Records Disposal Authority
Australian Customs Service

Job no 2001/630
20 December, 2001
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INTRODUCTION

The appraisal process
The appraisal of current Commonwealth records is based on the methodology for Designing and Implementing Recordkeeping Systems (DIRKS) outlined in the Australian Standard AS4390-1996, Records Management, Part 1: General, Clause 1.3, and expanded in the DIRKS Manual. It is an analytical process that involves identifying which records should be created, assessing the value of records for future use, identifying those records with enduring value and deciding how soon the remainder can be destroyed or otherwise disposed of.

The process can involve making decisions about the alteration of records. It also involves authorising the action arising from the assessment and putting the action into effect by sentencing. The appraisal process provides a framework of accountability for recordkeeping.

Disposal authorisation
Section 24 of the Archives Act 1983 provides that records are not to be disposed of without the consent of the Archives unless the action of disposal is positively required by law, or takes place in accordance with a normal administrative practice of which the Archives does not disapprove. Advice on the provisions of the Archives Act can be obtained from any National Archives office.

Purpose of this authority
This authority authorises the destruction or other disposal of Commonwealth records as required by the Archives Act. It may also contain descriptions of records to be retained as national archives.

This authority has been prepared as an integral part of the recordkeeping program of the agency taking into consideration the requirements for creation, capture, maintenance and disposal of the agency’s records. These requirements are based on business needs, broader organisational accountability and community expectations. The authority also takes into consideration the interests of all stakeholders including the agency and their administrative requirements in discharging their functional responsibilities, and the criteria for national archives described in the National Archives’ publication Why Records are Kept, Directions in Appraisal.

This authority should be used in conjunction with the Administrative Functions Disposal Authority issued by the National Archives to cover housekeeping and other administrative records common to most Commonwealth agencies.

Using this authority
This authority covers records controlled by the agency and applies only to the records or classes of records described in the authority.

This authority is to be used to sentence records. Sentencing involves the examination of records in order to identify the individual disposal class to which they belong. This process enables the sentencing officer to determine the appropriate disposal action for the records. Advice on sentencing can be obtained from your nearest National Archives office.

Where the method of recording the information changes (e.g. from a manual card system to an electronic system, or when information is migrated from one system to a new system), this authority can still be used to sentence the records created, providing the records document the same function and activity. The information must be accessible for the period of time prescribed in the authority. Agencies will need to ensure that any software, hardware or documentation required to enable continuing access to the data is available for the periods prescribed.
There are minimum retention periods set down in this authority. The agency may extend the retention period if it considers that there is an administrative need to do so. Where an agency identifies a substantially longer administrative requirement for keeping the records, they should reassess the documentation supporting the original retention decision and contact the National Archives to discuss the need for change.

Appropriate arrangements should be made with the National Archives of Australia when records are to be transferred into custody. The National Archives only accepts for transfer those records designated as national archives. Records deposited as national archives may not be withdrawn through the lending service if they are over 30 years old, but they can be accessed through National Archives' reading rooms.

Records already sentenced as 'retain permanently' using previous Records Disposal Authorities (RDAs) and which fall within the date range of the function/s scoped in this authority should now be re-sentenced.

From time to time the National Archives places 'freezes' on the disposal of some groups of records, which places a moratorium on the destruction of these records. If you require further information about disposal freezes and whether they affect this Records Disposal Authority, please contact the National Archives at recordkeeping@naa.gov.au

Layout of the authority
This authority is divided into a number of sections, with one function per section. Within each section are references to the activities performed in relation to the function. The function and activity relationships form the disposal set or 'disposal classes' which are described in full, and the retention period is linked to the 'disposal class'. The descriptions of the function and activity are part of the disposal class. Each class has a reference number that may or may not be sequential.

Amendment of this authority
All amendments or variations to the classes in this authority must be approved by the National Archives of Australia. Officers using this authority should discuss any problems in application with the agency Records Manager.

In the event of any changes to the agency functional analysis and classification scheme underlying this authority, such as:

- a change to the functions/activities carried out by the agency through administrative change;
- a procedural change;
- a change in recordkeeping requirements; or
- a change in the stakeholders,

the Records Manager for the agency should discuss appropriate action with staff at the National Archives, Canberra Office.

CONTACT INFORMATION

1. For changes to this RDA contact the Canberra Office of the National Archives of Australia:
   Queen Victoria Terrace
   Parkes ACT 2600
   PO Box 7425
   Canberra Mall Centre
   ACT 2610
   Tel: (02) 6212 3610
   Email: recordkeeping@naa.gov.au
   Website: www.naa.gov.au

2. For sentencing advice contact your local office of the National Archives. The address and phone number of your local office can be found at the National Archives web-site address above.
RDA Job No 2001/630

AUTHORISATION
RECORDS DISPOSAL AUTHORITY [DRAFT]

Person to whom notice of authorisation is given:
Chief Executive Officer
Australian Customs Service
Customs House
5 Constitution Ave
Canberra, ACT 2600

Purpose:
AUTHORISES ARRANGEMENTS FOR THE DISPOSAL OF RECORDS IN ACCORDANCE WITH SECTION 24(2)(b) OF THE ARCHIVES ACT 1983

Application:
Records of the Australian Customs Service

This authorisation applies to only the disposal of the records described on the authority in accordance with the disposal action specified on the authority. The authority will apply only if disposal takes place with the consent of the agency that is responsible at the time of disposal for the functions documented in the records concerned.

Authorising Officer, National Archives of Australia

Date of Issue 20 December, 2001

Venetia Beale
Director, Recordkeeping Implementation

Date of Amendment

Expiry Date

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Notice of Revoked Classes
The following authorities have been revoked. Authorities that have been revoked must not be applied to any records.

This authority supercedes the following Records Disposal Authorities:

- CA4416
- CA0785/1/1
- A0425/DA1
- A0425/DA2
- S434
- S450
- S489
- S542
- RDA 587
- RDA 1045
- RDA 1198
CIVIL MARITIME SURVEILLANCE AND RESPONSE

The function of patrolling coastal and offshore areas for the purpose of detecting illegal activity and coordinating interception. Includes the making of agreements and ongoing liaison with other agencies; coordination, conduct and review of air and sea surveillance and interception operations; referral of information from the community at large about suspect illegal activity; the use and control of defensive armaments or weapons; and provision of education and training.

For public complaints and comments, use COMMUNITY RELATIONS - Public Reaction.

For the leasing of berths and wharves, use PROPERTY MANAGEMENT - Leasing.

For the leasing of vessels and aircraft, use FLEET MANAGEMENT - Leasing.

**Agreements**
The processes associated with the establishment, maintenance, review and negotiation of agreements.

For whole of government agreements use GOVERNMENT RELATIONS - Agreements.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
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</thead>
<tbody>
<tr>
<td>2646</td>
<td>Records documenting the negotiation, establishment, issue, maintenance and review of agreements. Includes: Memorandums of Understanding (MOUs), Service Level Agreements, National Protocols. (Date Range: 1988 - )</td>
<td>Destroy 7 years after expiry of the agreement</td>
</tr>
</tbody>
</table>
CIVIL MARITIME SURVEILLANCE AND RESPONSE

The function of patrolling coastal and offshore areas for the purpose of detecting illegal activity and coordinating interception. Includes the making of agreements and ongoing liaison with other agencies; coordination, conduct and review of air and sea surveillance and interception operations; referral of information from the community at large about suspect illegal activity; the use and control of defensive armaments or weapons; and provision of education and training.

For public complaints and comments, use COMMUNITY RELATIONS - Public Reaction.

For the leasing of berths and wharves, use PROPERTY MANAGEMENT - Leasing.

For the leasing of vessels and aircraft, use FLEET MANAGEMENT - Leasing.

Air and Sea Operations

The activity involved in the coordination, conduct and review of air and sea surveillance and interception operations. Includes the application of regulatory power involving detection and control of the illegal export or import of goods, and other breaches of the law. Also includes coordination and facilitation of participation by other agencies, and involvement in search and rescue operations.

For committees involving other agency requirements use CIVIL MARITIME SURVEILLANCE AND RESPONSE - Committees.

For the planning of resources use CIVIL MARITIME SURVEILLANCE AND RESPONSE - Planning.

For the development of the National Surveillance Program use CIVIL MARITIME SURVEILLANCE AND RESPONSE - Committees.

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<thead>
<tr>
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</table>
| 2647  | Specific incident reports and other records of operations where major enforcement or search and rescue activities occur involving any of the following:  
- the death or serious injury of persons  
- the apprehension or attempted apprehension of persons carrying out large scale illegal importations  
- the apprehension or attempted apprehension of persons undertaking illegal activities that have the potential to cause considerable harm or damage to persons or the environment.  
(Date Range: 1988 - ) | Retain as national archives. |
| 2648  | Specific incident reports on operations and other records of operations where no significant action is taken.  
(Date Range: 1988 - ) | Destroy 10 years after action completed |
| 2649  | Records documenting the coordination and facilitation of responses to breaches or possible breaches of the law including deployment of vessels and personnel, liaison with client and partner agencies.  
(Date Range: 1988 - ) | Destroy 3 years after action completed |
CIVIL MARITIME SURVEILLANCE AND RESPONSE

The function of patrolling coastal and offshore areas for the purpose of detecting illegal activity and coordinating interception. Includes the making of agreements and ongoing liaison with other agencies; coordination, conduct and review of air and sea surveillance and interception operations; referral of information from the community at large about suspect illegal activity; the use and control of defensive armaments or weapons; and provision of education and training.

For public complaints and comments, use COMMUNITY RELATIONS - Public Reaction.

For the leasing of berths and wharves, use PROPERTY MANAGEMENT - Leasing.

For the leasing of vessels and aircraft, use FLEET MANAGEMENT - Leasing.

Air and Sea Operations - Continued

The activity involved in the coordination, conduct and review of air and sea surveillance and interception operations. Includes the application of regulatory power involving detection and control of the illegal export or import of goods, and other breaches of the law. Also includes coordination and facilitation of participation by other agencies, and involvement in search and rescue operations.

For committees involving other agency requirements use CIVIL MARITIME SURVEILLANCE AND RESPONSE - Committees.

For the planning of resources use CIVIL MARITIME SURVEILLANCE AND RESPONSE - Planning.

For the development of the National Surveillance Program use CIVIL MARITIME SURVEILLANCE AND RESPONSE - Committees.

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<tbody>
<tr>
<td>2650</td>
<td>Records documenting the reporting of surveillance. Includes:</td>
<td>Destroy 3 years after action completed</td>
</tr>
<tr>
<td></td>
<td>-surveillance checklists</td>
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<tr>
<td></td>
<td>-post flight and inflight reports</td>
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<tr>
<td></td>
<td>-terra vision database print-outs</td>
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<tr>
<td></td>
<td>-daily activity summaries</td>
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<tr>
<td></td>
<td>-post flight client surveys</td>
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<td></td>
<td>-biannual client surveys photographs</td>
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<tr>
<td></td>
<td>-video recordings</td>
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<tr>
<td></td>
<td>-preparation of specific reports for particular agencies</td>
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</tr>
<tr>
<td></td>
<td>-de-briefing of crews</td>
<td></td>
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<tr>
<td></td>
<td>(Date Range: 1988 - )</td>
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</tr>
<tr>
<td>2651</td>
<td>Vessel log books, used to record: crew, speed, course, arrival and departure at ports, sightings of vessels, operational reports, audit of maintenance and safety requirements.</td>
<td>Destroy 20 years after last entry</td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1988 - )</td>
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</tbody>
</table>
CIVIL MARITIME SURVEILLANCE AND RESPONSE

The function of patrolling coastal and offshore areas for the purpose of detecting illegal activity and coordinating interception. Includes the making of agreements and ongoing liaison with other agencies; coordination, conduct and review of air and sea surveillance and interception operations; referral of information from the community at large about suspect illegal activity; the use and control of defensive armaments or weapons; and provision of education and training.

For public complaints and comments, use COMMUNITY RELATIONS - Public Reaction.

For the leasing of berths and wharves, use PROPERTY MANAGEMENT - Leasing.

For the leasing of vessels and aircraft, use FLEET MANAGEMENT- Leasing.

Authorisation

The process of delegating power to authorise an action and the seeking and granting permission to undertake a requested action.

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<tr>
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</table>
| 2652    | Records documenting the delegation of powers to Customs for authorising action relating to the civil maritime surveillance function. Includes:  
- vessels to be detained under Migration Act 1958  
- approval for Customs to import and hold prohibited weapons  
- officers be authorised to carry firearms  
- directions of CEO that officers move or destroy ships  
- seeking and granting of permission from other agencies to carry out certain actions.  
(Date Range: 1988 - )  | Destroy 7 years after authorisation is superseded, cancelled or is no longer applicable. |
| 2653    | Records documenting the delegations and authorisations from other agencies for Customs Officers to act or be appointed under their legislation to conduct business on their behalf. Includes:  
- Great Barrier Reef Marine Park Authority Act  
- Immigration Act  
- Defence Act  
- Fisheries Management Act  
- Quarantine Act  
- Wildlife Protection Act.  
(Date Range: 1988 - )  | Destroy 5 years after appointment is cancelled or is no longer applicable. |
CIVIL MARITIME SURVEILLANCE AND RESPONSE

The function of patrolling coastal and offshore areas for the purpose of detecting illegal activity and coordinating interception. Includes the making of agreements and ongoing liaison with other agencies; coordination, conduct and review of air and sea surveillance and interception operations; referral of information from the community at large about suspect illegal activity; the use and control of defensive armaments or weapons; and provision of education and training.

For public complaints and comments, use COMMUNITY RELATIONS - Public Reaction.

For the leasing of berths and wharves, use PROPERTY MANAGEMENT - Leasing.

For the leasing of vessels and aircraft, use FLEET MANAGEMENT - Leasing.

Committees

The activities associated with the management of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas etc.

For planning of resources, use CIVIL MARITIME SURVEILLANCE AND RESPONSE - Planning.

For planning of operations and flying programs, use CIVIL MARITIME SURVEILLANCE AND RESPONSE - Air and Sea Operations.

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<tbody>
<tr>
<td>2655</td>
<td>Records of committees including:</td>
<td>Retain as national archives.</td>
</tr>
<tr>
<td></td>
<td>• final version of minutes</td>
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<td></td>
<td>• tabling of plans</td>
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<td></td>
<td>• programs reports</td>
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<td></td>
<td>• reports of inter-agency committees that allow key client agencies to have direct input into the review and development process for the national surveillance program.</td>
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<tr>
<td></td>
<td>Committees include:</td>
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<tr>
<td></td>
<td>• Operations Programs Advisory Committee (OPAC)</td>
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<td></td>
<td>• Planning Advisory Sub-Committee (PASC)</td>
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<tr>
<td></td>
<td>• Regional Operations Programs Advisory Committee (ROPAC)</td>
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<td></td>
<td>(Date Range: 1988 - )</td>
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<tr>
<td>2656</td>
<td>Working papers documenting the conduct and administration of interagency committees which consider matters relating to the national surveillance program.</td>
<td>Destroy 5 years after action completed</td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1988 - )</td>
<td></td>
</tr>
</tbody>
</table>
CIVIL MARITIME SURVEILLANCE AND RESPONSE

The function of patrolling coastal and offshore areas for the purpose of detecting illegal activity and coordinating interception. Includes the making of agreements and ongoing liaison with other agencies; coordination, conduct and review of air and sea surveillance and interception operations; referral of information from the community at large about suspect illegal activity; the use and control of defensive armaments or weapons; and provision of education and training.

For public complaints and comments, use COMMUNITY RELATIONS - Public Reaction.

For the leasing of berths and wharves, use PROPERTY MANAGEMENT - Leasing.

For the leasing of vessels and aircraft, use FLEET MANAGEMENT - Leasing.

Community Referral
The activity associated with receiving information or reports about suspicious or unusual incidents from individuals and community organisations.

For information received from industry, use TRADE FACILITATION AND COMPLIANCE - Industry Referral.

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<tbody>
<tr>
<td>2657</td>
<td>Records documenting reports from members of the community about unusual, suspicious, or unlawful land, sea or air activities that are registered and referred to the appropriate business unit or body for action, if required. (Date Range: 1988 - )</td>
<td>Destroy 3 years after reported activity entered</td>
</tr>
</tbody>
</table>

Contracting-out
The activities involved in managing the performance of work or the provision of goods and services by an external contractor, vendor or consultant, or by using external bureau services. Includes outsourcing.

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<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>2658</td>
<td>Records documenting contract management in relation to the civil maritime surveillance and response function. Includes: •measuring and monitoring of delivery performance •daily base status reports •monthly measurement reports •crew performance evaluations •meetings with contractors. (Date Range: 1988 - )</td>
<td>Destroy 7 years after completion or other termination of contract</td>
</tr>
</tbody>
</table>
CIVIL MARITIME SURVEILLANCE AND RESPONSE

The function of patrolling coastal and offshore areas for the purpose of detecting illegal activity and coordinating interception. Includes the making of agreements and ongoing liaison with other agencies; coordination, conduct and review of air and sea surveillance and interception operations; referral of information from the community at large about suspect illegal activity; the use and control of defensive armaments or weapons; and provision of education and training.

For public complaints and comments, use COMMUNITY RELATIONS - Public Reaction.

For the leasing of berths and wharves, use PROPERTY MANAGEMENT - Leasing.

For the leasing of vessels and aircraft, use FLEET MANAGEMENT- Leasing.

Defensive Armament

The process involved in the acquisition, maintenance, storage, issue, control and disposal of weapons, ammunition and associated equipment.

<table>
<thead>
<tr>
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</tr>
</thead>
<tbody>
<tr>
<td>2659</td>
<td>Records documenting the acquisition of firearms, ammunition and personal defence equipment. (Date Range: 1988 - )</td>
<td>Destroy 7 years after disposal of equipment</td>
</tr>
<tr>
<td>2660</td>
<td>Records documenting the disposal, maintenance and repair of firearms, ammunition and personal defence equipment. (Date Range: 1988 - )</td>
<td>Destroy 7 years after disposal of equipment</td>
</tr>
<tr>
<td>2661</td>
<td>Records documenting the issue and return of firearms, ammunition and personal defence equipment from secure storage areas. (Date Range: 1988 - )</td>
<td>Destroy 2 years after action completed</td>
</tr>
</tbody>
</table>
CIVIL MARITIME SURVEILLANCE AND RESPONSE

The function of patrolling coastal and offshore areas for the purpose of detecting illegal activity and coordinating interception. Includes the making of agreements and ongoing liaison with other agencies; coordination, conduct and review of air and sea surveillance and interception operations; referral of information from the community at large about suspect illegal activity; the use and control of defensive armaments or weapons; and provision of education and training.

For public complaints and comments, use COMMUNITY RELATIONS - Public Reaction.

For the leasing of berths and wharves, use PROPERTY MANAGEMENT - Leasing.

For the leasing of vessels and aircraft, use FLEET MANAGEMENT - Leasing.

**Education and Training**

The activity associated with the external delivery of education and training programs to industry and government.

For corporate training of agency personnel, use STAFF DEVELOPMENT - Training.

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<tbody>
<tr>
<td>2662</td>
<td>Master set of training material for the civil maritime surveillance and response courses run by Customs for non-agency staff. Includes: programs, lecture notes, hand-outs, films and videos. (Date Range: 1988 - )</td>
<td>Destroy when course is superseded or when training material is no longer relevant</td>
</tr>
<tr>
<td>2663</td>
<td>Working papers documenting the development of training material for civil maritime surveillance and response courses. (Date Range: 1988 - )</td>
<td>Destroy 1 year after training material is produced</td>
</tr>
<tr>
<td>2664</td>
<td>Records detailing administrative arrangements supporting the conduct of training courses run by Customs for non-agency staff. (Date Range: 1988 - )</td>
<td>Destroy 3 years after action completed</td>
</tr>
<tr>
<td>2665</td>
<td>Notification of examination results and awarding of certificates. (Date Range: 1988 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
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CIVIL MARITIME SURVEILLANCE AND RESPONSE

The function of patrolling coastal and offshore areas for the purpose of detecting illegal activity and coordinating interception. Includes the making of agreements and ongoing liaison with other agencies; coordination, conduct and review of air and sea surveillance and interception operations; referral of information from the community at large about suspect illegal activity; the use and control of defensive armaments or weapons; and provision of education and training.

