



Personal Information Holdings

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1. Employment Cluster

1.1 Activation and Work for the Dole

Job Seeker Classification Instrument

The Job Seeker Classification Instrument (JSCI) is an interview based questionnaire which seeks to identify a person's risk of becoming or remaining long-term unemployed. It does this by providing an objective measure of a person's labour market disadvantage based on the person's individual circumstances.

Under jobactive, the JSCI is primarily used to determine a job seeker's eligibility for Streams A or B, the different Streams measure the job seekers difficulty in gaining and maintaining employment and helps identify what level of support the job seeker will need to help them find work. The JSCI also identifies job seekers who have multiple or complex barriers to employment that may require an Employment Services Assessment (ESAt) (see below).

The JSCI questionnaire is based on self-disclosure by job seekers to a minimum of 18 questions and a maximum of 49 questions, supplemented by other information related to their employment prospects. This information is used to determine if the job seeker is eligible for assistance through Streams A or B.

The JSCI assesses the following factors:

- age and gender;
- geographic location;
- recency of work experience;
- proximity to a labour market;
- job seeker history;
- access to transport;
- educational attainment;
- phone contactability;
- vocational qualifications;
- disability/medical conditions;
- English proficiency;
- stability of residence;
- country of birth;
- living circumstances;
- Indigenous status;
- criminal convictions;
- Indigenous location; and
- personal factors.

Within these factors, the JSCI may also capture a job seeker's descent/ethnic origin, refugee status, income support payment history, homelessness, drug/alcohol dependency/treatment, gambling addictions, relationship breakdown, anger issues/temper/violence, disclosed domestic violence, and family grief or trauma.

Some factors take the form of questions asked directly of a job seeker, such as educational attainment and English proficiency. Other factors use information sourced or derived from a job

seeker's record, such as proximity to a labour market and duration on income support payments. Other factors, such as disability/medical conditions, use information sourced or derived from a job seeker's ESAt or Job Capacity Assessment (JCA) report.

Where a job seeker has an ESAt or JCA, information from the ESAt or JCA is automatically copied into the JSCI. This includes: impact of personal factors, baseline work capacity, workplace support requirements, permanent disabilities/medical conditions, and the employment services recommended referral.

Departmental and Department of Human Services (DHS) staff have limited access to and use of the personal information recorded in the JSCI reports for purposes including, but not limited to:

- responding to ministerial correspondence;
- programme monitoring and assurance;
- IT development;
- ministerial submissions and briefs;
- customer surveys;
- customer complaints and enquiries;
- research and analysis;
- assessing eligibility for assistance and income support;
- checking compliance with funding conditions and programme requirements; and
- policy development.

Job seekers are first assessed by DHS using the JSCI when they register for employment assistance and any time they experience a significant change in their circumstances. This ensures they are allocated to the most appropriate level of employment assistance.

Employment service providers can conduct the JSCI once the job seeker has been registered for employment assistance for six months, and are required to inform the job seeker that the information provided is protected by the *Privacy Act 1988*. When the JSCI is completed by the provider, a copy of the JSCI – signed by the job seeker – is provided to the job seeker for their record.

The printed JSCI contains a notification for the purposes of collecting the personal information, the government agencies the collected information will be disclosed to, and a phone number for the National Customer Service Line the job seeker can call if they have concerns.

JSCI data is stored electronically in the Department's Employment Services System (ESS). Employment service providers have access to the JSCI reports for job seekers currently on their caseload.

Employment Services Assessment

An ESAt, is an assessment used to identify Vocational and Non-Vocational Barriers to finding and maintaining employment, work capacity and ongoing support needs. The ESAt recommends the most appropriate employment service assistance for job seekers with multiple and complex barriers, and can also identify interventions that may help the job seeker overcome their identified barriers.

Since 1 July 2011, all assessments for people with disabilities and disadvantaged job seekers have been conducted by DHS Assessment Services. DHS Assessment Services is a dedicated unit within

DHS that is comprised of health and allied health professionals and administrative staff, in locations across Australia.

People making claims for the Disability Support Pension (DSP) continue to undergo a JCA. A JCA captures the same information as an ESAt with additional details including ratings against the Tables for Assessment of Work-Related Impairment for DSP.

The ESAt and JCA Reports (the reports) are stored electronically in the Department's ESS. The reports may include (but not limited to) name, date of birth, address, telephone numbers, gender, marital status, country of birth, dates of referral, accommodation, education, job seeker identification, type of work the person is looking for, occupation, record of job seeking, previous employment history and training activities, barriers to employment, current and future capacity to work, planned remedial activities, records of interviews, physical and mental health, disabilities and racial and ethnic origin. Other ESS records may contain current JSCI records, other assessments, financial information including income and assets, and relationship details.

Employment service providers have access to the most recent report available for job seekers currently on their caseload. Departmental and DHS staff have limited access to, and use of, the personal information recorded in the reports for purposes including, but not limited to:

- responding to ministerial correspondence;
- ministerial submissions and briefs;
- customer surveys;
- customer complaints;
- research and analysis;
- assessing eligibility for assistance and income support;
- checking compliance with funding conditions and programme requirements; and
- policy development.

1.2 Quality and Integrity

Employment Services Feedback System (ESFS)

The purpose of these records is to maintain case history and statistics regarding feedback provided to the Department on employment services and the providers that deliver those services.

Content may include records of complaints, suggestions, requests for information and compliments that are made by phone, email, or in writing directly to the Department, or which have been received from the Commonwealth Ombudsman or the Minister.

The personal information in these records relates to individuals who have provided feedback and includes names, contact details, the feedback that they provided and details of the investigation or response to that feedback. This includes evidence gathered in relation to a complaint.

The Department's staff have access to this information for the purpose of either handling and responding to feedback, or investigating broader trends concerning providers or programme issues.

The records are kept in a database with restricted access.

Some personal information contained in these records may be disclosed to providers, with the consent of the individual, or to external authorities that are investigating a complaint that has been

raised, including the Commonwealth Ombudsman (the Ombudsman) and the Office of the Australian Information Commissioner (OAIC).

Provider 360

Provider 360 is an application which has been developed to provide a single provider management solution that enables a 360 degree view of departmental engagement with each employment services provider on the Microsoft Dynamics Customer Relationship Management (CRM) platform.

The system acts as a central repository for all employment providers' information and is used by the Department to manage and record contract management activities. The types of contract management activities recorded may include provider visits, performance discussions and communications with providers. The information is maintained by Account and Contract Managers, but administered and reported upon by the Stakeholder and Contract Management Advice team for general data requests from various areas within the Department. The Department of Social Services (DSS) and the Department of the Prime Minister and Cabinet (PM&C) have access to their own versions of Provider 360, however each Department can only access their own content.

The personal information held in Provider 360 includes details of staff members for a provider's organisation, including the contact details of the Chief Executive Officer and other key contacts, such as operational, quality and security personnel. This information is located in the provider's communication protocol smart form and communication records.

Job seeker information is also held in Provider 360 and can be found in records relating to incidents that occur at a provider's site or activity, and in cases where a job seeker's access to employment services has been or may be restricted.

Information in Provider 360 can only be accessed by designated departmental staff via a systems access request, which is approved by the Contract Management area. All requests must include a business case and all access requests are periodically audited to monitor that this access is being applied appropriately.

Information is not disclosed to external parties except to authorities that are investigating a complaint that has been raised, including the Ombudsman and the OAIC.

Contract Administration System (CAS)

The Contract Administration System (CAS) is a database designed to support the administration and management of employment services deeds. It serves as a repository for information regarding providers of employment services and holds legal documentation including deed schedules, variations, notices and other contractual provider correspondence.

The employment services deeds, including the personal information they contain, are created and stored in CAS for the purpose of monitoring variations during the life of the employment service deeds. This data is maintained by contract managers, but is administered and reported upon by the Deed Administration Team in response to data requests from various areas within the Department.

Provider details recorded in CAS include legal and trading names, head office and CEO contact details, bank account details, subcontracting arrangements and group tendering arrangements.

Contract details recorded in CAS include site information (locations, operational hours, contact details, services offered) and service information (service type, employment region, business share or places and coverage).

CAS also holds information for providers and employment services deeds that existed under previous contract rounds/funding periods and can provide limited data for historical data purposes.

CAS data can be accessed by designated staff within the Department, PM&C, DSS. Designated staff in each department have approved security access to CAS for data entry or modification purposes.

Access to CAS is controlled via staff User IDs but is not limited to each department. Staff with access to CAS have access to all CAS data across the three departments. Access is granted by the Department of Employment's, Employment Systems Help Desk and periodically audited to monitor that the access is being applied appropriately.

The information is not disclosed to external persons or organisations unless this is required to facilitate delivery of employment services (for example, advertisement of provider locations on the Australian Jobsearch website).

Financial Viability Assessments

The Financial Viability Section performs financial viability assessments and credential checks on entities that tender for provision of services or receive funding through the Department and other government departments and agencies.

Personal information is collected in Financial and Credentials Information Forms and is used to assess the applicant entity's credentials and financial viability.

Content may include details about the entity's key personnel including: name, address, date and place of birth, driver's licence number, the number of years in a position of influence in the organisation, personal bankruptcy information and adverse business history.

Personal information is also collected from the financial records supplied to facilitate the completion of financial assessments.

The personal information is solicited either directly from the individual, or from a third party authorised to provide the information on behalf of the individual, or from the Department or other department or agency the department is conducting assessment services for.

Individuals are informed of the way in which their personal information is collected and how it will be used or disclosed at the time the personal information is collected. No personal information is disclosed to overseas recipients.

Staff in the Financial Viability Section and staff who are conducting procurements or grants have access to this personal information. Staff in other departments or agencies who have requested that the Department complete assessments on their behalf, may have restricted and limited access to those records directly relating to their activity.

Information is stored electronically and on departmental files and kept in secure cabinets.

Financial Viability Records

The purpose of these records is to record details of relevant persons in organisations with which the Department has, or proposes, to enter into a contract or Deed of Standing Offer, for the assessment of the credentials of those individuals. In addition the Department solicits personal information in circumstances where other departments or agencies request the use of its financial viability services or completion of credentials on subcontracting entities and persons applying for Ministerial appointments.

Content may include, but is not limited to: name, residential address, date of birth, place of birth, drivers licence number, number of years of position of influence in an organisation, and details of personal assets and liabilities, personal bankruptcy information and adverse business history.

