



**Australian Government**  

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**National Archives of Australia**

**Records Authority**

**Australian Transaction Reports and  
Analysis Centre (AUSTRAC)**

Job no 2009/00589493

November 2009

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## INTRODUCTION

The Australian Transaction Reports and Analysis Centre (AUSTRAC) and the National Archives of Australia have developed this Records Authority to set out the requirements for keeping or destroying records for the core business areas of Domestic and International Relations, Intelligence, Regulatory Compliance and Regulatory Policy. It represents a significant commitment on behalf of AUSTRAC to understand, create and manage the records of its activities.

This Authority is based on the identification and analysis of the business of AUSTRAC. It takes into account the agency's legal and organisational records management requirements, and the interests of stakeholders, the agency and the National Archives of Australia.

This Authority gives AUSTRAC permission under the *Archives Act 1983*, for the destruction, retention or transfer to the National Archives of Australia of the records described. The Authority sets out those records that need to be retained as national archives and the minimum length of time that temporary records need to be kept. Retention periods for these temporary records are based on: an assessment of business needs; broader organisational accountability requirements; and community expectations, and are approved by the National Archives of Australia on the basis of information provided by the agency.

AUSTRAC may use the following tools to dispose of their records:

- this Records Authority covering its agency specific records;
- general records authorities, such as the Administrative Functions Disposal Authority (AFDA), covering business processes and records common to Australian Government agencies; and
- normal administrative practice (NAP) which allows for the destruction of records where the records are duplicated, unimportant or for short-term use only.

As changes in circumstances may affect future records management requirements, the periodic review of this Authority is recommended. All amendments must be approved by the National Archives.

Advice on using this Authority and other records management matters is available from the National Archives' website at [www.naa.gov.au](http://www.naa.gov.au) or by contacting the Agency Service Centre at [recordkeeping@naa.gov.au](mailto:recordkeeping@naa.gov.au) or (02) 6212 3610.

## APPLICATION OF THIS AUTHORITY

1. This Authority replaces Records Authority (RA) 1398 issued in May 1999. The superseded RA may no longer be used by AUSTRAC to sentence records after the date of issue of this Authority.
2. This Authority should be used in conjunction with the Administrative Functions Disposal Authority (AFDA) issued by the National Archives to cover administrative records common to Australian Government agencies.
3. This Authority should be used in conjunction with general disposal authorities issued by the National Archives that cover other types of records that may be created by AUSTRAC, such as encrypted records and source records that have been copied.
4. 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 sentencers to determine how long records need to be kept. Advice on sentencing is available from the National Archives.
5. Where the method of recording information changes (for example from a manual 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 core business. The information must be accessible for the period of time prescribed in this Authority. AUSTRAC will need to ensure that any software, hardware or documentation required to enable continuing access to the information is available for the periods prescribed.
6. In general, retention requirements indicate a minimum period for retention. AUSTRAC may extend minimum retention periods if it considers that there is an administrative need to do so, without further reference to the National Archives. Where AUSTRAC believes that its accountability will be substantially compromised because a retention period or periods are not adequate, it should contact the National Archives for review of the retention period.
7. AUSTRAC may destroy certain records without formal authorisation as a normal administrative practice. This usually occurs where the records are duplicated, facilitative or for short-term use only. NAP does not replace the arrangements agreed to in records authorities. Advice and guidance on destroying records as a normal administrative practice is available from the National Archives' website at [www.naa.gov.au](http://www.naa.gov.au).
8. From time to time the National Archives will place a freeze on some groups of records to prevent their destruction. Further information about disposal freezes and whether they affect the application of this Authority is available from the National Archives website at [www.naa.gov.au](http://www.naa.gov.au).
9. Records in the care of AUSTRAC should be appropriately stored and preserved. AUSTRAC needs to meet this obligation to ensure that the records remain authentic and accessible over time. Under section 31 of the *Archives Act 1983*, access arrangements are required for records that are in the open access period (currently after 30 years).
10. Appropriate arrangements should be made with the National Archives when records are to be transferred into custody. The National Archives accepts for transfer only those records designated as national archives.
11. Advice on how to use this Authority is available from the AUSTRAC records manager. If there are problems with the application of the Authority that cannot be resolved, please contact the National Archives.

## CONTACT INFORMATION

For assistance with this authority or for advice on other recordkeeping matters, please contact National Archives' Agency Service Centre.

Queen Victoria Terrace  
Parkes ACT 2600  
PO Box 7425  
Canberra Mail Centre ACT 2610

Tel: (02) 6212 3610  
Fax: (02) 6212 3989  
Email: [recordkeeping@naa.gov.au](mailto:recordkeeping@naa.gov.au)  
Website: [www.naa.gov.au](http://www.naa.gov.au)

# AUTHORISATION

## RECORDS AUTHORITY

**Person to whom notice of authorisation is given:**

John Schmidt  
Chief Executive Officer  
Australian Transaction Reports and Analysis Centre  
(AUSTRAC)

**Purpose:**

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

**Application:**

Domestic and International Relations  
Intelligence  
Regulatory Compliance  
Regulatory Policy

This authorisation gives permission for the destruction, retention or transfer to the National Archives of Australia of the records described. The authority will apply only if these actions take place with the consent of the agency responsible for the core business documented in the records.

**Authorising Officer**



Margaret Chalker  
Assistant Director-General, Government Information Management  
National Archives of Australia

**Date of issue:**

*25 November 2009*



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## DOMESTIC AND INTERNATIONAL RELATIONS

The function of establishing and maintaining ongoing relationships with domestic agencies and international counterparts. Includes the provision of intelligence access and services to domestic agencies and the exchange of information with international counterparts to assist in the combat against money laundering, the financing of terrorism, and other major crimes. Also includes agreements with agencies and countries governing access and exchange of financial intelligence, participation in international bodies, and the provision of training and technical assistance.