For public complaints and comments, use COMMUNITY RELATIONS - Public Reaction.

For the leasing of berths and wharves, use PROPERTY MANAGEMENT - Leasing.

For the leasing of vessels and aircraft, use FLEET MANAGEMENT - Leasing.

Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

For planning of operations and flying programs, use CIVIL MARITIME SURVEILLANCE AND RESPONSE - Air and Sea Operations.

For the development of the National Surveillance Program, use CIVIL MARITIME SURVEILLANCE AND RESPONSE - Committees.

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<tbody>
<tr>
<td>2666</td>
<td>Final version of plans for resource requirements, includes: allocation and distribution of vessels, aircraft and crew. (Date Range: 1988 - )</td>
<td>Destroy 5 years after plan is superseded</td>
</tr>
<tr>
<td>2667</td>
<td>Working papers used in developing resource requirement plans for the civil maritime surveillance and response function. Includes draft plans, reports analysing issues, and comments received from other areas of the Agency and the contractor. (Date Range: 1988 - )</td>
<td>Destroy 5 years after adoption of the final plan</td>
</tr>
</tbody>
</table>
CIVIL MARITIME SURVEILLANCE AND RESPONSE

The function of patrolling coastal and offshore areas for the purpose of detecting illegal activity and coordinating interception. Includes the making of agreements and ongoing liaison with other agencies; coordination, conduct and review of air and sea surveillance and interception operations; referral of information from the community at large about suspect illegal activity; the use and control of defensive armaments or weapons; and provision of education and training.

For public complaints and comments, use COMMUNITY RELATIONS - Public Reaction.

For the leasing of berths and wharves, use PROPERTY MANAGEMENT - Leasing.

For the leasing of vessels and aircraft, use FLEET MANAGEMENT - Leasing.

Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

<table>
<thead>
<tr>
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<tbody>
<tr>
<td>2688</td>
<td>Records documenting the development and establishment of civil maritime surveillance and response policies. Includes: final policy documents, major drafts, supporting reports, policy proposals. (Date Range: 1988 - )</td>
<td>Retain as national archives.</td>
</tr>
<tr>
<td>2669</td>
<td>Working papers documenting the development of all civil maritime surveillance and response policies. (Date Range: 1988 - )</td>
<td>Destroy 3 years after new policy is promulgated</td>
</tr>
</tbody>
</table>

Procedures

Standard methods of operating laid down by an organisation according to formulated policy

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<tr>
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<tbody>
<tr>
<td>2670</td>
<td>Master set of procedures supporting the civil maritime surveillance and response function. (Date Range: 1988 - )</td>
<td>Retain as national archives</td>
</tr>
<tr>
<td>2671</td>
<td>Records documenting the development of agency procedures supporting the civil maritime surveillance and response function. (Date Range: 1988 - )</td>
<td>Destroy 1 year after production of procedures</td>
</tr>
</tbody>
</table>
CIVIL MARITIME SURVEILLANCE AND RESPONSE

The function of patrolling coastal and offshore areas for the purpose of detecting illegal activity and coordinating interception. Includes the making of agreements and ongoing liaison with other agencies; coordination, conduct and review of air and sea surveillance and interception operations; referral of information from the community at large about suspect illegal activity; the use and control of defensive armaments or weapons; and provision of education and training.

For public complaints and comments, use COMMUNITY RELATIONS - Public Reaction.

For the leasing of berths and wharves, use PROPERTY MANAGEMENT - Leasing.

For the leasing of vessels and aircraft, use FLEET MANAGEMENT - Leasing.

Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

For reports on surveillance, use CIVIL MARITIME SURVEILLANCE AND RESPONSE - Air and Sea Operations.

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</thead>
<tbody>
<tr>
<td>2672</td>
<td>Final version of internal formal reports and reports made to external agencies relating to the civil maritime surveillance and response function. (Date Range: 1988 - )</td>
<td>Destroy 5 years after action completed</td>
</tr>
<tr>
<td>2673</td>
<td>Working papers documenting the development of all reports. Includes drafts and comments received. (Date Range: 1988 - )</td>
<td>Destroy 1 year after action completed</td>
</tr>
</tbody>
</table>

Risk Management

The process involving the identification of risks, the likelihood and consequences of those risks, and the implementation of appropriate practice and procedures to treat the risks.

<table>
<thead>
<tr>
<th>Entry</th>
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</tr>
</thead>
<tbody>
<tr>
<td>2674</td>
<td>Records documenting risk management relating to the civil maritime surveillance and response function. Includes records covering each stage of the process, treatment schedules, risk register and action plans. (Date Range: 1988 - )</td>
<td>Destroy 7 years after next risk assessment is completed</td>
</tr>
</tbody>
</table>
CIVIL MARITIME SURVEILLANCE AND RESPONSE

The function of patrolling coastal and offshore areas for the purpose of detecting illegal activity and coordinating interception. Includes the making of agreements and ongoing liaison with other agencies; coordination, conduct and review of air and sea surveillance and interception operations; referral of information from the community at large about suspect illegal activity; the use and control of defensive armaments or weapons; and provision of education and training.

For public complaints and comments, use COMMUNITY RELATIONS - Public Reaction.

For the leasing of berths and wharves, use PROPERTY MANAGEMENT - Leasing.

For the leasing of vessels and aircraft, use FLEET MANAGEMENT - Leasing.

Tendering

The activities involved in receiving and assessing tenders, of making offers and finalising by contract arrangements for the supply, sale or purchase of goods and services.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
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</tr>
</thead>
<tbody>
<tr>
<td>2675</td>
<td>Records documenting the development and issue of tender documentation. Includes Statement of Requirements, Request for Proposals, Expression of Interest, Request for Tender (RFT) and draft contract. (Date Range: 1988 - )</td>
<td>Destroy 7 years after tender process completed</td>
</tr>
<tr>
<td>2676</td>
<td>Evaluation of tenders received against selection criteria. Includes records documenting arrangements for carrying out the evaluation process, evaluation report, recommendations, final report and public notices, post-offer negotiations and due diligence checks. (Date Range: 1988 - )</td>
<td>Destroy 7 years after tender process completed</td>
</tr>
<tr>
<td>2677</td>
<td>Records of unsuccessful tenders or a tender process where there is no suitable bidder, or where the tender process has been discontinued. Includes submissions, notification of outcome and reports on debriefing sessions. (Date Range: 1988 - )</td>
<td>Destroy 2 years after tender process completed or decision made not to continue with tender</td>
</tr>
<tr>
<td>2678</td>
<td>Tender register. (Date Range: 1988 - )</td>
<td>Destroy 7 years after last entry</td>
</tr>
<tr>
<td>2679</td>
<td>Signed contracts under seal resulting from tenders and supporting records: Western Australia. (Date Range: 1988 - )</td>
<td>Destroy 20 years after completion or other termination of contract</td>
</tr>
<tr>
<td>2680</td>
<td>Signed contracts under seal resulting from tenders and supporting records: Victoria and South Australia. (Date Range: 1988 - )</td>
<td>Destroy 15 years after completion or other termination of contract</td>
</tr>
</tbody>
</table>
CIVIL MARITIME SURVEILLANCE AND RESPONSE

The function of patrolling coastal and offshore areas for the purpose of detecting illegal activity and coordinating interception. Includes the making of agreements and ongoing liaison with other agencies; coordination, conduct and review of air and sea surveillance and interception operations; referral of information from the community at large about suspect illegal activity; the use and control of defensive armaments or weapons; and provision of education and training.

For public complaints and comments, use COMMUNITY RELATIONS - Public Reaction.

For the leasing of berths and wharves, use PROPERTY MANAGEMENT - Leasing.

For the leasing of vessels and aircraft, use FLEET MANAGEMENT - Leasing.

Tendering - Continued

The activities involved in receiving and assessing tenders, of making offers and finalising by contract arrangements for the supply, sale or purchase of goods and services.

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<tr>
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</thead>
<tbody>
<tr>
<td>2681</td>
<td>Signed contracts under seal resulting from tenders and supporting records: New South Wales, Queensland, Tasmania, Australian Capital Territory, Northern Territory. (Date Range: 1988 - )</td>
<td>Destroy 12 years after completion or other termination of contract</td>
</tr>
<tr>
<td>2682</td>
<td>Signed simple contracts and agreements resulting from tenders and supporting records. (Date Range: 1988 - )</td>
<td>Destroy 7 years after completion or other termination of agreement</td>
</tr>
<tr>
<td>2683</td>
<td>Contract register. (Date Range: 1988 - )</td>
<td>Destroy 7 years after last entry</td>
</tr>
</tbody>
</table>
**DETECTOR DOGS**

The function of acquiring and breeding dogs for the detection of drugs and other prohibited or restricted imports carried or concealed on persons, and in baggage, parcels, cargo containers, vessels, aircraft and premises. Includes the conduct and support of breeding programs; the sale, donation or giving away of dogs to other agencies and organisations, or individuals; the deployment of dogs and handlers to assist in search operations conducted by Customs and other agencies; the training of dogs and handlers; the kennelling of dogs, including general care and upkeep; the selection of dogs to be trained and used for detection purposes.

**Agreements**

The processes associated with the establishment, maintenance, review and negotiation of agreements.

*For whole of government agreements use GOVERNMENT RELATIONS – Agreements.*

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</thead>
<tbody>
<tr>
<td>2684</td>
<td>Records documenting the issue, maintenance and review of agreements and Memorandums of Understanding (MOUs), covering the loan of dogs and handlers to law enforcement and other agencies, provision of dogs and breeding methodology to Customs administrations and other organisations, and the placement of pups in foster care. (Date Range: 1969 - )</td>
<td>Destroy 5 years after agreement expires or is superseded</td>
</tr>
</tbody>
</table>

**Breeding**

The activity involved in providing for the selective breeding of dogs. Includes the collection and analysis of genetic data.

<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>2685</td>
<td>Records documenting the pedigree of dogs, including details of parentage and descent, date of birth and death etc. Includes the collection and analysis of genetic information with correlations between genotype and phenotypes and development of breeding methodology. (Date Range: 1969 - )</td>
<td>Destroy 50 years after date of birth</td>
</tr>
</tbody>
</table>
DETECTOR DOGS

The function of acquiring and breeding dogs for the detection of drugs and other prohibited or restricted imports carried or concealed on persons, and in baggage, parcels, cargo containers, vessels, aircraft and premises. Includes the conduct and support of breeding programs; the sale, donation or giving away of dogs to other agencies and organisations, or individuals; the deployment of dogs and handlers to assist in search operations conducted by Customs and other agencies; the training of dogs and handlers; the kennelling of dogs, including general care and upkeep; the selection of dogs to be trained and used for detection purposes.

Canine Separations

The activity involved in providing for the sale, donation, retirement or other separation of dogs from service with the agency.

For fostering of puppies, use DETECTOR DOGS – Kennelling.

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<tbody>
<tr>
<td>2686</td>
<td>Records documenting the departure of dogs from Customs. Includes the recommendation and arrangements for all forms of departure including sale, donation or giving away of dogs, handing-over of dogs and associated documentation to new owners and arrangements for transport or pick-up. (Date Range: 1969 - )</td>
<td>Destroy 3 years after action completed</td>
</tr>
</tbody>
</table>

Deployment

The processes associated with approving and making arrangements for the use of detector dogs in the search of persons and of baggage, parcels, cargo containers, vessels, aircraft and premises. Also includes arrangements for the deployment of dogs and their handlers to assist other agencies carrying out searches.

For detection by dogs in an investigation search, use INVESTIGATION - Investigations Case.

For detection by dogs in a cargo search, use TRADE FACILITATION AND COMPLIANCE - Cargo Clearance.

For detection by dogs in a passenger search, use TRAVEL FACILITATION AND COMPLIANCE - Passenger and Crew Processing.

For detection by dogs in a search operation, use CIVIL MARITIME SURVEILLANCE AND RESPONSE - Air and Sea Operations.

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<tbody>
<tr>
<td>2687</td>
<td>Records documenting requests for/enquiries about use of dogs and handlers on search and other operations. Includes programming of use of dogs on regular and unplanned search operations and deployment notification. (Date Range: 1969 - )</td>
<td>Destroy 3 years after action completed</td>
</tr>
</tbody>
</table>
**DETECTOR DOGS**

The function of acquiring and breeding dogs for the detection of drugs and other prohibited or restricted imports carried or concealed on persons, and in baggage, parcels, cargo containers, vessels, aircraft and premises. Includes the conduct and support of breeding programs; the sale, donation or giving away of dogs to other agencies and organisations, or individuals; the deployment of dogs and handlers to assist in search operations conducted by Customs and other agencies; the training of dogs and handlers; the kennelling of dogs, including general care and upkeep; the selection of dogs to be trained and used for detection purposes.

**Dog and Handler Training**

The activity involved in the provision of training to dogs and their handlers in the techniques of detection and other skills. Includes control, transfer and stocktake of narcotic substances for training purposes.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
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</thead>
</table>
| 2688  | Records documenting the registration and training of dogs and handlers in the detector dog function. Includes:  
- attendance  
- conduct in training sessions and exercises  
- progress assessments  
- performance evaluations  
- recording of test and examination results  
- quality assurance  
- tasking results  
- recommendations for training requirements for handler/dog  
(Date Range: 1969 - ) | Destroy 3 years after dog separation  
(sale, donation, retirement etc) |
| 2689  | Records documenting the loan and control of seized narcotic substances for dog and handler training purposes. Includes registration of narcotics, receipt and return, and stocktakes.  
(Date Range: 1969 - ) | Destroy 3 years after action completed |
| 2690  | Master set of training material for dog handlers and trainers. Includes:  
- programs  
- lecture notes  
- hand-outs  
- films and videos  
(Date Range: 1969 - ) | Destroy when course is superseded or when training material is no longer relevant |
| 2691  | Working papers documenting the development of training material for detector dog training.  
(Date Range: 1969 - ) | Destroy 1 year after training material is produced |
DETECTOR DOGS

The function of acquiring and breeding dogs for the detection of drugs and other prohibited or restricted imports carried or concealed on persons, and in baggage, parcels, cargo containers, vessels, aircraft and premises. Includes the conduct and support of breeding programs; the sale, donation or giving away of dogs to other agencies and organisations, or individuals; the deployment of dogs and handlers to assist in search operations conducted by Customs and other agencies; the training of dogs and handlers; the kennelling of dogs, including general care and upkeep; the selection of dogs to be trained and used for detection purposes.

Kennelling

The activity associated with the raising and nurture of dogs. Includes the provision of food, shelter, exercise, veterinary care, and monitoring of physical and mental condition. Also includes arrangements for and monitoring of foster care.

For agreements relating to foster care of puppies, use DETECTOR DOGS - Agreements.

<table>
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</thead>
<tbody>
<tr>
<td>2692</td>
<td>Records documenting the management of raising and nurture of dogs on or at Customs locations. Includes the provision of food, shelter, veterinary care, dietary supplements, and monitoring of washing, grooming and cleaning of kennels. (Date Range: 1969 - )</td>
<td>Destroy 3 years after action completed</td>
</tr>
<tr>
<td>2693</td>
<td>Records documenting the management of the placement of pups with foster families for raising and nurturing (Puppy Walking Scheme). Includes arrangements for the provision of food, veterinary care, dietary supplements, and recompense of monies. (Date Range: 1969 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>

Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

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</thead>
<tbody>
<tr>
<td>2694</td>
<td>Final version of plans produced for detector dog function. (Date Range: 1969 - )</td>
<td>Destroy 5 years after plan is superseded</td>
</tr>
<tr>
<td>2695</td>
<td>Working papers used to develop plans for the detector dog function. (Date Range: 1969 - )</td>
<td>Destroy 1 year after adoption of final plan</td>
</tr>
</tbody>
</table>
DETECTOR DOGS

The function of acquiring and breeding dogs for the detection of drugs and other prohibited or restricted imports carried or concealed on persons, and in baggage, parcels, cargo containers, vessels, aircraft and premises. Includes the conduct and support of breeding programs; the sale, donation or giving away of dogs to other agencies and organisations, or individuals; the deployment of dogs and handlers to assist in search operations conducted by Customs and other agencies; the training of dogs and handlers; the kennelling of dogs, including general care and upkeep; the selection of dogs to be trained and used for detection purposes.

Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

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</thead>
<tbody>
<tr>
<td>2696</td>
<td>Records documenting the development of policies supporting the detector dogs function. (Date Range: 1969 - )</td>
<td>Destroy 5 years after policy is superseded</td>
</tr>
<tr>
<td>2697</td>
<td>Working papers documenting the development of policies supporting the detector dog function. (Date Range: 1969 - )</td>
<td>Destroy 5 years after promulgation of the new policy</td>
</tr>
</tbody>
</table>

Procedures

Standard methods of operating laid down by an organisation according to formulated policy.

<table>
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<tr>
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<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2698</td>
<td>Master set of procedures supporting the detector dog function. (Date Range: 1969 - )</td>
<td>Destroy 5 years after procedures are superseded</td>
</tr>
<tr>
<td>2699</td>
<td>Records documenting the development of procedures for the detector dog function. (Date Range: 1969 - )</td>
<td>Destroy 1 year after procedures are superseded</td>
</tr>
</tbody>
</table>
DETECTOR DOGS

The function of acquiring and breeding dogs for the detection of drugs and other prohibited or restricted imports carried or concealed on persons, and in baggage, parcels, cargo containers, vessels, aircraft and premises. Includes the conduct and support of breeding programs; the sale, donation or giving away of dogs to other agencies and organisations, or individuals; the deployment of dogs and handlers to assist in search operations conducted by Customs and other agencies; the training of dogs and handlers; the kennelling of dogs, including general care and upkeep; the selection of dogs to be trained and used for detection purposes.

Reporting
The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

<table>
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<tr>
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</tr>
</thead>
<tbody>
<tr>
<td>2700</td>
<td>Final version of formal reports supporting the detector dogs function. (Date Range: 1969 - )</td>
<td>Destroy 3 years after action completed</td>
</tr>
<tr>
<td>2701</td>
<td>Working papers documenting the development of reports supporting the detector dogs function. (Date Range: 1969 - )</td>
<td>Destroy 1 year after action completed</td>
</tr>
</tbody>
</table>

Selection
The process associated with the choosing of dogs to be trained in techniques of detection and related skills. Includes conduct of behaviour-based selection trials.

<table>
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</thead>
<tbody>
<tr>
<td>2702</td>
<td>Records documenting the results of tests to determine the selection of dogs for the most appropriate training program. (Date Range: 1969 - )</td>
<td>Destroy 3 years after sale, donation, retirement or other separation of dog</td>
</tr>
</tbody>
</table>

Standards
The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the organisation.

<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>2703</td>
<td>Records documenting the implementation of industry and Customs standards to support the detector dog function. Includes those developed to satisfy community expectations, human and dog hygiene, RSPCA animal welfare and kennelling association requirements. (Date Range: 1969 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>
INDUSTRY SCHEMES AND TRADE MEASURES

The function of providing advice and assistance to industry through the delivery of concession schemes (e.g., Policy By-law Scheme, Project By-law Scheme, Tariff Concession System), dumping investigations (including application of anti-dumping and countervailing duties), import tariff quotas, duty drawback schemes, bounty schemes, and other programs and measures. Includes the case management of the provision of particular benefits and entitlements to clients, client training and education, representations from industry representative groups, formal review of decisions, etc.

Addresses (Presentations)
The activity of giving addresses for training, professional, community relations or sales purposes. Includes speeches and multi-media presentations.

<table>
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</tr>
</thead>
<tbody>
<tr>
<td>2704</td>
<td>Final versions of addresses delivered to industry. (Date Range: 1960 - )</td>
<td>Destroy 2 years after last presentation</td>
</tr>
<tr>
<td>2705</td>
<td>Working papers and drafts documenting the development of addresses, including requests to give addresses; distribution of invitations for persons to attend presentations and review of and feedback on presentations. (Date Range: 1960 - )</td>
<td>Destroy when reference ceases</td>
</tr>
</tbody>
</table>

Advice
The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.

