



Assessment template – XXXX

Entity	XXXX
Jurisdiction	Y/N
Date of alleged act or practice	n/a
Summary of alleged act or practice	
APP/NDB issues identified	
Steps taken to date	n/a
Source of information	Tip off through
Date matter opened	16 January 2026
Assessed by	

Recommendation

NFA

Expected outcome and impact

N/A

Steps required

N/A

List the phases required to complete the recommendation and estimated timeframe for each phase. For example:

- July 2024 – issuance of s 43(1AA)
- Aug 2024 – issuance of ss 40 and 44 notices
- Oct- Dec 2024 – analysis of s 44 notice response and follow up enquiries (as required)
- Nov 2024 – preparation of investigation report and SRC submissions
- Dec 2024 – April 2025 – preparation of determination, natural justice processes, and publication of determination.

If your recommendation is to initiate/continue a CII, please also refer to the [Investigation Plan](#) for recommended timeframes.

Preliminary assessment

Use the rating scale below to rate each factor between 0-4. Provide commentary on how you arrived at the rating and any additional analysis. Additional guidance on the rating scale can be found at **Attachment A**.

Rating scale	0	1	2	3	4
	Factor not at all present	Factor slightly present	Factor moderately present	Factor clearly present	Factor very clearly present

OAIC's regulatory approach	Rating	Provide comment and further details
Does the matter involve issues that create a risk of substantial harm to individuals and the community, especially to vulnerable people and groups?	0	•
Does the matter involve issues that raise concerns regarding systemic harms or contraventions?	0	<p><i>Consider:</i></p> <ul style="list-style-type: none"> • Are there any current or closed complaints that relate to the same acts or practices of concern? (Resolve search) • Are there any DBNs from the entity that relate to the same acts or practices of concern? (Resolve search) • Has the entity been subject to prior regulatory action by the OAIC? • Has the entity been subject to prior assessments by the OAIC? (OAIC website).
Is regulatory action by the OAIC likely to change sectoral or market practices, or have an educative or deterrent effect?	0	<p><i>In answering this, consider the following:</i></p> <ul style="list-style-type: none"> • What sectoral/market practices does this matter relate to? For example, FRT, third-party platforms, retail surveillance, data enrichment. • Discuss with your manager whether R&S has done any work in the area and what the outcome was. Does it shape the outcome we hope to achieve? • From a desktop search of open sources i.e. Google in conjunction with Resolve/CM searches, do we consider that there is a need for education about this issue?
Does the matter concern issues that are subject to significant public interest or concern.	0	<p><i>In answering this, make the following searches:</i></p> <ul style="list-style-type: none"> • Desktop search: are there recent media articles, published research reports that relate to the issue? • Has the issue been raised at Senate Estimates? • Are there any current or closed complaints, tip offs or enquiries that relate to the same issue? (Resolve search).
Will regulatory action in this matter assist in clarifying certain aspects of privacy related policy or legislation?	0	<p><i>To answer this question, consider:</i></p> <ul style="list-style-type: none"> • What specific policy or aspect of legislation requires clarification? • What (if any) regulatory action would be likely appropriate? Enforceable undertaking, determination, civil penalties or other.



Attachment A – rating scale guidance

	0	1	2	3	4
Rating scale	Factor not at all present	Factor slightly present	Factor moderately present	Factor clearly present	Factor very clearly present
Evidence thresholds	There is no evidence to support this rating.	There is little or anecdotal evidence to support this rating.	There is some evidence to support this rating.	There is strong evidence to support this rating.	There is very strong evidence to support this rating.
Example		The OAIC received 1 privacy complaint relating to the entity/issue.	The issue has received minimal media attention.	The OAIC has received NDBs from the entity relating to similar issues.	The entity’s publicly promoted business model rests on practices that indicate APP compliance issues.

Tip Off Process

tip offs are currently captured in the Resolve APP-PI file type with the sub-type 'Tip offs'.

