Research entity—application for authorisation

Telecommunications Integrated Public Number
Database Scheme 2017

**Instructions for completion**

* Complete this form if you are a research entity seeking authorisation from the ACMA to use and disclose customer data for a kind of research specified in the Telecommunications (Integrated Public Number Database – Permitted Research Purposes) Instrument 2007 (No.1), under the Telecommunications Integrated Public Number Database Scheme 2017 (the IPND Scheme).
* You can type directly into this form and attach additional material, clearly identifying the question(s) to which it refers, if required.
* Either email the completed form to IPND@acma.gov.au or post it to:

IPND Scheme

Australian Communications and Media Authority

PO Box 13112 Law Courts

Melbourne Vic 8010

**Applicant details**

Name of research entity:

|  |
| --- |
| Full name Click here to enter text. |
| Organisation (if applicable) Click here to enter text. |

Name of contact person:

|  |
| --- |
| Full name Click here to enter text. |
| Position Click here to enter text.  |
| Telephone number Click here to enter text.  |
| Email Click here to enter text. |

|  |
| --- |
| Registered name Click here to enter text.  |
| Trading name Click here to enter text. |
| ABN / ACN Click here to enter text. |
| Address (place of business, if different from registered address)  |
| Click here to enter text. |
| Click here to enter text. |
| Telephone number Click here to enter text. |
| Email Click here to enter text. |

**Type of research proposed**

1. Identify the kind or kinds of research specified in the Telecommunications (Integrated Public Number Database – Permitted Research Purposes) Instrument 2007 (No.1) for which customer data originating from the Integrated Public Number Database (IPND*)* is being sought:

[ ]  Public health research [ ]  Electoral research

[ ]  Government research conducted by or on behalf of the Commonwealth, a Commonwealth authority or a prescribed FMA agency, which will contribute to public policy

**For applicants seeking to conduct research for electoral purposes only:**

1. Are you a political representative? [ ]  No (Go to Question 6)

[ ]  Yes. If yes, in which Parliament or local government authority?

|  |
| --- |
| Click here to enter text. |

1. If the proposed research will be conducted by a registered political party, provide the name of the party and the jurisdiction in which it is registered.

|  |
| --- |
| Click here to enter text. |

1. If the proposed research will be conducted by a candidate in an election for a Parliament or local government authority, identify which Parliament or local government authority?

|  |
| --- |
| Click here to enter text. |

1. If the proposed research will be conducted on behalf of a registered political party, political representative or a candidate in an election for Parliament or local government authority, provide:
* the name of the party, political representative or candidate and the jurisdiction within which the party is registered
* the Parliament or local government authority to which the political representative has been elected, or the Parliament or local government authority for which the candidate is in an election
* the name and contact details of a representative of the party, political representative or candidate for election and evidence that this application is being made on their behalf.

|  |
| --- |
| Click here to enter text. |

**For Commonwealth applicants only**

1. Are you a Commonwealth department, FMA agency or authority? [ ]  No (Go to Question 9)

[ ]  Yes. If so, provide the name of the body:

|  |
| --- |
| Click here to enter text. |

1. If you are applying on behalf of a Commonwealth department, FMA agency or authority, provide the name of the body, including the name and contact details of a representative of that body and evidence that you are applying on its behalf.

|  |
| --- |
| Click here to enter text. |

1. How will your research project assist in the development of public policy?

|  |
| --- |
| Click here to enter text. |

**Details about proposed authorisation**

1. Specify each of the fields of customer data originating from the IPND, about a customer or a customer’s business that is sought, and outline the reasons why each of those fields is sought.

|  |
| --- |
| Click here to enter text. |

1. Specify the duration of the authorisation sought:

[ ]  Finite. If finite, please specify the length of the period: \_Click here to enter text.\_\_\_\_\_\_\_\_\_

[ ]  Ongoing basis.

