

# Information Management Handbook

## Privacy Management Plan

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## Information Management Handbook – Privacy Management Plan

### **Please Note**

This Privacy Management Plan is based on the Model Privacy Management Plan for Local Government supplied by the New South Wales Division of Local Government.

Amendments have been made to incorporate relevant provisions of the Health Records and Information Privacy Act 2002 (NSW) and the Government Information (Public Access) Act 2009 (NSW).

### **Revision History**

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## Part 1 - Introduction

### 1.1 About this Plan

Wagga Wagga City Council's Privacy Management Plan is based on the Model Privacy Management Plan for Local Government supplied by the New South Wales Department of Local Government.

The main content of this plan is set out in Part 3 and Part 4 and the following format applies to these sections;

<b>Information Protection Principle or Health Privacy Principle:</b>	The information contained under these headings is the wording as found under the relevant section of either the Privacy and Personal Information Protection Act 1998 (PPIPA) or Health Records and Information Privacy Act 2002 (HRIPA)
<b>The Privacy Code of Practice:</b>	The information contained under this heading relates to the Privacy Code of Practice for Local Government and the way in which it modifies the operation of the PPIPA for Local Government Authorities.
<b>Council Policy:</b>	This information relates to Council's internal processes and procedures for ensuring that the relevant acts are complied with. This section also notes any other legislation, relevant to Local Government, that may modify the operation of that particular section of the PPIPA or HRIPA

### 1.2 Legislative Context

The Privacy and Personal Information Protection Act 1998 (PPIPA) provides for the protection of personal information and for the protection of the privacy of individuals.

Section 33 of the PPIPA requires all councils to prepare a Privacy Management Plan (the "Plan") to deal with:

- the devising of policies and practices to ensure compliance by Council with the requirements of the PPIPA or the Health Records & Information Privacy Act 2002 (HRIPA)
- the dissemination of those policies and practices to persons within the Council,
- the procedures that Council proposes for Internal review of privacy complaints;
- such other matters as are considered relevant by Council in relation to privacy and the protection of personal information held by it.

This Plan has been prepared for the purpose of section 33 of the PPIPA.



The Act provides for the protection of personal information by means of 12 Information Protection Principles (IPPs). Those principles are listed below:

- Principle 1 - Collection of personal information for lawful purposes
- Principle 2 - Collection of personal information directly from the individual
- Principle 3 - Requirements when collecting personal information
- Principle 4 - Other requirements relating to collection of personal information
- Principle 5 - Retention and security of personal information
- Principle 6 - Information about personal information held by agencies
- Principle 7 - Access to personal information held by agencies
- Principle 8 - Alteration of personal information
- Principle 9 - Agency must check accuracy of personal information before use
- Principle 10 - Limits on use of personal information
- Principle 11 - Limits on disclosure of personal information
- Principle 12 - Special restrictions on disclosure of personal information

Those principles are *modified* by the Privacy Code of Practice for Local Government ("the Code") made by the Attorney General.

The Code has been developed to enable Local Government to fulfil its statutory duties and functions under the Local Government Act 1993 (the "LGA") in a manner that seeks to comply with the PPIPA.

This Plan has been amended to incorporate the requirements of the Government Information (Public Access) Act 2009 (NSW) (GIPAA). The GIPAA extends the right of the community to have access to information held by State Government departments and local and public authorities with a view to achieving more open, accountable, fair and transparent government.

The Plan has also been amended to incorporate the requirements of the Health Records and Information Privacy Act 2002 (HRIPA). The HRIPA regulates the collection and handling of people's health information by New South Wales public and private sector organisations and was operational from 1 September 2004. It takes health information out of the PPIPA and gives it specific protection.

As with the PPIPA, the HRIPA provides protection for health information by means of 15 Health Privacy Principles (HPPs). The HPPs are very similar to the IPPs in intent and wording but with a health information orientation. Those principles are listed below:

- Principle 1 – Purposes of collection of health information
- Principle 2 – Information must be relevant, not excessive, accurate and not intrusive
- Principle 3 – Collection to be from the individual concerned
- Principle 4 – Individual to be made aware of certain matters
- Principle 5 - Retention and security
- Principle 6 - Information about health information held by organisations
- Principle 7 - Access to health information
- Principle 8 - Amendment of health information
- Principle 9 - Accuracy



Principle 10 - Limits on use of health information

Principle 11 - Limits on disclosure of health information

Principle 12 – Identifiers

Principle 13 – Anonymity

Principle 14 – Transborder data flows and data flow to Commonwealth Agencies

Principle 15 – Linkage of health records

This Plan outlines how Council will incorporate the 12 IPPs and 15 HPPs into its everyday functions.

This Plan should be read in conjunction with the Code of Practice for Local Government.

Nothing in this Plan is to affect:

- any matter of interpretation of the Code, the Information Protection Principles or the Health Privacy Principles as they apply to the Council;
- any obligation at law cast upon Council by way of representation or holding out in any manner whatsoever;
- create, extend or lessen any obligation at law which Council may have.

This Plan is designed to introduce policies and procedures to maximise compliance with the PPIPA and the HRIPA.

Where Council has the benefit of an exemption, it will nevertheless describe procedures for compliance in this Plan. By doing so, it is not to be bound in a manner other than that prescribed by the Code.

Council collects, stores and uses a broad range of information. A significant part of that information is personal information including health information. This Plan applies to that part of the Council's information that is personal information and/or health information.

It may mean in practice any information that is not personal or health information will receive treatment of a higher standard; namely treatment according to personal or health information where the information cannot be meaningfully or practicably separated.

## **1.3 What is personal information?**

"Personal information" is defined in section 4 of the PPIPA as follows:

*"Personal information means information or an opinion (including information or an opinion forming part of a database and whether or not recorded in a material form) about an individual whose identity is apparent or can reasonably be ascertained from the information or opinion."*

## **1.4 What is not "personal information"?**

"Personal information" does not include information about an individual that is contained in a publicly available publication". Personal information, once it is contained in a publicly available publication, ceases to be covered by the PPIPA.

Where Council is requested to provide access or make a disclosure and that information has already been published, then Council will rely on the provisions of the relevant Act that authorises Council to hold that information and not the PPIPA (for example, the GIPAA).

Council considers the following to be publicly available publications:



- An advertisement containing personal information in a local, city or national newspaper.
- Personal information on the Internet.
- Books or magazines that are printed and distributed broadly to the general public.
- Council Business papers or that part that is available to the general public.
- Personal information that may be a part of a public display on view to the general public.

Information published in this way ceases to be covered by the PPIPA. However, Council's decision to publish in this way must be in accordance with PPIPA.

## **1.5 Personal Information Held by Council**

Council holds personal information concerning Councillors, such as:

- personal contact information;
- complaints and disciplinary matters;
- pecuniary interest returns; and
- entitlements to fees, expenses and facilities;

Council holds personal information concerning its customers, ratepayers and residents, such as:

- rates records;
- DA applications and objections;
- Names, addresses, bank account details;
- Child information;
- Library lending details; and
- Burial and cremation records.

Council holds personal information concerning its employees, such as:

- recruitment material;
- leave and payroll data;
- personal contact information;
- performance management plans;
- disciplinary matters;
- bank account details;
- pecuniary interest returns; and
- wage and salary entitlements.

## **1.6 What is health information?**

"Health information" is a particular type of personal information. Health information is personal information or an opinion about:

- A person's physical or mental health or disability, or
- A person's express wishes about the future provision of health services for themselves, or





- A health service provided, or to be provided to a person

It includes personal information, such as:

- Genetic information about a person arising from a health service provided to them that predicts or could predict the health of that person or of their siblings, relatives or descendants.

It also includes other personal information that is not itself health-related, but which has been:

- Collected to provide, or in providing, a health service, or
- Collected in connection with a person's decision to donate body parts, organs or body substances.

Health information can be in any form:

- Paper, electronic, audio visual and other types of health information are treated in exactly the same way under the HRIPA.
- Health information does not need to be recorded in a material form. There is a legal authority to suggest that coverage extends to information held in the mind of employees, when acquired in the course of their employment.

## **1.7 What is not protected**

Some health information is not protected by the HRIPA:

- Health information about a person who has been dead for more than 30 years;
- Some employee-related health information. In the public sector information or an opinion about an individual's suitability for appointment or employment as a public sector official is exempt. However, as a matter of best practice and sensible risk management, Privacy NSW encourages organisations to handle all their employee-related health information in accordance with the HRIPA;
- Health information that is generally available to the public e.g. in a generally available publication, library or the NSW State Archives;
- Health information that might be specifically protected under other laws, such as Protected Disclosure, information about a witness on a protected witness program, or information obtained during special police operations.

## **1.8 Health Information Held by Council**

Council holds health information concerning some of its customers, ratepayers and residents, such as:

- Child details, including:
  - Immunisation Records
  - Medical Conditions
  - Allergies
  - Reports regarding a child's special needs from other organisations
  - Doctors' details

Council holds health information concerning its employees, such as:

- Pre-employment medical examination results;
- Sick leave data;
- Workers Compensation details.



## 1.9 Policy on Electoral Rolls

The Electoral Roll is a publicly available publication. Council will provide open access to the Electoral Roll in Council's library. Council will refer any requests for copies of the Electoral Roll to the State Electoral Commissioner.

## 1.10 Applications for suppression in relation to general information (not public registers)

A person may request that their personal information is removed from documents that are publicly available if they consider that disclosure would place their personal safety or that of their family at risk by making an application under section 739 of the LGA.

An application for suppression must be verified by statutory declaration and otherwise meet the requirements of section 739. When in doubt Council will err in favour of suppression.

For more information regarding disclosure of information (other than public registers) see the discussion of IPPs 11 and 12 in Part 3 of this Plan.

For information regarding suppression of information on *public registers*, see Part 2 of this Plan.

## 1.11 Caution as to Unsolicited Information

Where an individual, a group or committee, not established by Council, gives Council unsolicited personal information, then that information should be still treated in accordance with this Plan, the Code, the HRIPA and the PPIPA for the purposes of IPPs 5-12 which relate to storage, access, use and disclosure of information.

## 1.12 Application of this Plan

The PPIPA, HRIPA and this Plan apply, wherever practicable, to:

- Councillors;
- Council employees;
- Consultants and contractors of the Council;
- Council owned businesses; and
- Council committees (including those which may be established under section 355 of the LGA).

Council will ensure that all such parties are made aware that they must comply with PPIPA, the HRIPA, the Privacy Code of Practice for Local Government, any other applicable Privacy Code of Practice and this Plan.

## 1.13 Related Documents

This Plan should be read in conjunction with:

- POL 095 Privacy Policy
- POL 108 Public Access to Information
- Privacy Code of Practice for Local Government



- Code of Practice for complaint management prepared by the Office of the Privacy Commissioner NSW
- Information Management Operating Standard

## **1.14 Relevant Legislation**

This Plan should be read in conjunction with:

- Local Government Act
- Government Information Public Access Act (GIPAA) 2009 (NSW)
- Privacy and Personal Information Protection Act 1998 (PPIPA)
- Health Records and Information Privacy Act 2002 (HRIPA)



## Part 2 - Public Registers

### 2.1 What is a Public Register?

A public register is defined in section 3 of the PPIPA:

*“means a register of personal information that is required by law to be, or is made, publicly available or open to public inspection (whether or not on payment of a fee)”.*

A distinction needs to be drawn between "public registers" within the meaning of Part 6 of the PPIPA and "non public registers". A "non public register" is a register but it is not a "public register" for the purposes of the PPIPA. For example, the register might not be publicly available or it may not contain personal information.

Disclosure in relation to public registers must comply with Part 6 of the PPIPA and the Code. Personal information cannot be accessed by a person about another person unless the personal information is contained in a public register. Where personal information is contained in a public register, then Part 6 of the PPIPA applies to determine whether access to that information will be given to another person.

Disclosure in relation to all other personal information must comply with the Information Protection Principles as outlined in Part 2 of this Plan and the Code where it includes personal information that is not published.

The Council holds the following public registers:

Register Name	Relevant legislation	Relevant section
Land Register	Local Government Act	s. 53
Records of Approvals	Local Government Act	s.113
Register of Pecuniary Interests	Local Government Act	s.449
Rates Record	Local Government Act	s.602
Register of Consents and Approvals	Environmental Planning and Assessment Act	s.100
Record of building certificates	Environmental Planning and Assessment Act	s.149G
Public register of licences held	Protection of the Environment (Operations) Act	s.308
Record of Impounding	Impounding Act 1993	s.30 & s.31

Members of the public may enquire only in accordance with the primary purpose of any of these registers. The primary purpose for each of these public registers is set out in the sections that follow.