For the dissemination of financial intelligence to domestic and international agencies, use INTELLIGENCE – Dissemination.

For feedback from domestic and international agencies regarding the results achieved through access to financial intelligence, use INTELLIGENCE – Feedback.

For contact with Ministers and Members of Parliament, Parliamentary Committee Inquiries, and Royal Commissions, use AFDA - GOVERNMENT RELATIONS.

### Addresses (presentations)

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

Entry	Description of records	Disposal action
20469	Final versions of addresses delivered by agency staff relating to the domestic and international relations function.	Destroy 3 years after last action
20470	Working papers documenting the development of addresses. Includes drafts.	Destroy 1 year after last action

### Advice

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

Entry	Description of records	Disposal action
20471	Records documenting the receipt and provision of advice relating to the domestic and international relations function. Includes spontaneous dissemination and disclosures of information.	Destroy 8 years after last action

### Agency Liaison

The activities associated with establishing and maintaining relationships with other agencies, organisations, industry groups, governments, or individuals. Includes sharing informal information, consultation, collaboration on projects that are not joint ventures, and development and maintenance of profiles on agencies, clients, and countries.

*For Memoranda of Understanding and Exchange Instruments, use DOMESTIC & INTERNATIONAL RELATIONS – Agreements.*

Entry	Description of records	Disposal action
20472	Records documenting agency liaison activities undertaken with international regulators and counterpart organisations. Includes exchanges of information, notifications regarding change of contact details and information about the country, organisation, or regulator.  [For Memoranda of Understanding and Exchange Instruments, use DOMESTIC & INTERNATIONAL RELATIONS – Agreements.]	Destroy 7 years after last action

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## DOMESTIC AND INTERNATIONAL RELATIONS

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For the dissemination of financial intelligence to domestic and international agencies, use INTELLIGENCE – Dissemination.

For feedback from domestic and international agencies regarding the results achieved through access to financial intelligence, use INTELLIGENCE – Feedback.

For contact with Ministers and Members of Parliament, Parliamentary Committee Inquiries, and Royal Commissions, use AFDA - GOVERNMENT RELATIONS.

### Agency Liaison - Continued

Entry	Description of records	Disposal action
20473	Records documenting agency liaison activities undertaken with domestic partner agencies. Includes exchanges of information, client satisfaction forms, and notifications regarding change of contact details, notes on informal meetings and discussions, and partner agency profiles.	Destroy 3 years after last action
20474	Contact lists of domestic and international agencies, regulators, organisations, and members.	Destroy when superseded or obsolete

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### Agreements

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

Entry	Description of records	Disposal action
20475	Final versions of agreements made to support the agency's domestic and international relations function. Includes Memoranda of Understanding.	Destroy 7 years after expiry or other termination of agreement
20476	Records documenting the negotiations, establishment, maintenance, and review of agreements.	Destroy 7 years after expiry or other termination of agreement

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### Arrangements

The activities involved in arranging for a journey or trip. Includes preparing travel itineraries, authorisations, entitlement etc. Also includes arrangements made for the delivery of equipment or goods and the usage made of facilities, vehicles, equipment, and space.

*For the accommodation and travel accommodation associated with international attachments, use DOMESTIC AND INTERNATIONAL RELATIONS – Attachments.*

Entry	Description of records	Disposal action
20477	Records documenting administrative arrangements made regarding conferences, workshops, and training for key stakeholders. Includes booking of facilities and catering, security arrangements, confirmation of course attendance and lodgement of application forms, and processed training applications.  [For official passports and visas, use PERSONNEL – Arrangements.]	Destroy 2 years after action completed

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### Attachments

The activities associated with providing opportunities for personnel from overseas financial intelligence units to visit Australia and observe the agency at work and participate in specific agency activities.

Entry	Description of records	Disposal action
20478	Records documenting the hosting by the agency of international delegates to observe the agency at work. Includes: <ul style="list-style-type: none"><li>• requests for attachment and responses</li><li>• travel itineraries</li><li>• security checks</li><li>• photo release form</li><li>• official photos</li><li>• thank you letters</li><li>• exit interviews</li></ul>	Destroy 7 years after last action

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For the dissemination of financial intelligence to domestic and international agencies, use INTELLIGENCE – Dissemination.

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For contact with Ministers and Members of Parliament, Parliamentary Committee Inquiries, and Royal Commissions, use AFDA - GOVERNMENT RELATIONS.

### Capacity Building

The activities associated with the development and delivery of capacity building tools to international partner agencies and counterparts.

*For grant funding acquired for capacity building projects, use DOMESTIC & INTERNATIONAL RELATIONS – Grant Funding.*

*For other assistance and training that does not involve capacity-building initiatives, use DOMESTIC & INTERNATIONAL RELATIONS – Training and Technical Assistance.*

Entry	Description of records	Disposal action
20479	Final reports on the conduct of international projects.	Retain as national archives
20481	Records documenting capacity-building projects provided to domestic and international agencies. Includes project plans, progress reports, trial notes, and master sets of resources developed for projects. Excludes final project reports.  [For other forms of technical assistance, use DOMESTIC & INTERNATIONAL RELATIONS – Training & Technical Assistance]	Destroy 10 years after last action
20482	Working papers documenting the development of capacity building resources. Includes drafts and resource samples.	Destroy when reference ceases

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For the dissemination of financial intelligence to domestic and international agencies, use INTELLIGENCE – Dissemination.

For feedback from domestic and international agencies regarding the results achieved through access to financial intelligence, use INTELLIGENCE – Feedback.

For contact with Ministers and Members of Parliament, Parliamentary Committee Inquiries, and Royal Commissions, use AFDA - GOVERNMENT RELATIONS.

