for example when individuals use forms on the site to:

- provide information
- register interest.

The information you provide is retained on the public web server and will not be used for purposes other than that for which it was provided.

AUASB will only record your e-mail address if you send AUASB a message. It will only be used for the purpose for which it was provided and will not be added to a mailing list unless that is the purpose of your message.

#### Http logs

When individuals only browse the website, AUASB does not collect their personal information.

When an individual looks at AUASB's website, AUASB collects data in its Http logs. These logs are used internally to better develop the site and allow AUASB to report on site activity. They are not used for any other purpose. When you visit AUASB's websites, AUASB makes a record of the individual's visit and logs (in server logs) the following information for statistical purposes:



- the individual's server address
- the individual's top level domain name (for example .com, .gov, .org, .au, etc)
- the date and time of visit to the site
- the pages the individual accessed and documents downloaded.

We do not identify users or their browsing activities except, in the event of an investigation, where a law enforcement agency may exercise a warrant to inspect the internet service provider's server logs.

### **Cookies**

A cookie is a small file that is sent to your web browser from a web server and stored on your computer's hard drive.

No personal information is maintained by the cookie which might identify an individual should they visit AUASB's website at a later date.