The personal information is solicited either directly from the individual, or from a third party authorised by the individual to provide the information, or from the Department or other department or agency for which the department is conducting assessment services.

Individuals are informed of the way in which their personal information is collected and how it will be used or disclosed at the time the personal information is collected. No personal information is disclosed to overseas recipients.

Staff in the Financial Viability Section and staff who are conducting procurements or grants have access to this personal information. Staff in other departments or agencies who have requested that the Department complete assessments on their behalf may have restricted and limited access to those records directly relating to their activity.

Information is not disclosed to other persons or organisations except where clarification of possible adverse information is required

Employment Services Tip-Off Line

The Employment Services Tip-Off Line (Tip-Off Line) was established in March 2012, primarily for current and former employees of employment services providers to report suspected or actual wrong doing or breaches of the deed by employment service providers. The Tip-Off Line allows those employment services employees or members of the public to report their concerns confidentially to the appropriate authority in full confidence that any allegations will be fully investigated.

Receipt, investigation and escalation and referral of tip-offs is guided by the Tip-off Line Protocol.

Information is collected and stored in the Department's Employment Service Feedback System (ESFS) and includes the names and contact details of callers to the Tip-Off Line (when provided), together with organisation names, site locations of providers about whom an allegation is being made and copies of correspondence.

A limited number of staff in the Department have access to these records; access is on a need to know basis and an informant's identity must not be revealed to the individual or employment service provider to which the allegation relates.

The names of providers and the allegations concerning the providers are disclosed to departmental staff as appropriate to allow review of allegations. Names of callers to the Tip-Off Line are not more broadly disclosed to departmental staff and the information is not routinely disclosed to external persons or organisations.

Where information is provided to the Tip-off Line relevant to other department's programs, this information is recorded in ESFS and 'shared' (through system controls) with the relevant investigating officers.

Post Programme Monitoring Job Seeker Records

Personal information is collected in the course of conducting programme monitoring surveys of Job Services Australia (JSA), Disability Employment Services (DES) and Indigenous Employment Programme (IEP) clients. The results of these surveys are analysed for the purpose of assessing and

reporting on the performance of Commonwealth Government employment services including JSA, DES and IEP.

Clients are informed of the purpose for collecting this personal information in the cover letter of their paper survey, on the entry page of the web-based survey and if they are contacted by phone to complete a survey.

The records collected and used in analysis and reporting contain:

- personal identifying information from the Department and DHS' IT systems such as name, address, post code and mobile and home telephone number;
- survey information such as labour force status and customer satisfaction with employment services; and
- other information from the Department/DHS' IT systems such as gender, date of birth, country of birth, year of arrival, family status, age of youngest child, date left school, occupation, educational qualifications, English language skills, JSCI score, job seeker classification score, Employment Services Assessment, access and equity group including ethnic background, homeless indicator, ex-offender indicator, job referral information, details of employment assistance, homeless indicator, allowance information, weekly income and capacity to work and medical conditions.

The records relate to selected groups of individuals who are current or former clients of the Department or DHS and are held on computer or printed survey forms.

Staff from the Job Services Australia Programme Performance and Analysis Branch in the Department, who are directly involved in the analysis of survey results, have access to this personal information. While externally contracted staff conduct the telephone survey they do not have access to the data. No staff external to the responsible Branch of the Department has access to this data. Hard copies of returned surveys are retained for two months and then destroyed. Data collected through web-based surveys is kept on Australian-based servers for the length of the survey (two months) and then deleted once downloaded onto departmental systems. Where clients have returned a survey form with a letter of complaint or seeking further information, the letter and the survey form are retained, as required, for referral or follow up action.

1.3 Youth and Programmes

Transition to Work Participant Records

The Australian Government funds an Australia-wide network of Transition to Work (TtW) providers who deliver employment services to Participants with a strong focus on assisting the most disadvantaged young people in the labour market.

TtW participant records are developed and held by DHS and TtW providers while assistance is being provided. Data is also stored electronically in the Department's ESS.

Personal information may include name, date of birth, address, phone number, job seeker identification number, education level, Year 12 Certificate, copies of qualifications attained, school exemption documentation, type of work the person is looking for, previous employment history and participation in a range of activities such as training and work experience, and identified vocational and non-vocational barriers to employment. Some participants' individual employment-related information is available to TtW providers, such as earnings and rate of income support payment. This information is required to ensure TtW providers receive the correct level of outcome payment

where such payments are based on a Participant's income support reduction as a result of their employment. Limited earnings information is also available to assist TtW providers in understanding a Participant's circumstances when setting and monitoring participation requirements.

Participants develop a Job Plan with their TtW provider. The purpose of the Job Plan document is to provide an individual plan of action for Participants, aimed at identifying goals and outlining planned activities to address any vocational or non-vocational barriers to employment they may have. Job Plans are approved by TtW providers or DHS, consistent with the relevant provisions in the social security law. A signed copy of the Job Plan is provided to the Participant. A copy is accessible by DHS, TtW providers and departmental staff. System security only allows TtW providers to access Job Plans for those Participants who they are providing services to. Each Participant's Job Plan is updated as their circumstances change and is stored in the Department's ESS.

In addition, some data is stored electronically in the Department's SAP Connect, where a Participant has been placed into employment with the assistance of a Wage Subsidy. Personal information may include name, Participant's identification and details of the referring TtW provider.

Information contained in the Department's ESS is either generated by providers or transmitted from agencies such as DHS.

Providers can refer participants to other employment services through an electronic diary system. In making these referrals, providers will explain the range of activities available and, in consultation with the participant, make a referral appointment in the diary.

The Department's staff have limited access to and use of the personal information stored in ESS for purposes including but not limited to:

- Responding to ministerial correspondence;
- ministerial submissions and briefs;
- customer surveys;
- customer complaints;
- investigating provider questions;
- research and analysis;
- checking compliance with funding conditions and programme requirements; and
- policy development.

Other agencies and persons requiring access to this information include DHS to assess eligibility for assistance and administrative/support, staff of the funded organisation providing the assistance and workplace assessment. Limited staff from DSS require access to this information to administer services under the Disability Employment Program and PM&C to administer services under the Community Development Program (CDP).

The Department collects the following personal and sensitive information from the classes of individuals listed:

- Participants – (inc.) name, addresses, date of birth, contact details, resume details, racial or ethnic origin, health or medical information including disability status and criminal record details;
- Participants Nominees – (inc.) Name and address;
- Employers –(inc.) Contact details of contact person (name and phone number), ABN; and

- Education institutions – (inc.) Contact details of contact person (name, phone number and email);
- Employment Service Providers –(inc.) Contact details of contact person (name and phone number), Payment details (bank account details).

Employment services information is mainly acquired through third parties (employment services providers, DHS/Centrelink). Information about Participants who are registered by Centrelink is transferred to the Department’s ESS. Information about Participants who register directly with employment services providers and employer information is recorded by the providers in ESS. Information about employment services providers is recorded by the Department via an interface. Participants and employers can register directly with JobSearch/jobactive.gov.au.

The ESS stores, processes or uses data relating to education, employment and Participants. It holds information on providers and the tasks they complete to assist Participants undertake training and gaining employment as well as identifying and overcoming barriers to gaining employment. Payments are processed through the Department’s SAP system Connect.

Personal and user data

ESS handles data about both systems users and Participants. This data includes:

| DATA | DESCRIBES | HANDLED | PURPOSE | APP |
|--|----------------------|-----------|---|-------------------------------------|
| Centrelink Reference Number (CRN) | member of the public | stored | CRNs are kept to enable linking of jobseekers with DHS records to ensure compliance and support are provided appropriately by both agencies. | <input checked="" type="checkbox"/> |
| First and Last Name | member of the public | stored | Details of the individual are recorded for identification. | <input checked="" type="checkbox"/> |
| Address and contact details | member of the public | stored | Details of the individual are recorded for identification and contact. | <input checked="" type="checkbox"/> |
| Assessment details | member of the public | processed | Details that impact job readiness and assistance level requirements are recorded in these assessments. This can include personal medical, psychological and personal history details. | <input checked="" type="checkbox"/> |

New Enterprise Incentive Scheme Job Seeker Records

Eligible job seekers who are interested in starting small businesses can access assistance through the New Enterprise Incentive Scheme (NEIS). NEIS provides accredited small business training, business advice and mentoring, as well as ongoing income support for up to fifty-two weeks.

All departmental NEIS job seeker records are stored electronically and according to departmental procedures.

The majority of job seekers will already be connected to an employment services provider and have a job seeker record in the Department's IT system.

For job seekers who directly approach a NEIS provider for services, the NEIS provider will conduct a Direct Registration. The job seeker will complete a Direct Registration form including their personal details and signature. The provider must retain a copy of this form and enter this information into the Department's IT system to create a job seeker record.

The participant is provided a privacy notice as part of the registration process.

NEIS commencement paperwork is collected directly from the NEIS participant prior to commencement of their NEIS Business. Information collected in this paperwork typically includes the participant's personal details, including their agreement to participate in NEIS and bank account details, tax file number, business plan(s), financial status, client group status and medical clearances (if applicable).

Job seekers are given a privacy notice at the front of the agreement, which they get a copy of when they commence NEIS Assistance.

Job seeker records are held in three locations: by NEIS providers who deliver NEIS services and this includes information on the job seeker's participation in NEIS; by state departmental staff and this includes an electronic copy of their commencement paperwork and any participation paperwork; and National Office Payroll staff and this relates to their payments and any taxation.

National Office payments staff are security-assessed roles at the baseline level because they access the participant's personnel payment information. The Australian Tax Office (ATO) gets sent annual end of financial year records which shows the payments made to all NEIS job seekers by the Department.

Entrepreneurship Facilitators

The Entrepreneurship Facilitators are one of the measures under the Encouraging Entrepreneurship and Self-Employment Initiative, as part of the Youth Employment Package announced in the 2016-17 Federal Budget.

Facilitators will promote entrepreneurship and self-employment among young people. They will encourage young people to develop new business ideas, assist potential young entrepreneurs in accessing assistance to support and establish their own business, and provide linkages into existing programs, including New Enterprise Incentive Scheme (NEIS).

Facilitators provide individualised and tailored information and advice to clients about business start-up. Facilitators are required to collect and record data and information about each client they provide services to, including the following personal details; name, address, gender, age, Indigenous/redundant worker/refugees/culturally and linguistically, services provided and any barriers.