1. What are your proposed start and finish dates for use of customer data?

|  |
| --- |
| Click here to enter text. |

1. Explain why you require authorisation for this duration.

**Note:** For authorisations granted for a finite period, the authorised research entity will be expected to maintain authorisation to use and disclose customer data for a sufficient period of time to comply with the conditions of the IPND Scheme, the ministerial instruments and any additional conditions that the ACMA may impose that are not articulated in the IPND Scheme. Extensions to authorisation periods will only be approved if the ACMA is satisfied that the research has not been completed due to reasons beyond the researcher’s control.

|  |
| --- |
| Click here to enter text. |

1. Describe the nature of your research. Your explanation should include the following details:
* likely beneficiaries, direct and indirect
* likely social benefits
* likely form of finalised research, for example, book, article
* how customer data will be used, disclosed, secured and destroyed (if necessary)
* the geographic locations you wish to use (by postcode), and reasons for requiring these specific locations
* details of how and when you will update customer data
* any other information you consider relevant.

|  |
| --- |
| Click here to enter text. |

1. Will any of your research holdings be reverse-searchable? If so, explain how the reverse-search would operate.

|  |
| --- |
| Click here to enter text. |

1. In the event that your application is successful, what precautions will you take to ensure that customer data will not be used in a way that would breach the Act, the IPND Scheme or any of the ministerial instruments?

|  |
| --- |
| Click here to enter text. |

1. Will there be any commercial purpose associated with your proposed research? If so, provide details.

|  |
| --- |
| Click here to enter text. |

1. Do you have internal dispute resolution procedures that comply with section 4.5 of the IPND Scheme?

|  |
| --- |
| Click here to enter text. |

**Information-handling assessment—Privacy Impact Assessment**

1. For the duration of the research authorisation, advise whether you will :
* be an organisation within the meaning of the *Privacy Act 1988* (Privacy Act); or
* opt-in under section 6EA to be entered in the register of small business operators who have been chosen to be treated as organisations within the meaning of the Privacy Act.

(See section 4.5(6) of the IPND Scheme.)

|  |
| --- |
| Click here to enter text. |

**Collection**

1. Outline what steps, if any, you will take to notify customers about, or to enable them to find out (for example, through a publicly available privacy statement) the following:

(a) the identity of your organisation and how to contact it

(b) whether they are able to access the customer data you hold about them

(c) why the customer data is/has been collected (for example, to produce a PND)

(d) the organisations, or the types of organisations, to which you will usually disclose the customer data.

|  |
| --- |
| Click here to enter text. |

**Contacting customers**

1. When contacting customers, what measures will be in place to ensure that they are notified of the matters they are required to be informed about under the IPND Scheme?

|  |
| --- |
| Click here to enter text. |

1. What measures will be in place to ensure that, if a customer refuses consent to the use of their details in the research, or withdraws consent:

(a) customer data relating to the customer will not continue to be used?

(b) customer details will not be included in any document or other information?

(c) all information held about the customer will be securely destroyed?

|  |
| --- |
| Click here to enter text. |

1. What measures will be in place to prevent information being used for a purpose other than for the approved research purpose?

|  |
| --- |
| Click here to enter text. |

**Disclosure**

1. Will any customer data be disclosed to a third party, including a related body corporate, at any time? List ALL third parties to whom you intend to disclose customer data, as well as their professions. If the answer is ‘No’, go to Question 25.

*Example: Medial Research Services Pty Ltd, a research centre.*

|  |
| --- |
| Click here to enter text. |

(a) What are the reason(s) for the disclosure?

*Example: To enable the research centre to conduct research surveys on our behalf, by telephone.*

|  |
| --- |
| Click here to enter text. |

(b) What measures, if any, will be used to ensure that customer data is not disclosed, except for the approved research purpose?

|  |
| --- |
| Click here to enter text. |

1. If customer data (or copies of that data) is disclosed to a third party, for example a contractor, what measures will be taken to:

(a) inform the third party and all of its relevant staff to their obligations under the IPND Scheme?

|  |
| --- |
| Click here to enter text. |

(b) keep records of all copies of customer data made or held by the third party?

|  |
| --- |
| Click here to enter text. |

(c) ensure the third party securely destroys the copies once they are no longer required for the relevant purpose(s) for which they were provided?