Upon receipt of a tip off in the mailbox, case officers will generally need to:

- 1) Register the tip off as an APP-PI file
- 2) Send out the **appropriate** acknowledgement letter if it has not been sent out previously: [D2023/011877](#).
 - Note that if the tip off came through the wrong channel (i.e. NDB form) the NDB acknowledgement letter is automated and would not be the appropriate one.
- 3) Assess the tip off for risk and determine next steps. Next steps would be either:
 - close NFA
 - close with guidance to the respondent
 - in limited circumstances, conduct preliminary inquiries (and close or refer on thereafter).

The Assessment template used to assess tip offs are:

- One historically used: [D2023/011870](#).
- New Assessment form that is used by the CII Team across all matters: [D2024/025514](#) (in line with our new Statement of Regulatory Approach).

As discussed, your team is welcome to determine what Assessment form would be fit for purpose to assess the risks and consider next steps.

For examples please contact Intake and Triage team.

CHANGE SENDER CONTAINED IN 'FROM' FIELD (ABOVE) TO YOUR OWN EMAIL ADDRESS

INSERT YOUR OWN EMAIL SIGNATURE AT THE BASE OF THIS EMAIL - THEN DELETE THESE TWO LINES OF TEXT

Our reference: EN##/#####

INFORMANT'S NAME

By email: INFORMANT'S EMAIL ADDRESS

Thank you for your email informing the Office of the Australian Information Commissioner (OAIC) about a possible breach of the *Privacy Act 1988* (Cth).

The Office of the Australian Information Commissioner (OAIC) has a number of powers to allow us to work with regulated entities to facilitate legal compliance and best privacy practice, as well as investigative and enforcement powers. We receive a large number of allegations about possible privacy breaches, and can only investigate a small proportion of those allegations. We explain our powers and how and when we use them in our [Privacy Regulatory Action Policy](#).

The information you have provided has been passed to the area in the OAIC that is responsible for reviewing allegations about possible breaches of privacy.

Your involvement in any action taken by the OAIC

The OAIC typically conducts regulatory action directly with the respondent organisation or agency. As such, we are unlikely to provide you with updates on our response to your allegations. However, in some circumstances the OAIC communicates information publicly on its regulatory action, in accordance with its Regulatory Action Policy. This information will generally be available on our website: www.oaic.gov.au. However, we may contact you if we have any queries about the information you have provided.

Confidentiality

We may put the information you have provided to us to the person your allegation is about. The requirements of natural justice mean that typically we need to put adverse information to a respondent before we can rely on that information to take enforcement action.

If we do that, we would not reveal your name. However, please be aware that it is possible that the respondent may be able to deduce or guess your identity. If you have any specific concerns about this, please contact us immediately.

Thank you again for drawing this issue to our attention.

Kind regards

New APP-PI - APP-PI Entry

Save Undo Print Print Preview Close Search Document Content

Details

Number: [] File Security: OFFICIAL Stage: [] New CII
Sub Type: [] Due Date: [] Destruction Status: [] New CDR CII
Assigned to: s22 Retention Class: []
Title: []

Main Actions Case Status Updates Documents XRefs

Respondent Find Open Anon Unknown **Informant** Find Open Anon Unknown

Details

Date APP-PI Opened: 30-Mar-2026 Date of NDB Notification: [] Complexity: []
Critical Matter: [] Source: [] Sensitivity: []
Date PI Initiated: [] Code Flag: []
Number of people affected: 0
Note: []