Clients are given a privacy consent form to sign at their initial meeting with the Facilitator which they get a copy of. All information collected is to be provided to the Department, in accordance with the Funding Agreement on request.

All records are to be stored electronically and according to departmental procedures, as outlined in the Funding Agreement by the Facilitator.

ParentsNext

ParentsNext participants are parents of young children, who have not had recent connection to the paid workforce. ParentsNext aims to connect parents of young children to services in their local community to help them plan and prepare for employment for when their children reach school age.

All departmental ParentsNext participant records are stored electronically and according to departmental procedures. Participant records are developed and held by the DHS and ParentsNext providers while assistance is being provided. Data is also stored electronically in the Departments' IT system (ESSWeb).

Participants fall into two groups: Compulsory participants and Voluntary participants. The DHS assesses the majority of participants for eligibility in ParentsNext and will refer both Compulsory and Voluntary participants to a ParentsNext provider. These participants will have a record in the Department's IT system. The personal information relating to participant characteristics retained is similar to jobactive.

Some Voluntary participants directly approach a ParentsNext provider for services and they will conduct a Direct Registration. The participant will complete a Direct Registration form including their personal details and signature. The provider must retain a copy of this form and enter this information into the Department's IT system to create a job seeker record.

The participant is provided a privacy notice as part of the registration process.

Participant records are held in two locations: by ParentsNext providers who deliver ParentsNext services which includes information on the participant's participation in ParentsNext and in the Department's IT system.

Empowering YOUth Initiatives

Empowering YOUth Initiatives (EYI) was established as part of the Youth Employment Strategy in the 2015-16 Budget. EYI provides funding for a range of organisations to deliver new or different approaches that may help young people aged 15-24 at any stage of their transition to employment.

Under the EYI funding agreement, organisations delivering EYI projects are required to collect information about young people participating, or potentially participating, in EYI projects and provide this electronically to the Department. Organisations are required to obtain written consent from participants prior to obtaining this information, and inform them how the information will be used. In accordance with the *Privacy Act 1988*, participants may elect to be anonymous. The information collected includes:

- Personal identifying information such as name, address, contact details, Centrelink Customer Reference Number and jobactive job seeker identification (JSID);
- demographic information such as gender, date of birth, country of birth, language other than English, living circumstances/marital status, disability status, number and age of dependents, educational qualifications, main income source, criminal convictions, access to transport, labour force status, previous employment history and receipt of employment services;
- employment and education outcomes such as date obtained employment, duration of the job placement occupation and hours of work, qualifications obtained and course start and end date;
- information relevant to each initiative such as how the participant learnt about the initiative, the reason potential participants did not commence, the date participants

commenced, vocational and non-vocational barriers and if/how these were addressed, participation in initiative activities, the date and reason of exit from the initiative, referrals to external organisations and provision of post placement support; and

- qualitative information collected by each initiative such as surveys and case notes.

Participant records are held by EYI organisations and departmental staff responsible for the evaluation, management and oversight of EYI. Participant records are uploaded to a secure portal set up by the Department for EYI organisations to transfer participant data to the Department in a safe manner. All records are stored electronically and according to departmental procedures, as outlined in the Funding Agreements with EYI organisations.

1.4 Labour Market Strategy

Job Services Australia (JSA) Demonstration Pilot Programme

The purpose of these records is to record details of JSA providers who were invited to apply for funding under the JSA demonstration pilot programme and the twenty pilot projects who have received funding. Content includes Australian Business Number (ABN), legal and trading name of the organisation, address, contact and payment details.

The records include personal information about participating job seekers including: full name, employment status and their employment service provider. This personal information was collected and used for the purposes of conducting a survey relating to the effectiveness of the JSA demonstration pilots according to job seekers.

This information was solicited directly from the individuals named through an online survey. A privacy notice was displayed at the point of collection.

The following departmental staff have access to this personal information: National Office staff responsible for the management of the policy, evaluation, and oversight of the JSA demonstration pilot programme.

Information is stored electronically and is not normally disclosed to other persons or organisations.

Small Area Labour Market Publication

The purpose of these records is to record details of individuals' email addresses to enable the dispatch, by email, of the Small Area Labour Market publication.

Personal information collected typically includes: name and email address.

The contact details are collected directly from the individual.

Staff in the Labour Market Research and Analysis Branch of the Department have access to the contact details outlined above and the information is kept electronically on the Branch's computer drive. The publication is quarterly and the mailing list is ongoing.

Employment Services 2015 Consultation

The purpose of these records is to document the suggested options to improve services to JSA and DES – Disability Management Service (DMS) when the contract expired on 30 June 2015. This information may be used (directly or indirectly) in policy development.

Personal information collected typically includes the name, position, work telephone and email address of contact persons providing the submission on behalf of an employment service provider, peak industry body, consumer body, social policy group and/or individual.

The personal information also includes the opinions expressed by the author/s relating to areas for improvement and/or suggestions for enhancement to the JSA and/ or DES - DMS programmes administered by the Department.

Submissions received as part of the consultation process on the future of employment services are available on the Department's website unless the author has requested that the submission remain confidential or the submission contained personal details of people other than the submitter.

Where permission from the author to publish has not been provided, the following agency staff have access to information: senior executives and other administrative staff on a need to know basis.

The records are kept by the Labour Market Strategy Group on electronic files on the Department's internal drives.

Employment Services and Income Support Research and Evaluation

Personal information is collected in the course of conducting monitoring, evaluation and customer surveys of the department's clients and those on the behalf of other departments. The results of these surveys are analysed for the purpose of assessing and reporting on the performance of the government's income support and employment services including the JSA, DES and the effectiveness of other government programmes and initiatives.

The records relate to selected groups of individuals who are current or former clients of the Department, DSS, DHS, Department of Education and Training (Education), PM&C or the Department of Industry (Industry).

The records used in analysis and reporting contain:

- personal identifying information sourced from the department, DSS, DHS, Education, PM&C and Industry administrative databases such as name, address, post code and telephone number;
- survey information from individuals such as labour force status, employment history, customer satisfaction with JSA and Centrelink services and attitudes to job search and employment;
- other personal information from departmental or partner administrative databases such as gender, date of birth, country of birth, year of arrival, family status, age of youngest child, date left school, occupation, educational qualifications, English language skills, client classification level, job seeker classification score, ESA, access and equity group including ethnic background, homeless indicator, ex-offender indicator, violent client indicator, allowance information, weekly income, capacity to work, medical conditions, job referral information and details of employment assistance; and
- survey information from businesses, including employment services providers contracted to the department. Such information includes contact names, addresses and phone numbers, as well as business information relating to recruiting and employment issues, work practices and satisfaction with services. Some attitudinal questions are also asked of business representatives.

The time that elapses between collection of personal information and de-identification of personal information is dependent upon the time taken to finalise the analysis of survey results. Generally, personal identifying information is removed around 120 days after the date of collection.

The records are held on computer and in some cases on printed survey forms.

The following departmental staff have access to this personal information: staff from Employment Monitoring and Evaluation Branch and the Research Branch directly involved in the analysis of survey results.

The personal identifying information is kept temporarily. Where personal information is collected on survey forms, the forms are destroyed after input into computer data files. Personal identifying information on computer data files are removed as soon as it is no longer required for follow up contact or after the data has been analysed and results published. For post programme monitoring purposes, the name, job seeker client identification and address information is retained electronically for reference purposes in the event of client enquiries. Hard copies of returned surveys are retained for six months and then destroyed. Where clients have returned a survey form with a letter of complaint or seeking further information, the letter and the survey form are retained, as required, for referral or follow up action.

For the purposes of the Dynamics of the Australian Income Support and Employment Services (DAISES) survey, the My Journey survey, and longitudinal case studies for the Building Australia's Future Workforce place-based consultancy, the name, client identification, telephone and address information are retained electronically and updated on a six monthly basis to enable follow-up interviews to take place over the course of the surveys. Access to identifiable data is restricted within the Department. The Branch informs individuals of the way in which their personal information is used or disclosed both in an initial primary approach letter introducing the survey and also at the commencement of the questionnaire.

Employer Contacts for Regional Surveys of Employers' Recruitment Experiences

The Department has an ongoing programme of Surveys of Employers' Recruitment Experiences in various regions and industries across Australia. The survey collects information on employer demand for labour and skills, including unfilled vacancies, occupations which are difficult to fill and number of applicants. The findings from the surveys are incorporated into Ministerial briefs, presentations and regional reports, and are used by local stakeholders to develop local employment strategies.

The employers to be approached to participate in the surveys are selected from a list maintained by a list broker (Reach DM). Business profile information for each selected employer is purchased from this list broker and details include: contact name, business name, phone and address details, industry details and number of employees. As part of the Department's agreement with Reach DM, the Department is unable to reuse business profiles for subsequent surveys or provide a third party with this information.

Staff in the Employers Surveys section contact individuals by telephone and invite them to participate in the survey. The information sought for the survey includes topics such as, demand for labour and skills, unfilled vacancies, occupations which are difficult to fill and number of applicants. The interviewers use a Computer Assisted Telephone Interviewer (CATI) system to enter this personal information into various datasets.

Business profiles of selected employers, their personal information and de-identified aggregate datasets are stored on the Branch's drive which can be accessed by departmental staff in the Labour

Market and Research and Analysis Branch. This data is also stored on the Department's SAS server; only staff in the Employer Surveys sections have access to this.

When aggregating the survey data, all contact details of employers are removed. During the analysis process, procedures ensure data is not released if there is a risk of employer identification. The survey is approved by the Australian Government Statistical Clearing House. Ensuring that respondent confidentiality is maintained is a criterion in the approval process. Prior to each survey being conducted, a list of employers to be contacted and their mailing addresses are provided to an external mail house company (National Mail and Marketing) so that letters can be generated and sent to employers in advance of the phone survey.

All businesses included in the survey sample receive a letter prior to surveying which provides a phone number they can call (1800 059 439) if they have any questions about the survey. Businesses are also advised in the letter and at the start of the survey that all information will be kept confidential and responses will remain anonymous. If businesses request that their details not be used for the survey, their details will be taken out of the sample. If businesses contact us with any change to their contact details, we provide them with the contact details of the list provider to make the same request.

As the section completes longitudinal analysis of labour markets, records are kept indefinitely to enable analysis to occur as required.

The business profile or personal information of employers is not disclosed to recipients outside the Department.