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</thead>
<tbody>
<tr>
<td>2706</td>
<td>Records documenting the receipt and provision of advice provided on industry schemes or trade measures. Includes information about entitlements, procedures, requirements, and details of schemes. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
<tr>
<td>2707</td>
<td>Dumping commodities register. Public record documenting commodities subject to dumping or countervailing duties and the provisional measures or price undertakings. (Dumping refers to a form of price differentiation that occurs when an exporter sells a product to Australia at a lower price than that charged in its home market and causes or threatens to cause material injury to Australian industry). (Date Range: 1988 - )</td>
<td>Retain as national archives.</td>
</tr>
<tr>
<td>2708</td>
<td>Confidential instructions publication detailing the level of dumping and countervailing measures imposed on particular commodities. Includes companies information provided to Agency staff to ensure appropriate duties are collected. (Date Range: 1988 - )</td>
<td>Destroy 3 years after version of publication is superseded</td>
</tr>
</tbody>
</table>
INDUSTRY SCHEMES AND TRADE MEASURES

The function of providing advice and assistance to industry through the delivery of concession schemes (eg Policy By-law Scheme, Project By-law Scheme, Tariff Concession System), dumping investigations (including application of anti-dumping and countervailing duties), import tariff quotas, duty drawback schemes, bounty schemes, and other programs and measures. Includes the case management of the provision of particular benefits and entitlements to clients, client training and education, representations from industry representative groups, formal review of decisions, etc.

Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements.

For whole of government agreements use GOVERNMENT RELATIONS - Agreements.

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<tbody>
<tr>
<td>2710</td>
<td>Records documenting the negotiation, establishment and issue of terms of agreements and confidentiality of information submitted during an inquiry. (Date Range: 1988 - )</td>
<td>Destroy 7 years after agreement expires or is superseded</td>
</tr>
</tbody>
</table>

Appeals (decisions)

The activities involved in the process of appeals against decisions by application to a higher authority.

For internal review decisions relating to benefits, use INDUSTRY SCHEMES AND TRADE MEASURES - Reviews (decisions).

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<tbody>
<tr>
<td>2711</td>
<td>Records documenting appeals made to the Administrative Appeals Tribunal (AAT) or the Federal Court against a decision associated with the delivery of programs and measures, where results have a major effect on policy making or have major financial implications. (Date Range: 1960 - )</td>
<td>Retain as national archives.</td>
</tr>
</tbody>
</table>

2712    | Records documenting appeals made to the Administrative Appeals Tribunal (AAT) or the Federal Court against a decision associated with the delivery of programs and measures, where the results have minor or no effect on policies or finances. Includes rejections or withdrawal of appeals (Date Range: 1960 - ) | Destroy 7 years after case is finalised |
INDUSTRY SCHEMES AND TRADE MEASURES

The function of providing advice and assistance to industry through the delivery of concession schemes (e.g., Policy By-law Scheme, Project By-law Scheme, Tariff Concession System), dumping investigations (including application of anti-dumping and countervailing duties), import tariff quotas, duty drawback schemes, bounty schemes, and other programs and measures. Includes the case management of the provision of particular benefits and entitlements to clients, client training and education, representations from industry representative groups, formal review of decisions, etc.

Benefits and Entitlements

The processes associated with the assessment of applications by clients for particular entitlements, benefits or remedies, and the subsequent implementation of those entitlements other than for dumping, countervailing measures and tariff concession orders.

<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>2713</td>
<td>Records documenting applications and processing of benefits and entitlements, through Government support programs, that assist industry. Includes quota allocations, bounty and duty drawback. (Date Range: 1960 - )</td>
<td>Destroy 10 years after termination of benefit</td>
</tr>
</tbody>
</table>

Conferences

The activities involved in arranging or attending conferences held either by the organisation or by other organisations. Includes registrations, publicity, and reports of participants etc.

<table>
<thead>
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<tbody>
<tr>
<td>2714</td>
<td>Records documenting arrangements for agency conferences including program development, arranging speakers, promotion, managing registrations and venue bookings. (Date Range: 1960 - )</td>
<td>Destroy 3 years after action completed</td>
</tr>
<tr>
<td>2715</td>
<td>Copies of unpublished proceedings, reports, speeches and papers from agency conferences and copies of published conference proceedings and official reports received at conferences arranged by other organisations (Date Range: 1960 - )</td>
<td>Destroy when reference ceases</td>
</tr>
<tr>
<td>2716</td>
<td>Records documenting the attendance of staff at conferences arranged by other organisations. Includes the completed conference registration forms, programs, conference promotion material, and participants reports. (Date Range: 1960 - )</td>
<td>Destroy 3 years after action completed</td>
</tr>
</tbody>
</table>
INDUSTRY SCHEMES AND TRADE MEASURES

The function of providing advice and assistance to industry through the delivery of concession schemes (e.g., Policy By-law Scheme, Project By-law Scheme, Tariff Concession System), dumping investigations (including application of anti-dumping and countervailing duties), import tariff quotas, duty drawback schemes, bounty schemes, and other programs and measures. Includes the case management of the provision of particular benefits and entitlements to clients, client training and education, representations from industry representative groups, formal review of decisions, etc.

Dumping and Subsidisation Enquiries
The processes involved in investigating the impact of dumping practices and foreign subsidies, and imposing remedies in the form of dumping duties, countervailing duties, price undertakings, provisional measures etc. Includes applications for, or initiation of investigations; consultation with and gathering information from importers, exporters and foreign governments; call for and receipt of submissions; issue of notices, reports and statements; and making of recommendations to the Minister.

For taking of securities, use REVENUE MANAGEMENT- Client Compliance.

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</thead>
<tbody>
<tr>
<td>2717</td>
<td>Reviews and successful applications for anti-dumping, and/or countervailing measures. Includes recommendations made to the Minister. (Date Range: 1988 - )</td>
<td>Destroy 6 years after measures have been removed (confirm with appropriate section)</td>
</tr>
<tr>
<td>2718</td>
<td>Applications for the continuation of anti-dumping measures. (Date Range: 1988 - )</td>
<td>Destroy 6 years after measures have been removed (confirm with appropriate section)</td>
</tr>
<tr>
<td>2719</td>
<td>Applications for final duty liability assessment. (Date Range: 1988 - )</td>
<td>Destroy 6 years after measures have been removed (confirm with appropriate section)</td>
</tr>
<tr>
<td>2720</td>
<td>Records documenting and notifying the imposition/exemption of interim dumping or countervailing duties (Date Range: 1988 - )</td>
<td>Destroy 6 years after measures have been removed (confirm with appropriate section)</td>
</tr>
<tr>
<td>2721</td>
<td>Unsuccessful or withdrawn applications for anti-dumping, and/or countervailing measures. (Date Range: 1988 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>
INDUSTRY SCHEMES AND TRADE MEASURES

The function of providing advice and assistance to industry through the delivery of concession schemes (e.g., Policy By-law Scheme, Project By-law Scheme, Tariff Concession System), dumping investigations (including application of anti-dumping and countervailing duties), import tariff quotas, duty drawback schemes, bounty schemes, and other programs and measures. Includes the case management of the provision of particular benefits and entitlements to clients, client training and education, representations from industry representative groups, formal review of decisions, etc.

Education and Training
The activity associated with the external delivery of education and training programs to industry and government.

For corporate training of agency personnel, use STAFF DEVELOPMENT - Training.

<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>2722</td>
<td>Maintenance of master set of training material, including programs, lecture notes, hand-outs, films and videos (Date Range: 1960 - )</td>
<td>Destroy when course is superseded or when training material is no longer relevant</td>
</tr>
<tr>
<td>2723</td>
<td>Working papers documenting the development of training material for the industry schemes and trade measures function (Date Range: 1960 - )</td>
<td>Destroy 1 year after training material is produced</td>
</tr>
<tr>
<td>2724</td>
<td>Arrangements for conduct of training sessions, receipt and assessment of application forms, notices to attendees (confirmation of attendance), hire of equipment, booking of venues, catering arrangements. Reports on and evaluations of training sessions; session attendance registers; arrangements for conduct of tests and examinations. (Date Range: 1960 - )</td>
<td>Destroy 3 years after action completed</td>
</tr>
<tr>
<td>2725</td>
<td>Notification of examination results and awarding of certificates. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>

Industry Representations
The activity involved in assessing and responding to representations from industry groups seeking a formal response to queries and concerns raised about Customs policies, procedures, activities, issues etc.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2726</td>
<td>Records documenting the receipt and acknowledgment of submissions or advice received from industry or the public requiring investigation or response in relation to industry schemes or trade measures policies or procedures. (Date Range: 1988 - )</td>
<td>Destroy 3 years after final response</td>
</tr>
</tbody>
</table>
INDUSTRY SCHEMES AND TRADE MEASURES

The function of providing advice and assistance to industry through the delivery of concession schemes (eg Policy By-law Scheme, Project By-law Scheme, Tariff Concession System), dumping investigations (including application of anti-dumping and countervailing duties), import tariff quotas, duty drawback schemes, bounty schemes, and other programs and measures. Includes the case management of the provision of particular benefits and entitlements to clients, client training and education, representations from industry representative groups, formal review of decisions, etc.

Planning
The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

<table>
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<tr>
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<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2727</td>
<td>Final versions of plans formulated to support Industry Schemes or Trade Measures</td>
<td>Destroy 5 years after plan is superseded</td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1960 - )</td>
<td></td>
</tr>
<tr>
<td>2728</td>
<td>Working papers documenting the development of Industry Schemes or Trade Measures plans. Includes input into plans, comments received and drafts.</td>
<td>Destroy 1 year after adoption of final plan</td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1960 - )</td>
<td></td>
</tr>
</tbody>
</table>

Policy
The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2729</td>
<td>Records documenting the development and establishment of Industry Schemes or Trade Measures Implementation policy. Includes:</td>
<td>Retain as national archives</td>
</tr>
<tr>
<td></td>
<td>-final policy documents</td>
<td></td>
</tr>
<tr>
<td></td>
<td>-major drafts</td>
<td></td>
</tr>
<tr>
<td></td>
<td>-supporting reports</td>
<td></td>
</tr>
<tr>
<td></td>
<td>-policy proposals</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1960 - )</td>
<td></td>
</tr>
<tr>
<td>2730</td>
<td>Working papers documenting the development of Industry Schemes or Trade Measures implementation policy.</td>
<td>Destroy 3 years after promulgation of new policy</td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1960 - )</td>
<td></td>
</tr>
</tbody>
</table>
INDUSTRY SCHEMES AND TRADE MEASURES

The function of providing advice and assistance to industry through the delivery of concession schemes (e.g., Policy By-law Scheme, Project By-law Scheme, Tariff Concession System), dumping investigations (including application of anti-dumping and countervailing duties), import tariff quotas, duty drawback schemes, bounty schemes, and other programs and measures. Includes the case management of the provision of particular benefits and entitlements to clients, client training and education, representations from industry representative groups, formal review of decisions, etc.

Procedures
Standard methods of operating laid down by an organisation according to formulated policy.

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<tr>
<th>Entry</th>
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<th>Disposal Action</th>
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</thead>
<tbody>
<tr>
<td>2731</td>
<td>Master set of manuals, handbooks, directives etc detailing procedures supporting the industry schemes and trade measures function. (Date Range: 1960 - )</td>
<td>Retain as national archives</td>
</tr>
<tr>
<td>2732</td>
<td>Records documenting the development of procedures supporting the industry schemes and trade measures function. (Date Range: 1960 - )</td>
<td>Destroy 1 year after production of procedures</td>
</tr>
</tbody>
</table>

Reporting
The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

<table>
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<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2733</td>
<td>Regular formal reports made to departments responsible for development of industry schemes and trade measures function. (Date Range: 1960 - )</td>
<td>Destroy 5 years after action completed</td>
</tr>
</tbody>
</table>
INDUSTRY SCHEMES AND TRADE MEASURES

The function of providing advice and assistance to industry through the delivery of concession schemes (eg Policy By-law Scheme, Project By-law Scheme, Tariff Concession System), dumping investigations (including application of anti-dumping and countervailing duties), import tariff quotas, duty drawback schemes, bounty schemes, and other programs and measures. Includes the case management of the provision of particular benefits and entitlements to clients, client training and education, representations from industry representative groups, formal review of decisions, etc.

Reviews (decisions)
The activities involved in the process of reviewing actions both by an agency, or an external body. Includes reviews of promotion decisions.

For appeals to the Administrative Appeals Tribunal (AAT) or courts relating to decisions about benefits, use INDUSTRY SCHEMES AND TRADE MEASURES - Appeals (decisions).

For reviews of anti-dumping and/or countervailing measures, use INDUSTRY SCHEMES AND TRADE MEASURES - Dumping and Subsidisation Enquiries.

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</thead>
<tbody>
<tr>
<td>2734</td>
<td>Records documenting the internal review of decision on a Tariff Concession Order application or revocation. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>

Risk Management

The process involving the identification of risks, the likelihood and consequences of those risks, and the implementation of appropriate practice and procedures to treat the risks.

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</thead>
<tbody>
<tr>
<td>2735</td>
<td>Records documenting risk management relating to the industry schemes and trade measures function. Includes records covering each stage of the process, treatment schedules and action plans. (Date Range: 1960 - )</td>
<td>Destroy 7 years after next risk assessment is completed</td>
</tr>
</tbody>
</table>
INDUSTRY SCHEMES AND TRADE MEASURES

The function of providing advice and assistance to industry through the delivery of concession schemes (e.g., Policy By-law Scheme, Project By-law Scheme, Tariff Concession System), dumping investigations (including application of anti-dumping and countervailing duties), import tariff quotas, duty drawback schemes, bounty schemes, and other programs and measures. Includes the case management of the provision of particular benefits and entitlements to clients, client training and education, representations from industry representative groups, formal review of decisions, etc.

Tariff Concession Orders

The process involved in the initiation, granting, declaration, and revocation of Tariff Concession Orders (TCOs). Includes the assessment of TCO applications and submissions, notifications, consideration of objections to or requests for revocation of TCO's.

For the formal, internal review of TCO decisions, use INDUSTRY SCHEMES AND TRADE MEASURES - Reviews (decisions).

For applications to the courts for the review of TCO decisions, use INDUSTRY SCHEMES AND TRADE MEASURES - Appeals (decisions).

Entry | Description of Records | Disposal Action
--- | --- | ---
2736 | Records documenting the granting of Tariff Concession Orders. Includes applications and submissions, and associated documents relating to their subsequent revocation. (Date Range: 1960 - ) | Destroy 2 years after concession is revoked

2737 | Records documenting the withdrawal or rejection of requests/applications for granting Tariff Concession Orders and associated documents leading to their subsequent withdrawal or rejection. (Date Range: 1960 - ) | Destroy 2 years after action completed

Visits

The activities involved in arranging visits by other organisations, the public and students to the organisation, with a view to inform, educate or promote the services, operation and role of the organisation. Includes arranging visits by staff to other organisations.

Entry | Description of Records | Disposal Action
--- | --- | ---
2738 | Records documenting visits by industry organisations to the Customs or visits by Customs staff to industry organisations. (Date Range: 1960 - ) | Destroy 7 years after action completed
INTELLIGENCE

The function of collecting, analysing and distributing value-added, strategic information to meet the organisation's compliance objectives. Includes making of agreements and liaison with other agencies, organisations and governments; development of case files or dossiers; development of intelligence product; tasking or allocation of intelligence product development work; joint ventures with other agencies involved in intelligence gathering; and provision of training to external clients etc.

Advice
The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.

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</thead>
<tbody>
<tr>
<td>2740</td>
<td>Records documenting the provision of advice on intelligence policy, procedures and techniques. Includes drafting and distribution of intelligence notes. (Date Range: 1969 - )</td>
<td>Destroy 5 years after action completed</td>
</tr>
</tbody>
</table>

Agreements
The processes associated with the establishment, maintenance, review and negotiation of agreements.

For agreements relating to joint ventures, use INTELLIGENCE - Joint Ventures.

For whole of government agreements use GOVERNMENT RELATIONS – Agreements.

<table>
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<tr>
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</thead>
<tbody>
<tr>
<td>2741</td>
<td>Records documenting the drafting, negotiation, amendment, issue, and review of Memorandums of Understanding (MOUs) and other agreements. (Date Range: 1969 - )</td>
<td>Destroy 7 years after agreement expires or is superseded</td>
</tr>
</tbody>
</table>
INTELLIGENCE

The function of collecting, analysing and distributing value-added, strategic information to meet the organisation's compliance objectives. Includes making of agreements and liaison with other agencies, organisations and governments; development of case files or dossiers; development of intelligence product; tasking or allocation of intelligence product development work; joint ventures with other agencies involved in intelligence gathering; and provision of training to external clients etc.

Committees

The activities associated with the management of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas etc.

<table>
<thead>
<tr>
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</tr>
</thead>
<tbody>
<tr>
<td>2742</td>
<td>Records documenting the establishment of committees (including Intelligence Policy Committee and Regional Intelligence Committees) appointment of committee members, final versions of minutes; reports, submissions and other documents tabled at meetings. (Date Range: 1969 - )</td>
<td>Destroy 5 years after action completed</td>
</tr>
<tr>
<td>2743</td>
<td>Working papers documenting the conduct and administration of intelligence committees. Production of agendas and draft versions of minutes. (Date Range: 1969 - )</td>
<td>Destroy when reference ceases</td>
</tr>
<tr>
<td>2744</td>
<td>Records documenting the distribution of meeting notices, agendas, minutes, attachments of committees chaired and administered by external agencies and organisations. (Date Range: 1969 - )</td>
<td>Destroy when reference ceases</td>
</tr>
</tbody>
</table>
**INTELLIGENCE**

The function of collecting, analysing and distributing value-added, strategic information to meet the organisation's compliance objectives. Includes making of agreements and liaison with other agencies, organisations and governments; development of case files or dossiers; development of intelligence product; tasking or allocation of intelligence product development work; joint ventures with other agencies involved in intelligence gathering; and provision of training to external clients etc.

**Education and Training**

The activity associated with the external delivery of education and training programs to industry and government.

*For corporate training of agency personnel, use STAFF DEVELOPMENT - Training.*

<table>
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<th><strong>Disposal Action</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>2745</td>
<td>Maintenance of master set of training material, including programs, lecture notes, hand-outs, films and videos. (Date Range: 1969 - )</td>
<td>Destroy when course is superseded or when training material is no longer required.</td>
</tr>
<tr>
<td>2746</td>
<td>Working papers documenting the development of training material for the intelligence function. (Date Range: 1969 - )</td>
<td>Destroy 1 year after training material is produced</td>
</tr>
<tr>
<td>2747</td>
<td>Arrangements for conduct of training sessions, receipt and assessment of application forms, notices to attendees (confirmation of attendance) hire of equipment, booking of venues, catering arrangements. Reports on and evaluations of training sessions; session attendance registers; arrangements for conduct of tests and examinations. (Date Range: 1969 - )</td>
<td>Destroy 3 years after action completed</td>
</tr>
<tr>
<td>2748</td>
<td>Notification of examination results and awarding of certificates. (Date Range: 1969 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>
INTELLIGENCE

The function of collecting, analysing and distributing value-added, strategic information to meet the organisation's compliance objectives. Includes making of agreements and liaison with other agencies, organisations and governments; development of case files or dossiers; development of intelligence product; tasking or allocation of intelligence product development work; joint ventures with other agencies involved in intelligence gathering; and provision of training to external clients etc.

**Intelligence Product**
The activity of evaluating, collating and analysing information that has been collected by the Agency for the purpose of compiling intelligence product.