Risk Details

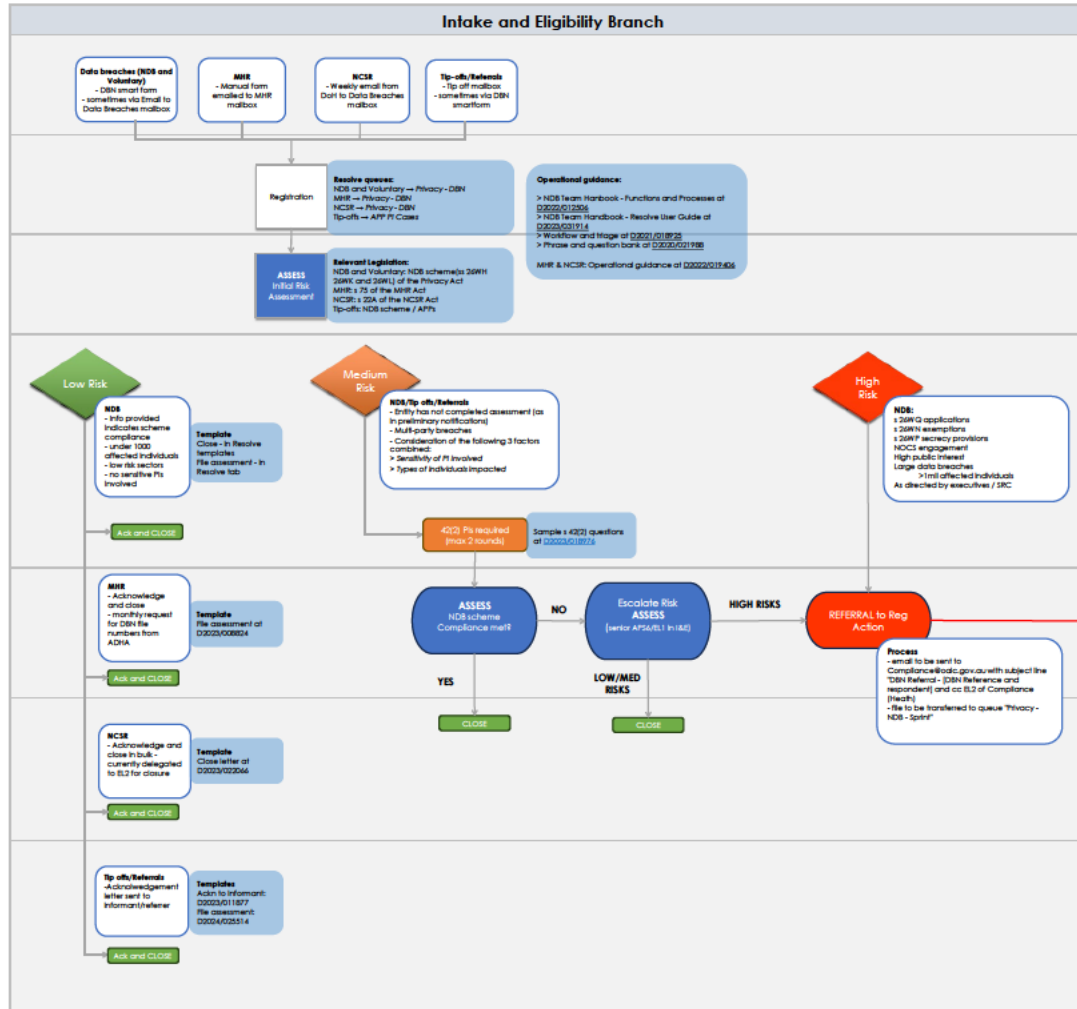
Nature of personal information: [] Respondent Action: []
Number of people affected: [] Systemic Issue: []
Type of individuals affected: [] Public interest to investigate: []
Risk Rating: []

Summary (Press F2 for Full Screen) **Open Actions**

Action Name	Due Date

Issues

Issue	Comments	Outcome	Primary



New Enquiry - Enquiry Entry

Save Undo Print Print Preview Tasks Close Enquiry Search Document Content

Details

Enquiry Type: **General Enquiry** Case Number: [] Target Date: []
File Security: **OFFICIAL** Case Officer: **s22** Destruction: []
Retention Class: []
COVID-19 Delay:

Title: []

Main Issues All Actions Documents Parties XRefs

Enquirer Details Find Open Unknown

Enquirer Industry Sector: []

Enquiry Details

Received Date: 30-Mar-2026
How Received: []
Registered by: **s22**

Significant Incident

- Qantas data breach 2025
- Genea data breach 2025
- Latitude Data Breach 2023

Code Flag: []
Target Industry Sector: []
SmartForm Number: []
Note: []

Referred From Organisation C

Referred To Organisation C

Summary (Press F2 for Full Screen)

Open Actions

Action Name	Due Date
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Issues

Issue	Comments	Outcome	Primary
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