### Committees

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

Entry	Description of records	Disposal action
20486	Records of high level international inter-government or inter-agency committees where the agency provides the Secretariat, is the Commonwealth's main representative, or plays a significant role the committee, such as Financial Action Task Force on Money Laundering (FATF), the Asia/Pacific Group on Money Laundering (APG) and the Egmont Group of Financial Intelligence Units. Includes: <ul style="list-style-type: none"><li>• documents establishing the committee</li><li>• agendas</li><li>• final versions of minutes</li><li>• reports</li><li>• recommendations</li><li>• supporting documents such as briefing and discussion papers</li></ul>	Retain as national archives
20487	Records of domestic inter-agency committees supporting the domestic and international relations function. Includes: <ul style="list-style-type: none"><li>• documents establishing the committee</li><li>• agenda</li><li>• copies of minutes</li><li>• recommendations</li><li>• supporting documents such as briefing and discussion papers</li></ul>	Destroy 7 years after last action
20488	Working papers documenting the administrative arrangements made for the conduct of high-level international committees.	Destroy 5 years after action completed
20489	Working papers documenting the administrative arrangements made for the conduct of domestic inter-agency committees.	Destroy 2 years after last action

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For contact with Ministers and Members of Parliament, Parliamentary Committee Inquiries, and Royal Commissions, use AFDA - GOVERNMENT RELATIONS.

### 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.

Entry	Description of records	Disposal action
20490	Records documenting arrangement for agency conferences and workshops relating to the domestic and international relations function. Includes program development, arrangements for speakers, promotion, meeting notes, participants' evaluations, managing registration, and catering and venue bookings. Excludes conference reports and assessments.	Destroy 7 years after last action
20491	Reports documenting assessment of the conduct of agency conferences and workshops relating to the domestic and international relations function. Includes summary reports and evaluation reports.	Destroy 10 years after last action

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### Enquiries

The activities associated with the handling of requests for information about the organisation and its services by the general public, agency employees, or another organisation.

Entry	Description of records	Disposal action
20492	Records documenting the handling of enquiries relating to the domestic and international relations function. Includes enquiry registers.	Destroy 3 years after last action

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### Evaluation

The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes systems, analysis, and ongoing monitoring.

Entry	Description of records	Disposal action
20493	Records documenting the evaluation and ongoing monitoring of programs, systems, or services relating to the domestic and international relations function.	Destroy 7 years after last action

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## DOMESTIC AND INTERNATIONAL RELATIONS

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For the dissemination of financial intelligence to domestic and international agencies, use INTELLIGENCE – Dissemination.

For feedback from domestic and international agencies regarding the results achieved through access to financial intelligence, use INTELLIGENCE – Feedback.

For contact with Ministers and Members of Parliament, Parliamentary Committee Inquiries, and Royal Commissions, use AFDA - GOVERNMENT RELATIONS.

### Grant Funding

The activities associated with the application for and receipt of grants.

*For the programs that assist overseas counterparts' capabilities in financial intelligence, use DOMESTIC & INTERNATIONAL RELATIONS – Capacity Building*

Entry	Description of records	Disposal action
20494	Records documenting grant funding received or provided for the domestic and international relations function.  [For records documenting projects and programs funded by the grants, use DOMESTIC & INTERNATIONAL RELATIONS – Capacity Building or DOMESTIC & INTERNATIONAL RELATIONS – Training & Technical Assistance, as appropriate.]	Destroy 7 years after last action

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### 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
20495	Records documenting the management of joint ventures relating to the domestic and international relations function. Includes records relating to the establishment, maintenance, and review of joint venture agreements and contracts, and signed joint venture contracts and supporting records.	Destroy 7 years after expiry or other termination of contract

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## DOMESTIC AND INTERNATIONAL RELATIONS

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For the dissemination of financial intelligence to domestic and international agencies, use INTELLIGENCE – Dissemination.

For feedback from domestic and international agencies regarding the results achieved through access to financial intelligence, use INTELLIGENCE – Feedback.

For contact with Ministers and Members of Parliament, Parliamentary Committee Inquiries, and Royal Commissions, use AFDA - GOVERNMENT RELATIONS.

### Meetings

The activities associated with ad-hoc gatherings held to formulate, discuss, update, or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Entry	Description of records	Disposal action
20496	Records documenting meetings held to support the domestic and international relations function. Includes meetings with domestic and international agencies, consulate personnel, internal management teams, and multi-agency meetings to discuss issues relating to the domestic and international relations function.	Destroy 7 years after last action

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### 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
20497	Final versions of agency-wide domestic and international relations plans.	Destroy 3 years after plan is superseded or obsolete
20498	Records documenting the development of plans relating to the domestic and international relations function, such as campaign or project plans. Includes drafts, reports analysing issues, comments, and final versions of plans.	Destroy 2 years after last action

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## DOMESTIC AND INTERNATIONAL RELATIONS

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For the dissemination of financial intelligence to domestic and international agencies, use INTELLIGENCE – Dissemination.

For feedback from domestic and international agencies regarding the results achieved through access to financial intelligence, use INTELLIGENCE – Feedback.

For contact with Ministers and Members of Parliament, Parliamentary Committee Inquiries, and Royal Commissions, use AFDA - GOVERNMENT RELATIONS.

### 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.

Entry	Description of records	Disposal action
20499	Records documenting the development and establishment of the agency's significant policies relating to the domestic and international relations function. Includes: <ul style="list-style-type: none"><li>• policy proposals</li><li>• research papers and supporting reports</li><li>• results of consultations</li><li>• major drafts</li><li>• comments</li><li>• final policy documents</li></ul>	Retain as national archives
20500	Records documenting the development and establishment of the agency's minor or routine policies relating to the domestic and international relations function. Includes: <ul style="list-style-type: none"><li>• policy proposals</li><li>• research papers and supporting reports</li><li>• results of consultations</li><li>• major drafts</li><li>• comments</li><li>• final policy documents</li></ul>	Destroy 5 years after policy is superseded or obsolete
20501	Working papers documenting the development of all domestic and international relations policies. Includes minor drafts.	Destroy 1 year after action completed

## DOMESTIC AND INTERNATIONAL RELATIONS

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For the dissemination of financial intelligence to domestic and international agencies, use INTELLIGENCE – Dissemination.

