



Privacy & Confidentiality Policy

Purpose

Assured Auditing will be responsible for the management of information obtained or created during the performance of certification activities, except for information that the client makes publicly available or when agreed between Assured Auditing and the client. All other information will be considered confidential.

Scope

This document applies to all Assured Auditing employees/contractors and clients.

Policy/Procedure

To ensure consistency with the Privacy Act (1988), Assured Auditing will:

- Only collect information required to meet their audit responsibilities and shall not use information about a consumer for any purpose other than the assessment of conformity with the standards.
- Inform the client; in advance of the information, it intends to place in the public domain;
- Protect the privacy of any organisational information;
- Assured Auditing treats all information about a client, comprising documentation, records, data either in hard copy or electronic format, or verbal information that comes into the possession of Assured Auditing in accordance with the Privacy Act and the NSW Privacy and Personal Information Protection Act 1998.
- If Assured Auditing intends to share information about a client with its responsible body, excluding notifiable issues it will seek the client's permission beforehand.
- If permission is not granted, Assured Auditing will ensure that it may disclose this information to the responsible body only when it deems such action to be in the best interests of the client's consumers, or in compliance with Privacy Act (1988) (Compilation No. 90; Registered 01 April 2022); Privacy Amendment (Private Sector) Act 2000 Child Protection Act 1999, the Disability Services Act 2006, the Information Privacy Act 2009, and the Domestic and Family Violence Protection Act 2012.

This includes appropriate measures to protect electronic materials and materials stored and generated in hard copy.

Only Assured Auditing employees or contract auditors will have access to information.

Assured Auditing will use the organisation/individual contact details to:

- Process applications and renewals for audit purposes
- Process payments
- Provide information that has any relevance to audit process
- Provide clients with any relevant news and information.

Assured Auditing will use organisation/individual identifier:

- To conduct any studies and analyse any research;
- To provide Assured Auditing's management with a more comprehensive understanding of the Quality Systems in place in clients' organisations;

Assured Auditing may disclose organisational information in order to comply with mandatory reporting requirements and the National Privacy Principles described in the Privacy Act (1988) that indicate an organisation may disclose information if:

It reasonably believes that the use or disclosure is necessary to lessen or prevent:

- a serious and imminent threat to an individual's life, health, or safety.
- a serious threat to public health or public safety.

It reasonably believes that the use or disclosure is reasonably necessary for one or more of the following by or on behalf of an enforcement body:

- the prevention, detection, investigation, prosecution or punishment of criminal offences, breaches of a law imposing a penalty or sanction or breaches of a prescribed law;
- the enforcement of laws relating to the confiscation of the proceeds of crime;
- the protection of the public revenue;
- the prevention, detection, investigation or remedying of seriously improper conduct or prescribed conduct.

If Assured Auditing is required by law or authorised by contractual agreements to release confidential information, they may notify the contact person of the organisation to advise that confidential information has been released, unless prohibited by law.

Information about the client obtained from sources other than the client (e.g. from the complainant or from regulators) will be treated as confidential.

Assured Auditing will not disclose information about a consumer of a client that is identifiable directly or indirectly to that consumer without the written consent of that person, unless required by law.

Consents will be obtained from consumers of the client for the purpose of the audit. If obtaining written consent proves unattainable or impractical, Assured Auditing will ensure that the consumer receives support from a family member, caregiver, guardian, or advocate capable of making an informed decision regarding consent.

Assured Auditing may request the organisation to anonymise records, including those of individuals utilising services, to facilitate sampling for specific purposes such as investigations into complaints or instances where consent for file access is lacking.

Responsibility

The Managing Director is responsible for this policy and all actions taken within it.

References

Privacy Act (1988) (Compilation No. 97; Registered 21 October 2023)

Privacy Amendment (Private Sector) Act 2000

NSW Privacy and Personal Information Protection Act 1998 No 133

ISO/IEC 17065:2012

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Document Number	Version Number	Approval date	Amendments	Authorised by
CAA Internal 023	4	January 2023	Grammar and formatting plus update of ownership	Emma Healey
Internal 003	1	January 2024	Update of ownership and structure	Emma Healey
Internal 003	2	March 2024	Update to reflect all scheme rules	Emma Healey