Survey of Employers Recently Advertised

The Department conducts a Survey of Employers Recently Advertised to collect qualitative and statistical data for a range of skilled occupations and to ascertain employer's recruitment experiences.

To enable the Department to do this, relevant job vacancies are collected from a variety of publicly available sources and information on employers such as employer contact names, location and contact details are recorded from these advertisements on a spreadsheet. After contact has been made with employers, their recruitment comments and data are also recorded. The findings from this survey are fed into occupational reports.

Both hard and electronic copies are stored. Appropriate care is taken to ensure that individual responses cannot be identified in any reports publically available.

The following departmental staff have access to this information: all staff in Skill Shortages Section have access to the contact details outlined above. All staff in the section can access survey responses. The contact detail records are kept on the section internal drive and the hardcopies are stored in the compactus.

The survey is approved by the Australian Government Statistical Clearing House. Ensuring respondents confidentially is maintained is a criterion in the approval process.

Australian Jobs Mailing List

The purpose of this record is to keep details of a variety of individuals and organisations who receive copies of the Australian Jobs publication. Some recipients have requested placement on the publication's mailing list and others are lists of relevant individuals/organisations identified by the

Skill Shortages Section. Content includes postal address, name of organisation or individual and number copies required.

The following departmental staff have access to this information: all staff in the Skill Shortages Section have access to the contact details outlined above.

The contact detail records are kept on the Section's internal drive. Electronic copies are also provided to a mailing house for publication distribution. The publication is usually annual and this mailing list is ongoing.

Job seeker Training in Victoria Survey

The purpose of the survey was to seek feedback from JSA and DES providers in Victoria on the new processes for the referral of job seekers to a Government subsidised national entitlement training place in Victoria, which were introduced on 1 January 2013.

Feedback was sought on:

- how these changes have impacted providers referral of job seekers to training in Victoria;
- any improvements that providers have noticed;
- any issues that may have arisen; and
- any additional fact sheets/resources or changes to existing fact sheets/resources that would further assist providers with the decision making process regarding identifying and referring job seekers to suitable training in Victoria.

This information collected may be used in policy development and to develop or modify resources to assist providers with the decision making process regarding identifying and referring job seekers to suitable training in Victoria.

Survey response records may include the organisational address, and the name, position, work telephone and email address of contact persons submitting the response. The personal information in these records also includes the opinions expressed by the author/s relating to the new processes for the referral of job seekers to a government subsidised national entitlement training places in Victoria.

The records are kept on electronic files on one of the Department's limited access internal drives.

1.5 Employment Systems

Employment Services Participant Records

There is an Australia wide network of providers delivering employment services under jobactive, DES and CDP. Employment service participant records are developed and held by providers while assistance is being provided. Data is also stored electronically in the Department's ESS.

Personal information held may include name, date of birth, address, phone number, Participant 'Job Seeker ID' number, type of work the person is looking for, record of job seeking, previous employment history and training activities, barriers to employment and planned remedial activities.

Some participants' individual employment related information is available to employment services providers, such as earnings reported from employment and rate of income support payment. This information is required to assure correct level of payments to providers where such payments are

based on participants' income support reduction as a result of employment. It also assists providers in managing participants' compliance with their obligations under social security law in cases where the participant does not report, or under-reports, their earnings from employment to DHS.

Participants, assisted by providers, negotiate an Job Plan with their provider. The purpose of this document is to provide an individual plan of action for participants aimed at maintaining job search efforts and at improving their competitiveness in the labour market. Job Plans will be approved by providers, consistent with the social security law. A signed copy of the Job Plan will be given to the participant. A copy is accessible by DHS and departmental staff who have a particular level of access to ESS. System security will only allow providers to access Job Plans for participants they are providing services to. Each participant's plan will be updated as their circumstances change and will be stored in computer systems operated by the Department and/or DHS.

jobactive Job Seeker Records

The Australian Government funds an Australia-wide network of jobactive providers who deliver employment services to job seekers with a strong focus on assisting the most disadvantaged in the labour market.

jobactive participant records are developed and held by DHS and jobactive providers while assistance is being provided. Data is also stored electronically in the Department's ESS.

Personal information may include name, date of birth, address, phone number, job seeker identification number, type of work the person is looking for, record of job seeking, previous employment history, and participation in a range of activities such as training and work experience, and identified vocational and non-vocational barriers to employment. Some job seekers' individual employment-related information is available to jobactive providers, such as earnings and rate of income support payment. This information is required to ensure jobactive providers receive the correct level of outcome payment, where such payments are based on a job seeker's income support reduction as a result of their employment. Limited earnings information is also available to assist jobactive providers in understanding a job seeker's circumstances when setting and monitoring participation requirements. Information in relation to compliance actions submitted by providers is also stored electronically in the system.

Job seekers, who are assisted under Job Services Australia, negotiate a Job Plan with their jobactive provider. The purpose of the Job Plan document is to provide an individual plan of action for job seekers, aimed at maintaining job search efforts and outlining planned activities to address any vocational or non-vocational barriers to employment they may have. Job Plans are approved by jobactive providers or DHS, consistent with the relevant provisions in the social security law. A signed copy of the Job Plan is provided to the job seeker. A copy is accessible by DHS, jobactive providers and departmental staff. System security only allows jobactive providers to access Job Plans for those job seekers who they are providing services to. Each job seeker's Job Plan is updated as their circumstances change and is stored in the Department's ESS.

In addition, some data is stored electronically in the Department's SAP Connect, where a job seeker has been placed into employment with the assistance of a Wage Subsidy, or if they are participating in the NEIS program. Personal information may include name, job seeker identification and details of the referring jobactive provider.

Information contained in the Department's ESS is either generated by providers or transmitted from agencies such as DHS.

Providers can refer participants to other employment services through an electronic diary system. In making these referrals, providers will explain the range of activities available and, in consultation with the participant, make a referral appointment in the diary.

The Department's staff have limited access to and use of the personal information stored in ESS for purposes including but not limited to:

- responding to ministerial correspondence;
- ministerial submissions and briefs;
- customer surveys;
- customer complaints;
- research and analysis;
- checking compliance with funding conditions and programme requirements; and
- policy development.

Other agencies and persons requiring access to this information include DHS to assess eligibility for assistance and administrative/support, staff of the funded organisation providing the assistance and workplace assessment. Limited staff from DSS require access to this information to administer services under the DEP and PM&C to administer services under the CDP.

The Department collects the following personal and sensitive information from the classes of individuals listed:

- Job seekers – (inc.) name, addresses, date of birth, contact details, resume details, racial or ethnic origin, health or medical information including disability status and criminal record details;
- Job seeker Nominees – (inc.) Name and address;
- Employers –(inc.) Contact details of contact person (name and phone number), ABN; and
- Employment Service Providers –(inc.) Contact details of contact person (name and phone number), Payment details (bank account details).

Employment services information is mainly acquired through third parties (employment services providers, DHS/Centrelink). Information about job seekers who are registered by Centrelink is transferred to the Department's ESS. Information about job seekers who register directly with employment services providers and employer information is recorded by the providers in ESS. Information about employment services providers is recorded by the Department via an interface. Job seekers and employers can register directly with JobSearch/jobactive.gov.au.

The ESS stores, processes or uses data relating to employment and job seekers. It holds information on providers and the tasks they complete to assist job seekers in gaining employment as well as identifying and overcoming barriers to gaining employment. Details of the jobseekers and their compliance with requirements are shared with DHS to ensure allowance conditions are met. Payments are processed through the Department's SAP system Connect.

Personal and user data

ESS handles data about both systems users and job seekers. This data includes:

| DATA | DESCRIBES | HANDLED | PURPOSE | APP |
|--|----------------------|-----------|---|-------------------------------------|
| Centrelink Reference Number (CRN) | member of the public | stored | CRNs are kept to enable linking of jobseekers with DHS records to ensure compliance and support are provided appropriately by both agencies. | <input checked="" type="checkbox"/> |
| First and Last Name | member of the public | stored | Details of the individual are recorded for identification. | <input checked="" type="checkbox"/> |
| Address and contact details | member of the public | stored | Details of the individual are recorded for identification and contact. | <input checked="" type="checkbox"/> |
| Assessment details | member of the public | processed | Details that impact job readiness and assistance level requirements are recorded in these assessments. This can include personal medical, psychological and personal history details. | <input checked="" type="checkbox"/> |

2. Workplace Relations and Economic Strategy Cluster

2.1 Workplace Relations Programmes

Office of the Federal Safety Commissioner (OFSC)

Personal information is collected by the Office of the Federal Safety Commissioner (OFSC) for the purpose of accreditation under the Australian Government Building and Construction WHS Accreditation Scheme. The personal information on these records relates to applicants (contractors) and their staff.

Personal information collected includes Curriculum Vitae/resumes, qualifications, references, individual's personal details, payment details and contact details.

The information is collected directly from individuals via applications for OFSC accreditation and through other documentation such as reports and notifications. Accredited companies also provide updated contact details through direct contact with the OFSC via email and phone.

The records are stored in electronic form and registry files.

This information is not disclosed to other persons or organisations without the individual's permission and is not disclosed to any international recipients. Within the Department, only staff in the OFSC have access to these records.

Individuals can obtain information regarding access to their personal information by contacting the Federal Safety Commissioner on 1800 652 500.

Employee Entitlements Safety Net Schemes Records

The Fair Entitlements Guarantee (FEG) is a basic payment scheme that operates as a last resort to cover certain employment entitlements left unpaid when employees lose their job through liquidation or bankruptcy of their employer.

FEG commenced as a legislated scheme on 5 December 2012 and replaced the previous administrative versions of the scheme including the General Employee Entitlements and Redundancy Scheme (GEERS), which commenced in September 2001 and the inaugural Employee Entitlements Support Scheme (EESS), which commenced on 1 January 2000. A separate Special Employee Entitlements Scheme for Ansett Group employees (SEESA) was established in 2001 specifically to manage unpaid employee entitlements for employees of Ansett Group terminated on or after 12 September 2001. All eligible former Ansett group employees have now received 100 per cent of their SEESA entitlements.

The records held by the Department relate to FEG, GEERS, EESS and SEESA claimants.