For feedback from domestic and international agencies regarding the results achieved through access to financial intelligence, use INTELLIGENCE – Feedback.

For contact with Ministers and Members of Parliament, Parliamentary Committee Inquiries, and Royal Commissions, use AFDA - GOVERNMENT RELATIONS.

### Procedures

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

Entry	Description of records	Disposal action
20502	Master set of agency manuals, handbooks, and instructions detailing procedures relating to the domestic and international relations function.	Destroy 2 years after last action
20503	Records documenting the development of agency procedures relating to the domestic and international relations functions. Includes drafts.	Destroy 1 year after action completed

### 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 briefing papers for ministers and members of parliament, use AFDA - GOVERNMENT RELATIONS – Reporting*

Entry	Description of records	Disposal action
20504	Final versions of formal reports relating to the domestic and international relations function. Includes briefing notes for the Minister, country reports, and final reports on the conduct of international projects.	Retain as national archives
20505	Final versions of routine reports relating to the domestic and international relations function.	Destroy 7 years after action completed
20506	Final versions of periodic internal reports on general administrative matters used to monitor and document recurring activities relating to the international and domestic relations function. Includes the collection and reporting of statistical information.	Destroy 3 years after last action
20507	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 1 year after last action

## DOMESTIC AND INTERNATIONAL RELATIONS

The function of establishing and maintaining ongoing relationships with domestic agencies and international counterparts. Includes the provision of intelligence access and services to domestic agencies and the exchange of information with international counterparts to assist in the combat against money laundering, the financing of terrorism, and other major crimes. Also includes agreements with agencies and countries governing access and exchange of financial intelligence, participation in international bodies, and the provision of training and technical assistance.

For the dissemination of financial intelligence to domestic and international agencies, use INTELLIGENCE – Dissemination.

For feedback from domestic and international agencies regarding the results achieved through access to financial intelligence, use INTELLIGENCE – Feedback.

For contact with Ministers and Members of Parliament, Parliamentary Committee Inquiries, and Royal Commissions, use AFDA - GOVERNMENT RELATIONS.

### Requests

The activities involved in responding to requests by partner agencies and international counterparts for agency assistance to conduct routine analysis on agency data.

*For spontaneous dissemination and disclosures of information, use DOMESTIC & INTERNATIONAL RELATIONS - Advice.*

*For the outgoing and incoming spontaneous exchanges of intelligence information, use INTELLIGENCE - Dissemination.*

*For queries relating to non-financial transaction report information, use DOMESTIC & INTERNATIONAL RELATIONS – Enquiries.*

Entry	Description of records	Disposal action
20508	Records documenting the receipt and response to requests from domestic and international agencies for financial information. Includes dissemination letters.  [For spontaneous dissemination and disclosures of information, use DOMESTIC & INTERNATIONAL RELATIONS - Advice.]	Destroy 8 years after last action
20509	Records documenting the agency's requests to international counterparts for financial information. Includes responses.	Destroy 8 years after last action
20510	Records documenting the request to and from domestic and international agencies for information, excluding financial information.	Destroy 5 years after last action

### 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.

Entry	Description of records	Disposal action
20511	Final versions of research reports relating to the domestic and international relations function.	Destroy 7 years after last action

## DOMESTIC AND INTERNATIONAL RELATIONS

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For the dissemination of financial intelligence to domestic and international agencies, use INTELLIGENCE – Dissemination.

For feedback from domestic and international agencies regarding the results achieved through access to financial intelligence, use INTELLIGENCE – Feedback.

For contact with Ministers and Members of Parliament, Parliamentary Committee Inquiries, and Royal Commissions, use AFDA - GOVERNMENT RELATIONS.

### Research - Continued

Entry	Description of records	Disposal action
20512	Records and working papers used to develop the research report. Includes literature searches, consultation and interview notes, surveys, drafts and comments.	Destroy 2 years after last action

### Training & Technical Assistance

The activities associated with the planning, development, and delivery of the technical assistance services provided by AUSTRAC to partner agencies and international counterparts. Includes all aspects of the training made available to partner agencies and international counterparts.

Entry	Description of records	Disposal action
20513	Final reports on the conduct of international projects.	Retain as national archives
20514	Records documenting technical assistance projects provided to domestic and international agencies. Includes project plans, progress reports, trial notes, and master sets of technical resources. Excludes final reports on international projects. Excludes capacity building related projects.	Destroy 10 years after last action
20515	Contact logs that document training relating to the domestic and international relations function. Includes attendance records, levels of training provided, and follow up action.	Destroy 5 years after last action
20516	Records documenting assessments of internally conducted courses. Includes course evaluations made by participants after attending courses.	Destroy 3 years after action complete
20517	Master set of training material for training courses run by the agency (e.g. induction courses, AUSTRAC training courses). Includes training course outlines and programs, lecture notes, handouts, exercises, workbooks, guidelines, films, and videos.	Destroy 2 years after product is superseded, obsolete, or material is no longer relevant
20518	Working papers documenting the development of training material for courses run by the agency. Includes drafts, comments, and samples.	Destroy 1 year after training material is produced

## DOMESTIC AND INTERNATIONAL RELATIONS

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For the dissemination of financial intelligence to domestic and international agencies, use INTELLIGENCE – Dissemination.