|  |
| --- |
| Click here to enter text. |

**Data linkage**

1. Will customer data be linked to other data from another source?

|  |
| --- |
| Click here to enter text. |

1. If the answer to Question 25 is ‘No’, go to Question 27. If the answer to Question 25 is ‘Yes’:

(a) Specify what types of information the other data will include, according to whether it will be:

(i) collected directly from a customer, including where a contractor or an agent collects information from a customer on your behalf?

|  |
| --- |
| Click here to enter text. |

(ii) collected from a third party?

|  |
| --- |
| Click here to enter text. |

(b) Will the other data include ‘sensitive information’ within the meaning of s.6(1) of the *Privacy Act 1988* and, if so, what types of data will this include?

|  |
| --- |
| Click here to enter text. |

(c) How will the other data be obtained?

|  |
| --- |
| Click here to enter text. |

(d) Why is data linkage necessary for the research project?

|  |
| --- |
| Click here to enter text. |

(e) What measures will be taken to ensure that you will obtain the express consent of customers to link other information about them with their customer data?

|  |
| --- |
| Click here to enter text. |

**Data quality**

1. What measures will be in place to ensure that if the IPND Manager notifies you that a customer’s listed number has become unlisted:

(a) customer data relating to the customer will not be used for that unlisted number?

|  |
| --- |
| Click here to enter text. |

(b) neither customer data nor any other information relating to the customer will be included in any document or other information?

|  |
| --- |
| Click here to enter text. |

1. What measures will be in place to ensure that customer data is updated regularly?

|  |
| --- |
| Click here to enter text. |

1. What measures will be in place to ensure that, if customer data is used to re-contact a customer who has already participated in research, no information about the customer’s responses or the fact that they participated in the research will be provided to, or be accessible by, another person? (Examples of ‘another person’ include a co-tenant who may answer the customer’s telephone or a family member who may collect, and possibly open, the customer’s mail.)

|  |
| --- |
| Click here to enter text. |

**Data security**

1. What technical security measures will be used to protect customer data that is stored or transferred in electronic format from misuse, loss and unauthorised access, modification or disclosure?

*Example 1: Firewalls and access controls will prevent unauthorised access.*

*Example 2: Staff who do not need to amend information will be restricted to read-only access to prevent unauthorised modification.*

|  |
| --- |
| Click here to enter text. |

1. What physical security measures will be in place to protect any customer data that is contained in hardcopy records from misuse, loss and unauthorised access, modification or disclosure?

*Example: Dedicated secure storage areas or cabinets with combination locks.*

|  |
| --- |
| Click here to enter text. |

1. Specify:

(a) what internal security measures will be introduced to ensure access is restricted only to staff members who need to handle customer data?

*Example: User permissions and passwords.*

|  |
| --- |
| Click here to enter text. |

(b) whether audit trails will be used to monitor who accesses and manipulates the customer data?

|  |
| --- |
| Click here to enter text. |

1. Specify what measures will be in place to ensure that unauthorised copies of the customer data cannot be made, that is, copies that are not required for the research?

|  |
| --- |
| Click here to enter text. |

1. Specify what measures will be in place to ensure that, once the authorisation permitting use and disclosure of customer data ends, all of the customer data will be securely destroyed?

|  |
| --- |
| Click here to enter text. |

**Access and correction**

1. How will customers be provided with rights of access to customer data you hold about them and a way to correct it?

|  |
| --- |
| Click here to enter text. |

1. What systems, if any, will be in place to ensure that:

(a) all customer data for a customer can be identified?

|  |
| --- |
| Click here to enter text. |

(b) external parties that have been provided customer data for the customer are notified of corrections or amendments?

|  |
| --- |
| Click here to enter text. |

1. Will there be an audit trail of corrections or amendments that are made to the customer data?

|  |
| --- |
| Click here to enter text. |

**Removal of personal identifiers**

1. (a) Will you ensure that research findings published or kept after you cease to have access to customer data do not include information that can be used to identify customers?

|  |
| --- |
| Click here to enter text. |

(b) Will your research require you to keep contact information, such as addresses or phone numbers, to contact research participants AFTER your authorisation to use and disclose customer data ends? If so, explain why.

|  |
| --- |
| Click here to enter text. |

**Anonymity**

1. Will customers responding to research surveys have the option of having their responses recorded anonymously wherever it is lawful and practicable for them to do so? If so, when will it be deemed ‘practicable’ to do so?