The purpose of the information collected on former employees of the insolvent entity is to assist departmental claim assessors to verify their eligibility for financial assistance and, where eligible, the correct amount of assistance payable, in accordance with the relevant employment arrangements for each former employee. The range of documentation collected and stored in relation to claim assessment includes:

- the claim form completed by the former employee which includes identity, citizenship, and employment related information supplied by the former employee such as employment contracts, payslips, bank statements;

- employment entitlement information supplied by the insolvency practitioner;
- bank account details forms and Tax File Number forms provided by the applicant to receive their FEG payment;
- assessment and decision reports developed by departmental assessors including notice of decisions to the applicant;
- review applications lodged by the applicant or their agent and associated review decisions by departmental review officers or the Administrative Appeals Tribunal (AAT); and
- insolvency reports relevant to the process of winding up the employing entity and recovery of dividends.

The nature of the personal information collected in the above documents includes the claimant's name, date of birth, address, contact details, Tax File Number (if they choose to supply), bank account details for receipt of payment, status as an Australian citizen or permanent resident, details relating to the claimant's employment history (business name, dates of employment), details relating to the claimant's wage, details of owed entitlements for wages, annual leave, long service leave, payment in lieu of notice and redundancy/severance pay, details of an authorised agent (name, address, contact details) and details of the insolvency practitioner assigned to manage the affairs of the claimant's former employer (name, address, contact details).

Prior to June 2012, GEERS records were maintained on hard copy files with each claim and its related information kept on a record file. Since June 2012 FEG and GEERS records are maintained on electronic copy files. Electronic records are also created and maintained using the secure programme database application. Electronic records are stored and maintained permanently within a secure server by the Department and access to electronic records is controlled by standard system security arrangements that apply to these databases.

Departmental staff have access to records (both hard copy and electronic) depending on their duties:

- administrative staff have access for the purpose of data input and preparation of reports and parliamentary matters;
- claim assessors and review/appeals officers have access to records to verify eligibility and calculate assistance payable;
- decision makers (included the Branch Manager and the Group Manager) have access to records to approve eligibility and assistance payable;
- staff responsible for responding to complaints have access to records when responding to appeals, complaints, ministerial correspondence or for the purpose of managing the programme; and
- staff in the FEG Recovery team have access to records to support activity undertaken to best represent the Commonwealth's recovery rights as a creditor in insolvency.

Claim data (including some personal information) is also passed to statistical analysts in the Social Policy and Economics Strategy Group of the Department for the purpose of statistical data analysis on claim trends over the history of the schemes.

Claim records are destroyed seven years after each case is closed under the Department's agency-specific records disposal authorities.

The information obtained from claimants may be disclosed as follows:

- to insolvency practitioners who are administering the former employer’s affairs;
- to providers of alternative entitlement protection schemes (for example redundancy trust funds);
- to independent service providers engaged by the Department to verify entitlements owed;
- to the ATO, the Australian Securities and Investments Commission and the Insolvency Trustee Service Australia to facilitate the recovery of amounts paid under the scheme and to support regulatory compliance activities;
- to the Fair Work Commission, Fair Work Ombudsman (FWO) and Fair Work Inspectors to check information in relation to any Workplace Agreements and/or employment agreements;
- to the Commonwealth Ombudsman in relation to claimants who have made complaints about the Department’s handling of their claim;
- to the Administrative Appeals Tribunal in relation to claimants seeking to utilise this external review mechanism;
- to the Department of Finance (Finance) in relation to claimants who have sought financial relief through Act of Grace or defective administration mechanisms;
- to DHS to cross reference FEG payments against garnishee orders or other government benefits being paid to the individual recipient;
- to the Department of Immigration and Citizenship to check visa status; and
- to state or territory Registrars of Births, Deaths and Marriages to verify authenticity of birth certificates that cannot be verified online by the national Document Verification Service.

Individuals can obtain information regarding access to their personal information by contacting the FEG Hotline on 1300 135 040, via email to FEG@employment.gov.au.

2.2 Work Health and Safety Policy

The Scheme for the Purpose of Compensating Persons Present at British Nuclear Test Sites in Australia

This scheme compensates eligible persons (other than Australian Government employees and Defence personnel) who were in the area of the British nuclear tests in Australia in the 1950s and who were affected by those tests e.g. pastoralists, their employees and people living in the area at the time.

The Department collects and retains personal information of claimants for the purpose of assessing claims for compensation under this scheme.

Information can include:

- names of claimants, including family members;
- date of birth;
- nature of work, including location, dates, activity; and
- medical details, including assessment by doctors and other health practitioners.

Comcare advises claimants about privacy legislation and obligations at the point of the individual making a claim. The information is passed to the Workers' Compensation Policy Branch of the Department later in the process of assessing a claim.

Staff within the Workers' Compensation Policy Branch have access to these records. Information may also be disclosed to relevant areas of DHS and the Department of Veterans' Affairs for technical advice in relation to claims made.

The records are stored in electronic form and registry files. The information is not available to international sources.

National Workers' Memorial Honour Roll

The National Workers' Memorial is a shrine honouring those workers who have lost their lives due to a workplace incident or disease. As part of the memorial, the Department has established a website where family members and friends can register the names of workers who have lost their lives – the National Workers' Memorial Honour Roll.

The Department collects information in an electronic form including the name of the deceased worker, the location and date of their death, whether there is any ongoing legal action, whether the individual is identified as Aboriginal or Torres Strait Islander and the name and contact details of the person nominating the worker for inclusion on the honour roll.

The National Workers' Memorial website includes details of how the information is collected and stored in accordance with the *Privacy Act 1988*.

The information is held electronically within the Department.

The Department publishes only the worker's name, date and location of the fatality on the National Workers' Memorial website. Third parties and international parties may access the information in this way. Other information collected is not available to any entities outside of the Department.

Stakeholder Contacts

There are a number of excel spreadsheets that store all contact information for stakeholders relevant to the Workplace Relations Implementation and Safety Group. This includes members of Select Council on Workplace Relations, National Workplace Relations Consultative Council, the Committee on Industrial Legislation, Senior Officials and key contacts based on subject matter, such as asbestos or bullying.

The Department collects and retains this personal information so that relevant members can be informed of meetings and out of session consultation can occur.

The content includes details on their role, area of expertise, postal and physical address, work and mobile numbers.

Staff within the Safety and Compensation Policy Branch have access to these records and details are provided on request to other areas of the Department. The records are stored in electronic form only.

2.3 Workplace Relations Policy

Submissions/Responses on Workplace Relations issues

The purpose of this record is to keep details of views provided by organisations and individuals about workplace relations issues, including proposed draft legislation, Ministerial Discussion or Information Papers, reviews of workplace relations or related legislation or other matters raised for public comment.

These organisations or individuals submit their views either directly to the Minister or the Department or through a third party such as a member of federal parliament.

The personal information on these records relates to individuals representing organisations or private individuals with an interest in workplace relations matters. Personal information collected may include name, address, name of organisation and views about subject raised for public comment.

Most of the information is stored electronically and all personal information is kept in-confidence and is therefore not shared or discussed publicly. The personal information is not disclosed or made public without the consent of the individual or organisation concerned.

Relevant staff within the Department's policy and legal areas have access to this personal information but it is not externally disclosed. This information is not disclosed to other persons or organisations without the permission of the person or organisation to whom the records relate.

Workplace Relations Mailing Lists

The purpose of this record is to keep details of individuals for the distribution of published material in relation to workplace relations and related matters, such as Fair Work Act regulations, Ministerial Discussion Papers, Ministerial Information Papers, Work & Family publications, International Labour Organization publications, quarterly Trends in Enterprise Bargaining reports and occupational health and safety and workers' compensation publications and advices.

This record is also to keep details of individuals and organisations who are members of workplace relations consultative forums that are organised and administered by the Department. This is to allow for the distribution of published and unpublished materials to these members.

Various mailing lists are maintained which are specific to different activities in the Workplace Relations Policy and Legal Groups (WRP&L). Content may include name, address and name of organisation.

The information included on the mailing lists are collected and used solely to facilitate communications with individuals and organisations to whom material in relation to the particular activity is distributed. The mailing lists are maintained until the activities for which they were established cease.

Personal information is not disclosed to other persons or organisations without the individuals' permission.

Enterprise Agreements and Forms in Support of Applications Seeking Approval of Agreements

The purpose of this record is to keep a copy of the federal enterprise agreements approved by the Fair Work Commission (FWC) and the forms required by the FWC lodgement process. The records are stored in the Department's Workplace Agreements Database (WAD).

Content includes the full provisions of the approved enterprise agreements, any undertakings required by the FWC before approval was granted, the application for approval by the employer, declarations by the employer, and if relevant, the employee organisation(s) in support of the approval application and any notices to be covered by employee organisations.

The personal information on these records relates to the persons who are signatories to approved agreements or the supporting forms and may cover such details as their name, their place of work or their home address, their work contact details and position in the organisation for which they work.

Employers, employees or their representative organisations provide their information to the FWC when they lodge an enterprise agreement for approval. The FWC provides the Department with electronic copies of the relevant documents. The list of information, including potentially private information, about enterprise agreements that is transferred from the FWC to the Department is listed in and authorised by Schedule 5.2 of the *Fair Work Regulations 2009*. WAD data is stored in a designated folder in the Department's IT network and only relevant staff in the Workplace Relations Policy Group has access to this personal information.

The personal information in these records is not disclosed outside of the responsible team within the Department. Persons seeking access to the approved federal enterprise agreements or supporting forms are directed to the FWC.

Centre for Workplace Leadership Stakeholders

In December 2012, the Department released a Request for Proposals (RFP) to invite applicants to establish the Centre for Workplace Leadership. The Department has retained all submissions received on or before 31 January 2013 (RFP closing date), and these submissions may include individuals' names, positions, business addresses, email addresses and telephone numbers. These submissions may also include names and positions of specified personnel nominated by the applicants. The purpose of these records is to maintain application details and administrative decisions relating to the selection of the funding recipient. It was a requirement of the RFP that applicants included their contact details.

Between October 2012 and September 2013, the Department maintained a contact list for the members of the former Minister's Advisory Group. Content may include names, positions and their business or personal addresses, email addresses and telephone numbers. The purpose of this record was to facilitate secretariat support for the Advisory Group and to share information about the Centre. Members of the Advisory Group were advised of the creation and purpose of the mail list. The Advisory Group was disbanded on 8 November 2013.