<table>
<thead>
<tr>
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<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2749</td>
<td>Records documenting formal intelligence product and the provision of intelligence product to clients about a specified subject or a range of subjects of concern. Includes preparation of intelligence reports or assessment, surveillance summaries and estimates. (Date Range: 1969 - )</td>
<td>Destroy 10 years after record is compiled</td>
</tr>
<tr>
<td></td>
<td>[For the provision of information on new or changing areas of risk, threat or opportunity, use INTELLIGENCE - Intelligence Sharing.]</td>
<td></td>
</tr>
<tr>
<td>2750</td>
<td>Working papers used in the development of intelligence product. (Date Range: 1969 - )</td>
<td>Destroy when reference ceases</td>
</tr>
</tbody>
</table>

**Intelligence Sharing**
The activities involved in cooperation with other agencies, organisations and foreign governments in support of intelligence activities. Includes requests for or provision of intelligence information and comments on intelligence information that has been provided. Includes approval or non-approval of requests and proposals.

<table>
<thead>
<tr>
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<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2751</td>
<td>Records documenting the exchange and evaluation of information that may alert clients to new or changing areas of risk, threat or opportunity. Includes evaluation of information reports and making queries or comments. (Date Range: 1969 - )</td>
<td>Destroy 5 years after action completed</td>
</tr>
</tbody>
</table>
INTELLIGENCE

The function of collecting, analysing and distributing value-added, strategic information to meet the organisation's compliance objectives. Includes making of agreements and liaison with other agencies, organisations and governments; development of case files or dossiers; development of intelligence product; tasking or allocation of intelligence product; development work; joint ventures with other agencies involved in intelligence gathering; and provision of training to external clients etc.

Joint Ventures

The activities involved in managing joint operations between departments, either within the organisation or with other organisations, or with the government, where there is a contract, joint contribution of funds and/or time. Also includes private sector ventures with public sector organisations, and co-research or collaboration between inter-departmental units, departments or organisations.

<table>
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<tr>
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</thead>
<tbody>
<tr>
<td>2752</td>
<td>Records documenting the signing and issue of joint venture agreements, including amendments. (Date Range: 1969 - )</td>
<td>Destroy 7 years after completion or other termination of agreement or contract</td>
</tr>
<tr>
<td>2753</td>
<td>Records documenting the negotiation and review of joint venture agreements, including meetings, drafts and arrangements for deployment of personnel to joint venture task forces etc. (Date Range: 1969 - )</td>
<td>Destroy 7 years after completion or other termination of agreement or contract</td>
</tr>
</tbody>
</table>

Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

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<tr>
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</thead>
<tbody>
<tr>
<td>2754</td>
<td>Final versions of plans formulated to support the intelligence function. (Date Range: 1969 - )</td>
<td>Destroy 5 years after plan is superseded</td>
</tr>
<tr>
<td>2755</td>
<td>Records documenting the drafting of plans (eg Intelligence Branch Action Plan) including requests for comment or information. (Date Range: 1969 - )</td>
<td>Destroy 1 year after adoption of final plan</td>
</tr>
</tbody>
</table>
INTELLIGENCE

The function of collecting, analysing and distributing value-added, strategic information to meet the organisation's compliance objectives. Includes making of agreements and liaison with other agencies, organisations and governments; development of case files or dossiers; development of intelligence product; tasking or allocation of intelligence product development work; joint ventures with other agencies involved in intelligence gathering; and provision of training to external clients etc.

Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

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</thead>
<tbody>
<tr>
<td>2756</td>
<td>Records documenting the promulgation and issue of final, authorised intelligence policy. Includes:&lt;br&gt;·final policy documents&lt;br&gt;·major drafts&lt;br&gt;·supporting reports&lt;br&gt;·policy proposals&lt;br&gt;(Date Range: 1969 - )</td>
<td>Retain as national archives.</td>
</tr>
</tbody>
</table>

2757 Working papers documenting the development of intelligence policy including research, draft documents, submissions and comments.<br>(Date Range: 1969 - )

Procedures

Standard methods of operating laid down by an organisation according to formulated policy.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2758</td>
<td>Master set of procedures supporting the intelligence function, including 'Intelligence Directions'.&lt;br&gt;(Date Range: 1969 - )</td>
<td>Retain as national archives</td>
</tr>
</tbody>
</table>

2759 Records documenting the development of procedures including research, draft documents and submissions and comments.<br>(Date Range: 1969 - )

Destroy 1 year after action completed
INTELLIGENCE

The function of collecting, analysing and distributing value-added, strategic information to meet the organisation's compliance objectives. Includes making of agreements and liaison with other agencies, organisations and governments; development of case files or dossiers; development of intelligence product; tasking or allocation of intelligence product development work; joint ventures with other agencies involved in intelligence gathering; and provision of training to external clients etc.

Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

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<th>Description of Records</th>
<th>Disposal Action</th>
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</thead>
<tbody>
<tr>
<td>2760</td>
<td>Final version of regular formal internal reports and routine reports made to external agencies relating to the intelligence function. (Date Range: 1969 - )</td>
<td>Destroy 5 years after action completed</td>
</tr>
</tbody>
</table>

[For reports from intelligence gathering, use INTELLIGENCE - Intelligence Product.]

2761 | Working papers documenting the development of all reports. Includes drafts, comments received, statistical analysis, information gathering and research. (Date Range: 1969 - ) | Destroy 1 year after action completed |

[For reports from intelligence gathering, use INTELLIGENCE - Intelligence Product.]

Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

<table>
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<tr>
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</thead>
<tbody>
<tr>
<td>2762</td>
<td>Records documenting the review of intelligence operations, principles and processes. Includes documents establishing the review, final report, action plan and identification of problems needing rectification. (Date Range: 1969 - )</td>
<td>Destroy 5 years after action completed</td>
</tr>
</tbody>
</table>

2763 | Working papers documenting the conduct of the review of operations, including methodologies, interviews, research and drafts, that support the intelligence function. (Date Range: 1969 - ) | Destroy 2 years after action completed |
INTELLIGENCE

The function of collecting, analysing and distributing value-added, strategic information to meet the organisation's compliance objectives. Includes making of agreements and liaison with other agencies, organisations and governments; development of case files or dossiers; development of intelligence product; tasking or allocation of intelligence product development work; joint ventures with other agencies involved in intelligence gathering; and provision of training to external clients etc.

**Risk Management**

The process involving the identification of risks, the likelihood and consequences of those risks, and the implementation of appropriate practice and procedures to treat the risks.

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</thead>
<tbody>
<tr>
<td>2764</td>
<td>Records documenting risk management relating to the intelligence function. Includes records covering each stage of the process, treatment schedules and action plans.</td>
<td>Destroy 7 years after next risk assessment is completed</td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1969 - )</td>
<td></td>
</tr>
</tbody>
</table>

**Standards**

The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the organisation.

<table>
<thead>
<tr>
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<th>Disposal Action</th>
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</thead>
<tbody>
<tr>
<td>2765</td>
<td>Records documenting the implementation of industry and agency standards to support the intelligence function. Includes reporting standards and the Commonwealth Protective Security Manual.</td>
<td>Destroy 7 years after action completed</td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1969 - )</td>
<td></td>
</tr>
</tbody>
</table>
INTERNATIONAL RELATIONS

The function of facilitating liaison and cooperation with other customs agencies, and international or regional organisations. This includes advising or briefing of agency and other organisations on issues, trends, policies, programs etc; involvement in the making of international treaties, Memoranda of Understanding and other agreements; holding of bilateral meetings; facilitation of agency participation on international committees; conference facilitation and attendance; international policy agenda development; coordination of the provision of technical assistance to other customs administrations; hosting of visits by officials from other customs administrations and organisations.

For joint ventures with other customs administrations, related to intelligence operations, use INTELLIGENCE - Joint Ventures.

For consultation and gathering information from foreign governments and their exporters in relation to dumping and subsidisation, use INDUSTRY SCHEMES AND TRADE MEASURES - Dumping and Subsidisation Enquiries.

Advice
The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.

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</thead>
<tbody>
<tr>
<td>2766</td>
<td>Records documenting the receipt and provision of general advice and briefing of personnel attending international meetings, conferences and forums. (Date Range: 1960 - )</td>
<td>Destroy 5 years after action completed</td>
</tr>
</tbody>
</table>

Agreements
The processes associated with the establishment, maintenance, review and negotiation of agreements.

For whole of government agreements use GOVERNMENT RELATIONS – Agreements.

<table>
<thead>
<tr>
<th>Entry</th>
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<th>Disposal Action</th>
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</thead>
<tbody>
<tr>
<td>2767</td>
<td>Records documenting the negotiation, establishment, issue, maintenance and review of agreements with other customs administrations and international organisations. Includes: Memorandums of Understanding (MOUs), bilateral agreements, cooperative arrangements and other formal agreements and provision of input on drafting of international conventions/agreements. (Date Range: 1960 - )</td>
<td>Retain as national archives</td>
</tr>
</tbody>
</table>
INTERNATIONAL RELATIONS

The function of facilitating liaison and cooperation with other customs agencies, and international or regional organisations. This includes advising or briefing of agency and other organisations on issues, trends, policies, programs etc; involvement in the making of international treaties, Memoranda of Understanding and other agreements; holding of bilateral meetings; facilitation of agency participation on international committees; conference facilitation and attendance; international policy agenda development; coordination of the provision of technical assistance to other customs administrations; hosting of visits by officials from other customs administrations and organisations.

For joint ventures with other customs administrations, related to intelligence operations, use INTELLIGENCE - Joint Ventures.

For consultation and gathering information from foreign governments and their exporters in relation to dumping and subsidisation, use INDUSTRY SCHEMES AND TRADE MEASURES - Dumping and Subsidisation Enquiries.

**Bilateral Meetings**

The activity associated with gatherings held with other customs administrations to formulate, discuss, update or resolve issues and matters. Includes arrangements, agenda, taking of minutes etc.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2768</td>
<td>Final reports of bilateral meetings including minutes and documents tabled at the meetings. (Date Range: 1960 - )</td>
<td>Retain as national archives</td>
</tr>
<tr>
<td>2770</td>
<td>Working papers documenting the arrangements for bilateral meetings. Includes attendees, location, agenda, notices of meetings and draft minutes. (Date Range: 1960 - )</td>
<td>Destroy 10 years after action completed</td>
</tr>
</tbody>
</table>
INTERNATIONAL RELATIONS

The function of facilitating liaison and cooperation with other customs agencies, and international or regional organisations. This includes advising or briefing of agency and other organisations on issues, trends, policies, programs etc; involvement in the making of international treaties, Memoranda of Understanding and other agreements; holding of bilateral meetings; facilitation of agency participation on international committees; conference facilitation and attendance; international policy agenda development; coordination of the provision of technical assistance to other customs administrations; hosting of visits by officials from other customs administrations and organisations.

For joint ventures with other customs administrations, related to intelligence operations, use INTELLIGENCE - Joint Ventures.

For consultation and gathering information from foreign governments and their exporters in relation to dumping and subsidisation, use INDUSTRY SCHEMES AND TRADE MEASURES - Dumping and Subsidisation Enquiries.

Committees

The activities associated with the management of committees and task forces. Includes the committee’s establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas etc.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
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</tr>
</thead>
<tbody>
<tr>
<td>2771</td>
<td>Records of international committees established/chaired by the Agency or where the Agency is the secretariat, eg. United Nations Committees' World Customs Organisation World Trade Organisation Asia-Pacific Economic Cooperation Forum. Includes: - terms of reference - appointment of committee members - final version of minutes - reports and submissions (Date Range: 1960 - )</td>
<td>Destroy 10 years after action completed</td>
</tr>
<tr>
<td>2772</td>
<td>Records documenting the conduct and administration of International committees including agendas, notices of meetings and draft versions of minutes. (Date Range: 1960 - )</td>
<td>Destroy when reference ceases</td>
</tr>
<tr>
<td>2773</td>
<td>Records documenting the agendas, minutes of international committees chaired and administered by external agencies and organisations which consider matters relating to customs. (Date Range: 1960 - )</td>
<td>Destroy when reference ceases</td>
</tr>
</tbody>
</table>
INTERNATIONAL RELATIONS

The function of facilitating liaison and cooperation with other customs agencies, and international or regional organisations. This includes advising or briefing of agency and other organisations on issues, trends, policies, programs etc; involvement in the making of international treaties, Memoranda of Understanding and other agreements; holding of bilateral meetings; facilitation of agency participation on international committees; conference facilitation and attendance; international policy agenda development; coordination of the provision of technical assistance to other customs administrations; hosting of visits by officials from other customs administrations and organisations.

For joint ventures with other customs administrations, related to intelligence operations, use INTELLIGENCE - Joint Ventures.

For consultation and gathering information from foreign governments and their exporters in relation to dumping and subsidisation, use INDUSTRY SCHEMES AND TRADE MEASURES - Dumping and Subsidisation Enquiries.

Conferences

The activities involved in arranging or attending conferences held either by the organisation or by other organisations. Includes registrations, publicity, and reports of participants etc.

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<thead>
<tr>
<th>Entry</th>
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</tr>
</thead>
<tbody>
<tr>
<td>2774</td>
<td>Records documenting reports of proceedings of international conferences held to improve cooperation and standardisation, hosted by the Agency. Includes: ·agenda ·minutes ·speeches ·papers (Date Range: 1960 - )</td>
<td>Destroy 10 years after action completed</td>
</tr>
<tr>
<td>2775</td>
<td>Preparation, development and feedback for international conferences hosted by the Agency. Includes arrangements for speakers, venue bookings, programmes, registration, presentation packages, promotional material and reports by attendees. (Date Range: 1960 - )</td>
<td>Destroy 3 years after action completed</td>
</tr>
<tr>
<td>2776</td>
<td>Records documenting the attendance of staff at conferences arranged by other organisations. Includes the completed conference registration forms, programs, conference promotion material, and participants reports. (Date Range: 1960 - )</td>
<td>Destroy 3 years after action completed</td>
</tr>
</tbody>
</table>
INTERNATIONAL RELATIONS

The function of facilitating liaison and cooperation with other customs agencies, and international or regional organisations. This includes advising or briefing of agency and other organisations on issues, trends, policies, programs etc; involvement in the making of international treaties, Memoranda of Understanding and other agreements; holding of bilateral meetings; facilitation of agency participation on international committees; conference facilitation and attendance; international policy agenda development; coordination of the provision of technical assistance to other customs administrations; hosting of visits by officials from other customs administrations and organisations.

For joint ventures with other customs administrations, related to intelligence operations, use INTELLIGENCE - Joint Ventures.

For consultation and gathering information from foreign governments and their exporters in relation to dumping and subsidisation, use INDUSTRY SCHEMES AND TRADE MEASURES - Dumping and Subsidisation Enquiries.

**Planning**
The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
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</tr>
</thead>
<tbody>
<tr>
<td>2777</td>
<td>Final versions of plans formulated to support the international relations function.</td>
<td>Destroy 5 years after plan is</td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1960 - )</td>
<td>superseded</td>
</tr>
<tr>
<td>2778</td>
<td>Working papers documenting the development of international relations plans. Includes</td>
<td>Destroy 1 year after adoption of</td>
</tr>
<tr>
<td></td>
<td>input into plans, comments received and drafts.</td>
<td>final plan</td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1960 - )</td>
<td></td>
</tr>
</tbody>
</table>

**Policy**
The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

<table>
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<th>Entry</th>
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</thead>
<tbody>
<tr>
<td>2779</td>
<td>Records documenting the development and establishment of international policy and</td>
<td>Destroy 5 years after policy is</td>
</tr>
<tr>
<td></td>
<td>protocol.</td>
<td>superseded</td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1960 - )</td>
<td></td>
</tr>
<tr>
<td>2780</td>
<td>Working papers documenting the development of international policy and protocol.</td>
<td>Destroy 1 year after promulgation</td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1960 - )</td>
<td>of the new policy</td>
</tr>
</tbody>
</table>


INTERNATIONAL RELATIONS

The function of facilitating liaison and cooperation with other customs agencies, and international or regional organisations. This includes advising or briefing of agency and other organisations on issues, trends, policies, programs etc; involvement in the making of international treaties, Memoranda of Understanding and other agreements; facilitation of agency participation on international committees; conference facilitation and attendance; international policy agenda development; coordination of the provision of technical assistance to other customs administrations; hosting of visits by officials from other customs administrations and organisations.

For joint ventures with other customs administrations, related to intelligence operations, use INTELLIGENCE - Joint Ventures.

For consultation and gathering information from foreign governments and their exporters in relation to dumping and subsidisation, use INDUSTRY SCHEMES AND TRADE MEASURES - Dumping and Subsidisation Enquiries.

Procedures
Standard methods of operating laid down by an organisation according to formulated policy.

Entry Description of Records Disposal Action
2781 Master set of procedures supporting the international relations function. Destroy 5 years after procedures are superseded
(Date Range: 1960 - )

2782 Records documenting the development of procedures supporting the International relations function.
(Date Range: 1960 - ) Destroy 1 year after action completed

Technical Assistance
The activity involved in providing support and training for the implementation of programs, practices and procedures for other Customs administrations.

Entry Description of Records Disposal Action
2783 Records documenting and reporting on assistance provided to international customs or customs related organisations. Assistance may include, development of programs, site visits, training sessions, workshops, and provision of procedural/policy documentation and publications.
(Date Range: 1960 - ) Destroy 10 years after action completed
INTERNATIONAL RELATIONS

The function of facilitating liaison and cooperation with other customs agencies, and international or regional organisations. This includes advising or briefing of agency and other organisations on issues, trends, policies, programs etc; involvement in the making of international treaties, Memoranda of Understanding and other agreements; holding of bilateral meetings; facilitation of agency participation on international committees; conference facilitation and attendance; International policy agenda development; coordination of the provision of technical assistance to other customs administrations; hosting of visits by officials from other customs administrations and organisations.

For joint ventures with other customs administrations, related to intelligence operations, use INTELLIGENCE - Joint Ventures.

For consultation and gathering information from foreign governments and their exporters in relation to dumping and subsidisation, use INDUSTRY SCHEMES AND TRADE MEASURES - Dumping and Subsidisation Enquiries.

Visits

The activities involved in arranging visits by other organisations, the public and students to the organisation, with a view to inform, educate or promote the services, operation and role of the organisation. Includes arranging visits by staff to other organisations.

<table>
<thead>
<tr>
<th>Entry</th>
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</thead>
<tbody>
<tr>
<td>2784</td>
<td>Records documenting the planning and coordination of visits includes invitations, acceptances, itineraries, travel and accommodation arrangements, information packs, and reports on visit outcomes. (Date Range: 1960 - )</td>
<td>Destroy 10 years after action completed</td>
</tr>
</tbody>
</table>
INVESTIGATION

The function of investigating breaches of legislation administered by Customs that have been referred for special enquiries. Includes conduct of case matters involving the initiation, planning, assessment, reporting and review of operations; the interview, search, detention and arrest of persons; surveillance of selected premises and people; securing of crime scenes; seizure of goods; collection and securing of evidence; making of enquiries; making of recommendations and decisions as to whether a case should be prosecuted, terminated, or settled out of court. Also includes the preparation of briefs of evidence, obtaining of warrants etc preceding litigation.

For cases that proceed to litigation, use LEGAL SERVICES - Litigation.

For general surveillance of Customs areas, use PROPERTY MANAGEMENT - Security.

Advice
The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.

<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>2785</td>
<td>Records relating to the receipt and provision of advice on the investigation functions.</td>
<td>Destroy 5 years after action completed</td>
</tr>
</tbody>
</table>

Agency Referral
The activity involved in the passing of matters to other agencies for their attention, and the receipt of matters from other agencies for the attention of Customs.

For Agency Referrals that lead to prosecution, use INVESTIGATIONS - Investigations Case.

For an Agency Referral that leads to detention of persons, use TRADE FACILITATION AND COMPLIANCE - Enforcement or TRAVEL FACILITATION AND COMPLIANCE - Enforcement as appropriate.

For an Agency Referral that leads to seizure or forfeiture of goods, use TRADE FACILITATION AND COMPLIANCE - Goods Control or TRAVEL FACILITATION AND COMPLIANCE - Goods Control as appropriate.