|  |
| --- |
| Click here to enter text. |

**Transborder data flows**

1. (a) Will the customer data be accessible to or handled by persons or organisations outside of Australia at any time; for example, made available for storage on a web-server located in a foreign country or to a foreign contractor?

|  |
| --- |
| Click here to enter text. |

(b) Will the customer data be accessible to or handled by persons or organisations who are not subject to Australian law?

|  |
| --- |
| Click here to enter text. |

1. If the answer to Question 40 (a) or (b) is ‘Yes’:

(a) Who will the information be accessible to and what is your relationship with the person(s) or organisation?

|  |
| --- |
| Click here to enter text. |

(b) For what purpose(s) will the information be made accessible or handled by them?

|  |
| --- |
| Click here to enter text. |

(c) What measures will be taken to ensure that appropriate privacy and security protections are in place to protect the information from misuse, loss and unauthorised access, modification or disclosure while it is stored overseas?

|  |
| --- |
| Click here to enter text. |

**For applicants seeking ongoing authorisations only**

1. Attach a report that sets out the following details about your proposed research:
* a compliance check against the Australian Privacy Principles in relation to your proposal to use and disclose customer information originating from the IPND
* information on how privacy risks would be managed, including processes in place to remove, minimise or mitigate any negative privacy risks associated with your proposed use and disclosure of customer data for the conduct of research specified under the IPND Scheme as authorised under section 295A of the *Telecommunications Act 1997*.

Refer to the Office of the Australian Information Commissioner’s [*Guide to undertaking privacy impact assessments*](https://www.oaic.gov.au/agencies-and-organisations/guides/guide-to-undertaking-privacy-impact-assessments) for guidance on preparing this information.

1. Is there any information you would like to add that would assist the ACMA to assess your application?

|  |
| --- |
| Click here to enter text. |

**Declaration**

I declare that:

1. The contents of this application and any enclosures or annexures to this application are true and correct to the best of my knowledge and belief.
2. In the event that this authorisation is granted, the applicant will comply with all conditions of authorisation.
3. In the event that this authorisation is granted, the applicant will not use or disclose information obtained pursuant to the IPND Scheme except for the purpose for which authorisation is sought.
4. I have the authority to sign this application on behalf of the applicant.
5. I am aware that under section 137.1 of the *Criminal Code Act* *1995*, it is an offence to knowingly provide false or misleading information to a Commonwealth entity in connection with the performance of functions under a law of the Commonwealth.

|  |  |  |
| --- | --- | --- |
| Signature |  | Position in organisation (if applicable) Click here to enter text. |
| Print full name Click here to enter text. |  | Date Click here to enter a date. |

**Note:** The information provided on or with this form is being sought in accordance with section 295A of the *Telecommunications Act 1997*, which authorises the ACMA to administer the IPND Scheme. The information may also be used to report to the minister on the IPND Scheme in accordance with section 295U of the *Telecommunications Act 1997* and to enable the ACMA to perform a number of its telecommunications functions under section 8 of the *Australian Communications and Media Authority Act* *2005.* If you do not provide the information, your application will not be reviewed.

**Privacy**

The *Privacy Act 1988* (Cth) (the Privacy Act) imposes obligations on the ACMA in relation to the collection, security, quality, access, use and disclosure of personal information. These obligations are detailed in the Australian Privacy Principles.

The ACMA may only collect personal information if it is reasonably necessary for, or directly related to, one or more of the ACMA’s functions or activities.

The ACMA will not use the information for any other purpose, nor will we disclose it, unless we have your consent or we are otherwise permitted to do so under the Privacy Act.

Further information on the Privacy Act and the ACMA’s Privacy Policy is available at [www.acma.gov.au/privacypolicy](http://www.acma.gov.au/privacypolicy). The Privacy Policy contains details about how you may access personal information about you that is held by the ACMA, and seek the correction of such information. It also explains how you may complain about a breach of the Privacy Act and how we will deal with such a complaint. If you have any questions, please contact the ACMA’s privacy contact officer by email at privacy@acma.gov.au.