For feedback from domestic and international agencies regarding the results achieved through access to financial intelligence, use INTELLIGENCE – Feedback.

For contact with Ministers and Members of Parliament, Parliamentary Committee Inquiries, and Royal Commissions, use AFDA - GOVERNMENT RELATIONS.

### Training & Technical Assistance - Continued

Entry	Description of records	Disposal action
20519	Working papers documenting the development of technical resources. Includes drafts and resource samples.	Destroy when reference ceases

### 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
20520	Official photographs of visits to the agency by delegates of international counterpart agencies and organisations.	Destroy 10 years after last action
20521	Records documenting visits to the agency by delegates of international counterpart agencies and organisations; and visits by agency staff to other organisations. Includes: <ul style="list-style-type: none"><li>• invitations</li><li>• notifications</li><li>• visit program</li><li>• itineraries</li><li>• introduction letters</li><li>• letters of thanks</li></ul>	Destroy 7 years after last action
20522	International gift registers maintained by the agency and documenting agency gifts given to, and received from international visitors.	Destroy 7 years after last action

## INTELLIGENCE

The function of collecting, interpreting, analysing, and distributing intelligence information to partner agencies and international counterparts. Includes the identification and prioritisation of intelligence targets and the design and implementation of appropriate operational means to collect intelligence. Also includes the development of policies and procedures relating to intelligence programs, and the monitoring, evaluation and reviewing of these programs.

For completed financial transaction report forms received by the Agency, use REGULATORY COMPLIANCE – Monitoring Data Integrity or REGULATORY COMPLIANCE – Notifications, as appropriate.

For the maintenance of systems used to store and analyse data, use AFDA - TECHNOLOGY & TELECOMMUNICATIONS – Maintenance.

For establishing and maintaining relationships with partner agencies and international counterparts, use DOMESTIC AND INTERNATIONAL RELATIONS.

### Addresses (presentations)

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

Entry	Description of records	Disposal action
20523	Records documenting the development and delivery of addresses relating to the intelligence function by agency personnel. Includes final presentations and working papers.	Destroy 2 years after last action

### Advice

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

Entry	Description of records	Disposal action
20524	Records documenting the receipt and provision of advice relating to the intelligence function.	Destroy 7 years after last action

### Agency Liaison

The activities associated with establishing and maintaining relationships with other agencies, organisations, industry groups, governments, or individuals. Includes sharing informal information, consultation, collaboration on projects that are not joint ventures, and development and maintenance of profiles on agencies, clients, and countries.

Entry	Description of records	Disposal action
20525	Records documenting agency liaison activities undertaken with overseas counterparts and domestic partner agencies relating to the intelligence function. Includes exchanges of information, discussion notes, and notifications such as those regarding change of contact details and information collected.	Destroy 7 years after last action

## INTELLIGENCE

The function of collecting, interpreting, analysing, and distributing intelligence information to partner agencies and international counterparts. Includes the identification and prioritisation of intelligence targets and the design and implementation of appropriate operational means to collect intelligence. Also includes the development of policies and procedures relating to intelligence programs, and the monitoring, evaluation and reviewing of these programs.

For completed financial transaction report forms received by the Agency, use REGULATORY COMPLIANCE – Monitoring Data Integrity or REGULATORY COMPLIANCE – Notifications, as appropriate.

For the maintenance of systems used to store and analyse data, use AFDA - TECHNOLOGY & TELECOMMUNICATIONS – Maintenance.

For establishing and maintaining relationships with partner agencies and international counterparts, use DOMESTIC AND INTERNATIONAL RELATIONS.

### Agreements

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

*For Exchange Instruments with international counterparts and Memoranda of Understanding with partner agencies to provide access to financial transaction reports, use DOMESTIC AND INTERNATIONAL RELATIONS – Agreements.*

Entry	Description of records	Disposal action
20526	Final versions of agreements made to support the agency's intelligence function. Includes Memoranda of Understanding.	Destroy 7 years after expiry or other termination of agreement
20527	Records documenting the negotiations, establishment, maintenance, and review of agreements.	Destroy 7 years after expiry or other termination of agreement

### Committees

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

Entry	Description of records	Disposal action
20528	Records of external committees, such as the Financial Intelligence Assessment Team, formed to consider matters relating to the intelligence function. Includes: <ul style="list-style-type: none"> <li>• documents establishing the committee</li> <li>• final versions of minutes</li> <li>• reports</li> <li>• recommendations</li> <li>• supporting documents such as briefing papers and discussion papers</li> </ul>	Retain as national archives



## INTELLIGENCE

The function of collecting, interpreting, analysing, and distributing intelligence information to partner agencies and international counterparts. Includes the identification and prioritisation of intelligence targets and the design and implementation of appropriate operational means to collect intelligence. Also includes the development of policies and procedures relating to intelligence programs, and the monitoring, evaluation and reviewing of these programs.

For completed financial transaction report forms received by the Agency, use REGULATORY COMPLIANCE – Monitoring Data Integrity or REGULATORY COMPLIANCE – Notifications, as appropriate.

For the maintenance of systems used to store and analyse data, use AFDA - TECHNOLOGY & TELECOMMUNICATIONS – Maintenance.

For establishing and maintaining relationships with partner agencies and international counterparts, use DOMESTIC AND INTERNATIONAL RELATIONS.

### Committees - Continued

Entry	Description of records	Disposal action
20529	Records of internal committees formed to consider matters relating to the intelligence function. Includes: <ul style="list-style-type: none"> <li>documents establishing the committee</li> <li>final versions of minutes</li> <li>reports</li> <li>recommendations</li> <li>supporting documents such as briefing papers and discussion papers</li> </ul>	Destroy 7 years after last action
20530	Working papers documenting the conduct and administration of committees that consider matters relating to the intelligence function. Includes: <ul style="list-style-type: none"> <li>agenda and draft minutes</li> <li>notices of meetings</li> </ul>	Destroy 1 year after last action

### Dissemination

The activities associated with disseminating intelligence products and reports to partner agencies and international counterparts.