<table>
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<tr>
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</thead>
<tbody>
<tr>
<td>2786</td>
<td>Records documenting requests for assistance or referral of matters to or from other agencies. Includes referral of matters for investigation (including Australian Federal Police, National Crimes Authority, State or Territory Police) or prosecution (including Australian Government Solicitor, Director of Public Prosecutions) and the handover of seized goods to the Australian Federal Police. (Date Range: 1969 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>
INVESTIGATION

The function of investigating breaches of legislation administered by Customs that have been referred for special enquiries. Includes conduct of case matters involving the initiation, planning, assessment, reporting and review of operations; the interview, search, detention and arrest of persons; surveillance of selected premises and people; securing of crime scenes; seizure of goods; collection and securing of evidence; making of enquiries; making of recommendations and decisions as to whether a case should be prosecuted, terminated, or settled out of court. Also includes the preparation of briefs of evidence, obtaining of warrants etc preceding litigation.

For cases that proceed to litigation, use LEGAL SERVICES - Litigation.

For general surveillance of Customs areas, use PROPERTY MANAGEMENT - Security.

Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements.

For whole of government agreements use GOVERNMENT RELATIONS – Agreements.

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<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>2787</td>
<td>Final version of agreements and memoranda of understanding made to support the investigation function. (Date Range: 1969 - )</td>
<td>Destroy 7 years after expiry or other termination of agreement</td>
</tr>
<tr>
<td>2788</td>
<td>Records documenting negotiations, establishment, maintenance, drafts and review of agreements. (Date Range: 1969 - )</td>
<td>Destroy 7 years after expiry or other termination of agreement</td>
</tr>
</tbody>
</table>

Authorisation

The process of delegating power to authorise an action and the seeking and granting permission to undertake a requested action.

<table>
<thead>
<tr>
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<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2789</td>
<td>Records documenting the delegation of powers to the Agency for authorising action relating to the investigation function. Includes, access to Financial Transaction Reports, approval of controlled operations, and declarations for certain classes of officers to be detention officers. Also includes delegations and authorisations from other agencies (e.g. National Parks and Wildlife) for Agency Officers to act or be appointed under their legislation to conduct business on their behalf. (Date Range: 1969 - )</td>
<td>Destroy 7 years after delegation superseded</td>
</tr>
</tbody>
</table>
INVESTIGATION

The function of investigating breaches of legislation administered by Customs that have been referred for special enquiries. Includes conduct of case matters involving the initiation, planning, assessment, reporting and review of operations; the interview, search, detention and arrest of persons; surveillance of selected premises and people; securing of crime scenes; seizure of goods; collection and securing of evidence; making of enquiries; making of recommendations and decisions as to whether a case should be prosecuted, terminated, or settled out of court. Also includes the preparation of briefs of evidence, obtaining of warrants etc preceding litigation.

For cases that proceed to litigation, use LEGAL SERVICES - Litigation.

For general surveillance of Customs areas, use PROPERTY MANAGEMENT - Security.

Committees

The activities associated with the management of committees and task forces. Includes the committee’s establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas etc.

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<tr>
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<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2790</td>
<td>Records documenting the establishment of Investigation committees, appointment of committee members, final versions of minutes; reports, submissions and other documents tabled at meetings. (Date Range: 1969 - )</td>
<td>Destroy 10 years after action completed</td>
</tr>
<tr>
<td>2791</td>
<td>Working papers documenting the conduct and administration of investigation committees. Production of agendas and draft versions of minutes. (Date Range: 1969 - )</td>
<td>Destroy when reference ceases</td>
</tr>
</tbody>
</table>
INVESTIGATION

The function of investigating breaches of legislation administered by Customs that have been referred for special enquiries. Includes conduct of case matters involving the initiation, planning, assessment, reporting and review of operations; the interview, search, detention and arrest of persons; surveillance of selected premises and people; securing of crime scenes; seizure of goods; collection and securing of evidence; making of enquiries; making of recommendations and decisions as to whether a case should be prosecuted, terminated, or settled out of court. Also includes the preparation of briefs of evidence, obtaining of warrants etc preceding litigation.

For cases that proceed to litigation, use LEGAL SERVICES - Litigation.

For general surveillance of Customs areas, use PROPERTY MANAGEMENT - Security.

Investigation Briefs

The activity of compiling a brief of evidence for the purpose of prosecution. Includes summary of facts, antecedent report, evidence statements, records of interviews.

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</thead>
<tbody>
<tr>
<td>3033</td>
<td>Preparation of briefs of evidence for prosecution of criminal offences where there is no court order or clause in settlement agreement to destroy the brief or return it to source as part of the settlement agreement. (Date Range: 1969 - )</td>
<td>Retain as national archives</td>
</tr>
<tr>
<td>3034</td>
<td>Preparation of briefs of evidence for prosecution of criminal offences where there is a court order or clause in settlement agreement to destroy the brief or return it to source as part of the settlement agreement. (Date Range: 1969 - )</td>
<td>Dispose of in accordance with the court order or settlement agreement</td>
</tr>
<tr>
<td>3035</td>
<td>Preparation of briefs of evidence for prosecution of Customs offences where there is no court order or clause in settlement agreement to destroy the brief or return it to source as part of the settlement agreement. (Date Range: 1969 - )</td>
<td>Retain permanently in agency</td>
</tr>
<tr>
<td>3036</td>
<td>Preparation of briefs of evidence for prosecution of Customs offences where there is a court order or clause in settlement agreement to destroy the brief or return it to source as part of the settlement agreement. (Date Range: 1969 - )</td>
<td>Dispose of in accordance with the court order or settlement agreement</td>
</tr>
</tbody>
</table>
INVESTIGATION

The function of investigating breaches of legislation administered by Customs that have been referred for special enquires. Includes conduct of case matters involving the initiation, planning, assessment, reporting and review of operations; the interview, search, detention and arrest of persons; surveillance of selected premises and people; securing of crime scenes; seizure of goods; collection and securing of evidence; making of enquiries; making of recommendations and decisions as to whether a case should be prosecuted, terminated, or settled out of court. Also includes the preparation of briefs of evidence, obtaining of warrants etc preceding litigation.

For cases that proceed to litigation, use LEGAL SERVICES - Litigation.

For general surveillance of Customs areas, use PROPERTY MANAGEMENT - Security.

Investigations case

The activity involved in the handling of matters referred for investigation. Includes the making of decisions as to whether investigations should commence, the gathering of evidence, arrangements for and provision of external expertise and assistance, the obtaining and executing of warrants, the arrest and charging of persons, the registration and control of evidence, and the making of recommendations for post investigation action.

### Entry Description of Records Disposal Action

<table>
<thead>
<tr>
<th>Entry</th>
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</tr>
</thead>
<tbody>
<tr>
<td>2739</td>
<td>Cases where a matter has been referred for further investigation involving criminal offences and or prosecution, that would result in a fine and or a jail sentence. Covers records of surveillance, interviews, operations, orders, searches, seizures, detention of goods or vessels and prosecution. Includes the following records gathered during the case; warrants, preparation and swearing of information, notebooks, charging of offenders, details of search and seizure, ledger of items of evidence and seized goods, retention order applications (for retention of seized things), application for detention orders or renewal of detention orders, seized goods documentation (eg notices, issue of receipts, applications for return, condemnation and notification of disposal of seized goods), impoundment notice, applications for external and internal search orders. (Date Range: 1969- )</td>
<td>Retain as national archives.</td>
</tr>
<tr>
<td>2792</td>
<td>Cases where a matter has been referred for further investigation involving customs offences and or prosecution, that would result in a financial penalty. Covers records of surveillance, interviews, operations, orders, searches, seizures, detention of goods or vessels and prosecution. Includes the following records gathered during the case; warrants, preparation and swearing of informations, notebooks, charging of offenders, details of search and seizure, ledger of items of evidence and seized goods, retention order applications (for retention of seized things), application for detention orders or renewal of detention orders, seized goods documentation (eg notices, issue of receipts, applications for return, condemnation and notification of disposal of seized goods), impoundment notice, applications for external and internal search orders. (Date Range: 1969- )</td>
<td>Destroy 15 years after action completed</td>
</tr>
</tbody>
</table>
INVESTIGATION

The function of investigating breaches of legislation administered by Customs that have been referred for special enquiries. Includes conduct of case matters involving the initiation, planning, assessment, reporting and review of operations; the interview, search, detention and arrest of persons; surveillance of selected premises and people; securing of crime scenes; seizure of goods; collection and securing of evidence; making of enquiries; making of recommendations and decisions as to whether a case should be prosecuted, terminated, or settled out of court. Also includes the preparation of briefs of evidence, obtaining of warrants etc preceding litigation.

For cases that proceed to litigation, use LEGAL SERVICES - Litigation.

For general surveillance of Customs areas, use PROPERTY MANAGEMENT - Security.

Investigations case - Continued

The activity involved in the handling of matters referred for investigation. Includes the making of decisions as to whether investigations should commence, the gathering of evidence, arrangements for and provision of external expertise and assistance, the obtaining and executing of warrants, the arrest and charging of persons, the registration and control of evidence, and the making of recommendations for post investigation action.

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<tr>
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</tr>
</thead>
<tbody>
<tr>
<td>2966</td>
<td>Cases where a matter has been referred for further investigation involving criminal offences and there is no prosecution, prosecution is terminated, the decision is made not to follow the prosecution further or warning is issued. (Date Range: 1969 - )</td>
<td>Destroy 75 years after date of birth of offender, or where there are multiple offenders destroy 75 years after the date of birth of the youngest offender</td>
</tr>
<tr>
<td>2967</td>
<td>Cases where a matter has been referred for further investigation involving Customs offences and there is no prosecution, prosecution is terminated, the decision is made not to follow the prosecution further or warning is issued or training advised to correct the situation. (Date Range: 1969 - )</td>
<td>Destroy 7 years after conclusion of action</td>
</tr>
</tbody>
</table>
INVESTIGATION

The function of investigating breaches of legislation administered by Customs that have been referred for special enquires. Includes conduct of case matters involving the initiation, planning, assessment, reporting and review of operations; the interview, search, detention and arrest of persons; surveillance of selected premises and people; securing of crime scenes; seizure of goods; collection and securing of evidence; making of enquiries; making of recommendations and decisions as to whether a case should be prosecuted, terminated, or settled out of court. Also includes the preparation of briefs of evidence, obtaining of warrants etc preceding litigation.

For cases that proceed to litigation, use LEGAL SERVICES - Litigation.

For general surveillance of Customs areas, use PROPERTY MANAGEMENT - Security.

Joint Ventures

The activities involved in managing joint operations between departments, either within the organisation or with other organisations, or with the government, where there is a contract, joint contribution of funds and/or time. Also includes private sector ventures with public sector organisations, and co-research or collaboration between inter-departmental units, departments or organisations.

Entry | Description of Records | Disposal Action
---|---|---
2793 | Records documenting the signing and issue of joint venture agreements, including amendments. (Date Range: 1969 - ) | Destroy 7 years after completion or other termination of agreement or contract

2794 | Records documenting the negotiation and review of joint venture agreements, including meetings, drafts and arrangements for deployment of personnel to joint venture task forces etc. (Date Range: 1969 - ) | Destroy 7 years after completion or other termination of agreement or contract

Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

Entry | Description of Records | Disposal Action
---|---|---
2795 | Final versions of plans formulated to support the investigation function. (Date Range: 1969 - ) | Destroy 5 years after plan is superseded

2796 | Working papers documenting the development of investigation plans. Includes input into plans, comments received and drafts. (Date Range: 1969 - ) | Destroy 5 years after adoption of the final plan
INVESTIGATION

The function of investigating breaches of legislation administered by Customs that have been referred for special enquiries. Includes conduct of case matters involving the initiation, planning, assessment, reporting and review of operations; the interview, search, detention and arrest of persons; surveillance of selected premises and people; securing of crime scenes; seizure of goods; collection and securing of evidence; making of enquiries; making of recommendations and decisions as to whether a case should be prosecuted, terminated, or settled out of court. Also includes the preparation of briefs of evidence, obtaining of warrants etc preceding litigation.

For cases that proceed to litigation, use LEGAL SERVICES - Litigation.

For general surveillance of Customs areas, use PROPERTY MANAGEMENT - Security.

Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

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</thead>
<tbody>
<tr>
<td>2797</td>
<td>Records documenting the development and establishment of investigation policy. Includes: final policy documents, major drafts, supporting reports, policy proposals (Date Range: 1969 - )</td>
<td>Retain as national archives</td>
</tr>
<tr>
<td>2798</td>
<td>Working papers documenting the development of investigation policy including research, draft documents, submissions and comments. (Date Range: 1969 - )</td>
<td>Destroy 3 years after promulgation of the new policy</td>
</tr>
</tbody>
</table>

Procedures

Standard methods of operating laid down by an organisation according to formulated policy.

<table>
<thead>
<tr>
<th>Entry</th>
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</thead>
<tbody>
<tr>
<td>2799</td>
<td>Master set of manuals, handbooks, directives detailing procedures supporting the investigation function. (Date Range: 1969 - )</td>
<td>Retain as national archives</td>
</tr>
<tr>
<td>2800</td>
<td>Records documenting the development of procedures supporting the investigation function. (Date Range: 1969 - )</td>
<td>Destroy 3 years after procedures superseded</td>
</tr>
</tbody>
</table>
INVESTIGATION

The function of investigating breaches of legislation administered by Customs that have been referred for special enquiries. Includes conduct of case matters involving the initiation, planning, assessment, reporting and review of operations; the interview, search, detention and arrest of persons; surveillance of selected premises and people; securing of crime scenes; seizure of goods; collection and securing of evidence; making of enquiries; making of recommendations and decisions as to whether a case should be prosecuted, terminated, or settled out of court. Also includes the preparation of briefs of evidence, obtaining of warrants etc preceding litigation.

For cases that proceed to litigation, use LEGAL SERVICES - Litigation.

For general surveillance of Customs areas, use PROPERTY MANAGEMENT - Security.

Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

<table>
<thead>
<tr>
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<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2801</td>
<td>Final version of formal internal reports and reports made to external agencies relating to the investigation function.</td>
<td>Destroy 3 years after action completed</td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1969 -    )</td>
<td></td>
</tr>
<tr>
<td>2802</td>
<td>Working papers documenting the development of all reports. Includes drafts, comments received, statistical analysis, information gathering and research.</td>
<td>Destroy 1 year after action completed</td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1969 -    )</td>
<td></td>
</tr>
</tbody>
</table>

Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2803</td>
<td>Records documenting the review of investigation methodology and practices, principles and processes. Includes documents establishing the review, and final reports and action plans for the implementation of recommendations.</td>
<td>Destroy 5 years after action completed</td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1969 -    )</td>
<td></td>
</tr>
<tr>
<td>2804</td>
<td>Working papers documenting the conduct of the reviews. Includes interviews, research and report drafts.</td>
<td>Destroy 2 years after action completed</td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1969 -    )</td>
<td></td>
</tr>
</tbody>
</table>
INVESTIGATION

The function of investigating breaches of legislation administered by Customs that have been referred for special enquiries. Includes conduct of case matters involving the initiation, planning, assessment, reporting and review of operations; the interview, search, detention and arrest of persons; surveillance of selected premises and people; securing of crime scenes; seizure of goods; collection and securing of evidence; making of enquiries; making of recommendations and decisions as to whether a case should be prosecuted, terminated, or settled out of court. Also includes the preparation of briefs of evidence, obtaining of warrants etc preceding litigation.

For cases that proceed to litigation, use LEGAL SERVICES - Litigation.

For general surveillance of Customs areas, use PROPERTY MANAGEMENT - Security.

Standards

The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the organisation.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2805</td>
<td>Records documenting the implementation of industry and agency standards to support the investigation function.</td>
<td>Destroy 7 years after action completed</td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1969 -</td>
<td></td>
</tr>
</tbody>
</table>

(Date Range: 1969 -   )
**REVENUE MANAGEMENT**

The function of receiving and paying monies in the form of duties, taxes, penalties, drawbacks, refunds, reimbursements, securities, levies, remissions, rebates, bounties, damaged/missing goods claims etc. Includes collection of monies on behalf of other agencies, and the keeping of statistics.

For records managing the financial operation of the Agency and its resources, use FINANCIAL MANAGEMENT.

**Agreements**

The processes associated with the establishment, maintenance, review and negotiation of agreements.

For whole of government agreements use GOVERNMENT RELATIONS – Agreements.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2806</td>
<td>Records documenting the signing and issue of agreements including, amendments and renewals, cancellation, negotiation, drafting, review, and queries about or comments on agreements. (Date Range: 1960 - )</td>
<td>Destroy 7 years after expiry or other termination of agreement</td>
</tr>
</tbody>
</table>

**Appeals (decisions)**

The activities involved in the process of appeals against decisions by application to a higher authority.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2807</td>
<td>Records documenting applications for review of decisions submitted to the Administrative Appeals Tribunal (AAT), the Ombudsman or the Federal or High Court relating to applications for a refund, rebate or remission of duty, payment of rebates, applications for duty drawback, and remission of penalties where the final decision sets a precedent, leads to a change of policy, relates to issues of national significance or public controversy. (Date Range: 1960 - )</td>
<td>Retain as national archives.</td>
</tr>
<tr>
<td>2809</td>
<td>Records documenting applications for review of decisions submitted to the Administrative Appeals Tribunal (AAT), the Ombudsman or the Federal or High Court relating to applications for a refund, rebate or remission of duty, payment of rebates, applications for duty drawback, and remission of penalties where the final decision upholds the Agency's decisions, applications are withdrawn or lapse or where there is a minimal impact on the Agency's policies, procedures and revenue. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>
REVENUE MANAGEMENT

The function of receiving and paying monies in the form of duties, taxes, penalties, drawbacks, refunds, reimbursements, securities, levies, remissions, rebates, bounties, damaged/missing goods claims etc. Includes collection of monies on behalf of other agencies, and the keeping of statistics.

For records managing the financial operation of the Agency and its resources, use FINANCIAL MANAGEMENT.

Claims

The process of administering and managing payments demanded in accordance with an insurance policy as compensation for injury, death, or denial of rights of a person, or damage to or destruction of property. Includes disputes over rights and ownership, and recompense sought for stolen or lost property.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2809</td>
<td>Records documenting the receipt of claims for compensation (for damage to or acquisitions of property or for lost, short-landed and damaged goods), assessment of claims, submission of claims to insurance companies, payments to claimants, receipt of payments from insurance companies. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>

Client Compliance

The processes associated with ensuring client adherence to Agency requirements for revenue protection through the imposition of fines, penalties and sanctions. Includes the taking of securities.

For the collection of monies paid to Customs, use REVENUE MANAGEMENT - Collection.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
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</tr>
</thead>
<tbody>
<tr>
<td>2810</td>
<td>Records documenting the generation of penalty or infringement notices. Includes notices requiring payment of duty and penalty on customs offences, impounded goods, breaches of securities and undertakings, receipt of Administrative Appeals Tribunal (AAT) direction to remit penalty imposed. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
<tr>
<td>2811</td>
<td>Records documenting the management of securities. Includes security for ensuring goods will be landed at the place for which they are entered for export, receipt of securities and undertakings for the payment of duty on goods imported for a temporary period of time, receipt of securities include those lodged by registered owners or authorised users of trade marks, Copyright owners, furnishers of a tender under the Customs Act, imposition of provisional measures (cash or documentary securities) on imports of goods that are the subject of Anti-Dumping or Countervailing investigation. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>
REVENUE MANAGEMENT

The function of receiving and paying monies in the form of duties, taxes, penalties, drawbacks, refunds, reimbursements, securities, levies, remissions, rebates, bounties, damaged/missing goods claims etc. Includes collection of monies on behalf of other agencies, and the keeping of statistics.

For records managing the financial operation of the Agency and its resources, use FINANCIAL MANAGEMENT.