### 2.2 Public Registers and the PPIPA

A public register generally confers specific rights or privileges, a benefit, or status, which would not otherwise exist. It may be required by law to be made publicly available or open to



public inspection, or it is simply made publicly available or open to public inspection (whether or not payment is required).

Section 57 of the PPIPA requires very stringent controls over the disclosure of personal information contained in a public register. Section 57 provides broadly that where Council is responsible for keeping a public register, it will not disclose any personal information kept in that register unless it is satisfied that the information is to be used for a purpose relating to the purpose of the register or the Act under which the register is kept.

Section 57 (2) requires Council to ensure that any person who applies to inspect personal information contained in a public register, gives particulars in the form of a statutory declaration as to the proposed use of that information. (Appendix 1 contains Council's form for this purpose. This form is also available on Council's website and at the Customer Service Centre)

If the stated purpose of the applicant does not conform with the purpose for which the public register is kept, access to the information sought will not be given.

Where personal information is contained in a publicly available publication that information will not be regarded as personal information covered by the PPIPA.

## **2.3 Effect on the Government Information Public Access Act 2009**

Section 57 of the PPIPA prevails over clause 1(3) of Schedule 1 of the GIPA Regulations to the extent of any inconsistency. Therefore:

- (a) If a register is listed in Schedule 1 of the GIPA Regulations, access must not be given except in accordance with section 57(1) of the PPIPA.
- (b) If a register is not listed in Schedule 1 of the GIPA Regulations, access must not be given except:
  - (i) if it is allowed under section 57(1) of the PPIPA and
  - (ii) if inspection would not be contrary to the public interest test under GIPAA.

*Note:* Both (a) and (b) are amended with regard to specific public registers in the Privacy Code of Practice for Local Government.

## **2.4 Where some information in the public register has been published**

That part of a public register that is not published in a publicly available publication will be treated as a "public register" and the following procedure for disclosure will apply.

For example, the Register of Consents and Approvals held by Council under section 100 of the Environmental Planning and Assessment Act requires Council to advertise or publish applications for development consent.

When Council publishes the address of the property, it may identify the owner. The personal information that has not been published and any applications not advertised or that have been rejected or withdrawn (and hence also not published) will be treated as a public register under PPIPA.

Council may hold a register under the Contaminated Land Management Act on behalf of the Environment Protection Authority. This is not to be considered a public register of Council as the statute does not place any obligations on the Council to make this register publicly available as a register of contaminated land. Furthermore, the legislation foreshadows that



the Environment Protection Authority may indeed post this list or register on the internet. This may constitute a publication of the information and therefore the PPIPA will not apply.

Registers should not be published on the internet.

## 2.5 Disclosure of personal information contained in public registers

A person seeking a disclosure concerning someone else's personal information from a public register must satisfy Council that the intended use of the information is for a purpose relating to the purpose of the register or the Act under which the register is kept.

In the following section, by way of guidance only, what might be called the "primary" purpose (or "the purpose of the register") has been specified for each identified register. In some cases a "secondary purpose" has also been specified, by way of guidance as to what might constitute "a purpose relating to the purpose of the register".

## 2.6 Purposes of Public Registers

- (1) Purposes of public registers under the *Local Government Act*:
  - (a) Section 53 - Land Register - The primary purpose is to identify all land vested in Council, or under its control. The secondary purpose includes a consideration of public accountability as to the land held by Council. Third party access is therefore a secondary purpose.
  - (b) Section 113 - Records of Approvals - The primary purpose is to identify all approvals granted under the LGA.
  - (c) Section 450A - Register of Pecuniary Interests - The primary purpose of this register is to determine whether or not a Councillor or a member of a Council committee has a pecuniary interest in any matter with which Council is likely to be concerned. There is a corresponding public accountability purpose and third party access is a secondary purpose.
  - (d) Section 602 - Rates Record - The primary purpose is to record the value of a parcel of land and record rate liability in respect of that land. The secondary purpose includes recording the owner or lessee of each parcel of land. For example, a disclosure on a section 603 (of the LGA) rating certificate that a previous owner was a pensioner is considered to be allowed, because the secondary purpose is "a purpose relating to the purpose of the register."
- (2) Purposes of public registers under the *Environmental Planning and Assessment Act*:
  - (a) Section 100 - Register of consents and approvals - The primary purpose is to identify applications for development consent and other approvals, confirm determinations on appeal and identify applications for complying development certificates.
  - (b) Section 149G - Record of building certificates - The primary purpose is to identify all building certificates.
- (3) Purposes of public registers under the Protection of the Environment (Operations) Act:
  - (a) Section 308 - Public register of licences held - The primary purpose is to identify all licences granted under the Act.
- (4) Purposes of the public register under the *Impounding Act*.



- (a) Section 30 & 31 - Record of impounding - The primary purpose is to identify any impounding action by Council.

(5) Secondary purpose of all Public Registers

Due to the general emphasis (to be found in the GIPAA and elsewhere) on local government processes and information being open and accountable, it is considered that a secondary purpose for which all public registers are held by Council includes the provision of access to members of the public. Therefore disclosure of specific records from public registers would normally be considered to be allowable under section 57 of the PPIPA.

However, requests for access, copying or the sale of the whole or a substantial part of a Public Register held by Council will not necessarily fit within this purpose. Council should be guided by the Privacy Code of Practice for Local Government in this respect. Where Council officers have doubt as to the intended use of the information, an applicant may be requested to provide a statutory declaration so that Council may satisfy itself as to the intended use of the information.

Council will make its assessment as to the minimum amount of personal information that is required to be disclosed with regard to any request.

(6) Other Purposes

Persons or organisations who apply to Council to have access to the information contained in any public register for a purpose not related to the purpose of the register, may be given access at the discretion of Council but only in accordance with the Privacy Code of Practice for Local Government concerning Public Registers.

## **2.7 Applications for access to own records on a public register**

A person wishing to have access to a public register to confirm their own details needs only to prove their identity to Council before having access to their own personal information.

## **2.8 Applications for suppression in relation to a public register**

An application for suppression in relation to a public register will be dealt with under PPIPA, rather than section 739 of the LGA.

A person about whom personal information is contained (or proposed to be contained) in a public register, may request Council under section 58 of the PPIPA to have the information removed from, or not placed on the register.

If Council is satisfied that the safety or well-being of any person would be affected by not suppressing the personal information as requested, Council will suppress the information in accordance with the request unless Council is of the opinion that the public interest in maintaining public access to the information outweighs any individual interest in suppressing the information, in accordance with section 58(2) of the PPIPA. ("Well-being" is defined in the Macquarie Dictionary as "the good or satisfactory condition of existence; welfare".)

When in doubt, Council will err in favour of suppression.

Any information that is removed from, or not placed on, that aspect of a public register to be made public may be kept on the register for other purposes. That is, the information may still be used for council functions, but it cannot be disclosed to other parties.



An application for suppression should be made in writing addressed to the General Manager and must outline the reasons for the request. Council may require supporting documentation where appropriate.

## **2.9 Other registers**

Council may have other registers that are not public registers. The Information Protection Principles, the Health Privacy Principles, this Plan, any applicable Code and all other relevant Acts apply to those registers or databases.





## Part 3 - The Information Protection Principles

### **IPP 1 - Lawful Purposes**

#### **Section 8 Collection of personal information for lawful purposes**

- (1) A public sector agency must not collect personal information unless:
  - (a) the information is collected for a lawful purpose that is directly related to a function or activity of the agency, and
  - (b) the collection of the information is reasonably necessary for that purpose.
- (2) A public sector agency must not collect personal information by any unlawful means.

#### **The Privacy Code of Practice for Local Government**

The Code makes no provision to depart from this principle.

#### **Council Policy**

Council will only collect personal information for a lawful purpose as part of its proper functions. The LGA governs Council's major obligations and functions.

Section 22 of the LGA provides other functions under other Acts. Some of those Acts are as follows:

- Australian Road Rules 1999
- Community Land Development Act 1989;
- Companion Animals Act 1998;
- Conveyancing Act 1919;
- Environmental Planning and Assessment Act 1979;
- Fire Brigades Act 1989;
- Fluoridation of Public Water Supplies Act 1957;
- Food Act 1989;
- Impounding Act 1993;
- Library Act 1939;
- Protection of the Environment Operations Act 1997;
- Public Health Act 1991;
- Recreation Vehicles Act 1983;
- Roads Act 1993;
- Rural Fires Act 1997;
- State Emergency Service Act 1989.
- Strata Schemes (Freehold Development ) Act 1973;
- Strata Schemes (Leasehold Development ) Act 1986; and
- Swimming Pools Act 1992;



- Public Health Act 1991.

This list is not exhaustive.

Additionally, the exercise by Council of its functions under the LGA may also be modified by the provisions of other Acts. Some of those Acts follow:

- Coastal Protection Act 1979;
- Environmental Offences and Penalties Act, 1989.
- Government Information (Public Access) Act 2009;
- Heritage Act 1977;
- State Emergency and Rescue Management Act 1989;
- Unclaimed Money Act 1995;
- Unhealthy Building Land Act 1990.

The circumstances under which Council may collect information, including personal information, are varied and numerous.

Council will not collect any more personal information than is reasonably necessary for it to fulfil its proper functions.

Anyone engaged by Council as a private contractor or consultant that involves the collection of personal information must agree to be bound not to collect personal information by any unlawful means. This will include debt recovery actions by or undertaken on behalf of Council by commercial agents.

#### Companion Animals Act

Collection of information under the Companion Animals Act and Council's use of the Companion Animals Register should be guided by the Director General's guidelines, which have been developed with the PPIPA in mind.

#### Role of the Information Access Officer

In order to ensure compliance with Information Protection Principle 1 any new internet contact forms, rates notices, application forms of whatsoever nature, or written requests by which personal information is collected by Council; will be referred to the Information Access Officer prior to adoption or use.

The Information Access Officer will also provide advice as to:

- (1) Whether the personal information is collected for a lawful purpose;
- (2) If that lawful purpose is directly related to a function of Council; and
- (3) Whether or not the collection of that personal information is reasonably necessary for the specified purpose.

Any further concerns of a legal nature will be referred to Council's solicitor.

## **IPP 2 - Direct Collection**

### **Section 9 Collection of personal Information directly from the individual**

A public sector agency must, in collecting personal information, collect the information directly from the individual to whom the information relates unless:



- (a) the individual has authorised collection of the information from someone else, or
- (b) in the case of information relating to a person who is under the age of 16 years the information has been provided by a parent or guardian of the person.

### **The Privacy Code of Practice for Local Government**

The Code makes provision for Council to depart from this principle where indirect collection of personal information is reasonably necessary when an award, prize, benefit or similar form of personal recognition is intended to be conferred upon the person to whom the information relates.

### **Council Policy**

The compilation or referral of registers and rolls are the major means by which Council collects personal information. For example, the information Council receives from the Land Titles Office would fit within section 9(a) above.

Other means include forms that customers may complete and lodge with Council for development consent, companion animal registration, applications for specific inspections or certifications or applications in respect of tree preservation orders.

In relation to petitions, Council will treat the personal information contained in petitions in accordance with PPIPA.

Where Council or a Councillor requests or requires information from individuals or groups, that information will be treated in accordance with PPIPA.

Council regards all information concerning its customers as information protected by PPIPA. Council will therefore collect all personal information directly from its customers except as provided in section 9 or under other statutory exemptions or Codes of Practice. Council may collect personal information from other public sector agencies in respect of specific statutory obligations where it is authorised by law to do so.

Where Council anticipates that it may otherwise need to collect personal information indirectly it will first obtain the authorisation of each individual under section 9 (a) of the PPIPA.

### **External and related bodies**

Each of the following will be required to comply with this Plan, any applicable Privacy Code of Practice, and the PPIPA:

- Council owned businesses;
- Council consultants;
- Private contractors;
- Council committees.

Council will seek to contractually bind each of these bodies or persons to comply with the PPIPA.

Where any of the above collect personal information on behalf of Council or in relation to the performance of their activities, that body or person will be required to:

- obtain a written authorisation and consent to that collection; and
- notify those persons in accordance with Information Protection Principle 3 as to the intended recipients and other matters required by that principle.