Until September 2013, the Department maintained a contact list of individuals and organisations who had expressed support for the Centre for Workplace Leadership, either in writing or through participation in workplaces of the future discussions, or who would be expected to have an interest in the Centre given the associated nature of their work. Information from these individuals was collected with their consent when they contacted the Department or Minister's Office expressing a desire to support, or be further involved with the Centre.

Content may include names, positions and their business or personal addresses, email addresses and telephone numbers. The purpose of this was to allow the former Minister for Workplace Relations to contact these individuals to encourage their support of the Centre.

These records are kept on electronic files but are no longer being maintained or accessed.

Seasonal Worker Programme including the Add-on Skills Training Component

The purpose of these records is to:

- inform any changes to the Seasonal Worker Programme;
- record advice given via email or regular mail to individuals who have requested information about, or participation in, the Seasonal Worker Programme;
- obtain information to ensure only eligible workers, growers, Registered Training Organisations (RTOs) and employers participate in the Seasonal Worker Programme; and
- monitor progress of participants (workers, growers, RTOs and employers) in the Seasonal Worker Programme.

Content may include:

- full name, date of birth, residential address, postal address, telephone number, email address, academic transcripts, medical certificates, photographs, financial records, occupation and salary details of seasonal workers, training attendance records and outcomes;
- company or organisation name, company address, postal address, telephone number, email address, financial records, agreements and contracts, assessments of immigration, workplace relations and occupational health and safety compliance for growers and labour hire companies;
- RTO name, organisation address, postal address, telephone number, email address, website, financial records, payment details, contact names, and positions;
- the Department and the Department of Immigration and Border Protection (DIBP) decisions, and records of communication between the Department, DIBP, and the FWO, ATO, Department of Foreign Affairs and Trade (DFAT) in relation to the Seasonal Worker Programme including the Add-on Skills Training component.
- Communication between the Department, RTOs, and participants for the facilitation of training activities.

Information is collected during communications with individual participants in the Seasonal Worker Programme and Add-on Skills Training Component. When collecting information of personal nature, the Department asks stakeholders to complete a Privacy Consent Form. RTOs are required to comply with the Australian Privacy Principles when collecting and distributing private information relating to seasonal workers for the purposes of delivering training to seasonal workers.

The Seasonal Worker Programme Team takes precautionary steps managing personal individual, including the following measures:

- individuals and companies are informed that information collected by the Department will be recorded in hard and soft copy for the Seasonal Worker Programme Team to access;

- information is kept in-confidence and therefore not shared or discussed publicly;
- most of the information is stored electronically. Access to the information is limited to the Department, including staff in the Seasonal Worker Programme Team and also the Wages Policy and Industries Branch Manager;
- the programme maintains a purpose built database for internal use, and restricted access is provided to relevant Seasonal Worker Programme Team members only; and
- in relation to hard copy information, active records are stored in the Wages Policy and Industries Branch. Inactive records are sent to the department's records management area for storage.

The personal information contained in these records may be disclosed to the relevant applicant or the applicant's legal representative. The personal information may also be disclosed to the Department's lawyers and staff at DIBP, the ATO, DFAT and FWO.

2.4 Workplace Relations Legal

Employment Portfolio Appointments

Personal information is collected to process and maintain information on appointments to statutory bodies within the portfolio. The records are also used to inform the Government on the gender balance of appointments to Commonwealth bodies.

Content may include: name, address, gender, birth date, nationality, contact details, educational qualifications, employment history, driver's licence details, remuneration and declarations of private interests, disability status, racial or ethnic origin and membership of a political association, professional or trade association or trade union.

The personal information in these records relates to persons nominated for appointment to portfolio bodies and persons who submit an expression of interest in appointment. The information is primarily collected directly from the individuals. Where information is solicited, individuals are informed of the reasons for collection and use of the information at the time the information is requested.

Records are kept on computer and paper media, including an internal database. Non-sensitive board appointments information is published on the Commonwealth Government's AusGov Boards database. Where a consultant is engaged by the Department to assist a selection panel, personal information necessary to undertake the required work is held by the consultant until the selection process is finalised. It is the policy of the Workplace Relations Legal (WRL) that personal information be classified Sensitive – Personal, which restricts access to a 'need to know' basis.

Some of this information is disclosed, as appropriate, to: the Minister for Employment; staff in the Minister's office; the Prime Minister and other members of Cabinet; Cabinet Secretariat; PM&C; the Governor-General and other members of Executive Council; Executive Council Secretariat; the Office for Women, and the body (or secretariat of the body) to which the relevant appointment is made. Where a consultant is engaged by the Department to assist a selection panel, personal information necessary to undertake the required work is provided to the consultant.

Access is limited to the following departmental staff: the Secretary; Deputy Secretaries; staff responsible for processing appointments; senior staff in the WRL and Workplace Relations Policy Group and other staff on a needs basis.

2.5 Economic Strategy

Evaluation, Research and Program Monitoring

Personal information is collected in the course of conducting monitoring, evaluation and surveys of the Department and those on behalf of other departments. The information is analysed for the purpose of assessing and reporting on the performance of the Government's labour market programs (such as employment services), compliance and activation policies. The records relate to selected groups of individuals who are current or former clients of the Department as well as the PM&C, Education, Industry, Innovation and Science (DIIS) and DSS.

The records used in analysis and reporting contain:

- personal information from the Department's ESS and the Research and Evaluation Dataset (RED) which draws on DHS administrative databases such as:
 - Centrelink reference number, name, address, date of birth, post code, telephone number and payment details along with demographics; and
 - other information such as gender, country of birth, year of arrival, family status, age of youngest child, date left school, occupation, involvement in education, training or employment, educational qualifications, English language skills, job seeker classification score, job capacity assessment, access and equity group including ethnic background, homeless indicator, ex-offender indicator, violent client indicator and allowance information, weekly income, capacity to work and medical conditions

Some of this information is provided under contract or deed to consultants and academics who conduct research relevant to the Department and surveys on the Department or DSS's behalf.

The personal information is held electronically with appropriate security arrangements in place.

Staff from the Evaluation, Research and Evidence Branch have access to this personal information on a need to know basis. Approved staff from a number of other areas in the Department also have access to de-identified RED data and must comply with privacy and security requirements.

DHS administrative data is retained by the group indefinitely (in the form of the RED) to support historical and longitudinal research, however, copies of the data released to consultants and academics must be destroyed or returned to the Department on completion of the contracted purpose.

Limited personal information may be released overseas (to bodies such as the OECD), such as postcode (but not identifying information such as name and address).

Employer Sponsored Migration Database

The Department is recognised in migration administrative practice as the relevant department to provide advice to DIBP on labour market, skill, training and workplace relations issues associated with the policy settings and criteria for permanent and temporary migration programmes.

The Department records include information on an individual's migration programme and category, sponsoring company, occupation, salary and in some instances the proposed visa applicant. Where information is recorded on a visa applicant, it is limited to name, occupation, salary and country of citizenship.

The Department maintains databases (electronically stored) and files (electronically stored and paper based) which record information on Labour Agreements and sponsored temporary and permanent migration applications referred by DIBP for comment in accordance with migration administrative practice. All information is stored in accordance with the protective classification that applies. The DIBP forms and explanatory notes provided to applicants (both individuals and companies) state that information provided will be disclosed to Commonwealth, state and territory government departments and agencies for the purposes of administering migration legislation and where it may assist another agency to perform a regulatory function; the Department is identified as an example of a Commonwealth department.

Access to these databases and records is restricted to relevant staff within the Department, including Senior Executive in the Workforce Participation and the Director of the Policy Branch, Migration Policy Section.

This information is not disclosed to external parties other than in broad statistical non-identifiable terms and only on request.

Social Enterprise Development and Investment Funds

Personal information is collected in relation to the administration of the Social Enterprise Development and Investment Funds (SEDIF) and relates to records of SEDIF applicants.

The kind of personal information collected includes the names of organisations' nominated contact personnel, their business addresses, phone and fax numbers and email addresses, as well as resume information about previous skills and experience of key personnel of relevance to the assessment of the applying organisations.

Personal information was collected from applicants at the time of application. Individuals were informed as part of the SEDIF application process of the way in which their personal information was collected and would be used and disclosed. Information is no longer being collected.

The personal information is held in hard copy files and in electronic format on Department storage platforms.

The personal information is not disclosed to persons or organisations outside of the Department.

Research and Evaluation Services (RES) Panel

Personal information is collected on a panel member's key personnel.

The kind of personal information collected includes the names of the panel member's nominated key personnel, the service category/ies they would be involved in, their qualifications, skills, knowledge and experience, roles and responsibilities, any accreditations and certifications, details of any security clearances held and the expiry date for these, their business location and contact details (phone, email and mobile).

Panel members provide this personal information at the time of tendering. The information is used to assist departmental staff or staff from an approved agency to assist with the assessment of submissions and to shortlist successful panel member's for projects.

This information can be updated, at the panel member's request, at any time while they are on the panel.

Personal information is held in hard copy files and in electronic format on Department storage platforms. It is also available electronically to approved agencies on the Finance's RES govdex community.

Note: Approved agencies are departments/agencies who have entered into a Memorandum of Understanding with the Department to use the RES Panel.

3. Corporate Functions

3.1 People and Communication

Learning and Development and 360 degree feedback panels

The Department sources training providers from Supply Nation through learning and development panels established by other APS agencies. Once providers are selected, they sign a contract with the Department. Contracts contain resumes and personal details pertaining to training providers.

Records relating to the procurement activity are kept electronically on the Department's Information Management System. Personal information contained in these records is accessed by staff of the relevant area of the Department and may be disclosed to other areas of the Department when a request for services is initiated, and to Departmental senior executives on a need to know basis.

Learnhub

Learnhub complies with Australian Government legislation and policy for the security and privacy of data. The data for Learnhub is hosted behind a gateway which has been certified by the Australian Signals Directorate under the Information Security Registered Assessors Program as complying with the Protective Security Policy Framework requirements. All users must accept the Learnhub Privacy Policy in order to access the system.

In the Department, employees register for training programs on Learnhub and also complete e-learning courses on the system. Records of training course attendance and e-learning course completion are held in Learnhub, and are only available to individual employees. Participation rates are reported, but this is in aggregate form and is de-personalised.

External Consultants

External consultants are utilised by a number of teams within the Department. The purpose of keeping records on external consultants is to assist with the evaluation, engagement and ongoing contract management of external service providers.

Information retained may include personal company information, bank details, services, professional employment history. Records are kept electronically.