Collection

The activity associated with the collection and receipting of monies received as payment to Customs in the form of duties taxes, etc. Also includes the assessing of liability of agencies and clients with respect to these payments.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2812</td>
<td>Records documenting the assessment of amount due and payments made to Customs (incoming monies). Includes duty, cargo processing, cargo screening, import entry processing, Goods and Services Tax (GST), Wine Equalisation Tax (WET), Luxury Car Tax (LCT), Marine Navigation Levy (MNLI), Protection of the Sea Levy (PSL), Passenger Movement Charge (PMC), demands for payment of duty and tax that has been underpaid or refunds that have been erroneously paid, demands for payments of monies respecting dutiable goods for which approval has been given for warehouse possession/custody or control, remittance of taxation and duties collected on postal articles by Australia Post, and Remittance of Passenger Movement Charge Monies by Airlines, Shipping Companies and Travel Agents. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>

2814 | Records documenting debt collection. Includes raising of invoice for payment of debt, registration and listing of debtors, debtor journals and referral of debt matters for litigation. (Date Range: 1960 - ) | Destroy 7 years after action completed |

Payments

The activities involved in the preparation and payment of money.

For the collection of monies paid to Customs, use REVENUE MANAGEMENT - Collection.

<table>
<thead>
<tr>
<th>Entry</th>
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<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2815</td>
<td>Records documenting the preparation and payment of money to Agency Clients (outgoing monies). Includes the drawing of cheques, payment of cash and electronic fund transfers for claims. (Date Range: 1960 - )</td>
<td>Destroy 7 years after last action</td>
</tr>
</tbody>
</table>
REVENUE MANAGEMENT

The function of receiving and paying monies in the form of duties, taxes, penalties, drawbacks, refunds, reimbursements, securities, levies, remissions, rebates, bounties, damaged/missing goods claims etc. Includes collection of monies on behalf of other agencies, and the keeping of statistics.

For records managing the financial operation of the Agency and its resources, use FINANCIAL MANAGEMENT.

Planning
The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

<table>
<thead>
<tr>
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<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2816</td>
<td>Final version of agency-wide revenue management plans. (Date Range: 1960 - )</td>
<td>Destroy 5 years after plan is superseded</td>
</tr>
<tr>
<td>2817</td>
<td>Working papers used to develop all revenue management plans. Includes input into plans, comments received and drafts. (Date Range: 1960 - )</td>
<td>Destroy 1 year after adoption of final plan</td>
</tr>
</tbody>
</table>

Policy
The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2818</td>
<td>Records documenting the development and establishment of revenue management policy. Includes major drafts, supporting reports and policy proposals. (Date Range: 1960 - )</td>
<td>Destroy 5 years after policy is superseded</td>
</tr>
<tr>
<td>2819</td>
<td>Working papers documenting the development of revenue management policy. (Date Range: 1960 - )</td>
<td>Destroy 1 year after promulgation of the new policy</td>
</tr>
</tbody>
</table>
REVENUE MANAGEMENT

The function of receiving and paying monies in the form of duties, taxes, penalties, drawbacks, refunds, reimbursements, securities, levies, remissions, rebates, bounties, damaged/missing goods claims etc. Includes collection of monies on behalf of other agencies, and the keeping of statistics.

For records managing the financial operation of the Agency and its resources, use FINANCIAL MANAGEMENT.

Procedures
Standard methods of operating laid down by an organisation according to formulated policy.

<table>
<thead>
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<th>Description of Records</th>
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</tr>
</thead>
<tbody>
<tr>
<td>2820</td>
<td>Master set of manuals, handbooks and directives detailing procedures supporting the revenue management function. (Date Range: 1960 - )</td>
<td>Destroy 5 years after procedures are superseded</td>
</tr>
<tr>
<td>2821</td>
<td>Records documenting the development of procedures supporting the revenue management function. (Date Range: 1960 - )</td>
<td>Destroy 1 year after action completed</td>
</tr>
</tbody>
</table>

Reporting
The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

<table>
<thead>
<tr>
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<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2822</td>
<td>Formal reports and reports made to external agencies relating to the revenue function. (Date Range: 1960 - )</td>
<td>Destroy 5 years after action completed</td>
</tr>
<tr>
<td>2823</td>
<td>Working papers documenting the development of all reports. Includes drafts, comments received, statistical analysis, information gathering and research. (Date Range: 1960 - )</td>
<td>Destroy 1 year after action completed</td>
</tr>
</tbody>
</table>

Standards
The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the organisation.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
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</tr>
</thead>
<tbody>
<tr>
<td>2824</td>
<td>Records documenting the implementation of industry and agency standards to support the revenue management function. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>
# TRADE FACILITATION AND COMPLIANCE

The function of controlling and facilitating the movement of commercial consignments of goods, including postal items, in and out of Australia. Includes provision of advice relating to tariff classification, goods valuation, and rules of origin; referral of matters to other agencies; making of agreements with clients and agencies (including copyright and trade mark 'objections'); handling of appeals; the clearance of goods for import and export; the control of goods (including withholding) for the purposes of examination, treatment etc; the reporting of cargoes by carriers; the provision of education and training programmes; the enforcement of regulatory requirements relating to payment of duties and taxes, import/export prohibitions and restrictions etc; the handling of matters referred by industry for enquiry; the licensing of brokers and warehouse operators (including monitoring and control of licensee operations); formal review of decisions, the audit and checking of the commercial records of importers, exporters, brokers, carriers and warehouse operators.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc., use **REVENUE MANAGEMENT**.

## Advice

The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.

<table>
<thead>
<tr>
<th>Entry</th>
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</tr>
</thead>
<tbody>
<tr>
<td>2825</td>
<td>Records documenting the provision of binding advice on the import and export of goods. Includes tariff classification, valuation of goods, and preference rulings (Rules of Origin). (Date Range: 1960 - )</td>
</tr>
<tr>
<td></td>
<td>[For matters relating to suspect or incorrect use of trade descriptions, use TRADE FACILITATION AND COMPLIANCE - Industry Referral.]</td>
</tr>
<tr>
<td>2826</td>
<td>Records documenting the receipt of questions and queries and provision of informal and non-binding advice. Includes tariff classification, valuation of goods, and preference rulings (Rules of Origin). (Date Range: 1960 - )</td>
</tr>
<tr>
<td></td>
<td>[For matters relating to suspect or incorrect use of trade descriptions use TRADE FACILITATION AND COMPLIANCE - Industry Referral.]</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Destroy 7 years after action completed</td>
</tr>
<tr>
<td>Destroy 2 years after action completed</td>
</tr>
</tbody>
</table>
TRADE FACILITATION AND COMPLIANCE

The function of controlling and facilitating the movement of commercial consignments of goods, including postal items, in and out of Australia. Includes provision of advice relating to tariff classification, goods valuation, and rules of origin; referral of matters to other agencies; making of agreements with clients and agencies (including copyright and trade mark 'objections'); handling of appeals; the clearance of goods for import and export; the control of goods (including withholding) for the purposes of examination, treatment etc; the reporting of cargoes by carriers; the provision of education and training programmes; the enforcement of regulatory requirements relating to payment of duties and taxes, import/export prohibitions and restrictions etc; the handling of matters referred by industry for enquiry; the licensing of brokers and warehouse operators (including monitoring and control of licensee operations); formal review of decisions, the audit and checking of the commercial records of importers, exporters, brokers, carriers and warehouse operators.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc., use REVENUE MANAGEMENT.

Agency Referral

The activity involved in the passing of matters to other agencies for their attention, and the receipt of matters from other agencies for the attention of Customs.

For Agency Referrals that lead to prosecution, use INVESTIGATIONS - Investigations Case.

For an Agency Referral that leads to detention of persons, use TRADE FACILITATION AND COMPLIANCE - Enforcement or TRAVEL FACILITATION AND COMPLIANCE - Enforcement as appropriate.

For an Agency Referral that leads to seizure or forfeiture of goods, use TRADE FACILITATION AND COMPLIANCE - Goods Control or TRAVEL FACILITATION AND COMPLIANCE - Goods Control as appropriate.

<table>
<thead>
<tr>
<th>Entry</th>
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</thead>
<tbody>
<tr>
<td>2827</td>
<td>Records documenting requests for assistance or referral of matters to or from other agencies. Includes referral of matters for their attention (eg requirement for quarantine inspection), or prosecution (eg false trade description, narcotics seizures, revenue fraud), and the handover of seized goods or protected objects to the Australian Federal Police. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>
TRADE FACILITATION AND COMPLIANCE

The function of controlling and facilitating the movement of commercial consignments of goods, including postal items, in and out of Australia. Includes provision of advice relating to tariff classification, goods valuation, and rules of origin; referral of matters to other agencies; making of agreements with clients and agencies (including copyright and trade mark 'objections'); handling of appeals; the clearance of goods for import and export; the control of goods (including withholding) for the purposes of examination, treatment etc; the reporting of cargoes by carriers; the provision of education and training programmes; the enforcement of regulatory requirements relating to payment of duties and taxes, import/export prohibitions and restrictions etc; the handling of matters referred by industry for enquiry; the licensing of brokers and warehouse operators (including monitoring and control of licensee operations); formal review of decisions, the audit and checking of the commercial records of importers, exporters, brokers, carriers and warehouse operators.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc., use REVENUE MANAGEMENT.

Agreements
The processes associated with the establishment, maintenance, review and negotiation of agreements.

For whole of government agreements use GOVERNMENT RELATIONS – Agreements.

**Entry Description of Records**

<table>
<thead>
<tr>
<th>Disposal Action</th>
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</thead>
<tbody>
<tr>
<td>2828 Records documenting the negotiation, establishment, issue, maintenance and review of agreements. Includes agreements for access to computer systems and reporting of information for the import or export of goods. Memorandums Of Understanding with other agencies or commercial operators (eg Port Authorities, Quarantine Service), and intellectual property agreements (copyright and trade marks). (Date Range: 1960 - )</td>
</tr>
<tr>
<td>Destroy 7 years after agreement expires or is superseded</td>
</tr>
</tbody>
</table>
TRADE FACILITATION AND COMPLIANCE

The function of controlling and facilitating the movement of commercial consignments of goods, including postal items, in and out of Australia. Includes provision of advice relating to tariff classification, goods valuation, and rules of origin; referral of matters to other agencies; making of agreements with clients and agencies (including copyright and trade mark 'objections'); handling of appeals; the clearance of goods for import and export; the control of goods (including withholding) for the purposes of examination, treatment etc; the reporting of cargoes by carriers; the provision of education and training programmes; the enforcement of regulatory requirements relating to payment of duties and taxes, import/export prohibitions and restrictions etc; the handling of matters referred by industry for enquiry; the licensing of brokers and warehouse operators (including monitoring and control of licensee operations); formal review of decisions, the audit and checking of the commercial records of importers, exporters, brokers, carriers and warehouse operators.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc., use REVENUE MANAGEMENT.

Appeals (decisions)
The activities involved in the process of appeals against decisions by application to a higher authority.

For internal review of trade decisions, use TRADE FACILITATION AND COMPLIANCE - Reviews (decisions).

<table>
<thead>
<tr>
<th>Entry</th>
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</thead>
<tbody>
<tr>
<td>2829</td>
<td>Records documenting appeals made to the Administrative Appeals Tribunal (AAT) or the Federal Court against decisions associated with the movement of goods across the border, where results have a major effect on policy and/or procedure making or have major financial implications. Includes appeals associated with the issue of licences, tariff classification decisions, valuation decisions, imposition of penalties. (Date Range: 1960 - )</td>
<td>Retain as national archives.</td>
</tr>
<tr>
<td>2830</td>
<td>Records documenting appeals made to the Administrative Appeals Tribunal (AAT) or the Federal Court against decisions associated with the movement of goods across the border, where results have a negligible or nil effect on policy making and/or procedure. Includes issue of licences, tariff classification decisions, valuation decisions, imposition of penalties. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>
TRADE FACILITATION AND COMPLIANCE

The function of controlling and facilitating the movement of commercial consignments of goods, including postal items, in and out of Australia. Includes provision of advice relating to tariff classification, goods valuation, and rules of origin; referral of matters to other agencies; making of agreements with clients and agencies (including copyright and trade mark 'objections'); handling of appeals; the clearance of goods for import and export; the control of goods (including withholding) for the purposes of examination, treatment etc; the reporting of cargoes by carriers; the provision of education and training programmes; the enforcement of regulatory requirements relating to payment of duties and taxes, import/export prohibitions and restrictions etc; the handling of matters referred by industry for enquiry; the licensing of brokers and warehouse operators (including monitoring and control of licensee operations); formal review of decisions, the audit and checking of the commercial records of importers, exporters, brokers, carriers and warehouse operators.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc., use REVENUE MANAGEMENT.

Authorisation
The process of delegating power to authorise an action and the seeking and granting permission to undertake a requested action.

Entry Description of Records    Disposal Action
2831  Records documenting the delegation of powers to officers, and the appointment of persons other than employees of the Australian Customs Service as officers of Customs, for authorising action relating to the trade facilitation and compliance function. Includes monitoring powers, examining powers and seizing powers. (Date Range: 1960 - )  Destroy 7 years after delegation superseded
TRADE FACILITATION AND COMPLIANCE

The function of controlling and facilitating the movement of commercial consignments of goods, including postal items, in and out of Australia. Includes provision of advice relating to tariff classification, goods valuation, and rules of origin; referral of matters to other agencies; making of agreements with clients and agencies (including copyright and trade mark 'objections'); handling of appeals; the clearance of goods for import and export; the control of goods (including withholding) for the purposes of examination, treatment etc; the reporting of cargo by carriers; the provision of education and training programmes; the enforcement of regulatory requirements relating to payment of duties and taxes, import/export prohibitions and restrictions etc; the handling of matters referred by industry for enquiry; the licensing of brokers and warehouse operators (including monitoring and control of licensee operations); formal review of decisions, the audit and checking of the commercial records of importers, exporters, brokers, carriers and warehouse operators.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc., use REVENUE MANAGEMENT.

Cargo Clearance

The activity associated with the assessment and processing of applications for the release of goods, including passenger and postal items, for either export, or import. Includes entries for home consumption, transhipment and warehousing, entry of warehoused goods, revenue-exempt declarations, requests for further information and production of documentation, access and visual examination applications, movement applications, issue or cancellation of authorities to deal, withdrawal of applications for the entry of goods etc.

For the reporting of cargo by carriers, use TRADE FACILITATION AND COMPLIANCE - Cargo Reporting.

For the control of cargo, use TRADE FACILITATION AND COMPLIANCE - Goods Control.

<table>
<thead>
<tr>
<th>Entry</th>
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</thead>
<tbody>
<tr>
<td>2832</td>
<td>Records documenting the application for the release of goods from Agency control. Including requests for cargo release, warehouse declaration, release of warehoused goods, export declaration, and temporary importation documents. Includes approval/release advice, clearance and issue of transaction codes, authorisation for unshipment, authority to deal or equivalent, examination of certificates, licences, permits, cancellation of approvals, refusal to clear goods, notice that goods are to be held for further inspection and examination, and withdrawal or amendment of details. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>

[For the control of cargo, use TRADE FACILITATION AND COMPLIANCE - Goods Control.]
TRADE FACILITATION AND COMPLIANCE

The function of controlling and facilitating the movement of commercial consignments of goods, including postal items, in and out of Australia. Includes provision of advice relating to tariff classification, goods valuation, and rules of origin; referral of matters to other agencies; making of agreements with clients and agencies (including copyright and trade mark 'objections'); handling of appeals; the clearance of goods for import and export; the control of goods (including withholding) for the purposes of examination, treatment etc; the reporting of cargoes by carriers; the provision of education and training programmes; the enforcement of regulatory requirements relating to payment of duties and taxes, import/export prohibitions and restrictions etc; the handling of matters referred by industry for enquiry; the licensing of brokers and warehouse operators (including monitoring and control of licensee operations); formal review of decisions, the audit and checking of the commercial records of importers, exporters, brokers, carriers and warehouse operators.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc., use REVENUE MANAGEMENT.

Cargo Reporting

The activity involved in the assessment and processing of reports and other documentation provided by carriers on details of cargoes intended for import or export. Includes request for information and documentation and notifications of cargo status.

For requests to release goods from Customs controlled areas for import or export, use TRADE FACILITATION AND COMPLIANCE - Cargo Clearance.

For the control of cargo, use TRADE FACILITATION AND COMPLIANCE - Goods Control.

<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>2833</td>
<td>Records documenting particulars of cargoes transported aboard ships and aircraft. Includes assessment and processing of reports, and directions for the storage and movement of goods. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>
TRADE FACILITATION AND COMPLIANCE

The function of controlling and facilitating the movement of commercial consignments of goods, including postal items, in and out of Australia. Includes provision of advice relating to tariff classification, goods valuation, and rules of origin; referral of matters to other agencies; making of agreements with clients and agencies (including copyright and trade mark 'objections'); handling of appeals; the clearance of goods for import and export; the control of goods (including withholding) for the purposes of examination, treatment etc; the reporting of cargoes by carriers; the provision of education and training programmes; the enforcement of regulatory requirements relating to payment of duties and taxes, import/export prohibitions and restrictions etc; the handling of matters referred by industry for enquiry; the licensing of brokers and warehouse operators (including monitoring and control of licensee operations); formal review of decisions, the audit and checking of the commercial records of importers, exporters, brokers, carriers and warehouse operators.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc., use REVENUE MANAGEMENT.

Committees
The activities associated with the management of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas etc.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2834</td>
<td>Records of committees formed to consider trade and licensing matters relating to the trade facilitation and compliance function. Includes documents establishing the committee, final versions of minutes, reports, recommendations, and supporting documents such as briefing papers and discussion papers. Includes Customs National Consultative Committee. (Date Range: 1960 - )</td>
<td>Retain as national archives</td>
</tr>
<tr>
<td>2835</td>
<td>Working papers documenting the conduct and administration of committees which consider matters relating to the trade facilitation and compliance function. Includes: · National Customs Agents/Brokers Licensing Advisory Committee · agenda · notices of meetings · draft minutes (Date Range: 1960 - )</td>
<td>Destroy 10 years after action completed</td>
</tr>
</tbody>
</table>
TRADE FACILITATION AND COMPLIANCE

The function of controlling and facilitating the movement of commercial consignments of goods, including postal items, in and out of Australia. Includes provision of advice relating to tariff classification, goods valuation, and rules of origin; referral of matters to other agencies; making of agreements with clients and agencies (including copyright and trade mark objections); handling of appeals; the clearance of goods for import and export; the control of goods (including withholding) for the purposes of examination, treatment etc; the reporting of cargoes by carriers; the provision of education and training programmes; the enforcement of regulatory requirements relating to payment of duties and taxes, import/export prohibitions and restrictions etc; the handling of matters referred by industry for enquiry; the licensing of brokers and warehouse operators (including monitoring and control of licensee operations); formal review of decisions, the audit and checking of the commercial records of importers, exporters, brokers, carriers and warehouse operators.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc., use REVENUE MANAGEMENT.

Education and Training

The activity associated with the external delivery of education and training programs to industry and government.

For corporate training of agency personnel, use STAFF DEVELOPMENT - Training.

<table>
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</thead>
<tbody>
<tr>
<td>2836</td>
<td>Maintenance of master set of training material for trade facilitation and compliance, including programs, lecture notes, hand-outs, films and videos. (Date Range: 1960 - )</td>
<td>Destroy when course is superseded or when training material is no longer relevant</td>
</tr>
<tr>
<td>2837</td>
<td>Working papers documenting the development of training material for the trade facilitation and compliance function. (Date Range: 1960 - )</td>
<td>Destroy 1 year after training material is produced</td>
</tr>
<tr>
<td>2838</td>
<td>Records detailing administrative arrangements supporting the conduct of training courses. (Date Range: 1960 - )</td>
<td>Destroy 3 years after action completed</td>
</tr>
<tr>
<td>2839</td>
<td>Notification of examination results and awarding of certificates. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>
TRADE FACILITATION AND COMPLIANCE

The function of controlling and facilitating the movement of commercial consignments of goods, including postal items, in and out of Australia. Includes provision of advice relating to tariff classification, goods valuation, and rules of origin; referral of matters to other agencies; making of agreements with clients and agencies (including copyright and trade mark 'objections'); handling of appeals; the clearance of goods for import and export; the control of goods (including withholding) for the purposes of examination, treatment etc; the reporting of cargoes by carriers; the provision of education and training programmes; the enforcement of regulatory requirements relating to payment of duties and taxes, import/export prohibitions and restrictions etc; the handling of matters referred by industry for enquiry; the licensing of brokers and warehouse operators (including monitoring and control of licensee operations); formal review of decisions, the audit and checking of the commercial records of importers, exporters, brokers, carriers and warehouse operators.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc., use REVENUE MANAGEMENT.