Council owned businesses, committees and private contractors or consultants must abide by this Plan, the Code and the PPIPA under the terms of their incorporation by Council or by contract.

#### Investigative Code of Practice

Where Council is conducting an investigation, the Investigative Code of Practice prepared by the Office of the Privacy Commissioner NSW and made by the Attorney General will apply. Information Protection Principle 2 is modified by the Investigative Code of Practice to permit indirect collection where a direct collection is reasonably likely to detrimentally affect Council's conduct of any lawful investigation.

#### Existing statutory exemptions under the Act

Compliance with Information Protection Principle 2 is also subject to certain exemptions under the Act. If one of those exemptions apply, Council need not comply. The statutory exemption will be relied upon only in very obvious and limited circumstances and legal advice should normally be obtained.

The relevant statutory exemptions follow:

- (a) Section 23(2) of the PPIPA permits non-compliance with Information Protection Principle 2 if the information concerned is collected in connection with proceedings (whether or not actually commenced) before any court or tribunal.
- (b) Section 24(4) of the PPIPA permits non-compliance with Information Protection Principle 2 if:
  - (i) investigating or otherwise handling a complaint that could be referred or made to, or has been referred from or made by, an investigative agency; and
  - (ii) if compliance might detrimentally affect (or prevent the exercise of) the Council's complaint handling or investigative functions.
- (c) Section 25(a) of the PPIPA permits non-compliance with Information Protection Principle 2 where the agency is lawfully authorised or required not to comply with the principle.
- (d) Section 25(b) of the PPIPA permits non-compliance with Information Protection Principle 2 where non-compliance is "necessarily implied" or "reasonably contemplated" under any Act or law.
- (e) Section 26(1) of the PPIPA permits non-compliance with Information Protection Principle 2 if compliance would prejudice the interests of the individual concerned.

#### **Further Explanation regarding IPP 2**

Where Council cannot collect personal information directly from the person, it will ensure one of the following:

- (a) Council has obtained authority from the person under section 9(a) of the PPIPA.
- (b) The collection of personal information from a third party is permitted under an Act or law. (For example, the indirect collection from the Land Titles Office.)
- (c) The collection of personal information from a parent or guardian is permitted provided the person is less than 16 years of age.
- (d) The collection of personal information indirectly where one of the above exemptions applies.
- (e) The collection of personal information indirectly is permitted under the Privacy



Code of Practice for Local Government or the Investigative Code of Practice.

The only other exception to the above is in the case where Council is given unsolicited information.

## **IPP 3 - Requirements when collecting personal information**

### **Section 10 Requirements when collecting personal information**

If a public sector agency collects personal information from an individual, the agency must take such steps as are reasonable in the circumstances to ensure that, before the information is collected or as soon as practicable after collection, the individual to whom the information relates is made aware of the following:

- (a) the fact that the information is being collected,
- (b) the purposes for which the information is being collected,
- (c) the intended recipients of the information,
- (d) whether the supply of the information by the individual is required by law or is voluntary, and any consequences for the individual if the information (or any part of it) is not provided,
- (e) the existence of any right of access to, and correction of, the information,
- (f) the name and address of the agency that is collecting the information and the agency that is to hold the information.

### **The Privacy Code of Practice for Local Government**

The Code makes provision for Council to depart from this principle where personal information is collected about an individual for the purpose of conferring upon that person, an award, prize, benefit or similar form of personal recognition without prior or subsequent notification.

### **Council Policy**

Where Council proposes to collect personal information directly from the person, it will inform that person the personal information is being collected, what is done with that information and who the intended recipients will be.

Council will inform persons if the information is required by law or voluntarily given. Council will also inform individuals which department or section within Council holds their personal information, and of the right to access and correct that information. Council will adapt the general section 10 pre-collection Privacy Notification form as appropriate (See Appendix 3).

The following are examples of application procedures that will require a Privacy Notification Form in accordance with section 10:

- Lodging Development Applications;
- Lodging objections to Development Applications;
- Lodging applications for approval under the LGA;
- Any stamps or printed slips that contain the appropriate wording for notification under section 10 (see Appendix 3); and
- When collecting an impounded item.

In relation to the Privacy Notification Form that may be attached to a Development Application provided to objectors, it should be stated that objectors have a right to remain anonymous if they so choose. However, should they need to substantiate their objections,



anonymous objections may be given less weight (or no weight) in the overall consideration of the Application.

### Post - Collection

Where Council collects personal information indirectly from another public sector agency in respect of any one of its statutory functions, it will advise those individuals that it has collected their personal information by including a privacy notification form in the next issue of their rates notice, or otherwise by letter. A common example of the collection of information from another public sector agency is the Land Titles Office. Council receives information as to new ownership changes when property is transferred from one owner to the next. Appendix 2 contains a sample Privacy Notification Form that could be used for post collection.

### External and related bodies

Each of the following will be required to comply with Information Protection Principle 3:

- Council owned businesses
- Council consultants
- Private contractors
- Council committees

Council will seek to contractually bind each of these bodies or persons to comply with the Information Protection Principle 3.

Where any of the above collect personal information on behalf of Council or in relation to the performance of their activities, that body or person will be required to notify those persons in accordance with Information Protection Principle 3 as to the intended recipients and other matters required by that principle.

### Investigative Code of Practice

Where Council is conducting an investigation, the Investigative Code of Practice prepared by the Office of the Privacy Commissioner NSW and made by the Attorney-General will apply.

Information Protection Principle 3 is modified by the Investigative Code to permit non-compliance if compliance is reasonably likely to detrimentally affect (or prevent the proper exercise of) Council's conduct of any lawful investigation.

### Existing statutory exemptions under the Act

Compliance with Information Protection Principle 3 is also subject to certain exemptions under the Act. If one of those exemptions apply, Council need not comply. The statutory exemption will be relied upon only in limited circumstances and legal advice should normally be obtained.

The relevant statutory exemptions follow:

- (a) Section 23(3) permits non-compliance with Information Protection Principle 3 where information is collected for law enforcement purposes. Law enforcement means a breach of the criminal law and criminal law enforcement. This section does not remove the rights of an accused person.
- (b) Section 24(4) of the PPIPA permits non-compliance with Information Protection Principle 3 if:
  - (i) investigating a complaint that could be referred or made to, or has been referred from or made by an investigative agency; and



- (ii) if compliance might detrimentally affect (or prevent the exercise of) the Council's complaint handling or investigative functions.
- (c) Section 25(a) of the PPIPA permits non-compliance with Information Protection Principle 3 where the agency is lawfully authorised or required not to comply with the principle.
- (d) Section 25(b) of the PPIPA permits non-compliance with Information Protection Principle 3 where non-compliance is "necessarily implied" or "reasonably contemplated" under any Act or law.
- (e) Section 26(1) of the PPIPA permits non-compliance with Information Protection Principle 3 if compliance would prejudice the interests of the individual concerned.
- (f) Section 26(2) of the PPIPA permits non-compliance where the person expressly consents to such non-compliance.

#### Research or access to a deposited record

A "deposited record" means records containing personal information that are deposited with Council for the purpose of preservation or making them available for research.

Documents that may have research value may be kept longer than is required by 12(a) of PPIPA.

It is anticipated that disclosure of personal information for research purposes will be allowed under section 41 of PPIPA by a Direction made by the Privacy Commissioner (if such a direction exists) until such time as a Research Code of Practice is made by the Attorney General.

## **IPP 4 - Other requirements relating to collection of personal information**

### **Section 11 Other requirements relating to collection of personal Information**

If a public sector agency collects personal information from an individual, the agency must take such steps as are reasonable in the circumstances (having regard to the purposes for which the information is collected) to ensure that:

- (a) the information collected is relevant to that purpose, is not excessive, and is accurate, up to date and complete, and
- (b) the collection of the information does not intrude to an unreasonable extent on the personal affairs of the individual to whom the information relates.

### **The Privacy Code of Practice for Local Government**

The Code makes no provision to depart from this principle.

### **Council Policy**

Council will seek to ensure that no personal information is collected which is not directly relevant to its proper functions.

Council collects personal information through the various forms that customers may complete and lodge with Council. Before adoption of a new form, a draft form will be reviewed for compliance with Information Protection Principle 4 by the Information Access Officer,



Council's solicitor, Public Officer or other suitable person. Should Council have any residual doubts, the opinion of the Officer of the Privacy Commissioner NSW will be sought.

Council may use public place video surveillance in accordance with NSW *Government Policy Statement and Guidelines for the Establishment and Implementation of Closed Circuit Television in Public Places*. The provisions of the Work Place Surveillance Act will be complied with.

## **IPP 5 - Retention and security of personal information**

### **Section 12 Retention and security of personal information**

A public sector agency that holds personal information must ensure:

- (a) that the information is kept for no longer than is necessary for the purposes for which the information may lawfully be used, and
- (b) that the information is disposed of securely and in accordance with any requirements for the retention and disposal of personal information, and
- (c) that the information is protected, by taking such security safeguards as are reasonable in the circumstances, against loss, unauthorised access, use, modification or disclosure, and against all other misuse, and
- (d) that, if it is necessary for the information to be given to a person in connection with the provision of a service to the agency, everything reasonably within the power of the agency is done to prevent unauthorised use or disclosure of the information.

### **The Privacy Code of Practice for Local Government**

The Code makes no provision to depart from this principle.

### **Council Policy**

Council may comply with this principle by using any or all of the following or similar documents:

- Records and Archives Services Manual;
- The Council's Policy relating to the security of and access to misconduct files;
- Council's Internet Security Policy;
- Information Technology Security Policy;
- General Records Disposal Schedule for Local Government; and
- State Records Act

### **Research or access to a deposited record**

Documents that may have research value may be kept longer than is required by 12(a) of PPIPA.

It is anticipated that the disclosure of personal information for research purposes will be allowed under section 41 of PPIPA by a Direction made by the Office of the Privacy Commissioner until such time as a Research Code of Practice is made by the Attorney-General.





## **IPP 6 - Information held by agencies**

### **Section 13 - Information about personal Information held by agencies**

A public sector agency that holds personal information must take such steps as are, in the circumstances, reasonable to enable any person to ascertain:

- (a) whether the agency holds personal information, and
- (b) whether the agency holds personal information relating to that person, and
- (c) if the agency holds personal information relating to that person:
  - (i) the nature of that information, and
  - (ii) the main purposes for which the information is used, and
  - (iii) that person's entitlement to gain access to the information.

### **The Privacy Code of Practice for Local Government**

The Code makes no provision to depart from this principle.

### **Council Policy**

Section 13 of the PPIPA requires Council to take reasonable steps to enable a person to determine whether Council holds personal information about them. If Council holds any information about a person, upon request it will advise them the nature of that information, the main purposes for which it is held, and that person's entitlement to access and amend that information. As a matter of practicality, not every item of personal information, however insignificant, will be capable of ascertainment.

Information Protection Principle 6 is modified by section 20(5) of the PPIPA. Section 20(5) of the PPIPA has the effect of importing sections 13-15 of the GIPAA, and treats them as if they were part of the PPIPA. That means that in any application under section 13, Council must consider the relevant provisions of the GIPAA.

Any person can make application to Council by completing the appropriate form and submitting it to Council. An example is at Appendix 5.

Where a person makes an application for access under the PPIPA and it is involved or complex, it may be referred, with the written consent of the applicant, as an application under the GIPAA. However use of the GIPAA is to be a last resort. The applicant has the right to insist on being dealt with under PPIPA.

Where Council receives an application or request by a person as to whether Council holds information about them, Council will undertake a search of its records to answer the enquiry. Council may ask the applicant to describe what dealings the applicant has had with Council in order to assist in the conduct of the search.

Council will ordinarily provide a response to applications of this kind within 28 days of the application being made. The fee structure is commensurate to that of the Council's GIPAA rates structure.

### **Investigative Code of Practice**

Where Council is conducting an investigation, the Investigative Code of Practice prepared by the Office of the Privacy Commissioner NSW and made by the Attorney-General will apply.

Information Protection Principle 6 is modified by the Investigative Code to permit non-compliance if compliance is reasonably likely to detrimentally affect (or prevent the proper exercise of) Council's conduct of any lawful investigation.



### Existing exemptions under the Act

Compliance with Information Protection Principle 6 is also subject to certain exemptions under the Act. If one of those exemptions apply, Council need not comply. The statutory exemption will be relied upon only in limited circumstances and legal advice should normally be obtained.

Section 25 (a) of the PPIPA permits non-compliance with Information Protection Principle 6 where Council is lawfully authorised or required not to comply with the principle.