*For requests and enquiries made through international exchange agreements, use DOMESTIC & INTERNATIONAL RELATIONS – Requests.*

Entry	Description of records	Disposal action
20531	Records documenting the dissemination of agency produced analysis assessments and reports. Includes request for financial information, dissemination letters, dissemination lists, routine dissemination correspondence, and confirmations of receipt.	Destroy 8 years after last action

## INTELLIGENCE

The function of collecting, interpreting, analysing, and distributing intelligence information to partner agencies and international counterparts. Includes the identification and prioritisation of intelligence targets and the design and implementation of appropriate operational means to collect intelligence. Also includes the development of policies and procedures relating to intelligence programs, and the monitoring, evaluation and reviewing of these programs.

For completed financial transaction report forms received by the Agency, use REGULATORY COMPLIANCE – Monitoring Data Integrity or REGULATORY COMPLIANCE – Notifications, as appropriate.

For the maintenance of systems used to store and analyse data, use AFDA - TECHNOLOGY & TELECOMMUNICATIONS – Maintenance.

For establishing and maintaining relationships with partner agencies and international counterparts, use DOMESTIC AND INTERNATIONAL RELATIONS.

### Feedback

The activities associated with the receipt of information from partner agencies and international counterparts regarding the results they have achieved through access to and use of the agency's financial information and intelligence. Includes the development of case studies based on feedback.

Entry	Description of records	Disposal action
20532	Records documenting the receipt of feedback and progress reports from partner agencies regarding results achieved through access to financial information and intelligence provided by the agency.	Destroy 8 years after last action

### Information Analysis

The activities associated with detailed examination and enhancement of data to discover trends and facts and to produce intelligence assessments and other products that identify potential criminal activity.

*For strategic analysis or research into an industry or subject, use INTELLIGENCE – Research.*

Entry	Description of records	Disposal action
20533	Records documenting the analysis of financial transaction report information and extrinsic data to produce intelligence assessments and analysis reports and products for dissemination to relevant agencies and other parties.	Destroy 10 years after last action

### Meetings

The activities associated with ad-hoc gatherings held to formulate, discuss, update, or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Entry	Description of records	Disposal action
20534	Final versions of minutes and supporting documents tabled at meetings held to support the intelligence function. Includes internal team and ad hoc meetings to discuss issues.	Destroy 2 years after last action
20535	Working papers documenting the conduct and administration of all meetings relating to the intelligence function. Includes venue booking, agenda, notices of meetings, and draft minutes.	Destroy when reference ceases

## INTELLIGENCE

The function of collecting, interpreting, analysing, and distributing intelligence information to partner agencies and international counterparts. Includes the identification and prioritisation of intelligence targets and the design and implementation of appropriate operational means to collect intelligence. Also includes the development of policies and procedures relating to intelligence programs, and the monitoring, evaluation and reviewing of these programs.

For completed financial transaction report forms received by the Agency, use REGULATORY COMPLIANCE – Monitoring Data Integrity or REGULATORY COMPLIANCE – Notifications, as appropriate.

For the maintenance of systems used to store and analyse data, use AFDA - TECHNOLOGY & TELECOMMUNICATIONS – Maintenance.

For establishing and maintaining relationships with partner agencies and international counterparts, use DOMESTIC AND INTERNATIONAL RELATIONS.

### Procedures

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

Entry	Description of records	Disposal action
20536	Master set of agency manuals, handbooks, and instructions detailing procedures relating to the intelligence function.	Destroy 5 years after procedures are superseded or obsolete
20537	Records documenting the development of agency procedures relating to the intelligence functions. Includes drafts.	Destroy when reference ceases

### 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 developed as output of AUSTRAC information analysis or disseminated to other parties, use INTELLIGENCE – Information Analysis, INTELLIGENCE – Dissemination, or INTELLIGENCE – Research, as appropriate.*

Entry	Description of records	Disposal action
20538	Final versions of all reports relating to the intelligence function. Includes performance reports, trend analysis reports, statistical reports, and comparative reports. Excludes disseminations.	Destroy 8 years after last action
20539	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy when reference ceases

## INTELLIGENCE

The function of collecting, interpreting, analysing, and distributing intelligence information to partner agencies and international counterparts. Includes the identification and prioritisation of intelligence targets and the design and implementation of appropriate operational means to collect intelligence. Also includes the development of policies and procedures relating to intelligence programs, and the monitoring, evaluation and reviewing of these programs.

For completed financial transaction report forms received by the Agency, use REGULATORY COMPLIANCE – Monitoring Data Integrity or REGULATORY COMPLIANCE – Notifications, as appropriate.

For the maintenance of systems used to store and analyse data, use AFDA - TECHNOLOGY & TELECOMMUNICATIONS – Maintenance.

For establishing and maintaining relationships with partner agencies and international counterparts, use DOMESTIC AND INTERNATIONAL RELATIONS.

### 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.

*For the analysis of AUSTRAC data including financial assessments, use INTELLIGENCE – Information Analysis.*

<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
20540	Records documenting significant research relating to the intelligence function, such as strategic analysis research, that creates intense media or public interest, or results in major changes to government, agency policy, or procedures.	Retain as national archives
20541	Records documenting research relating to the intelligence function, such as strategic analysis research, which is not significant, does not create intense media or public interest, and does not result in major changes to government, agency policy, or procedures.	Destroy 10 years after last action
20542	Records and working papers used to develop the research report, such as literature searches, consultation and interview notes, surveys, drafts and comments.	Destroy 3 years after last action

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## REGULATORY COMPLIANCE

The function of collecting financial transaction reports and ensuring the regulated community complies with legislation. Includes identifying new and existing reporting entities, providing education services, and managing action relating to identified or suspected non-compliance with legislated obligations, including those defined in the Anti-Money Laundering and Counter-Terrorism Financing Act 2006. Includes investigations and actions relating to the regulated community, members of the public undertaking cross border movements of currency or carrying bearer negotiable instruments, and other persons, whether regulated or not, for events covered by the agency's enforcement powers provided in legislation.