Enforcement

The practices involved in the application of regulatory power including the detection and control of the illegal entry of goods and persons. Includes the seizure and forfeiture of goods, the detention, search and arrest of persons.

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<tbody>
<tr>
<td>2840</td>
<td>Records documenting interception of prohibited and restricted imports and exports. Includes records leading up to, and resulting from, the conduct of search and seizure (e.g. warrants), and notification of actions taken. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>

[For the referral of matters to other agencies, use TRADE FACILITATION AND COMPLIANCE - Agency Referral. For the prosecution of importers, use INVESTIGATION - Investigations Case.

For records used to manage the movement of seized goods, use TRADE FACILITATION AND COMPLIANCE - Goods Control.]
## TRADE FACILITATION AND COMPLIANCE

The function of controlling and facilitating the movement of commercial consignments of goods, including postal items, in and out of Australia. Includes provision of advice relating to tariff classification, goods valuation, and rules of origin; referral of matters to other agencies; making of agreements with clients and agencies (including copyright and trade mark ‘objections’); handling of appeals; the clearance of goods for import and export; the control of goods (including withholding) for the purposes of examination, treatment etc; the reporting of cargoes by carriers; the provision of education and training programmes; the enforcement of regulatory requirements relating to payment of duties and taxes, import/export prohibitions and restrictions etc; the handling of matters referred by industry for enquiry; the licensing of brokers and warehouse operators (including monitoring and control of licensee operations); formal review of decisions, the audit and checking of the commercial records of importers, exporters, brokers, carriers and warehouse operators.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc., use **REVENUE MANAGEMENT**.

### Goods Control

The processes associated with the movement, inspection, examination, securing, treatment, holding, discharge, deconsolidation, return and disposal of goods. Includes stocktakes and disposal of seized and forfeited goods, and approvals of movement of goods between vessels.

<table>
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<tbody>
<tr>
<td>2813</td>
<td>Records documenting the sale of goods. Includes arrangements for and notification of sales, generation of sales receipts and merchant summary. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
<tr>
<td>2841</td>
<td>Reports and other records relating to the monitoring, checking and reconciliation of cargo content at time of discharge or deconsolidation. Also includes granting or refusal of permission to transfer goods between vessels, move goods and access transhipment cargo. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>

[For the referral of matters to other agencies, use TRADE FACILITATION AND COMPLIANCE - Agency Referral.]

For the prosecution of importers, use **INVESTIGATION - Investigations Case.**

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<tbody>
<tr>
<td>2842</td>
<td>Records documenting the examination of goods including screening, targeting and inspecting consignments or individual parcels and items. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>

[For the referral of matters to other agencies, use TRADE FACILITATION AND COMPLIANCE - Agency Referral.]

For the prosecution of importers, use **INVESTIGATION - Investigations Case.**
TRADE FACILITATION AND COMPLIANCE

The function of controlling and facilitating the movement of commercial consignments of goods, including postal items, in and out of Australia. Includes provision of advice relating to tariff classification, goods valuation, and rules of origin; referral of matters to other agencies; making of agreements with clients and agencies (including copyright and trade mark 'objections'); handling of appeals; the clearance of goods for import and export; the control of goods (including withholding) for the purposes of examination, treatment etc; the reporting of cargoes by carriers; the provision of education and training programmes; the enforcement of regulatory requirements relating to payment of duties and taxes, import/export prohibitions and restrictions etc; the handling of matters referred by industry for enquiry; the licensing of brokers and warehouse operators (including monitoring and control of licensee operations); formal review of decisions, the audit and checking of the commercial records of importers, exporters, brokers, carriers and warehouse operators.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc., use REVENUE MANAGEMENT.

**Goods Control - Continued**

The processes associated with the movement, inspection, examination, securing, treatment, holding, discharge, deconsolidation, return and disposal of goods. Includes stocktakes and disposal of seized and forfeited goods, and approvals of movement of goods between vessels.

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<tbody>
<tr>
<td>2843</td>
<td>Records documenting the issue of receipts for goods that are being withheld. Includes registration, stocktake and receipt of claim for return of withheld goods. (Date Range: 1960 - )</td>
<td>Destroy 10 years after action completed</td>
</tr>
<tr>
<td></td>
<td><a href="#">For the referral of matters to other agencies, use TRADE FACILITATION AND COMPLIANCE - Agency Referral.</a></td>
<td></td>
</tr>
<tr>
<td></td>
<td>For the prosecution of importers, use INVESTIGATION - Investigations Case.</td>
<td></td>
</tr>
<tr>
<td>2844</td>
<td>Records documenting the retention, forfeiture, condemnation, impoundment, inspection, disposal, destruction and release of goods that have been seized or forfeited. Includes associated consent (to release or forfeit), claims, applications, notifications and court orders. (Date Range: 1960 - )</td>
<td>Destroy 10 years after action completed</td>
</tr>
<tr>
<td></td>
<td><a href="#">For the referral of matters to other agencies, use TRADE FACILITATION AND COMPLIANCE - Agency Referral.</a></td>
<td></td>
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<tr>
<td></td>
<td>For the prosecution of importers, use INVESTIGATION - Investigations Case.</td>
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[80]
TRADE FACILITATION AND COMPLIANCE

The function of controlling and facilitating the movement of commercial consignments of goods, including postal items, in and out of Australia. Includes provision of advice relating to tariff classification, goods valuation, and rules of origin; referral of matters to other agencies; making of agreements with clients and agencies (including copyright and trade mark 'objections'); handling of appeals; the clearance of goods for import and export; the control of goods (including withholding) for the purposes of examination, treatment etc; the reporting of cargoes by carriers; the provision of education and training programmes; the enforcement of regulatory requirements relating to payment of duties and taxes, import/export prohibitions and restrictions etc; the handling of matters referred by industry for enquiry; the licensing of brokers and warehouse operators (including monitoring and control of licensee operations); formal review of decisions, the audit and checking of the commercial records of importers, exporters, brokers, carriers and warehouse operators.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc., use REVENUE MANAGEMENT.

Industry Referral
The activity associated with the investigation of allegations, concerns or complaints about instances of unfair commercial advantage in the import-export sector.

For the making of agreements with industry groups and companies for industry referral purposes, use TRADE FACILITATION AND COMPLIANCE - Agreements.

For allegations that require further investigation involving criminal offences or prosecution use INVESTIGATION - Investigations Case.

Entry 2845  Description of Records  Disposal Action
Records documenting the receipt and acknowledgment of submissions or advice received from industry or the public requiring investigation or response in relation to trade facilitation and compliance policies or procedures. Includes enquiries into matters such as alleged false trade descriptions, alleged trade mark violations, alleged duty evasion, awarding of preference entitlements (Rules of Origin) and follow-up enquiries and monitoring. (Date Range: 1960 -)

[For investigation of allegations etc related to dumping and subsidisation, use INDUSTRY SCHEMES AND TRADE MEASURES - Dumping and Subsidisation Enquiries.

For clarification or questions regarding Customs procedures, use TRADE FACILITATION AND COMPLIANCE - Advice]

Disposal Action: Destroy 5 years after action completed
# TRADE FACILITATION AND COMPLIANCE

The function of controlling and facilitating the movement of commercial consignments of goods, including postal items, in and out of Australia. Includes provision of advice relating to tariff classification, goods valuation, and rules of origin; referral of matters to other agencies; making of agreements with clients and agencies (including copyright and trade mark 'objections'); handling of appeals; the clearance of goods for import and export; the control of goods (including withholding) for the purposes of examination, treatment etc; the reporting of cargoes by carriers; the provision of education and training programmes; the enforcement of regulatory requirements relating to payment of duties and taxes, import/export prohibitions and restrictions etc; the handling of matters referred by industry for enquiry; the licensing of brokers and warehouse operators (including monitoring and control of licensee operations); formal review of decisions, the audit and checking of the commercial records of importers, exporters, brokers, carriers and warehouse operators.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc., use REVENUE MANAGEMENT.

## Licensing

The processes associated with the issue and regulation of licences formally permitting persons to provide certain customs-related services including brokerage, depots, duty-free shops, and warehouses. Includes licence renewals, cancellations, revocations, suspensions and variations. Also includes directions to move or remove warehouse goods, pay duties etc.; permissions to pack or remove warehouse goods; notifications of changes affecting conditions for holding of licence; referral of matters to National Customs Agents/Brokers Advisory Committee.

For the release of warehoused goods for export or home consumption, use TRADE FACILITATION AND COMPLIANCE - Cargo Clearance.

### Entry Description of Records Disposal Action

<table>
<thead>
<tr>
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</tr>
</thead>
<tbody>
<tr>
<td>2846</td>
<td>Records documenting the granting of licences (depot, warehouse, brokers) and permissions or directions for undertaking of activities and tasks on licensed premises. Includes applications, alteration of licence conditions/endorsements, and refusals to grant or vary licences. (Date Range: 1960 - )</td>
<td>Destroy 10 years after expiry or other termination or refusal of licence</td>
</tr>
</tbody>
</table>

[For the making of agreements with industry groups and companies for industry referral purposes, use TRADE FACILITATION AND COMPLIANCE – Agreements.]

## Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

### Entry Description of Records Disposal Action

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</thead>
<tbody>
<tr>
<td>2847</td>
<td>Final versions of plans formulated to support the trade facilitation and compliance function. (Date Range: 1960 - )</td>
<td>Destroy 5 years after plan is superseded</td>
</tr>
<tr>
<td>2848</td>
<td>Working papers documenting the development of trade facilitation and compliance plans. Includes input into plans, comments received and drafts. (Date Range: 1960 - )</td>
<td>Destroy 3 years after adoption of the final plan</td>
</tr>
</tbody>
</table>
TRADE FACILITATION AND COMPLIANCE

The function of controlling and facilitating the movement of commercial consignments of goods, including postal items, in and out of Australia. Includes provision of advice relating to tariff classification, goods valuation, and rules of origin; referral of matters to other agencies; making of agreements with clients and agencies (including copyright and trade mark 'objections'); handling of appeals; the clearance of goods for import and export; the control of goods (including withholding) for the purposes of examination, treatment etc; the reporting of cargoes by carriers; the provision of education and training programmes; the enforcement of regulatory requirements relating to payment of duties and taxes, import/export prohibitions and restrictions etc; the handling of matters referred by industry for enquiry; the licensing of brokers and warehouse operators (including monitoring and control of licensee operations); formal review of decisions, the audit and checking of the commercial records of importers, exporters, brokers, carriers and warehouse operators.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc., use REVENUE MANAGEMENT.

Policy
The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
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</thead>
</table>
| 2849  | Records documenting the development and establishment of trade facilitation and compliance policies. Includes:  
- final policy documents  
- major drafts  
- supporting reports  
- policy proposals  
(Date Range: 1960 - ) | Retain as national archives |

2850 Working papers documenting the development of all trade facilitation and compliance policies.  
(Date Range: 1960 - )  

Disposal Action  
Destroy 5 years after promulgation of the new policy

Procedures
Standard methods of operating laid down by an organisation according to formulated policy.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
</table>
| 2851  | Master set of procedures supporting the trade facilitation and compliance function.  
(Date Range: 1960 - ) | Retain as national archives |

2852 Records documenting the development of agency procedures supporting the trade facilitation and compliance function.  
(Date Range: 1960 - )  

Disposal Action  
Destroy 3 year after procedures superseded
# TRADE FACILITATION AND COMPLIANCE

The function of controlling and facilitating the movement of commercial consignments of goods, including postal items, in and out of Australia. Includes provision of advice relating to tariff classification, goods valuation, and rules of origin; referral of matters to other agencies; making of agreements with clients and agencies (including copyright and trade mark 'objections'); handling of appeals; the clearance of goods for import and export; the control of goods (including withholding) for the purposes of examination, treatment etc; the reporting of cargoes by carriers; the provision of education and training programmes; the enforcement of regulatory requirements relating to payment of duties and taxes, import/export prohibitions and restrictions etc; the handling of matters referred by industry for enquiry; the licensing of brokers and warehouse operators (including monitoring and control of licensee operations); formal review of decisions, the audit and checking of the commercial records of importers, exporters, brokers, carriers and warehouse operators.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc., use \textit{REVENUE MANAGEMENT}.

## Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

For the \textit{reporting} of cargo by carriers, use \textit{TRADE FACILITATION AND COMPLIANCE - Cargo Reporting}.

<table>
<thead>
<tr>
<th>Entry</th>
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</thead>
<tbody>
<tr>
<td>2853</td>
<td>Final version of internal formal reports and reports made to external agencies relating to the trade facilitation and compliance function. (Date Range: 1960 - )</td>
<td>Destroy 5 years after action completed</td>
</tr>
<tr>
<td>2854</td>
<td>Working papers documenting the development of all reports. Includes drafts and comments received. (Date Range: 1960 - )</td>
<td>Destroy 1 year after action completed</td>
</tr>
</tbody>
</table>

## Research

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc. Used to support the development of projects, standards, guidelines etc and the business activities of the organisation in general. Includes following up enquiries relating to organisational programs, projects, working papers, literature searches etc.

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<tbody>
<tr>
<td>2855</td>
<td>Records documenting final reports of research carried out to support the trade facilitation and compliance function. (Date Range: 1960 - )</td>
<td>Destroy 10 years after action completed</td>
</tr>
<tr>
<td>2856</td>
<td>Working papers documenting research carried out in support of the trade facilitation and compliance function. (Date Range: 1960 - )</td>
<td>Destroy 3 years after action completed</td>
</tr>
</tbody>
</table>
TRADE FACILITATION AND COMPLIANCE

The function of controlling and facilitating the movement of commercial consignments of goods, including postal items, in and out of Australia. Includes provision of advice relating to tariff classification, goods valuation, and rules of origin; referral of matters to other agencies; making of agreements with clients and agencies (including copyright and trade mark 'objections'); handling of appeals; the clearance of goods for import and export; the control of goods (including withholding) for the purposes of examination, treatment etc; the reporting of cargoes by carriers; the provision of education and training programmes; the enforcement of regulatory requirements relating to payment of duties and taxes, import/export prohibitions and restrictions etc; the handling of matters referred by industry for enquiry; the licensing of brokers and warehouse operators (including monitoring and control of licensee operations); formal review of decisions, the audit and checking of the commercial records of importers, exporters, brokers, carriers and warehouse operators.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc., use LEVRE MANAGEMENT.

Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

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<tbody>
<tr>
<td>2857</td>
<td>Records documenting the review and monitoring of trade facilitation and compliance operations. Includes documents establishing the review, final report and action plan. (Date Range: 1960 - )</td>
<td>Destroy 5 years after action completed</td>
</tr>
<tr>
<td>2858</td>
<td>Working papers documenting the conduct of the review of operations including methodologies, interviews, research and drafts that support the trade facilitation and compliance function. (Date Range: 1960 - )</td>
<td>Destroy 2 years after action completed</td>
</tr>
</tbody>
</table>

Reviews (decisions)

The activities involved in the process of reviewing actions both by an agency, or an external body. Includes reviews of promotion decisions.

For appeals to the Administrative Reviews Tribunal (AAT) or Courts relating to Trade decisions, use TRADE FACILITATION AND COMPLIANCE - Appeals (decisions).

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</thead>
<tbody>
<tr>
<td>2859</td>
<td>Records documenting applications for reviews of decisions. Includes reports and review of; goods classification, goods valuation, Rules of Origin, and decisions made under Copyright Act. (Date Range: 1960 - )</td>
<td>Destroy 5 years after action completed</td>
</tr>
</tbody>
</table>
TRADE FACILITATION AND COMPLIANCE

The function of controlling and facilitating the movement of commercial consignments of goods, including postal items, in and out of Australia. Includes provision of advice relating to tariff classification, goods valuation, and rules of origin; referral of matters to other agencies; making of agreements with clients and agencies (including copyright and trade mark 'objections'); handling of appeals; the clearance of goods for import and export; the control of goods (including withholding) for the purposes of examination, treatment etc; the reporting of cargoes by carriers; the provision of education and training programmes; the enforcement of regulatory requirements relating to payment of duties and taxes, import/export prohibitions and restrictions etc; the handling of matters referred by industry for enquiry; the licensing of brokers and warehouse operators (including monitoring and control of licensee operations); formal review of decisions, the audit and checking of the commercial records of importers, exporters, brokers, carriers and warehouse operators.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc., use REVENUE MANAGEMENT.

Risk Management
The process involving the identification of risks, the likelihood and consequences of those risks, and the implementation of appropriate practice and procedures to treat the risks.

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<tr>
<td>2860</td>
<td>Records documenting risk management relating to the trade facilitation and compliance function. Includes records covering each stage of the process, treatment schedules, risk register and action plans. (Date Range: 1960 - )</td>
<td>Destroy 7 years after next risk assessment is completed</td>
</tr>
</tbody>
</table>

Standards
The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the organisation.

<table>
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</thead>
<tbody>
<tr>
<td>2861</td>
<td>Records documenting the implementation of national, international and agency standards to support the trade facilitation and compliance function. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>
TRADE FACILITATION AND COMPLIANCE

The function of controlling and facilitating the movement of commercial consignments of goods, including postal items, in and out of Australia. Includes provision of advice relating to tariff classification, goods valuation, and rules of origin; referral of matters to other agencies; making of agreements with clients and agencies (including copyright and trade mark 'objections'); handling of appeals; the clearance of goods for import and export; the control of goods (including withholding) for the purposes of examination, treatment etc; the reporting of cargoes by carriers; the provision of education and training programmes; the enforcement of regulatory requirements relating to payment of duties and taxes, import/export prohibitions and restrictions etc; the handling of matters referred by industry for enquiry; the licensing of brokers and warehouse operators (including monitoring and control of licensee operations); formal review of decisions, the audit and checking of the commercial records of importers, exporters, brokers, carriers and warehouse operators.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc., use REVENUE MANAGEMENT.

Trade Audit

The activity associated with officially checking records of importers, exporters, customs brokers, warehouse operators and carriers to ensure the records have been kept and maintained in accordance with agreed or legislated standards. Also includes the examination and checking of records against related entries, reports, applications etc submitted to the agency.

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<tbody>
<tr>
<td>2862</td>
<td>Records documenting the planning and conduct of industry audits and monitoring relating to the trade facilitation and compliance function. Includes applications for warrants and recommendations for sanctions and other actions. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>

[For imposition of fines, penalties, sanctions and other measures arising from audit recommendations, use REVENUE MANAGEMENT - Client Compliance.]
TRAVEL FACILITATION AND COMPLIANCE

The function of processing passengers, crews and their belongings, and the detection and interception of suspect illegal activity, at the border. Includes referral of matters (eg quarantine, immigration, permit requirements) to other agencies; making of agreements (eg carrier access to Customs computer systems); ship and aircraft arrival/departure reporting; authorisation, including ship and aircraft movement and docking/landing approvals, appointment of ports, airports, wharves and boarding stations; enforcement, including detention and search of passengers; goods control; processing of passengers and non-dutiable belongings through Customs gateways.

For clearance of commercial goods and goods in excess of duty free allowances use TRADE FACILITATION AND COMPLIANCE - Cargo Clearance.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc use REVENUE MANAGEMENT.

Advice

The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2863</td>
<td>Records relating to the receipt and provision of advice on the travel facilitation and compliance function. (Date Range: 1960 - )</td>
<td>Destroy 2 years after advice has been provided</td>
</tr>
</tbody>
</table>

Agency Referral

The activity involved in the passing of matters to other agencies for their attention, and the receipt of matters from other agencies for the attention of Customs.

For Agency Referrals that lead to prosecution, use INVESTIGATIONS - Investigations Case.