Section 25 (b) of the PPIPA permits non-compliance with Information Protection Principle 6 where non-compliance is "necessarily implied" or "reasonably contemplated" under any Act or law.

### Reporting matters

Council will issue a statement to be included on its Web page and in its Annual Report concerning the nature of personal information it regularly collects, the purpose for which the personal information is used and an individual's right to access their own personal information.

### Effect of GIPAA

Nothing in this Principle prevents Council from dealing with a request for information about oneself under the GIPAA.

## **IPP 7 - Access to personal information held by agencies**

### **Section 14 Access to personal Information held by agencies**

A public sector agency that holds personal information must, at the request of the individual to whom the information relates and without excessive delay or expense, provide the individual with access to the information.

### **The Privacy Code of Practice for Local Government**

The Code makes no provision to depart from this principle.

### **Council Policy**

Section 14 of the PPIPA requires Council, at the request of any person, to give access to that person to personal information held about them.

Compliance with Information Protection Principle 7 does not allow disclosure of information about other people. If access to information that relates to someone else is sought, the application must be made under the GIPAA, unless Information Protection Principles 11 and 12 or the Public Register provisions apply.

Where a person makes an application for access under the PPIPA and it is involved or complex, it may be referred, with the written consent of the applicant, as an application under the GIPAA. However use of the GIPAA is to be a last resort. The applicant has the right to insist on being dealt with under PPIPA.

When considering an application under section 14 of PPIPA, Council will consider sections 13-15 of the GIPAA as if they were part of PPIPA.

Customers wishing to exercise their right of access to their own personal information should apply in writing or direct their inquiries to the General Manager, who will make a determination. A sample form is provided at Appendix 5.



Members of staff wishing to exercise their right of access to their personal information should apply in writing on the attached form or direct their inquiries to the Manager, People & Culture, who will deal with the application.

In order to comply with the requirement to provide the requested information "without excessive delay or expense", Council will ordinarily provide a response to applications of this kind within 28 days of the application being made, and Council will use a fee structure commensurate to that of the GIPAA fee structure.

#### Effect of the GIPAA

Nothing in this Principle prevents Council from dealing with a request for information about oneself under GIPAA.

Access to personal information contained in Council Business papers for a "Closed Meeting" should be provided with care to not disclose any other information.

Personal information contained in Council Business papers for an "Open Meeting" is published and therefore **not** considered to be covered by the PPIPA.

#### Investigative Code of Practice

Where Council is conducting an investigation, the Investigative Code of Practice prepared by the Office of the Privacy Commissioner NSW and made by the Attorney-General will apply.

Information Protection Principle 7 is modified by the Investigative Code to permit non-compliance if compliance is reasonably likely to detrimentally affect (or prevent the proper exercise of) Council's conduct of any lawful investigation.

#### Existing exemptions under the Act

Compliance with Information Protection Principle 7 is also subject to certain exemptions under the Act. If one of those exemptions apply, Council need not comply. The statutory exemption will be relied upon only in limited circumstances and legal advice should normally be obtained.

- (a) Section 25(a) of the PPIPA permits non-compliance with Information Protection Principle 7 where Council is lawfully authorised or required not to comply with the principle.
- (b) Section 25(b) of the PPIPA non-compliance with Information Protection Principle 7 where non-compliance is "necessarily implied" or "reasonably contemplated" under any Act or law.

## **IPP 8 - Alteration of personal information**

### **Section 15 Alteration of personal Information**

- (1) A public sector agency that holds personal information must, at the request of the individual to whom the information relates, make appropriate amendments (whether by way of corrections, deletions or additions) to ensure that the personal information:
  - (a) is accurate, and
  - (b) having regard to the purpose for which the information was collected (or is to be used) and to any purpose that is directly related to that purpose, is relevant, up to date, complete and not misleading.
- (2) If a public sector agency is not prepared to amend personal information in accordance with a request by the individual to whom the information relates, the agency must, if so requested by the individual concerned, take such steps as are reasonable to attach to



the information, in such a manner as is capable of being read with the information, any statement provided by that individual of the amendment sought.

- (3) If personal information is amended in accordance with this section, the individual to whom the information relates is entitled, if it is reasonably practicable, to have recipients of that information notified of the amendments made by the public sector agency.
- (4) This section, and any provision of a privacy code of practice that relates to the requirements set out in this section, apply to public sector agencies despite section 25 of this Act and section 21 of the State Records Act 1998
- (5) The Privacy Commissioner's guidelines under section 36 may make provision for or with respect to requests under this section, including the way in which such a request should be made and the time within which such a request should be dealt with.
- (6) In this section (and in any other provision of this Act in connection with the operation of this section), **public sector agency** includes a Minister and a Minister's personal staff.

### **The Privacy Code of Practice for Local Government**

The Code makes no provision to depart from this principle.

### **Council Policy**

Section 15 of the PPIPA allows a person to make an application to Council to amend personal information held about them so as to ensure the information is accurate, and, having regard to the purpose for which the information is collected, relevant to that purpose, up to date and not misleading.

Council wishes to have its information current, accurate and complete. Proposed amendments or changes to the personal information held by the Council are welcomed.

Where there are complaints that are or could be the subject of a staff complaint or grievance, they will be referred to the Manager, People & Culture in the first instance and treated in accordance with Council's grievance/complaint handling process. .

Any alterations that are or could be the subject of a customer complaint or grievance will be referred to the General Manager, who will make a determination in relation to the matter.

### **Investigative Code of Practice**

Where Council is conducting an investigation, the Investigative Code of Practice prepared by the Office of the Privacy Commissioner NSW and made by the Attorney-General will apply.

Information Protection Principle 8 is modified by the Investigative Code to permit non-compliance if compliance is reasonably likely to detrimentally affect (or prevent the proper exercise of) Council's conduct of any lawful investigation.

### **Existing exemptions under the Act**

Compliance with Information Protection Principle 8 is also subject to certain exemptions under the Act. If one of those exemptions apply, Council need not comply. The statutory exemption will be relied upon only in limited circumstances and legal advice should normally be obtained.

- (a) Section 25 (a) of the PPIPA permits non-compliance with Information Protection Principle 8 where Council is lawfully authorised or required not to comply with the principle.
- (b) Section 25 (b) of the PPIPA permits non-compliance with section Information Protection Principle 8 where non-compliance is "necessarily implied" or "reasonably contemplated" under any Act or law.



### Procedure

Where information is requested to be amended, the individual to whom the information relates, must make a request by way of statutory declaration. That request should be accompanied by appropriate evidence as to the cogency of the making of the amendment, sufficient to satisfy Council that the proposed amendment is factually correct and appropriate. Council may require further documentary evidence to support certain amendments. Council will not charge to process an application to amend a record under s.15.

Council's application form for alteration under IPP 8 is contained in Appendix 6 at the end of this Plan.

### Where Council is not prepared to amend

If Council is not prepared to amend the personal information in accordance with a request by the individual, Council may attach to the information in such a manner as is capable of being read with the information, any statement provided by that individual.

### Where an amendment is made

If personal information is amended in accordance with this section, the individual to whom the information relates is entitled, if it is reasonably practicable, to have the recipients of that information notified of the amendments made by Council.

Council will seek to notify recipients of information as soon as possible, of any amendment made, where it is reasonably practicable.

### State Records Act

The State Records Act does not allow for the deletion of records. However, as a result of section 20(4) of the PPIPA, some deletions may be allowed in accordance with Information Protection Principle 8.

### Effect of GIPAA

Nothing in PPIPA affects the operation of the GIPAA, and therefore applications to amend records under that Act remain in force as an alternative mechanism.

## **IPP 9 - Agency must check accuracy of personal information before use**

### **Section 16 Agency must check accuracy of personal information before use**

A public sector agency that holds personal information must not use the information without taking such steps as are reasonable in the circumstances to ensure that, having regard to the purpose for which the information is proposed to be used, the information is relevant, accurate, up to date, complete and not misleading.

### **The Privacy Code of Practice for Local Government**

The Code makes no provision to depart from this principle

### **Council Policy**

The steps taken to comply with section 16 will depend on the age of the information, its likelihood of change and the particular function for which the information was collected.



The more significant the information, the greater the necessity that checks to ensure its accuracy and currency be undertaken prior to its use.

For example, each employee's record should be updated when there is any change of circumstances or when the employee's contact details change.

## **IPP 10 - Limits on use of personal information**

### **Section 17          Limits on use of personal Information**

A public sector agency that holds personal information must not use the information for a purpose other than that for which it was collected unless:

- (a) the individual to whom the information relates has consented to the use of the information for that other purpose, or
- (b) the other purpose for which the information is used is directly related to the purpose for which the information was collected, or
- (c) the use of the information for that other purpose is necessary to prevent or lessen a serious and imminent threat to the life or health of the individual to whom the information relates or of another person.

### **The Privacy Code of Practice for Local Government**

The Code makes provision that Council may use personal information for a purpose other than the purpose for which it was created in the following circumstances:

- (a) where the use is in pursuance of Council's lawful and proper function/s and Council is satisfied that the personal information is reasonably necessary for the exercise of such function/s; or
- (b) where personal information is to be used for the purpose of conferring upon a particular person, an award, prize, benefit or similar form of personal recognition.

#### *Explanatory Note*

Council may use personal information obtained for one purpose for another purpose in pursuance of its lawful and proper functions. For example, the Rates Record that Council holds under section 602 of the LGA may also be used to:

- notify neighbours of a proposed development;
- evaluate a road opening; or
- evaluate a tree preservation order.

### **Council Policy**

Council will seek to ensure that information collected for one purpose will be used for that same purpose. Where Council may need to use personal information collected for one purpose for another purpose, it will first gain the consent of the individual concerned, unless an exemption applies.

### **External and related bodies**

Each of the following are required to comply with the Information Protection Principle 10:

- Council owned businesses
- Council consultants;
- Private contractors; and



- Council committees.

Council will seek to contractually bind each of these bodies or persons to comply.

Where any of the above seek to use personal information collected for one purpose, that body or person will be required to obtain the written consent of those persons in accordance with section 17 (2) to the use of the information for another purpose. The form of consent should include the following elements:

- Name
- Address
- Purpose
- Signature
- Date

#### Investigative Code of Practice

Where Council is conducting an investigation, the Investigative Code of Practice prepared by the Office of the Privacy Commissioner NSW and made by the Attorney-General will apply.

Information Protection Principle 10 is modified by the Investigative Code to permit non-compliance if compliance is reasonably likely to detrimentally affect (or prevent the proper exercise of) Council's conduct of any lawful investigation.

#### Existing exemptions under the Act

Compliance with Information Protection Principle 10 is also subject to certain exemptions under the Act. If one of those exemptions apply, Council need not comply. The statutory exemption will be relied upon only in limited circumstances and legal advice should normally be obtained:

- (a) Section 23(4) of the PPIPA permits Council not to comply with Information Protection Principle 10 where the use of the information for another purpose is reasonably necessary for law enforcement purposes or for the protection of the public revenue. *Law enforcement purpose* means a breach of the criminal law and criminal law enforcement. This section does not remove the rights of an accused person. *Protection of the public revenue* means a fraud with respect to taxes or other revenue earning processes such as avoidance of stamp duty.
- (b) Section 24 (4) of the PPIPA permits non-compliance with Information Protection Principle 10 if:
  - (i) investigating a complaint that could be referred or made to, or has been referred from or made by, an investigative agency; and
  - (ii) if the use is reasonably necessary in order to enable Council to exercise its complaint handling or investigative functions.
- (c) Section 25 (a) of the PPIPA permits non-compliance with Information Protection Principle 10 where Council is lawfully authorised or required not to comply with the principle.
- (d) Section 25 (b) of the PPIPA permits non-compliance with Information Protection Principle 10 where non-compliance is "necessarily implied" or "reasonably contemplated" under any Act or law.
- (e) Section 28(3) of the PPIPA permits non-compliance where a disclosure is to be made to a public sector agency under the administration of the Minister for Local Government (e.g. the Department of Local Government) or a public sector agency under the administration of the Premier for the purpose of informing the



Minister (or Premier) about any matter within the Minister's (or Premier's) administration.