Includes the assessment and progression of potential legal action and prosecution of non-compliant reporting entities with law enforcement agencies and the Director of Public Prosecutions (DPP).

For dob-ins and reports relating to suspected breaches, use REGULATORY COMPLIANCE – Enforcement Case Management

For witness statements gathered for external agencies on matters that are not related to Agency enforcement actions, use AFDA - LEGAL SERVICES - Advice

### Addresses (presentations)

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

Entry	Description of records	Disposal action
20543	Final versions of addresses delivered by agency staff relating to the regulatory compliance function.	Destroy 2 years after last presentation
20544	Working papers documenting the development of addresses. Includes drafts.	Destroy when reference ceases

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### Advice

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

*For legal advice, use AFDA - LEGAL SERVICES – Advice.*

Entry	Description of records	Disposal action
20545	Records documenting the receipt and provision of advice relating to the enforcement function. [For legal advice, use LEGAL SERVICES – Advice]	Destroy 7 years after action completed

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## REGULATORY COMPLIANCE

The function of collecting financial transaction reports and ensuring the regulated community complies with legislation. Includes identifying new and existing reporting entities, providing education services, and managing action relating to identified or suspected non-compliance with legislated obligations, including those defined in the Anti-Money Laundering and Counter-Terrorism Financing Act 2006. Includes investigations and actions relating to the regulated community, members of the public undertaking cross border movements of currency or carrying bearer negotiable instruments, and other persons, whether regulated or not, for events covered by the agency's enforcement powers provided in legislation.

Includes the assessment and progression of potential legal action and prosecution of non-compliant reporting entities with law enforcement agencies and the Director of Public Prosecutions (DPP).

For dob-ins and reports relating to suspected breaches, use REGULATORY COMPLIANCE – Enforcement Case Management

For witness statements gathered for external agencies on matters that are not related to Agency enforcement actions, use AFDA - LEGAL SERVICES - Advice

### Agency Liaison

The activities associated with establishing and maintaining relationships with other agencies, organisations, industry groups, governments, or individuals. Includes sharing informal information, consultation, collaboration on projects that are not joint ventures, and development and maintenance of profiles on agencies, clients, and countries.

*For registration of reporting entities, use REGULATORY COMPLIANCE – Registration.*

Entry	Description of records	Disposal action
20546	Records documenting agency liaison activities undertaken with reporting entities, external bodies, and organisations, such as government, industry, and representative bodies, in relation to the regulatory compliance and enforcement function. Includes collaboration and exchange of information.  [For registration of reporting entities, use REGULATORY COMPLIANCE – Registration.  For exchange instruments and agreements, use DOMESTIC & INTERNATIONAL RELATIONS – Agreements or REGULATORY COMPLIANCE – Agreements, as appropriate.]	Destroy 10 years after last action
20547	Contact lists detailing regulated entities.	Destroy when superseded or obsolete

### Agreements

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

Entry	Description of records	Disposal action
20548	Final version of agreements and supporting documents relating to the regulatory compliance and enforcement function.	Destroy 7 years after expiry or other termination of agreement
20549	Records documenting negotiations, maintenance, and reviews of agreements.	Destroy 7 years after expiry or other termination of agreement

## REGULATORY COMPLIANCE

The function of collecting financial transaction reports and ensuring the regulated community complies with legislation. Includes identifying new and existing reporting entities, providing education services, and managing action relating to identified or suspected non-compliance with legislated obligations, including those defined in the Anti-Money Laundering and Counter-Terrorism Financing Act 2006. Includes investigations and actions relating to the regulated community, members of the public undertaking cross border movements of currency or carrying bearer negotiable instruments, and other persons, whether regulated or not, for events covered by the agency's enforcement powers provided in legislation.

Includes the assessment and progression of potential legal action and prosecution of non-compliant reporting entities with law enforcement agencies and the Director of Public Prosecutions (DPP).

For dob-ins and reports relating to suspected breaches, use REGULATORY COMPLIANCE – Enforcement Case Management

For witness statements gathered for external agencies on matters that are not related to Agency enforcement actions, use AFDA - LEGAL SERVICES - Advice

### Appeals (Decisions)

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

Entry	Description of records	Disposal action
20550	Records documenting appeals relating to enforcement case outcomes. Includes: <ul style="list-style-type: none"><li>• appeal lodgement documentation,</li><li>• statements, interview notes, and new evidence arising from the appeals process</li><li>• the index of documents from reports of evidence compiled by the agency,</li><li>• the withdrawal of an appeal application</li><li>• final notices or decisions from the appeal body.</li></ul>	Destroy 10 years after the final notice of the appeal tribunal
20551	Records documenting the administrative handling of litigation activities. Includes: <ul style="list-style-type: none"><li>• selection of legal representation</li><li>• arrangements for court proceedings</li><li>• provision of information</li><li>• preparation of reports and follow-up action.</li></ul>	Destroy 3 years after last action
20552	Reports and submissions compiled for reviews, consisting of copies of documents used by the agency to make the decision under appeal. Includes reports, such as those compiled to meet legislative reporting requirements where copies of the records used in the original decision are compiled into a report of evidence for a review or appeal.	Destroy after appeal rights have lapsed

## REGULATORY COMPLIANCE

The function of collecting financial transaction reports and ensuring the regulated community complies with legislation. Includes identifying new and existing reporting entities, providing education services, and managing action relating to identified or suspected non-compliance with legislated obligations, including those defined in the Anti-Money Laundering and Counter-Terrorism Financing Act 2006. Includes investigations and actions relating to the regulated community, members of the public undertaking cross border movements of currency or carrying bearer negotiable instruments, and other persons, whether regulated or not, for events covered by the agency's enforcement powers provided in legislation.