For an Agency Referral that leads to detention of persons, use TRADE FACILITATION AND COMPLIANCE - Enforcement or TRAVEL FACILITATION AND COMPLIANCE - Enforcement as appropriate.

For an Agency Referral that leads to seizure or forfeiture of goods, use TRADE FACILITATION AND COMPLIANCE - Goods Control or TRAVEL FACILITATION AND COMPLIANCE - Goods Control as appropriate.

<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>2864</td>
<td>Records documenting requests for assistance or referral of matters to or from other agencies. Includes referral of goods to Quarantine Agency for quarantine inspection or treatment, forwarding of currency transfer reports to financial transaction reporting agency, and the handover of seized narcotics, and other goods or articles to the Australian Federal Police. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>
TRAVEL FACILITATION AND COMPLIANCE

The function of processing passengers, crews and their belongings, and the detection and interception of suspect illegal activity, at the border. Includes referral of matters (eg quarantine, Immigration, permit requirements) to other agencies; making of agreements (eg carrier access to Customs computer systems); ship and aircraft arrival/departure reporting; authorisation, including ship and aircraft movement and docking/landing approvals, appointment of ports, airports, wharves and boarding stations; enforcement, including detention and search of passengers; goods control; processing of passengers and non-dutiable belongings through Customs gateways.

For clearance of commercial goods and goods in excess of duty free allowances use TRAVEL FACILITATION AND COMPLIANCE - Cargo Clearance.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc use REVENUE MANAGEMENT.

Agreements
The processes associated with the establishment, maintenance, review and negotiation of agreements.

For whole of government agreements use GOVERNMENT RELATIONS - Agreements.

<table>
<thead>
<tr>
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</tr>
</thead>
<tbody>
<tr>
<td>2865</td>
<td>Records documenting the negotiation, establishment, issue, maintenance and review of agreements with agencies, clients, airport owners/administrators, and shipping or airline companies. Includes agreements, concerning arrangements for referral of matters and sharing of information, access to computer systems, issue of Restricted Goods Export Permits for exportation for non-commercial purposes of sporting firearms and non-military ammunition and explosives. (Date Range: 1960 - )</td>
<td>Destroy 7 years after agreement expires or is superseded</td>
</tr>
</tbody>
</table>

Appeals (decisions)
The activities involved in the process of appeals against decisions by application to a higher authority.

<table>
<thead>
<tr>
<th>Entry</th>
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<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2866</td>
<td>Records documenting appeals made to the Administrative Appeals Tribunal (AAT) or the Federal Court against decisions made by Customs. Includes, decision of refusing to authorise a journey between a sea installation and an external place, decision not to grant a Certificate of Clearance to a ship master or aircraft pilot. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>
TRAVEL FACILITATION AND COMPLIANCE

The function of processing passengers, crews and their belongings, and the detection and interception of suspect illegal activity, at the border. Includes referral of matters (eg quarantine, immigration, permit requirements) to other agencies; making of agreements (eg carrier access to Customs computer systems); ship and aircraft arrival/departure reporting; authorisation, including ship and aircraft movement and docking/landing approvals, appointment of ports, airports, wharves and boarding stations; enforcement, including detention and search of passengers; goods control; processing of passengers and non-dutiable belongings through Customs gateways.

For clearance of commercial goods and goods in excess of duty free allowances use TRADE FACILITATION AND COMPLIANCE - Cargo Clearance.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc use REVENUE MANAGEMENT.

Arrival and Departure Reporting

The activity of receiving reports relating to the pending and actual arrivals and departures of ships and aircraft. Includes listing of passengers and crews, reporting of the loss or wreckage of ships and aircraft, and the boarding of ships, small craft and aircraft.

For the processing of passenger declarations and other documents, use TRAVEL FACILITATION AND COMPLIANCE - Passenger and Crew Processing.

<table>
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<tr>
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<tbody>
<tr>
<td>2867</td>
<td>Records documenting the impending arrival and arrival of ships and aircraft, particulars of passengers and crews, details of ships and aircraft stores, and the loss or wreckage of ships and aircraft. Includes registers, supporting documentation and information. (Date Range: 1960 - )</td>
<td>Destroy 7 years after report received</td>
</tr>
</tbody>
</table>
# TRAVEL FACILITATION AND COMPLIANCE

The function of processing passengers, crews and their belongings, and the detection and interception of suspect illegal activity, at the border. Includes referral of matters (eg quarantine, immigration, permit requirements) to other agencies; making of agreements (eg carrier access to Customs computer systems); ship and aircraft arrival/departure reporting; authorisation, including ship and aircraft movement and docking/landing approvals, appointment of ports, airports, wharves and boarding stations; enforcement, including detention and search of passengers; goods control; processing of passengers and non-dutiable belongings through Customs gateways.

For clearance of commercial goods and goods in excess of duty free allowances use TRADE FACILITATION AND COMPLIANCE - Cargo Clearance.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc use REVENUE MANAGEMENT.

## Authorisation

The process of delegating power to authorise an action and the seeking and granting permission to undertake a requested action.

<table>
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<tr>
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</thead>
<tbody>
<tr>
<td>2868</td>
<td>Records documenting the appointment of ports, airports, wharves, boarding stations, and sufferance wharves. Includes permissions for installations. (Date Range: 1960 - )</td>
<td>Retain as national archives.</td>
</tr>
<tr>
<td>2869</td>
<td>Records documenting the consideration of applications required under legislation or formal procedure, for the approval of certain arrangements or permissions relating to the movement of persons, aircraft and vessels. Includes landing or docking at places either not designated or not appointed as a port or airport, making of direct journeys between sea installations and external places, making unauthorised journeys, and exemptions from arrival and departure reporting requirements. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
<tr>
<td>2870</td>
<td>Records documenting the delegation of powers to Customs, and the appointment of persons other than Australian Customs Service employees as officers of Customs. Includes authorisation of access to Financial Transaction Reports, authorisation for Customs officers to perform certain migration-related actions, and authorisation for officers to act as detention officers. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>
TRAVEL FACILITATION AND COMPLIANCE

The function of processing passengers, crews and their belongings, and the detection and interception of suspect illegal activity, at the border. Includes referral of matters (eg quarantine, immigration, permit requirements) to other agencies; making of agreements (eg carrier access to Customs computer systems); ship and aircraft arrival/departure reporting; authorisation, including ship and aircraft movement and docking/landing approvals, appointment of ports, airports, wharves and boarding stations; enforcement, including detention and search of passengers; goods control; processing of passengers and non-dutiable belongings through Customs gateways.

For clearance of commercial goods and goods in excess of duty free allowances use TRADE FACILITATION AND COMPLIANCE - Cargo Clearance.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc use REVENUE MANAGEMENT.

Com mittees

The activities associated with the management of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas etc.

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</thead>
<tbody>
<tr>
<td>2871</td>
<td>Records of committees including: final version of minutes, tabling of plans, programs, reports, including the National Passenger Processing Committee (NPPC). (Date Range: 1960 - )</td>
<td>Retain as national archives</td>
</tr>
<tr>
<td>2872</td>
<td>Working papers documenting the conduct and administration of committees which consider matters relating to the travel facilitation and compliance function. (Date Range: 1960 - )</td>
<td>Destroy 5 years after action completed</td>
</tr>
</tbody>
</table>
TRAVEL FACILITATION AND COMPLIANCE

The function of processing passengers, crews and their belongings, and the detection and interception of suspect illegal activity, at the border. Includes referral of matters (eg quarantine, immigration, permit requirements) to other agencies; making of agreements (eg carrier access to Customs computer systems); ship and aircraft arrival/departure reporting; authorisation, including ship and aircraft movement and docking/landing approvals, appointment of ports, airports, wharves and boarding stations; enforcement, including detention and search of passengers; goods control; processing of passengers and non-dutiable belongings through Customs gateways.

For clearance of commercial goods and goods in excess of duty free allowances use TRADE FACILITATION AND COMPLIANCE - Cargo Clearances.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc use REVENUE MANAGEMENT.

Education and Training

The activity associated with the external delivery of education and training programs to industry and government.

For corporate training of agency personnel, use STAFF DEVELOPMENT - Training.

<table>
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<tr>
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</thead>
<tbody>
<tr>
<td>2873</td>
<td>Master set of training material for travel facilitation and compliance courses. Includes: programs, lecture notes, hand-outs, films and videos. (Date Range: 1960 - )</td>
<td>Destroy when course is superseded or when training material is no longer relevant</td>
</tr>
<tr>
<td>2874</td>
<td>Working papers documenting the development of training material for travel facilitation and compliance courses. (Date Range: 1960 - )</td>
<td>Destroy 1 year after training material is produced</td>
</tr>
<tr>
<td>2875</td>
<td>Records detailing administrative arrangements supporting the conduct of training courses. (Date Range: 1960 - )</td>
<td>Destroy 3 years after action completed</td>
</tr>
<tr>
<td>2876</td>
<td>Notification of examination results and awarding of certificates. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>
TRAVEL FACILITATION AND COMPLIANCE

The function of processing passengers, crews and their belongings, and the detection and interception of suspect illegal activity, at the border. Includes referral of matters (eg quarantine, immigration, permit requirements) to other agencies; making of agreements (eg carrier access to Customs computer systems); ship and aircraft arrival/departure reporting; authorisation, including ship and aircraft movement and docking/landing approvals, appointment of ports, airports, wharves and boarding stations; enforcement, including detention and search of passengers; goods control; processing of passengers and non-dutyable belongings through Customs gateways.

For clearance of commercial goods and goods in excess of duty free allowances use TRADE FACILITATION AND COMPLIANCE - Cargo Clearance.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc use REVENUE MANAGEMENT.

Enforcement

The practices involved in the application of regulatory power including the detection and control of the illegal entry of goods and persons. Includes the seizure and forfeiture of goods, the detention, search and arrest of persons.

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<tbody>
<tr>
<td>2877</td>
<td>Records documenting the interception of prohibited and restricted imports and exports including seizure of goods and substances, and the search, detention and or arrest of persons. Includes related applications to the courts and court orders, detainee consents, notes and records of interview. (Date Range: 1960 - )</td>
<td>Destroy 7 years after detention or search completed.</td>
</tr>
<tr>
<td>2878</td>
<td>Records of results of external search where relevant proceedings have not been instituted or have been discontinued. Includes videotape, photograph, image or sample from outer surface of the detainee. (Date Range: 1960 - )</td>
<td>Destroy as soon as practicable after a period of 12 months has elapsed since the record was made (Director of Public Prosecution may extend the period)</td>
</tr>
<tr>
<td>2879</td>
<td>Records of results of external search where detainee is found to have; committed a relevant offence and no conviction is recorded; or the detainee is acquitted and there is no appeal or an appeal is rejected or withdrawn. (Date Range: 1960 - )</td>
<td>Destroy as soon as practicable after incident completed. (Except where the record is pending investigation into another offence)</td>
</tr>
</tbody>
</table>
TRAVEL FACILITATION AND COMPLIANCE

The function of processing passengers, crews and their belongings, and the detection and interception of suspect illegal activity, at the border. Includes referral of matters (eg quarantine, immigration, permit requirements) to other agencies; making of agreements (eg carrier access to Customs computer systems); ship and aircraft arrival/departure reporting; authorisation, including ship and aircraft movement and docking/landing approvals, appointment of ports, airports, wharves and boarding stations; enforcement, including detention and search of passengers; goods control; processing of passengers and non-dutyable belongings through Customs gateways.

For clearance of commercial goods and goods in excess of duty free allowances use TRADE FACILITATION AND COMPLIANCE - Cargo Clearance.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc use REVENUE MANAGEMENT.

Goods Control

The processes associated with the movement, inspection, examination, securing, treatment, holding, discharge, deconsolidation, return and disposal of goods. Includes stocktakes and disposal of seized and forfeited goods, and approvals of movement of goods between vessels.

<table>
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<tbody>
<tr>
<td>2880</td>
<td>Records documenting the retention, forfeiture, condemnation, impoundment, inspection, destruction and release of goods that have been seized or forfeited. Includes associated consent (to release or forfeiture), claims, applications, notifications and court orders, registration, stocktake and receipt of claim for return of withheld goods. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>

[For the application of regulatory powers to detect concealed etc goods use TRAVEL FACILITATION AND COMPLIANCE - Enforcement.

For the prosecution of travellers, use INVESTIGATION - Investigations Case.

For the referral of matters to other agencies, use TRAVEL FACILITATION AND COMPLIANCE - Agency Referral.

For the sale of goods seized, relinquished, abandoned etc. by travellers use TRADE FACILITATION - Goods Control.]

Liaison

The activities associated with maintaining regular general contact between the organisation and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

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<tbody>
<tr>
<td>2881</td>
<td>Records documenting liaison activities undertaken with professional organisations. Includes provision and receipt of information, invitations and arrangements for seminars (Date Range: 1980 - )</td>
<td>Destroy 3 years after action completed</td>
</tr>
</tbody>
</table>
TRAVEL FACILITATION AND COMPLIANCE

The function of processing passengers, crews and their belongings, and the detection and interception of suspect illegal activity, at the border. Includes referral of matters (eg quarantine, immigration, permit requirements) to other agencies; making of agreements (eg carrier access to Customs computer systems); ship and aircraft arrival/departure reporting; authorisation, including ship and aircraft movement and docking/landing approvals, appointment of ports, airports, wharves and boarding stations; enforcement, including detention and search of passengers; goods control; processing of passengers and non-dutyable belongings through Customs gateways.

For clearance of commercial goods and goods in excess of duty free allowances use TRADE FACILITATION AND COMPLIANCE - Cargo Clearance.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc use REVENUE MANAGEMENT.

Passenger and Crew Processing

The activity associated with expediting, in accordance with regulatory requirements, the passage of travellers, crews and their belongings through Customs gateways. Includes declarations of prohibited or restricted items, reports of currency transfers, approvals for home consumption without entry, and the processing of passenger cards, travellers statements, boarding passes, passports and other travel documentation.

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<tbody>
<tr>
<td>2882</td>
<td>Records documenting the collection of passenger and crew declarations and travel details. Includes unaccompanied effects statements and related packing lists, clearance of personal effects, sighting of permits/licences/receipts and certification (stamping, signing) of Carnets, reports relating to transfers of currency, inspection of goods, processing of passports (ie visas and other immigration-related documentation) processing of Quarantine Statements, and collection of Goods Exported in Passenger Baggage form. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>

[For the application of regulatory powers to detect concealed etc goods use TRAVEL FACILITATION AND COMPLIANCE - Enforcement.

For calculation and collection of duty and taxation payments, use REVENUE MANAGEMENT - Collection.

For the referral of matters to other agencies, use TRAVEL FACILITATION AND COMPLIANCE - Agency Referral.

For the prosecution of travellers, use INVESTIGATION - Investigations Case.

For records used to manage the movement of seized goods use TRAVEL FACILITATION AND COMPLIANCE - Goods Control.]
TRAVEL FACILITATION AND COMPLIANCE

The function of processing passengers, crews and their belongings, and the detection and interception of suspect illegal activity, at the border. Includes referral of matters (eg quarantine, immigration, permit requirements) to other agencies; making of agreements (eg carrier access to Customs computer systems); ship and aircraft arrival/departure reporting; authorisation, including ship and aircraft movement and docking/landing approvals, appointment of ports, airports, wharves and boarding stations; enforcement, including detention and search of passengers; goods control; processing of passengers and non-dutyable belongings through Customs gateways.

For clearance of commercial goods and goods in excess of duty free allowances use TRADE FACILITATION AND COMPLIANCE - Cargo Clearance.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc use REVENUE MANAGEMENT.

Planning
The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

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</thead>
<tbody>
<tr>
<td>2883</td>
<td>Final version of plans produced for the travel facilitation and compliance function.</td>
<td>Destroy 5 years after plan is superseded</td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1960 - )</td>
<td></td>
</tr>
<tr>
<td>2884</td>
<td>Working papers used to develop plans for the travel facilitation and compliance function. Includes input into plans, comments received and drafts.</td>
<td>Destroy 1 year after adoption of the final plan</td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1960 - )</td>
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</tbody>
</table>

Policy
The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

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<tbody>
<tr>
<td>2885</td>
<td>Records documenting the promulgation and issue of final, authorised travel facilitation and compliance policy. Includes: <em>final policy documents</em> <em>major drafts</em> <em>supporting reports</em> <em>policy proposals</em></td>
<td>Retain as national archives</td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1960 - )</td>
<td></td>
</tr>
<tr>
<td>2886</td>
<td>Working papers documenting the development of travel facilitation and compliance policy including research, draft documents, submissions and comments.</td>
<td>Destroy 3 years after promulgation of the new policy</td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1960 - )</td>
<td></td>
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</tbody>
</table>
TRAVEL FACILITATION AND COMPLIANCE

The function of processing passengers, crews and their belongings, and the detection and interception of suspect illegal activity, at the border. Includes referral of matters (eg quarantine, immigration, permit requirements) to other agencies; making of agreements (eg carrier access to Customs computer systems); ship and aircraft arrival/departure reporting; authorisation, including ship and aircraft movement and docking/landing approvals, appointment of ports, airports, wharves and boarding stations; enforcement, including detention and search of passengers; goods control; processing of passengers and non-dutiable belongings through Customs gateways.

For clearance of commercial goods and goods in excess of duty free allowances use TRADE FACILITATION AND COMPLIANCE - Cargo Clearance.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc use REVENUE MANAGEMENT.

Procedures

Standard methods of operating laid down by an organisation according to formulated policy.

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</thead>
<tbody>
<tr>
<td>2887</td>
<td>Master set of procedures supporting the travel facilitation and compliance function.</td>
<td>Retain as national archives</td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1960 - )</td>
<td></td>
</tr>
<tr>
<td>2888</td>
<td>Records documenting the development of agency procedures supporting the travel facilitation and compliance function.</td>
<td>Destroy 1 year after procedures superseded</td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1960 - )</td>
<td></td>
</tr>
</tbody>
</table>

Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

For the reporting of passengers and crew, use TRAVEL FACILITATION AND COMPLIANCE - Arrival and Departure Reporting.

<table>
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<tr>
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<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2889</td>
<td>Final version of formal internal reports and reports made to external agencies relating to the travel facilitation and compliance function.</td>
<td>Destroy 5 years after action completed.</td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1960 - )</td>
<td></td>
</tr>
<tr>
<td>2890</td>
<td>Working papers documenting the development of all reports. Includes drafts, comments received, statistical analysis, information gathering and research.</td>
<td>Destroy 1 year after action completed</td>
</tr>
<tr>
<td></td>
<td>(Date Range: 1960 - )</td>
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</tbody>
</table>
TRAVEL FACILITATION AND COMPLIANCE

The function of processing passengers, crews and their belongings, and the detection and interception of suspect illegal activity, at the border. Includes referral of matters (eg quarantine, immigration, permit requirements) to other agencies; making of agreements (eg carrier access to Customs computer systems); ship and aircraft arrival/departure reporting; authorisation, including ship and aircraft movement and docking/landing approvals, appointment of ports, airports, wharves and boarding stations; enforcement, including detention and search of passengers; goods control; processing of passengers and non-dutiable belongings through Customs gateways.

For clearance of commercial goods and goods in excess of duty free allowances use TRADE FACILITATION AND COMPLIANCE - Cargo Clearance.

For activities relating to the collection or payment of associated duties, taxes, fees, charges, securities, refunds, reimbursements etc use REVENUE MANAGEMENT.

Risk Management
The process involving the identification of risks, the likelihood and consequences of those risks, and the implementation of appropriate practice and procedures to treat the risks.

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</tr>
</thead>
<tbody>
<tr>
<td>2891</td>
<td>Records documenting risk management relating to the travel facilitation and compliance function. Includes records covering each stage of the process, treatment schedules and action plans. (Date Range: 1960 - )</td>
<td>Destroy 7 years after next risk assessment is completed</td>
</tr>
</tbody>
</table>

Standards
The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the organisation.

<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>2892</td>
<td>Records documenting the implementation of industry and agency standards to support the travel facilitation and compliance function. (Date Range: 1960 - )</td>
<td>Destroy 7 years after action completed</td>
</tr>
</tbody>
</table>