## **IPP 11 - Limits on disclosure of personal information**

### **Section 18 Limits on disclosure of personal Information**

- (1) A public sector agency that holds personal information must not disclose the information to a person (other than the individual to whom the information relates) or other body, whether or not such other person or body is a public sector agency, unless:
  - (a) the disclosure is directly related to the purpose for which the information was collected, and the agency disclosing the information has no reason to believe that the individual concerned would object to the disclosure, or
  - (b) the individual concerned is reasonably likely to have been aware, or has been made aware in accordance with section 10, that information of that kind is usually disclosed to that other person or body, or
  - (c) the agency believes on reasonable grounds that the disclosure is necessary to prevent or lessen a serious and imminent threat to the life or health of the individual concerned or another person.
- (2) If personal information is disclosed in accordance with subsection (1) to a person or body that is a public sector agency, that agency must not use or disclose the information for a purpose other than the purpose for which the information was given to it.

### **The Privacy Code of Practice for Local Government**

The Code makes provision for Council to depart from this principle in the circumstances described below:

- (1) Council may disclose personal information to public sector agencies or public utilities on condition that:
  - (a) the agency has approached Council in writing;
  - (b) Council is satisfied that the information is to be used by that agency for the proper and lawful function/s of that agency, and
  - (c) Council is satisfied that the personal information is reasonably necessary for the exercise of that agency's function/s.
- (2) Where personal information which has been collected about an individual is to be disclosed for the purpose of conferring upon that person, an award, prize, benefit or similar form of personal recognition.
- (3) Where Council is requested by a potential employer, it may verify that a current or former employee works or has worked for Council, the duration of that work, and the position occupied during that time. This exception shall not permit Council to give an opinion as to that person's suitability for a particular position with any potential employer unless Council is satisfied that the person has provided their consent for Council to provide a reference, which may include an opinion as to that person's suitability for the position for which he/she has applied.





### Council Policy

Council will not disclose the information to another person or other body, unless the disclosure is directly related to the purpose for which the information was collected or where Council has no reason to believe that the individual concerned would object to the disclosure.

Council may disclose personal information to another person or other body where this disclosure is directly related to the purpose for which the personal information was collected and the individual concerned is reasonably likely to have been aware, (or has been made aware in accordance with section 10), of the intended recipients of that information. "Directly related" can mean the disclosure to another person or agency to deliver a service which supplements that of Council or disclosure to a consultant for the purpose of assessing or reviewing the delivery of a program to which the original collection relates.

Council may disclose personal information to another person or other body where this disclosure is necessary to prevent or lessen a serious and imminent threat to the life or health of the individual concerned or another person.

### Public Register

Section 18 of PPIPA does not apply to the information held on Public Registers. Instead refer to Part 2 of this Plan.

### Effect of GIPAA

The GIPAA overrides sections 18 and 19 of PPIPA to the extent that it lawfully authorises, requires, necessarily implies or reasonably contemplates that Councils need not comply with these sections.

### Investigative Code of Practice

Where Council is conducting an investigation, the Investigative Code of Practice prepared by the Office of the Privacy Commissioner NSW and made by the Attorney-General will apply.

Information Protection Principle 11 is modified by the Investigative Code to permit non-compliance if disclosure of information is made to another agency that is conducting, or may conduct, a lawful investigation. The information provided must be reasonably necessary for the purposes of that investigation.

### Existing exemptions under the Act

Compliance with Information Protection Principle 11 is also subject to certain exemptions under the Act. If one of those exemptions applies, Council need not comply. The statutory exemption will be relied upon only in limited circumstances and legal advice should normally be obtained.

- (a) Section 23(5)(a) of the PPIPA permits non-compliance with Information Protection Principle 11 where disclosure is made to a law enforcement agency in connection with proceedings for an offence or for law enforcement purposes. *Law enforcement purpose* means a breach of the criminal law and criminal law enforcement. However, Council need not disclose material that it is entitled to refuse in the absence of a subpoena, warrant or other lawful requirement.
- (b) Section 23(5)(b) of the PPIPA permits non-compliance with Information Protection Principle 11 where the disclosure is made to a law enforcement agency for the purpose of ascertaining the whereabouts of a person reported to be missing. However Council need not disclose material that it is entitled to refuse in the absence of a subpoena, warrant or other lawful requirement.
- (c) Section 23(5)(c) of the PPIPA permits non-compliance with Information Protection Principle 11 where disclosure is authorised by subpoena, search



warrant or other statutory instrument. However, Council need not disclose material that it is entitled to refuse in the absence of a subpoena, warrant or other lawful requirement.

- (d) Section 23(5)(d)(i) of the PPIPA permits non-compliance with Information Protection Principle 11 where disclosure is reasonably necessary for the protection of the public revenue. *Protection of the public revenue* could mean a fraud with respect to taxes or other revenue earning processes such as avoidance of stamp duty. However, Council need not disclose material that it is entitled to refuse in the absence of a subpoena, warrant or other lawful requirement.
- (e) Section 23(5)(d)(ii) of the PPIPA permits non-compliance with Information Protection Principle 11 where disclosure is reasonably necessary to investigate an offence where there are reasonable grounds to believe an offence has been committed.
- (g) Section 24(4) of the PPIPA permits non-compliance with Information Protection Principle 11 if:
  - (i) investigating a complaint that could be referred or made to, or has been referred from or made by, an investigative agency, and
  - (ii) the disclosure is to an investigative agency.(Note: "investigative agency" is defined at s.3 of PPIPA.)
- (h) Section 25(a) of the PPIPA permits non-compliance with Information Protection Principle 11 where Council is lawfully authorised or required not to comply with the principle.
- (i) Section 25(b) of the PPIPA permits non-compliance with Information Protection Principle 11 where non-compliance is "necessarily implied or "reasonably contemplated" under any Act or law.
- (j) Section 26(2) of the PPIPA permits non-compliance where the person expressly consents to such non-compliance.
- (k) Section 28(3) of the PPIPA permits non-compliance where a disclosure is to be made to a public sector agency under the administration of the Minister for Local Government (e.g. the Department of Local Government) or a public sector agency under the administration of the Premier for the purpose of informing the Minister (or Premier) about any matter within the Minister's (or Premier's) administration.

It is anticipated that a disclosure of personal information for research purposes will be allowed under a s.41 Direction made by the Privacy Commissioner until such time as a Research Code of Practice is made by the Attorney General.

#### Suppression

Information held by Council may be suppressed such as to disallow disclosure that would otherwise be allowed in the circumstances outlined above. See Part 1 of this Plan for more details about suppression of personal information.

## **IPP 12 - Special restrictions on disclosure of personal information**

### **Section 19 Special restrictions on disclosure of personal Information**



- (1) A public sector agency must not disclose personal information relating to an individual's ethnic or racial origin, political opinions, religious or philosophical beliefs, trade union membership, health or sexual activities unless the disclosure is necessary to prevent a serious or imminent threat to the life or health of the individual concerned or another person.
- (2) A public sector agency that holds personal information must not disclose the information to any person or body who is in a jurisdiction outside New South Wales unless:
  - (a) a relevant privacy law that applies to the personal information concerned is in force in the that jurisdiction, or
  - (b) the disclosure is permitted under a privacy code of practice.
- (3) For the purposes of subsection (2), a **relevant privacy law** means a law that is determined by the Privacy Commissioner, by notice published in the Gazette, to be a Privacy law for the jurisdiction concerned.
- (4) The Privacy Commissioner is, within the year following the commencement of this section, to prepare a code relating to the disclosure of personal information by public sector agencies to persons or bodies outside New South Wales.
- (5) Subsection (2) does not apply:
  - (a) until after the first anniversary of the commencement of this section, or
  - (b) until a code referred to in subsection (4) is made, whichever is the later.

### **The Privacy Code of Practice for Local Government**

The Code makes provision for Council to depart from this principle in the circumstances described below:

- (1) For the purposes of s.19(2) only, where Council is requested by a potential employer outside New South Wales, it may verify that a current or former employee works or has worked for Council, the duration of that work, and the position occupied during that time. This exception shall not permit Council to give an opinion as to that person's suitability for a particular position with any potential employer unless Council is satisfied that the person has provided their consent for Council to provide a reference, which may include an opinion as to that person's suitability for the position for which he/she has applied.

### **Council Policy**

Council will not disclose personal information relating to an individual's ethnic or racial origin, political opinions, religious or philosophical beliefs, trade union membership, health or sexual activities unless the disclosure is necessary to prevent a serious or imminent threat to the life or health of the individual concerned or another person.

### **Public Register**

Section 19 of PPIPA does not apply to the information held on Public Registers. Instead refer to Part 2 of this Plan.

### **Effect of GIPAA**

GIPAA overrides sections 18 and 19 of PPIPA to the extent that it lawfully authorises, requires, necessarily implies or reasonably contemplates that councils need not comply with these sections.



### Investigative Code of Practice

Where Council is conducting an investigation, the Investigative Code of Practice prepared by the Office of the Privacy Commissioner NSW and made by the Attorney-General will apply.

The Investigative Code modifies Information Protection Principle 12 to permit the disclosure of information to another agency that is conducting, or may conduct, a lawful investigation provided the information is reasonably necessary for the purposes of that investigation.

### Existing exemptions under the Act

Compliance with Information Protection Principle 12 is also subject to certain exemptions under the Act. If one of those exemptions apply, Council need not comply. The statutory exemption will be relied upon only in limited circumstances and legal advice should normally be obtained.

- (a) Section 23(7) of the PPIPA permits non-compliance with Information Protection Principle 12 where the disclosure is necessary to investigate an offence or where there are reasonable grounds to believe an offence has been or may be committed.
- (b) Section 25(a) of the PPIPA permits non-compliance with Information Protection Principle 12 where Council is lawfully authorised or required not to comply with the principle.
- (c) Section 25(b) of the PPIPA permits non-compliance with Information Protection Principle 12 where non-compliance is "necessarily implied" or "reasonably contemplated" under any Act or law.
- (d) Section 26(2) of the PPIPA permits non-compliance where the person expressly consents to such non-compliance.
- (e) Section 28(3) of the PPIPA permits non-compliance where a disclosure is to be made to a public sector agency under the administration of the Minister for Local Government (e.g. the Department of Local Government) or a public sector agency under the administration of the Premier for the purpose of informing the Minister (or Premier) about any matter within the Minister's (or Premier's) administration.
- (f) It is anticipated that a disclosure of personal information for research purposes will be allowed under a s.41 direction made by the Privacy Commissioner until such time as a Research Code of Practice is made by the Attorney General.

### Suppression

Information held by Council may be suppressed such as to disallow disclosure that would otherwise be allowed in the circumstances outlined above. See Part 1 of this Plan for more details about suppression of personal information.



## Part 4 - Health Privacy Principles

### **HPP 1 – Purposes of collection of health information**

#### **Schedule 1 section 4 (1) Purposes of collection of health information**

- (1) An organisation must not collect health information unless:
- (a) the information is collected for a lawful purpose that is directly related to a function or activity of the Council, and
  - (b) the collection of the information is reasonably necessary for that purpose.
- (2) An organisation must not collect health information by any unlawful means.

#### **Council Policy**

Council will only collect health information for a lawful purpose as part of its proper functions. The LGA governs Council's major obligations and functions.

Council will not collect any more health information than is reasonably necessary for it to fulfil its proper functions.

Anyone engaged by Council as a private contractor or consultant that involves the collection of health information must agree to be bound not to collect health information by any unlawful means.

### **HPP 2 – Information must be relevant, not excessive, accurate and not intrusive**

#### **Schedule 1 section 4 (2) Information must be relevant, not excessive, accurate and not intrusive**

An organisation that collects health information from an individual must take such steps as are reasonable in the circumstances (having regard to the purposes for which the information is collected) to ensure that:

- (a) the information collected is relevant to that purpose, is not excessive and is accurate, up to date and complete, and
- (b) the collection of the information does not intrude to any unreasonable extent on the personal affairs of the individual to whom the information relates.

#### **Council Policy**

Council will not collect any more health information than is reasonably necessary for it to fulfil its proper functions, and will make every effort to ensure that it does not unreasonably extend on the personal affairs of the individual to whom the information relates.

Council will ensure as far as is practicable that the health information it collects is accurate, up to date and complete.



## **HPP 3 – Collection to be from individual concerned**

### **Schedule 1 section 4 (2) Collection to be from individual concerned**

- (1) An organisation must collect health information about an individual only from that individual, unless it is unreasonable or impracticable to do so.
- (2) Health information is to be collected in accordance with any guidelines issues by the Privacy Commissioner for the purposes of this clause.