Personal information is collected directly from the consultant and privacy issues are addressed as part of the standard departmental contract entered into with the provider.

Personal information contained in these records is accessed by staff of the relevant branch of the Department and may be disclosed to other areas of the Department when a request for service is initiated, and to departmental senior executives on a need to know basis.

Health and Performance

Personal information concerning the health and performance of departmental employees is collected in order to effectively manage these employees.

Personal information which may be collected includes:

- employment details including classification, performance feedback, reasons for termination of employment;
- complaint details including unproven allegations made by one person about another;

- details of disciplinary action including allegations, investigation reports and sanctions; and
- medical information including nature of illness or injury, prognosis and treatment and workers' compensation payments.

The personal information is collected from both the individual and sometimes third parties, including:

- medical information which is typically provided by rehabilitation providers and medical practitioners by telephone, fax, email and through reports paid for by the Department and by other parties such as Comcare;
- information about work performance, grievances and complaints, which is collected by case managers in meetings with employees (i.e. verbally) and in writing when provided to the team by the employee, their manager, a complainant or other related party; and
- information about conduct allegations, collected by administrative investigators during misconduct investigations, collected both verbally (usually with a transcript provided) or in writing.

Individuals are informed of the retention period of their personal information and are advised that their personal information may be used for any matters relating to their employment.

The personal information in these records is retained and secured as follows:

- use of the high level Dissemination Limiting Markers (DLM) classification in email correspondence;
- use of Department's electronic filing system;
- use of 'limited access database' (which means only the responsible area of the Department and relevant IT staff can access it). This database can also facilitate a more limited person-by-person access arrangement where cases are designated as particularly sensitive (for instance where the person concerned is a relative of a team member or is a whistle-blower);
- information is redacted from documents where appropriate before being provided to other parties; and
- staff are formally directed to refrain from discussing matters on a case by case basis.

Due to the nature of the work and the required processes associated, personal information may be disclosed to third parties during the management of health, performance or conduct matters, including to:

- doctors;
- rehabilitation providers;
- unions;
- investigators;
- Comcare; and/or
- other Commonwealth agencies including, Centrelink, Comsuper.

However, these groups do not have access to departmental systems – information is generally provided in the form of formal correspondence by letter or email.

Public Interest Disclosure Information relating to disclosures made under the *Public Interest Disclosure Act 2013* (PID Act) is collected and managed according the provisions of the PID Act.

Personal information which may be collected includes:

- if disclosed, the discloser's name and sufficient details to establish whether they meet the definition of a 'public official' under the PID Act; and
- information about the disclosed conduct which may involve allegations about present or previous employees.

The personal information in these records is retained and secured as follows:

- records are kept in accordance with requirements under the PID Act and the Department's recordkeeping Policy and Recordkeeping Guidelines;
- use of the high level Dissemination Limiting Markers (DLM) classification in email correspondence;
- use of Department's electronic filing system;
- use of 'limited access database' where access to information is restricted to allocated individuals in the Performance and Wellbeing Team who have a need to know about the particular case;
- information is redacted from documents where appropriate before being provided to other parties; and
- staff are formally directed to refrain from discussing matters on a case by case basis.

SES Team

The SES Team within People Branch manages all recruitment and remuneration matters for departmental Senior Executive Service (SES) employees. Personal information is collected for the purpose of administering SES personnel matters by the SES Team in conjunction with other relevant teams such as payroll and security.

The content of personnel records maintained or accessed from the SAP system may include: name, address, date of birth, occupation, AGS number, gender, qualifications, diversity information, next of kin, details of pay and allowances, leave details, security clearance details and employment history. These records may also include the type of personal information described in paragraph 4 under 'Recruitment and Personnel Records' in this document.

When personal information is collected through the E-Recruit system or through an external recruitment provider, information on privacy obligations is provided at the beginning of the application process. In addition, a privacy statement is provided to the individual, regarding use and retention of all personal information provided by the individual.

Personnel records and relevant personal information that is collected as a part of a recruitment process will be retained electronically in the Department's document management system HP Records Manager (TRIM). Information may also be retained by an external recruitment provider whose contract is managed by the SES Team.

The personal information is stored in a dedicated electronic drive and access to the personal information is restricted only to the SES Team of the Department.

Graduate Programme

Personal information is collected in order to administer the Graduate Programme of the Department and is collected at several stages of the Graduate recruitment process:

- Stage 1 (online application);
- Stage 2 (candidate attends assessment centre/ interview); and
- Stage 3/4 (candidate shortlisted for offer/ referees contacted by phone/Graduate acceptance).

The information is retained as part of the above administrative process as follows:

- a record of the application is retained in E-Recruit, in the same way that personal information is retained for regular recruitment (detailed under 'Recruitment and Personnel Records' at paragraph 4) in addition to the currency of tertiary qualifications;
- assessment papers saved electronically in the Department's official electronic recordkeeping system;
- assessment centre papers saved electronically in the Department's official electronic recordkeeping system;
- a copy of individual referee report is saved electronically in the Department's official electronic recordkeeping system; and
- proof of citizenship and any other personal documents provided are retained pending employment (if an individual is not employed these papers are securely destroyed).

Personal information is retained on personnel files once the individual has accepted an offer of employment. No information is disclosed externally.

Recruitment and Personnel Records

The Department uses an external cloud hosted online recruitment system (E-Recruit) for internal and external job applications. All job applications collect personal information through the E-Recruit system that is required for recruitment and payroll purposes.

The purpose of personnel records is to maintain employment history, payroll and administrative information relating to all ongoing and non-ongoing employees. Records relating to contractors not paid through the agency's human resources payroll system are maintained by the relevant business area consistent with Commonwealth Procurement arrangements.

The content of personnel records may include: name, address, date of birth, occupation, AGS number, gender, qualifications, equal employment opportunity group designation, next of kin, details of pay and allowances, leave details, work reports, security clearance details and employment history.

Personnel records may also contain the following information:

- records relating to attendance and overtime;
- any past criminal convictions or current criminal matters pending;
- leave applications and approvals;
- medical and dental records;
- payroll and pay related records, including banking details;
- career progression records including promotions, movements and higher duties;

- tax file number declaration forms;
- declarations of pecuniary interests;
- performance agreements and appraisals, etc;
- records relating to personal development and training;
- trade, skill and aptitude test records;
- completed questionnaires and personnel survey forms;
- records relating to relocation of staff and removal of personal effects;
- travel documentation;
- records relating to personal welfare matters;
- contracts and conditions of employment;
- diversity data;
- disciplinary investigation and action;
- adverse performance and security assessments;
- next of kin details;
- records relating to previous service recognised for APS leave purposes;
- disabilities; and
- racial or ethnic origin.

Personnel records and relevant personal information for payroll purposes are created and maintained by the Department of Finance who provide payroll services to the Department and have been retained electronically since July 2011. These records are stored in a defined location with personal information access is restricted to the specified individuals involved in service delivery and the Department's Record and Information Management Team. Paper files are retained by a third party whose contract is managed by the Department's Records and Information Management Team.

In the E-Recruit system, all applicants are provided with information on privacy at the first screen before the application is progressed. A privacy statement is provided, regarding use and retention of all personal information provided by the individual.

The following departmental staff have access to personnel records: executive and senior personnel management staff, supervisors and members of selection committees (in a limited capacity and as appropriate), the individual to whom the record relates and personnel staff, security officers and case managers (as is relevant to completing their duties).

Information held in personnel records may be disclosed, as appropriate, to: Comcare, Commonwealth Medical Officers, Attorney-General's Department, Australian Public Service Commission, ComSuper and other superannuation administrators, Australian Taxation Office, Centrelink and the Child Support Agency. Information held on personnel records is moved to other APS agencies on movement or reengagement of an employee to that agency.

Indigenous Australian Government Development Programme (IAGDP)

The Indigenous Australian Development Government Program (IAGDP) is a whole of Government program. The candidate selection process and the implementation of the Program is co-ordinated by the IAGDP team in the Department. A copy of a participant's Proof of Aboriginality as well as other personal information (as identified above under 'Recruitment and Personnel Records') is collected directly from the applicant and is stored on E-Recruit as part of a participant's application. All files containing personal information about participants and recruitment processes are stored electronically and are only accessible by the relevant section of the Department.

Any paper copies of applications are uploaded to the E-Recruit system and are securely destroyed at the completion of the recruitment process.

Once successful, participants are allocated to a federal department/agency participating in the Program. Once allocated to a particular department/agency, all personnel information is provided to the relevant HR Representative of that department/agency. The records of participants who are allocated to the Department are stored in line with other personnel records held by the Department (detailed above under 'Recruitment and Personnel Records').

The IAGDP undertakes procurement processes associated with sourcing registered training organisations (RTO) to deliver Diploma and other learning and development by requesting quotes through existing L&D panel arrangements. Following provider selection, an agreed contract is made with the Department. Quotes and contracts for the service provision may contain resumes and personal details pertaining to training providers. Records related to these procurements are retained in a specified drive and are only accessible to specified individuals involved in service delivery, and the Department's Record and Information Management Team.

Continuity & Change Management (WHISPIR)

Personal information is collected in relation to the administration and communication of emergency and continuity management within the Department (staff welfare checks, communication of major IT outages). Personal information collected includes: name, address, personal mobile number, work issued mobile number, work phone, home phone, work email, home email and alternative contact details.

Personal information is collected directly from individuals and from the Departments' Corporate Directory. Staff in the State Network are advised of the usage of the personal information at the time of collection.

Information is stored electronically by a third party application provider on behalf of the Department in an externally hosted/cloud Software-as-a-Service (SAAS) database called WHISPIR.

The Departments' Risk, Assurance and Performance Section (RAPS) and State delegates have access to this personal information. The WHISPIR provider also has access to the information.

Personal information is not released unless authorised by law or the relevant individual provides consent.

Emergency Management (ECO)

Personal information is collected in relation to the administration of emergency management within the Department. Personal information collected includes: name, address, personal mobile number, work issued mobile number, work phone, home phone, work email, home email, alternative contact details, relevant training qualifications and attendance.

Personal information is collected directly from individuals.

Information is stored electronically by a third party the training provider as required under legislation.

The Department's Risk, Assurance and Performance Section (RAPS) have access to this personal information. The training provider also has access to the information.

Personal information is not released unless authorised by law or the relevant individual provides consent.

