



Australian Government
Department of Health and Aged Care

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Compliance Prioritisation

Regulatory Compliance Branch

Overview

This document provides an overview of what makes up a case priority score and risk within the Regulatory Compliance Branch (RCB) for initial triage by the Compliance and Monitoring Section (CAMS)

Background

1. RCB, part of the Health Products Regulation Group (HPRG) takes allegations of non-compliance seriously - all matters are reviewed in accordance with the Compliance and Monitoring Assessment Sections (CAMS) Priority Assessment Model.
2. Information may come to the CAMS from various sources including but not limited to the Australia Border Force, State and Territory Bodies, Australian Health Practitioner Regulation Agency, Health Professionals, Law Enforcement, members of the public, the Minister's Office, media, external Agencies, and other areas of the Department.
3. A compliance case is created when a referral/complaint is received by CAMS assessed potential non-compliance.
4. A compliance case will be given a priority score and rating based on the Priority Assessment Model, with consideration to the information available at the time, including information provided through referrals/tip-offs an initial assessment.
5. The priority assessment and rating work in conjunction to support responsiveness to time sensitive matters including consumer safety, ensuring effective initial management of identified risks and appropriate allocation of cases to staff. The priority score and rating will be revised when any aspect of the case changes significantly. For example, a subsequent complaint is received about the same entity.
6. **paragraph 37(2)(b)**
[Redacted text]



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Background

7. The priority scoring table and matrix below supports CAMS triage officers to consider various aspects of a case and apply judgement and sound decision-making based on the available information.
8. When a complaint or tip-off is received, CAMS triage officers will assess the available information, including searching available records on CRM/TRIM/Shared Mailboxes to determine an appropriate rating, assisting the case officer to determine the appropriate compliance approach as detailed in the tables below.

Priority Scoring and Risk Matrix

paragraph 37(2)(b)

paragraph 37(2)(b)

Document 2

paragraph 37(2)(b)

Document 2



Australian Government

Department of Health, Disability and Ageing
Therapeutic Goods Administration

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RCB Compliance Prioritisation Matrix

Regulatory Compliance Branch

INTERNAL USE ONLY

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Version 2.0, June 2025

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Overview

This document provides an overview of what makes up a Compliance Prioritisation Matrix within the Regulatory Compliance Branch (RCB) for initial triage of import, export, supply, manufacture and advertising tipoffs received by the Triage, Learning and Procurement (TLP) Section to ensure they are forwarded to the appropriate section for actioning.

Background

- RCB, part of the Health Products Regulation Group (HPRG) takes allegations of non-compliance seriously - all matters are reviewed in accordance with the Compliance Prioritisation Matrix.
- Information may come to TLP from various sources including but not limited to the Australia Border Force, State and Territory Bodies, Australian Health Practitioner Regulation Agency, Health Professionals, Law Enforcement, members of the public, the Minister's Office, media, external Agencies, and other areas of the Department.
- An internal TLP priority matrix will be used to determine the order of triage for tipoffs based on factors such as source of report and age of tipoff.
- A CRM case is created when a tipoff is received by TLP. The tipoff is then assessed for potential non-compliance.
- Tipoffs relating to import investigations will be assessed by the Intel and Disruption Section due to the complexity then forwarded to TLP for case creation.
- The Compliance Prioritisation Matrix evaluates and ranks cases based on potential consumer impact, organisational posture, reputational considerations and our own compliance management framework. This approach is consistent with other regulators and Law enforcement.
- The term 'risk' refers primarily to the potential severity of consequences, rather than a full risk assessment incorporating likelihood. This approach supports early triage or prioritisation where potential harm alone justifies further action.
- The Compliance Prioritisation Matrix supports responsiveness to time sensitive matters including consumer safety, ensuring effective initial management of identified risks and appropriate allocation of cases to the appropriate sections.

How to use the Matrix

- A compliance case will be given a priority score and rating based on the Compliance Prioritisation Matrix, with consideration to the information available at the time, including information provided through tipoffs and following an initial assessment.
- The priority score and rating will be revised when any aspect of the case changes significantly. For example, a subsequent complaint is received about the same entity.
- The Compliance Prioritisation Matrix below supports TLP triage officers to consider various aspects of a case and apply judgement and sound decision-making based on the available information.
- When a tipoff is received, TLP triage officers will assess the available information, including searching available records on Online/CRM/TRIM/Shared Mailboxes to determine an appropriate rating, assisting the triage officer to determine the appropriate priority score.
- If a tipoff falls into multiple categories on the same column the highest score will be taken.

paragraph 37(2)(b)

Version History

Version	Description of changes	Author	Effective date
V1.0 D25-116434	Original publication	CAMS	18/04/2024
V2.0 D25-2596883	Updated Matrix	Triage Learning and Procurement	01/07/2025



July 2024

Compliance Case Prioritisation

Regulatory Compliance Branch

Overview

This document provides an overview of what makes up a case priority score and risk within the Regulatory Compliance Branch (RCB) for prioritisation by the Investigation sections – Product Investigations Section (PIS) and Compounding Investigations Section (CIS).

Background

1. RCB, part of the Health Products Regulation Group (HPRG) takes allegations of non-compliance seriously - all matters are initially reviewed and triaged in accordance with the Compliance and Monitoring Assessment Sections (CAMS) Priority Assessment Model.
2. Compliance cases are given a priority score and rating based on the Priority Assessment Model, with consideration to the information available at the time, including information provided through referrals/tip-offs and initial assessment.
3. Cases are then entered into AC or RC and allocated to one of the Compliance sections.
4. When a new case has been allocated to PIS or CIS Assistant Directors in consultation with the Director will assess the available information, to determine an appropriate rating, assisting the case officer to determine the appropriate priority for the case as detailed in the tables below.
5. The priority scoring table and matrix below supports PI and CIS to consider various aspects of a case and apply judgement and sound decision-making based on the available information.
6. The maximum priority score a compliance case can be given is 100.
7. **Case priority scoring can be altered during the life cycle of the case dependent on new information, media or ministerial interest in accordance with the matrix**

paragraph 37(2)(b)

Document 4

Digital Platforms Prioritisation Matrix

This tool supports a consistent and efficient approach to prioritising digital platform and online-based offences, based on the information available when cases are received. Using structured criteria, it enables a rapid, high-level assessment to guide which cases may need earlier review or closer examination. Some matters are automatically flagged as high priority, while others are scored cumulatively, helping us decide how to allocate attention in a timely and proportionate way.

paragraph 37(2)(b)

Version	Description of changes	Author	Effective date
V1.0 - D25-3132758	Original publication	Intelligence & Disruptions	18/07/2025