### **Council Policy**

Council regards all health information it retains as information protected by HRIPA. Council will therefore collect all health information directly from its customers except as provided in section 9 or under other statutory exemptions or Codes of Practice. Council may collect health information from other public sector agencies in respect of specific statutory obligations where it is authorised by law to do so.

## **HPP 4 – Individual to be made aware of certain matters**

### **Schedule 1 section 4 (2) Individual to be made aware of certain matters**

- (1) An organisation that collects health information about an individual from that individual must, at or before the time that it collects the information (or if that is not practicable, as soon as practicable after that time), take steps that are reasonable in the circumstances to ensure that the individual is aware of the following:
  - (a) the identity of the organisation and how to contact it,
  - (b) the fact that the individual is able to request access to the information,
  - (c) the purposes for which the information is collected,
  - (d) the persons to whom (or the types of persons to whom) the organisation usually discloses information of that kind,
  - (e) any law that requires the particular information to be collected,
  - (f) the main consequences (if any) for the individual if all or part of the information is not provided.
- (2) If an organisation collects health information about an individual from someone else, it must take any steps that are reasonable in the circumstances to ensure that the individual is generally aware of the matters listed in subclause (1) except to the extent that:
  - (a) making the individual aware of the matters would pose a serious threat to the life or health of any individual, or
  - (b) the collection is made in accordance with guidelines issued under subclause (3).
- (3) The Privacy Commissioner may issue guidelines setting out circumstances in which an organisation is not required to comply with subclause (2).
- (4) An organisation is not required to comply with a requirement of this clause if:



- (a) the individual to whom the information relates has expressly consented to the organisation not complying with it, or
  - (b) the organisation is lawfully authorised or required not to comply with it, or
  - (c) non-compliance is otherwise permitted (or is necessarily implied or reasonably contemplated) under an Act or any other law (including the *State Records Act 1998*), or
  - (d) compliance by the organisation would, in the circumstances, prejudice the interests of the individual to whom the information relates, or
  - (e) the information concerned is collected for law enforcement purposes, or
  - (f) the organisation is an investigative agency and compliance might detrimentally affect (or prevent the proper exercise of) its complaint handling functions or any of its investigative functions.
- (5) If the organisation reasonably believes that the individual is incapable of understanding the general nature of the matters listed in subclause (1), the organisation must take steps that are reasonable in the circumstances to ensure that any authorised representative of the individual is aware of those matters.
- (6) Subclause (4)(e) does not remove any protection provided by any other law in relation to the rights of accused persons or persons suspected of having committed an offence.
- (7) The exemption provided by subclause (4)(f) extends to any public sector agency, or public sector official, who is investigating or otherwise handling a complaint or other matter that could be referred or made to an investigative agency, or that has been referred from or made by an investigative agency.

### **Council Policy**

Where Council proposes to collect health information directly from the person, it will inform that person that the health information is being collected, what is done with that information and who the intended recipients will be.

Council will inform persons if the information is required by law or voluntarily given. Council will also inform individuals which department or section within Council holds their health information, and of the right to access and correct that information.

## **HPP 5 – Retention and Security**

### **Schedule 1 section 4 (2)                      Retention and Security**

- (1) An organisation that holds health information must ensure that:
- (a) the information is kept for no longer than it is necessary for the purposes for which the information may be lawfully used, and
  - (b) the information is disposed of securely and in accordance with any requirements for the retention and disposal of health information, and
  - (c) the information is protected, by taking such security safeguards as are reasonable in the circumstances, against loss, unauthorised access, use, modification or disclosure, and against all other misuse, and



- (d) if it is necessary for the information to be given to a person in connection with the provision of a service to the organisation, everything reasonably within the power of the organisation is done to prevent unauthorised use or disclosure of the information.
- (2) An organisation is not required to comply with a requirement of this clause if:
- (a) the organisation is lawfully authorised or required not to comply with it, or
  - (b) non-compliance is otherwise permitted (or is necessarily implied or reasonably contemplated) under an Act or any other law (including the State Records Act 1998).
- (3) An investigative agency is not required to comply with subclause (1)(a).

### **Council Policy**

Council may comply with this principle by using any or all of the following or similar documents:

- Records and Archives Services Manual;
- The Council's Policy relating to the security of and access to misconduct files;
- Council's Internet Security Policy;
- Information Technology Security Policy; and
- General Records Disposal Schedule for Local Government.
- State Records Act

## **HPP 6 – Information about health information held by Council**

### **Schedule 1 section 4 (2) Information about health information held by Council**

- (1) An organisation that holds health information must take such steps as are, in the circumstances, reasonable to enable any individual to ascertain:
- (a) whether the organisation holds health information, and
  - (b) whether the organisation holds health information relating to that individual, and
  - (c) if the organisation holds health information relating to that individual:
    - (i) the nature of that information, and
    - (ii) the main purposes for which the information is used, and
    - (iii) that person's entitlement to request access to the information.
- (2) An organisation is not required to comply with a provision of this clause if:
- (a) the organisation is lawfully authorised or required not to comply with the provision concerned, or
  - (b) non-compliance is otherwise permitted (or is necessarily implied or reasonably contemplated) under an Act or any other law (including the State Records Act 1998).





### **Council Policy**

Health Privacy Principle 6 requires Council to take reasonable steps to enable a person to determine whether Council holds health information about them. If Council holds any health information about a person, upon request it will advise them the nature of that information, the main purposes for which it is held, and that person's entitlement to access and amend that information. As a matter of practicality, not every item of health information, however insignificant, will be capable of ascertainment.

Health Privacy Principle 6 is modified by section 22 of the HRIPA. Section 22 of the HRIPA has the effect of importing sections 13-15 of the GIPAA, and treats them as if they were part of the HRIPA. That means that in any application under HPP 6, Council must consider the relevant provisions of the GIPAA.

Any person can make application to Council by completing the appropriate form and submitting it to Council. An example is at Appendix 5.

Where a person makes an application for access under the HRIPA and it is involved or complex, it may be referred, with the written consent of the applicant, as an application under the GIPAA. However use of the GIPAA is to be a last resort. The applicant has the right to insist on being dealt with under HRIPA.

Where Council receives an application or request by a person as to whether Council holds health information about them, Council will undertake a search of its records to answer the enquiry. Council may ask the applicant to describe what dealings the applicant has had with Council in order to assist with the conduct of the search.

Council will ordinarily provide a response to applications of this kind within 28 days of the application being made. The fee structure is commensurate to that of the Council's GIPAA rates structure.

## **HPP 7 – Access to health information**

### **Schedule 1 section 4 (2) Access to health information**

- (1) An organisation that holds health information must, at the request of the individual to whom the information relates and without excessive delay or expense, provide the individual with access to the information.

Note: Access to health information held by public sector agencies may also be available under the Government Information (Public Access) Act 2009 or the State Records Act 1998.

- (2) An organisation is not required to comply with a requirement of this clause if:
- (a) the organisation is lawfully authorised or required not to comply with it, or
  - (b) non-compliance is otherwise permitted (or is necessarily implied or reasonably contemplated) under an Act or any other law (including the State Records Act 1998).

### **Council Policy**

Health Privacy Principle 7 requires Council, at the request of any person, to give access to that person to health information held about them.

Compliance with Health Privacy Principle 7 does not allow disclosure of health information about other people.



Where a person makes an application for access under the HRIPA and it is involved or complex, it may be referred, with the written consent of the applicant, as an application under the GIPAA. However use of the GIPAA is to be a last resort. The applicant has the right to insist on being dealt with under HRIPA.

When considering an application under HPP 7, Council will consider sections 13-15 of the GIPAA as if they were part of HRIPA.

Customers wishing to exercise their right of access to their own health information should apply in writing or direct their inquiries to the General Manager, who will make a determination. A sample form is provided at Appendix 5.

Members of staff wishing to exercise their right of access to their health information should apply in writing on the attached form or direct their inquiries to the Manager, People & Culture, who will deal with the application.

In order to comply with the requirement to provide the requested information "without excessive delay or expense", Council will ordinarily provide a response to applications of this kind within 28 days of the application being made, and Council will use a fee structure commensurate to that of the GIPAA fee structure.

## **HPP 8 – Amendment of health information**

### **Schedule 1 section 4 (2)                      Amendment of health information**

- (1) An organisation that holds health information must, at the request of the individual to whom the information relates, make appropriate amendments (whether by way of corrections, deletions or additions) to ensure that the health information:
  - (a) is accurate, and
  - (b) having regard to the purpose for which the information was collected (or is to be used) and to any purpose that is directly related to that purpose, is relevant, up to date, complete and not misleading.
- (2) If an organisation is not prepared to amend health information under subclause (1) in accordance with a request by the individual to whom the information relates, the organisation must, if so requested by the individual concerned, take such steps as are reasonable to attach to the information, in such a manner as is capable of being read with the information, any statement provided by that individual of the amendment sought.
- (3) If health information is amended in accordance with this clause, the individual to whom the information relates is entitled, if this is reasonably practicable, to have recipients of that information notified of the amendments made by the organisation.

Note: Amendment of health information held by public sector agencies may also be able to be sought under the Privacy and Personal Information Protection Act 1998.

- (4) An organisation is not required to comply with a provision of this clause if:
  - (a) the organisation is lawfully authorised or required not to comply with it, or
  - (b) non-compliance is otherwise permitted (or is necessarily implied or reasonably contemplated) under an Act or any other law (including the State Records Act 1998).



### **Council Policy**

Health Privacy Principle 8 allows a person to make an application to Council to amend health information held about them so as to ensure the information is accurate, and, having regard to the purpose for which the information is collected, relevant to that purpose, up to date and not misleading.

Council will take all reasonable steps to ensure that any health information held is current, accurate and complete. Proposed amendments or changes to health information held by the Council are welcomed.

## **HPP 9 – Accuracy**

### **Schedule 1 section 4 (2) Accuracy**

An organisation that holds health information must not use the information without taking such steps as are reasonable in the circumstances to ensure that, having regard to the purpose for which the information is proposed to be used, the information is relevant, accurate, up to date, complete and not misleading.

### **Council Policy**

The steps taken to comply with HPP 9 will depend on the age of the health information, its likelihood of change and the particular function for which the health information was collected.

The more significant the health information, the greater the necessity that checks to ensure its accuracy and currency be undertaken prior to its use.

For example, each employee's health information should be updated when there is any change of circumstances.

## **HPP 10 – Limits on use of health information**

### **Schedule 1 section 4 (2) Limits on use of health information**

- (1) An organisation that holds health information must not use the information for a purpose (a "secondary purpose") other than the purpose (the "primary purpose") for which it was collected unless:
  - (a) the individual to whom the information relates has consented to the use of the information for that secondary purpose, or
  - (b) the secondary purpose is directly related to the primary purpose and the individual would reasonably expect the organisation to use the information for the secondary purpose, or
  - (c) the use of the information for the secondary purpose is reasonably believed by the organisation to be necessary to lessen or prevent:
    - (i) a serious and imminent threat to the life, health or safety of the individual or another person, or
    - (ii) a serious threat to public health or public safety, or



- (d) the use of the information for the secondary purpose is reasonably necessary for the funding, management, planning or evaluation of health services and:
  - (i) either:
    - (A) that purpose cannot be served by the use of information that does not identify the individual or from which the individual's identity cannot reasonably be ascertained and it is impracticable for the organisation to seek the consent of the individual for the use, or
    - (B) reasonable steps are taken to de-identify the information, and
  - (ii) if the information is in a form that could reasonably be expected to identify individuals, the information is not published in a generally available publication, and
  - (iii) The use of the information is in accordance with guidelines, if any, issued by the Privacy Commissioner for the purposes of this paragraph, or
- (e) the use of the information for the secondary purpose is reasonably necessary for the training of employees of the organisation or persons working with the organisation and:
  - (i) either:
    - (A) that purpose cannot be served by the use of information that does not identify the individual or from which the individual's identity cannot reasonably be ascertained and it is impracticable for the organisation to seek the consent of the individual for the use, or
    - (B) reasonable steps are taken to de-identify the information, and
  - (ii) if the information is in a form that could reasonably be expected to identify individuals, the information is not published in a generally available publication, and
  - (iii) the use of the information is in accordance with guidelines, if any, issued by the Privacy Commissioner for the purposes of this paragraph, or
- (f) the use of the information for the secondary purpose is reasonably necessary for research, or the compilation or analysis of statistics, in the public interest and:
  - (i) either:
    - (A) that purpose cannot be served by the use of information that does not identify the individual or from which the individual's identity cannot reasonably be ascertained and it is impracticable for the organisation to seek the consent of the individual for the use, or
    - (B) reasonable steps are taken to de-identify the information, and
  - (ii) if the information is in a form that could reasonably be expected to identify individuals, the information is not published in a generally available publication, and
  - (iii) The use of the information is in accordance with guidelines, if any, issued by the Privacy Commissioner for the purposes of this paragraph, or
- (g) the use of the information for the secondary purpose is by a law enforcement agency (or such other person or organisation that may be prescribed by the regulations) for the purposes of ascertaining the whereabouts of an individual that has been reported to a police officer as a missing person, or
- (h) the organisation:



- (i) has reasonable grounds to suspect that:
    - (A) unlawful activity has been or may be engaged in, or
    - (B) a person has or may have engaged in conduct that may be unsatisfactory professional conduct or professional misconduct under the Health Practitioner Regulation National Law (NSW), or
    - (C) an employee of the organisation has or may have engaged in conduct that may be ground for disciplinary action, and
  - (ii) uses the health information as a necessary part of its investigation of the matter or in reporting its concerns to relevant persons or authorities, or
  - (i) the use of the information for the secondary purpose is reasonably necessary for the exercise of law enforcement functions by law enforcement agencies in circumstances where there are reasonable grounds to believe that an offence may have been, or may be, committed, or
  - (j) the use of the information for the secondary purpose is reasonably necessary for the exercise of complaint handling functions or investigative functions by investigative agencies, or
  - (k) the use of the information for the secondary purpose is in the circumstances prescribed by the regulations for the purposes of this paragraph.
- (2) An organisation is not required to comply with a provision of this clause if:
- (a) the organisation is lawfully authorised or required not to comply with the provision concerned, or
  - (b) non-compliance is otherwise permitted (or is necessarily implied or reasonably contemplated) under an Act or any other law (including the State Records Act 1998).
- (3) The Ombudsman's Office, Health Care Complaints Commission, Anti-Discrimination Board and Community Services Commission are not required to comply with a provision of this clause in relation to their complaint handling functions and their investigative, review and reporting functions.
- (4) Nothing in this clause prevents or restricts the disclosure of health information by a public sector agency:
- (a) to another public sector agency under the administration of the same Minister if the disclosure is for the purposes of informing that Minister about any matter within that administration, or
  - (b) to any public sector agency under the administration of the Premier, if the disclosure is for the purposes of informing the Premier about any matter.
- (5) The exemption provided by subclause (1) (j) extends to any public sector agency or public sector official, who is investigating or otherwise handling a complaint or other matter that could be referred or made to an investigative agency, or that has been referred from or made by an investigative agency.

### **Council Policy**

Council will seek to ensure that health information collected for one purpose will be used for that same purpose. Where Council may need to use health information collected for one purpose for another purpose, it will first gain the consent of the individual concerned, unless one of the above exemptions applies.



## **HPP 11 – Limits on disclosure of health information**

### **Schedule 1 section 4 (2) Limits on disclosure of health information**

- (1) An organisation that holds health information must not disclose health information for a purpose (a “secondary purpose”) other than the purpose (the “primary purpose”) for which it was collected unless:
- (a) the individual to whom the information relates has consented to the disclosure of the information for that secondary purpose, or
  - (b) the secondary purpose is directly related to the primary purpose and the individual would reasonably expect the organisation to disclose the information for the secondary purpose, or
  - (c) the disclosure of the information for the secondary purpose is reasonably believed by the organisation to be necessary to lessen or prevent:
    - (i) a serious and imminent threat to the life, health or safety of the individual or another person, or
    - (ii) a serious threat to public health or public safety, or
  - (d) the disclosure of the information for the secondary purpose is reasonably necessary for the funding, management, planning or evaluation of health services and:
    - (i) either:
      - (A) that purpose cannot be served by the disclosure of information that does not identify the individual or from which the individual’s identity cannot reasonably be ascertained and it is impracticable for the organisation to seek the consent of the individual for the disclosure, or
      - (B) reasonable steps are taken to de-identify the information, and
    - (ii) if the information is in a form that could reasonably be expected to identify individuals, the information is not published in a generally available publication, and
    - (iii) the disclosure of the information is in accordance with guidelines, if any, issued by the Privacy Commissioner for the purposes of this paragraph.
  - (e) the disclosure of the information for the secondary purpose is reasonably necessary for the training of employees of the organisation or persons working with the organisation and:
    - (i) either:
      - (A) that purpose cannot be served by the disclosure of information that does not identify the individual or from which the individual’s identity cannot reasonably be ascertained and it is impracticable for the organisation to seek the consent of the individual for the disclosure, or
      - (B) reasonable steps are taken to de-identify the information, and
    - (ii) if the information is in a form that could reasonably be expected to identify individuals, the information is not published in a generally available publication, and



- (iii) The disclosure of the information is in accordance with guidelines, if any, issued by the Privacy Commissioner for the purposes of this paragraph, or
- (f) the disclosure of the information for the secondary purpose is reasonably necessary for research, or the compilation or analysis of statistics, in the public interest and:
  - (i) either:
    - (A) that purpose cannot be served by the disclosure of information that does not identify the individual or from which the individual's identity cannot reasonably be ascertained and it is impracticable for the organisation to seek the consent of the individual for the disclosure, or
    - (B) reasonable steps are taken to de-identify the information, and
  - (ii) if the information is in a form that could reasonably be expected to identify individuals, the information is not published in a generally available publication, and
- (g) (iii) The disclosure of the information is in accordance with guidelines, if any, issued by the Privacy Commissioner for the purposes of this paragraph, or the disclosure of the information for the secondary purpose is to provide the information to an immediate family member of the individual for compassionate reasons and:
  - (i) the disclosure is limited to the extent reasonable for those compassionate reasons, and
  - (ii) the individual is incapable of giving consent to the disclosure of the information, and
  - (iii) the disclosure is not contrary to any wish expressed by the individual (and not withdrawn) of which the organisation was aware or could make itself aware by taking reasonable steps, and
  - (iv) if the immediate family member is under the age of 18 years, the organisation reasonably believes that the family member has sufficient maturity in the circumstances to receive the information, or
- (h) the disclosure of the information for the secondary purpose is to a law enforcement agency (or such other person or organisation as may be prescribed by the regulations) for the purposes of ascertaining the whereabouts of an individual who has been reported to a police officer as a missing person, or
- (i) the organisation:
  - (i) has reasonable grounds to suspect that:
    - (A) unlawful activity has been or may be engaged in, or
    - (B) a person has or may have been engaged in conduct that may be unsatisfactory professional conduct or professional misconduct under a health registration Act, or
    - (C) an employee of the organisation has or may have engaged in conduct that may be grounds for disciplinary action, and
  - (ii) discloses the health information as a necessary part of its investigation of the matter or in reporting its concerns to relevant persons or authorities, or
- (j) the disclosure of the information for the secondary purpose is reasonably necessary for the exercise of law enforcement functions by law enforcement



- agencies in circumstances where there are reasonable grounds to believe that an offence may have been, or may be, committed, or
- (k) the disclosure of the information for the secondary purpose is reasonably necessary for the exercise of complaint handling functions or investigative functions by investigative agencies, or
  - (l) the disclosure of the information for the secondary purpose in the circumstances prescribed by the regulations for the purposes of this paragraph.
- (2) An organisation is not required to comply with a requirement of this clause if:
- (a) the organisation is lawfully authorised or required not to comply with it, or
  - (b) non-compliance is otherwise permitted (or is necessarily implied or reasonably contemplated) under an Act or any other law (including the State Records Act 1998), or
  - (c) the organisation is an investigative agency disclosing information to another investigative agency.
- (3) The Ombudsman's Office, Health Care Complaints Commission, Anti-Discrimination Board and Community Services Commission are not required to comply with a provision of this clause in relation to their complaint handling functions and their investigative, review and reporting functions.
- (4) Nothing in this clause prevents or restricts the disclosure of health information by a public sector agency:
- (a) to another public sector agency under the administration of the same Minister if the disclosure is for the purposes of informing that Minister about any matter within that administration, or
  - (b) to any public sector agency under the administration of the Premier, if the disclosure is for the purposes of informing the Premier about any matter.
- (5) If health information is disclosed in accordance with subclause (1), the person, body or organisation to whom it was disclosed must not use or disclose the information for a purpose other than the purpose for which the information was given to it.
- (6) The exemption provided by subclause (1) (k) and (2) extends to any public sector agency, or public sector official, who is investigating or otherwise handling a complaint or other matter that could be referred or made to an investigative agency, or that has been referred from or made by an investigative agency.

### **Council Policy**

Council will not disclose health information to another person or other body, unless the disclosure is directly related to the purpose for which the information was collected or where the Council has no reason to believe that the individual concerned would object to the disclosure.

Council may disclose health information to another person or other body where this disclosure is directly related to the purpose for which the health information was collected and the individual concerned is reasonably likely to have been aware, (or has been made aware), of the intended recipients of that information.

Council may disclose health information to another person or other body where this disclosure is necessary to prevent or lessen a serious and imminent threat to the life or health of the individual concerned or another person.





## **HPP 12 – Identifiers**

### **Schedule 1 section 4 (2) Identifiers**

- (1) An organisation may only assign identifiers to individuals if the assignment of identifiers is reasonably necessary to enable the organisation to carry out any of its functions efficiently.
- (2) Subject to subclause (4), a private sector person may only adopt as its own identifier of an individual an identifier of an individual that has been assigned by a public sector agency (or by an agency of, or contracted to, a public sector agency acting in its capacity as agent or contractor) if:
  - (a) The individual has consented to the adoption of the same identifier, or
  - (b) The use or disclosure of the identifier is required or authorised by or under law.
- (3) Subject to subclause (4), a private sector person may only use or disclose an identifier assigned to an individual by a public sector agency (or by an agency of, or contracted to, a public sector agency acting in its capacity as agent or contractor) if:
  - (a) The use or disclosure is required for the purpose for which it was assigned or for a secondary purpose referred to in one or more paragraphs of HPP 10 (1)(c) – (k) or 11 (1)(c) – (l), or
  - (b) The individual has consented to the use or disclosure, or
  - (c) The disclosure is to the public sector agency that assigned the identifier to enable the public sector agency to identify the individual for its own purposes.
- (4) If the use or disclosure of an identifier assigned to an individual by a public sector agency is necessary for a private sector person to fulfil its obligations to, or the requirements of, the public sector agency, a private sector person may either:
  - (a) adopt as its own identifier of an individual an identifier of the individual that has been assigned by the public sector agency, or
  - (b) use or disclose an identifier of the individual that has been assigned by the public sector agency.

### **Council Policy**

Health Privacy Principle 12 only applies to private sector persons; hence it does not apply to Wagga Wagga City Council.

## **HPP 13 – Anonymity**

### **Schedule 1 section 4 (2) Anonymity**

Wherever it is lawful and practicable, individuals must be given the opportunity to not identify themselves when entering into transactions with or receiving health services from an organisation.

### **Council Policy**

Health Privacy Principle 13 only applies to Health service providers; hence it does not apply to Wagga Wagga City Council



## **HPP 14 – Transborder data flows and data flow to Commonwealth agencies**

### **Schedule 1 section 4 (2) Transborder data flows and data flow to Commonwealth agencies**

An organisation must not transfer health information about an individual to any person or body who is in a jurisdiction outside New South Wales or to a Commonwealth agency unless:

- (a) the organisation reasonably believes that the recipient of the information is subject to a law, binding scheme or contract that effectively upholds principles for fair handling of the information that are substantially similar to the Health Privacy Principles, or
- (b) the individual consents to the transfer, or
- (c) the transfer is necessary for the performance of a contract between the individual and the organisation, or for the implementation of pre-contractual measures taken in response to the individual's request, or
- (d) the transfer is necessary for the conclusion or performance of a contract concluded in the interest of the individual between the organisation and a third party, or
- (e) all of the following apply:
  - (i) the transfer is for the benefit of the individual,
  - (ii) it is impracticable to obtain the consent of the individual to that transfer,
  - (iii) if it were practicable to obtain such consent, the individual would be likely to give it, or
- (f) the transfer is reasonably believed by the organisation to be necessary to lessen or prevent:
  - (i) a serious and imminent threat to the life, health or safety of the individual or another person, or
  - (ii) a serious threat to public health or public safety, or
- (g) the organisation has taken reasonable steps to ensure that the information that it has transferred will not be held, used or disclosed by the recipient of the information inconsistently with the Health Privacy Principles, or
- (h) the transfer is permitted or required by an Act (including an Act of the Commonwealth) or any other law.