Connect

Personal information is collected to maintain complete information relating to staff of the Department. Personal information collected may include: name, address, contact information and transaction history. Details of traders and employee bank accounts are also kept on the financial system.

Personal information is solicited at engagement or when payment is sought.

Information is held on the Department's specialised electronic information management system.

Some personal information may be disclosed to the Reserve Bank of Australia. Financial information, including vendor details is available to other areas of the Department for the purposes of completing financial reporting.

Personal information is not released unless authorised by law or the relevant individual provides consent.

Personal information is stored on the Department's specialised electronic information management system for historical purposes.

Workplace Adjustments

Personal information concerning disability for departmental employees is collected in order to effectively assist with workplace adjustments, particularly when seeking Government funding for Employment Assistance Fund (EAF) through JobAccess.

Personal information which may be collected includes:

- home address and contact details;
- type of disability;
- medical evidence to support request; and
- employment details such as length of service, hours of work.

This personal information is provided to the Diversity Officer or Health case managers in People Branch, depending on who the employee has asked to assist them with the application process. This information is provided to JobAccess as part of their eligibility check when seeking funding from the EAF.

Individuals are informed about what happens to their personal information throughout this process and acknowledge this in the application form.

All information pertaining to applications for workplace adjustments is retained and secured through:

- use of the high level Dissemination Limiting Markets classification in email correspondence; and
- use of Department's electronic filing system.

Stakeholder Records

The records are maintained in a centrally-managed database that was part of the former Department of Education, Employment and Workplace Relations (DEEWR's) Stakeholder Engagement Framework. It contains contact details (names, organisations, roles, email addresses, physical and postal addresses and phone numbers) of the former DEEWR's stakeholders, including key contacts in universities, major employers, organisations in the training and education sectors, relevant state and territory agencies, unions and peak bodies covering the department's business areas.

Historically, the former DEEWR generally sought details directly from stakeholder organisations to update the database for the purpose of informing and communicating with them about portfolio related matters.

Following the recent Machinery of Government changes and the transfer of the Shared Services Centre functions between the Department of Education and Training, Department of Employment and Department of Finance respectively, these records are archived with the possibility that they may be overwritten if the former corporate instance of the database is used for other business purposes.

Events Records

The Events Team manages a web based registration system 'Certain' which may include any or all of the following information submitted by delegates at the time of registering their attendance at an event: name, organisation, roles, email addresses, physical and postal address, telephone and fax numbers, date of birth, accessibility and dietary requirements and in some cases relevant medical information and photographs and a personal statement (relevant work or study information).

Those with access to the information include the team managing the central database and in some cases members of the relevant departmental line area organising a specific event.

The initial IT procurement request for 'Certain' outlines the security parameters for the management of the information. Once the information contained in the event registration system is no longer required, it is deleted.

Individuals can obtain information regarding access to personal information in this class of records by contacting the Department's Events Team via email at events@employment.gov.au.

Ministerial Correspondence

The purpose of these records is to provide a tracking system to ensure appropriate action on representations to the Minister.

Content may include medical history, compensation and rehabilitation cases, and relationship details provided by the correspondent, statements about religious beliefs, racial origin, health and political affiliations.

Personal information is unsolicited and collected from individuals as a result of their correspondence to the Minister.

An image of the material is included in an electronic database.

The following agency staff have access to these records: departmental officers in the Parliamentary Team, who, upon receipt, enter basic details of each letter or representation (such as author, address, subject matter) on the Department's electronic Parliamentary Document Management

System (PDMS), and other determining staff who draft replies, or clear drafts of replies to correspondents.

When all processing is completed, records are closed and stored with a copy retained in PDMS.

3.2 Finance, Legal and Governance

Departmental Investigation Files

The purpose of these records is to assist in the investigation of suspected offences against the Commonwealth, with special reference to fraud related issues, offences against the *Crimes Act 1914* (Cth), the *Criminal Code Act 1995* (Cth), the *Financial Management and Accountability Act 1997* (Cth) and the *Public Service Act 1999* (Cth), and in accordance with the *Commonwealth Fraud Control Guidelines 2011*.

The personal information on these records relates to clients and staff of the Department, contracted service providers, and other persons who have information relevant to fraud investigation activities (e.g. witnesses and informants) or persons who are the subject of fraud investigations.

The personal information may include name, address, date of birth, country of birth, immigrations details and status, criminal convictions and intelligence, occupation, gender, marital status, names and status of partners or relatives, business details (including trust and partnership information), financial information, relationship details, employer/employee related information, and opinions on veracity, intent, strength of evidence and possibility of success in prosecution.

Records are stored in paper and electronic media, in the Department's National and State Offices.

Serious Non-Compliance and Investigations Unit staff members in National and State Offices have access to this personal information.

Some of this personal information may be disclosed to the Australian Federal Police and state/territory police, the Director of Public Prosecutions (Commonwealth and State), other government agencies, external legal advisers, Courts and Tribunals and where otherwise required or authorised by or under law.

Protective Security Files

Personal information is collected in relation to protective security management within the Department. The purpose of these records is to assist in the management of security arrangements or the investigation of security incidents.

The personal information on these records relates to staff of the Department, contracted service providers, and other persons who have information relevant to security activities.

The personal information may include name, address, date of birth, country of birth, immigration details and status, criminal convictions and intelligence, occupation, gender, marital status, names and status of partners or relatives, financial information, relationship details, employer/employee related information, travel plans, security clearance details and opinions on: veracity, intent and strength of evidence.

The information is stored on electronic files within the Department.

Access to these databases and records is restricted to the relevant security delegates and staff within the Department on a need-to-know basis. Some of this personal information may be

disclosed to the AFP and state/territory police, other government agencies, where otherwise required or authorised by or under law or where the relevant individual provides consent.

Trust Funds and Recovery files

Trust fund records relate to payments by employers to former employees whose whereabouts are unknown. Certain personal information is collected for the purpose of administering the Trust Funds and includes: name, last address, date of birth, and occupation.

Personal information is also collected to assist with the recovery of debts. Personal information collected for these purposes includes: name, address, phone number, date of birth, occupation, employment, gender, debt amount, repayments, records of conversation and repayment proposals.

Trust related information is collected through employers advising on payments to former employees while recovery related information is collected from debtors of the Department.

This information is held internally only in electronic media where possible.

Personal information in relation to recoveries may be disclosed to the following entities: disability employment services, debt collection agencies, Centrelink, Australian Government Solicitor or other external legal advisors.

Personal information is not released unless authorised by law or the relevant individual provides consent.

Risk and Insurance (Comcover Claims)

Information is collected to support Comcover claims for departmental employees. Personal information collected may include: claimant's name, business address, telephone, email address, details of claim, damage or injury suffered, witness name, address, telephone, proof of ownership health information, hospital admission details, employee statements and police reports.

Personal information is most often provided in an unsolicited fashion, however in some cases additional information may be requested.

The information is held internally on electronic media where possible and with Comcover in electronic records with password logon security.

Personal information is not released unless authorised by law or the relevant individual provides consent.

Planning and Performance (Reconciliation Action Plan and Annual Report)

Personal information will be collected for the purpose of preparing the Department's Reconciliation Action Plan (RAP) and Annual Report. Personal information collected may include: contact name, organisation name, postal address and email address.

Personal information is collected from Indigenous staff within the Department with respect to the RAP and from organisations that have contacted the department to receive copies of the Annual Report.

The information is stored on electronic files within the Department.

Details contained in the RAP and Annual Report are not static and are updated as appropriate.

Procurement Grants, Records and Information

Personal information collected may include: responses to tender applications, answers to selection criteria, records relating to vendor experience, referee reports, qualifications, evidence of financial viability, employee resumes, contact details, financial details, correspondence with applicants and government agency staff working on matters relating to procurements and contract management.

The personal information is solicited through procurement and contract management activities.

Procurement records are now stored in electronic format only. The on-line procurement system directly links to the related on line records system. Some older records may still be in hardcopy format.

The personal information may be disclosed to other areas within the Department, including business areas from Finance and Business Services, members of the responsible branch of the Department, the legal and investigations area of the Department as well as the Financial Viability Team and departmental Senior Executives on a need to know basis.

Personal information is not released unless authorised by law or the relevant individual provides consent.

Legal Services Files

The purpose of these records is to enable the Legal area to perform its function in relation to the delivery of legal services to the Department, including freedom of information services.

The personal information on these records may relate to employees, clients, service providers and some members of the public. The content of the records may include: name, address, date of birth, gender, marital status, financial information, employee related information, occupation, information about criminal convictions, physical or mental health details, and racial or ethnic origin.

Personal information is often unsolicited and is collected in accordance with the requirements of the Australian Privacy Principles set out in the *Privacy Act 1988* (Cth).

The legal area also has responsibility for maintaining the Department's Delegations Register, which records all delegations instruments issued by departmental officials. The instruments on this register may include personal information, such as an individual's name and occupation. These records are accessible for departmental staff for the purposes of administering the powers and responsibilities conferred by the delegations instruments and are kept in accordance with the Administrative Functions Disposal Authority issued by the National Archives of Australia.

Some of the above information may be disclosed to: Commonwealth departments and agencies, Ministers and Minister's staff, external legal advisers, and Courts and Tribunals.

The following agency staff have access to this personal information: officers of the Legal area involved in the provision of legal services, and senior managers on a need-to-know basis.

3.3 Technology Services

IT Procurement

As part of the Information and Communication Technology (ICT) contractor recruitment process, consultancy engagements and Requests for Quote (RFQs), the Department obtains ICT contractor resumes, consultant or vendor details for the purpose of evaluating suitability for specific services. These records are obtained from recruitment agencies, consulting companies or other service

providers. The content includes work history, referee details, security clearance details, contact details and hourly rates etc.

The personal information in these records relates to the employees, contractors or subcontractors of the organisation responding to the request. Some records are kept in hardcopy files, while other records are stored in an electronic file format in the Department's electronic filing system. Access is restricted to the Procurement Services, staff from the area initiating the recruitment process and Senior Executives in the department on a need to know basis.

When procuring OH&S equipment a request is received through the System Centre Service Manager (SCSM) workflow system. The request contains the staff member's name and required equipment. The record is maintained within the SCSM system and access is controlled through role groups.

Once a procurement process is completed the records are stored in an electronic file format in the Department's electronic filing system, with some records from successful respondents kept in hardcopy files. All hardcopies of documents, once saved electronically, are destroyed.