### **Council Policy**

Council will not transfer health information relating to an individual's unless:

- the transfer is necessary to prevent a serious or imminent threat to the life or health of the individual concerned or another person, or
- the individual has consented to the transfer, or
- the transfer is for the benefit of the individual, or
- reasonable steps have been taken to ensure that the information transferred will not be held used or disclosed inconsistently with the Health Privacy Principles.



## **HPP 15 – Linkage of health records**

### **Schedule 1 section 4 (2)                      Linkage of health records**

- (1) An organisation must not:
- (a) include health information about an individual in a health records linkage system unless the individual has expressly consented to the information being so included, or
  - (b) disclose an identifier of an individual to any person if the purpose of the disclosure is to include health information about the individual in a health records linkage system, unless the individual has expressly consented to the identifier being disclosed for that purpose.
- (2) An organisation is not required to comply with a requirement of this clause if:
- (a) the organisation is lawfully authorised or required not to comply with it, or
  - (b) non-compliance is otherwise permitted (or is necessarily implied or reasonably contemplated) under an Act or any other law (including the State Records Act 1998), or
  - (c) the inclusion of the health information about the individual in the health records information system (including and inclusion for which an identifier of the individual is to be disclosed) is a use of the information that complies with HPP 10(1)(f) or a disclosure of the information that complies with HPP 11(1)(f).

- (3) In this clause:

“health record” means an ongoing record of health care for an individual.

“health records linkage system” means a computerised system that is designed to link health records for an individual held by different organisations for the purpose of facilitating access to health records, and includes a system or class of systems prescribed by the regulations as being a health record linkage system, but does not include a system or class of systems prescribed by the regulations as not being a health records linkage system.

### **Council Policy**

Health Privacy Principle 15 only applies to health records linkage systems, no such system exists at Council; hence it does not apply to Wagga Wagga City Council



## Part 5 - Implementation of the Privacy Management Plan

### Training Seminars/Induction

During induction, all employees will be made aware that the performance management system has the potential to include personal information on their individual work performance or competency.

Councillors, all Council staff, and members of Council Committees should be acquainted with the general provisions of the PPIPA and HRIPA, and in particular, the 12 Information Protection Principles, the 15 Health Privacy Principles, the Public Register provisions, the Privacy Code of Practice for Local Government, this Plan and any other applicable Code of Practice.

### Responsibilities of Council and of the Information Access Officer

The Information Access Officer will facilitate appropriate training and awareness sessions to enable all areas within Council to review and assess contracts and agreements with consultants and contractors, notices and application forms to ensure their compliance with PPIPA and HRIPA.

Council will ensure in its public areas that special provisions are made when working with computer screens. Computer screens will be required:

- to have fast screen savers;
- to face away from the public; or
- to only show one record at a time.

Council's electronic databases should also be reviewed to ensure that they contain procedures and protocols to check the accuracy and currency of personal and health information.

The Information Access Officer will also provide opinions within Council as to:

- (i) whether the personal information is collected for a lawful purpose;
- (ii) if that lawful purpose is directly related to a function of Council; and
- (iii) whether or not the collection of that personal information is reasonably necessary for the specified purpose.

Any further concerns of a legal nature will be referred to Council's solicitor.

If required, Council may assign designated officers as "Privacy Resource Officers", within the larger divisions of Council. In this manner Council may ensure that the information protection and the health privacy principles are more broadly understood and that individual divisions have a greater focus on the information protection and the health privacy principles and that they are directly applied in Council's day to day functions.



## **Distribution of information to the public**

Council may prepare its own literature i.e. pamphlets on the PPIPA and HRIPA, or it may obtain and distribute copies of literature available from the Office of the Privacy Commissioner NSW.

Council may also publish public notices, newsletters or website bulletins explaining the key elements of the Acts and the rights of persons about whom information is held. See the discussion in this Plan with respect to IPP 6 and HPP 6 for more information in this regard.



## Part 6 - Internal Review

### How does the process of Internal Review operate?

Under section 53 of the PPIPA a person (the applicant) who is aggrieved by the conduct of a Council is entitled to a review of that conduct. An application for internal review is to be made within 6 months of when the person first became aware of the conduct.

The application is to be in writing and addressed to Council's Privacy Contact Officer. The Privacy Contact Officer will appoint a Reviewing Officer to conduct the internal review. The Reviewing Officer must not be substantially involved in any matter relating to the applicant. The Reviewing Officer must not be an employee and suitability qualified.

The review must be completed as soon as is reasonably practicable in the circumstances. If the review is not completed within 60 days of the lodgement, the applicant is entitled to seek external review.

The Council must notify the Privacy Commissioner of an application as soon as practicable after its receipt, keep the Commissioner informed of the progress of the application and inform the Commissioner of the findings of the review and of the action it proposes to take in relation to the application.

The Privacy Commissioner is entitled to make submissions in relation to internal reviews and the Council is required to consider any relevant material submitted by the Privacy Commissioner. The Council must provide the Privacy Commissioner with a draft of the Council's internal review report to enable the Privacy Commissioner to make a submission.

Council may provide a copy of any submission by the Privacy Commissioner to the applicant.

The Council must notify the applicant of the outcome of the review within 14 days of its determination. A copy of the final review should also be provided to the Privacy Commissioner where it departs from the draft review.

### What happens after an Internal Review?

If the complainant remains unsatisfied, he/she may appeal to the Administrative Decisions Tribunal which hears the matter afresh and may impose its own decision and award damages for a breach of an information protection principle to an amount up to \$40,000.



## Part 7 - Other Relevant Matters

### **Contracts with consultants and other private contractors**

It is necessary to have specific provisions to protect the Council in any dealings with private contractors.

### **Confidentiality**

The obligation of confidentiality is additional to and separate from that of privacy. Nevertheless, a duty to withhold information lies at the heart of both concepts. Confidentiality attaches to personal information about the person to whom that information relates.

An obligation of confidentiality exists for all employees whether expressed or implied as a matter of law.

Information which may be confidential is also likely to have a separate and independent obligation attached to it in the form of privacy and in that regard, a release for the purposes of confidentiality will not suffice for privacy purposes. Two separate releases will be required and, in the case of privacy, the person to whom the information relates will be required to provide the release.

### **Misuse of personal information**

Section 664 of the LGA makes it an offence for anyone to disclose information except in accordance with that section. Whether or not a particular disclosure is made with lawful excuse is a matter that requires legal opinion from case to case.

### **Regular review of the collection, storage and use of personal and health information**

The information practices relating to the collection, storage and use of personal and health information will be reviewed by the Council every three (3) years. Any new program initiatives will be incorporated into the review process with a view to ascertaining whether or not those programs comply with the PPIPA and HRIPA.

### **Regular Review of Privacy Management Plan**

Once the information practices are reviewed from time to time, the Privacy Management Plan will also be reviewed to ensure that the Plan is up to date.



# Appendices

## Appendix 1

### Statutory Declaration Oaths Act 1900, Ninth Schedule

I, the undersigned ..... (name of applicant)  
of ..... (address),  
in the State of New South Wales, do solemnly and sincerely declare that:-

I am .....(relationship (if any) to person inquired about)  
I seek to know whether .....is on the public  
register of Wagga Wagga City Council pertaining to\*.....

The purpose for which I seek this information is .....  
.....  
.....

The purpose for which the information is required is to .....  
.....

And I make this solemn declaration conscientiously believing the same to be true and by virtue of the  
Oaths Act 1994.

Declared at .....

in the said State this                      day of                      two thousand and  
before me.

.....

before me:

Justice of the Peace/Solicitor

.....

Name to be printed

*\* Applicant to describe the relevant public register*





## Appendix 2

### Privacy Notification Form - Section 10 (Post - Collection)

*(Addressed to the person from whom information has been collected.)*

The personal information that Council has collected from you falls under the provisions of the Privacy and Personal Information Protection Act 1998.

The intended recipients of the personal information are:

- officers within the Council;
- data service providers engaged by the Council from time to time;
- any other agent of the Council; and
- *(any other)*.

The supply of the information by you *is / is not* voluntary. If you cannot provide or do not wish to provide the information sought, the Council may .....

.....

Council has collected this personal information from you in order to .....

.....

You may make application for access or amendment to information held by Council. You may also make a request that Council suppress your personal information from a public register. Council will consider any such application in accordance with the PPIPA.

Council\* is to be regarded as the agency that holds the information.

Enquires concerning this matter can be addressed to .....

Signed .....

Dated .....

\*Please state who holds or controls the information if not Council



### Appendix 3

#### Privacy Notification Form - Section 10 (Pre Collection)

*(Addressed to the person from whom information is about to be collected or has been collected.)*

The personal information that Council is collecting from you falls under the provisions of the Privacy and Personal Information Protection Act 1998 ("the Act").

The intended recipients of the personal information are:

- ◆ officers within the Council;
- ◆ data service providers engaged by the Council from time to time;
- ◆ any other agent of the Council; and
- ◆ *(any other)*.

The supply of the information by you *is/is not* voluntary. If you cannot provide or do not wish to provide the information sought, the Council may/will be unable to process your application.

Council has collected this personal information from you in order to .....

You may make application for access or amendment to information held by Council. You may also make a request that Council suppress your personal information from a public register. Council will consider any such application in accordance with the Act.

Council\* is to be regarded as the agency that holds the information.

Enquires concerning this matter can be addressed to .....

Signed .....

Dated .....

\*Please state who holds or controls the information if not Council



## Appendix 4

### Application under section 13 of the Privacy and Personal Information Protection Act 1998 to determine whether Council holds personal information about a person

#### Personal information held by the Council

I, .....of (address), hereby request the General Manager of Council provide the following :

Does the Council hold personal information about me ? YES/NO

If so, what is the nature of that information?

.....  
.....

What is the main purpose for holding the information?

.....  
.....

Am I entitled to access the information? YES/NO

My address for response to this Application is:

.....  
.....

#### Note to applicants

Should you provide your address or any other contact details the Council will not record those details for any other purpose other than to respond to your application.

As an applicant, you have a right of access to personal information concerning yourself that is held by the Council under section 14 of the Privacy and Personal Information Protection Act 1998 ("the Act"). There is a separate application form to gain access.

The Council may refuse to process this application in part or in whole if:

- ◆ there is an exemption to section 13 of the Act; or
- ◆ a Code may restrict the operation of section 14.



## Appendix 5

### Application under section 14 of the Privacy and Personal Information Protection Act 1998 for access to applicant's personal information

Personal information held by Council

I, (name) .....

of (address) . .....

hereby request that the Council provide me with (strike out whichever is not applicable):

(a) access to **all** personal information held concerning myself; or

(b) access to the following personal information only .....

.....

Note to applicants

As an applicant, you have a right of access to your personal information held by Council under section 14 of the Privacy and Personal Information Protection Act 1998 ("the Act").

You are entitled to have access without excessive delay or cost.

Council may refuse to process your Application in part or in whole if:

- ◆ the correct amount of fees has not been paid;
- ◆ there is an exemption to section 14 of the Act; or
- ◆ a Code of Practice may restrict disclosure.

Enquires concerning this application should be made to .....



## Appendix 6

### Application under section 15 of the the Privacy and Personal Information Protection Act 1998 for alteration of applicant's personal information

Personal Information held by Council

I, (name) .....

of (address) .....

hereby request Council to alter personal information regarding myself in the following manner :

I propose the following changes:.....

.....

The reasons for the changes are as follows: .....

.....

The documentary bases for those changes is as shown on the attached documents

.....

Note to Applicants

You have a right to request appropriate amendments are made (whether by way of corrections, deletions or additions) to ensure that the personal information held by the Council :

- (a) is accurate, and
- (b) having regard to the purpose for which the information was collected (or is to be used) and to any purpose that is directly related to that purpose, is relevant, up to date, complete and not misleading

If Council is not prepared to amend the personal information in accordance with a request by you, Council must take such steps as are reasonable to attach to the information in such a manner as is capable of being read with the information, any statement provided by you.

If your personal information is amended, you are entitled under the Privacy and Personal Information Protection Act 1998 (the Act"), if it is reasonably practicable, to the have recipients of that information notified of the amendments made by Council.

Council may refuse to process your application in part or in whole if:

- ◆ there is an exemption to section 15 of the Act; or
- ◆ a Code of Practice may restrict alteration.

Enquiries concerning this application should be made to .....