Includes the assessment and progression of potential legal action and prosecution of non-compliant reporting entities with law enforcement agencies and the Director of Public Prosecutions (DPP).

For dob-ins and reports relating to suspected breaches, use REGULATORY COMPLIANCE – Enforcement Case Management

For witness statements gathered for external agencies on matters that are not related to Agency enforcement actions, use AFDA - LEGAL SERVICES - Advice

### 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
20553	Delegations of power to agency staff under Agency legislation to undertake or authorise action relating to the compliance and enforcement function. Includes the instrument of delegation.	Destroy 20 years after termination or expiry of delegation
20554	Delegations of power to agency staff to authorise administrative action relating to the enforcement function. Includes the instrument of delegation.	Destroy 7 years after termination or expiry of delegation
20555	Authorisations for external parties, such as auditors, to undertake tasks to assist regulated entities in the compliance inspection process. Includes the signed document giving authorisation.	Destroy 7 years after termination or expiry of authorisation

### Committees

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

Entry	Description of records	Disposal action
20560	Records of high-level committees supporting the regulatory compliance and enforcement function. Includes the AUSTRAC Enforcement Committee. Includes: <ul style="list-style-type: none"> <li>• documents establishing the committee</li> <li>• minutes</li> <li>• recommendations</li> <li>• supporting documents such as briefing and discussion papers.</li> </ul>	Retain as national archives



## REGULATORY COMPLIANCE

The function of collecting financial transaction reports and ensuring the regulated community complies with legislation. Includes identifying new and existing reporting entities, providing education services, and managing action relating to identified or suspected non-compliance with legislated obligations, including those defined in the Anti-Money Laundering and Counter-Terrorism Financing Act 2006. Includes investigations and actions relating to the regulated community, members of the public undertaking cross border movements of currency or carrying bearer negotiable instruments, and other persons, whether regulated or not, for events covered by the agency's enforcement powers provided in legislation.

Includes the assessment and progression of potential legal action and prosecution of non-compliant reporting entities with law enforcement agencies and the Director of Public Prosecutions (DPP).

For dob-ins and reports relating to suspected breaches, use REGULATORY COMPLIANCE – Enforcement Case Management

For witness statements gathered for external agencies on matters that are not related to Agency enforcement actions, use AFDA - LEGAL SERVICES - Advice

### Committees - Continued

Entry	Description of records	Disposal action
20561	Records of low-level committees formed to consider routine matters relating to the regulatory compliance and enforcement function. Includes: <ul style="list-style-type: none"><li>• documents establishing the committee</li><li>• minutes</li><li>• reports</li><li>• recommendations</li><li>• supporting documents such as briefing papers and discussion papers.</li></ul>	Destroy 7 years after last action
20562	Working papers documenting the conduct and administration of enforcement related committees. Includes: agenda, notices of meetings, draft minutes, and venue bookings.	Destroy 1 year after action completed

## REGULATORY COMPLIANCE

The function of collecting financial transaction reports and ensuring the regulated community complies with legislation. Includes identifying new and existing reporting entities, providing education services, and managing action relating to identified or suspected non-compliance with legislated obligations, including those defined in the Anti-Money Laundering and Counter-Terrorism Financing Act 2006. Includes investigations and actions relating to the regulated community, members of the public undertaking cross border movements of currency or carrying bearer negotiable instruments, and other persons, whether regulated or not, for events covered by the agency's enforcement powers provided in legislation.

Includes the assessment and progression of potential legal action and prosecution of non-compliant reporting entities with law enforcement agencies and the Director of Public Prosecutions (DPP).

For dob-ins and reports relating to suspected breaches, use REGULATORY COMPLIANCE – Enforcement Case Management

For witness statements gathered for external agencies on matters that are not related to Agency enforcement actions, use AFDA - LEGAL SERVICES - Advice

### Compliance Inspections

The activities associated with conducting compliance audits or inspections of the premises of reporting entities, to ensure entities are complying with legislation.

*For penalty monies collected for offences against agency legislation, use AFDA - FINANCIAL MANAGEMENT – Accounting.*

Entry	Description of records	Disposal action
20563	Records documenting significant reporting entity compliance inspections where evidence of terrorism funding is found. Includes: <ul style="list-style-type: none"><li>• samples collected during inspections</li><li>• interview notes</li><li>• checklists</li><li>• acknowledgement letters or undertakings</li><li>• inspection reports</li><li>• briefings</li><li>• referrals</li></ul>	Retain as national archives
20564	Records documenting significant reporting entity compliance inspections where no evidence of terrorism funding is found. Includes: <ul style="list-style-type: none"><li>• samples collected during inspections</li><li>• interview notes</li><li>• checklists</li><li>• acknowledgement letters or undertakings</li><li>• inspection reports</li><li>• briefings</li><li>• referrals</li></ul>	Destroy 10 years after last action

## REGULATORY COMPLIANCE

The function of collecting financial transaction reports and ensuring the regulated community complies with legislation. Includes identifying new and existing reporting entities, providing education services, and managing action relating to identified or suspected non-compliance with legislated obligations, including those defined in the Anti-Money Laundering and Counter-Terrorism Financing Act 2006. Includes investigations and actions relating to the regulated community, members of the public undertaking cross border movements of currency or carrying bearer negotiable instruments, and other persons, whether regulated or not, for events covered by the agency's enforcement powers provided in legislation.

Includes the assessment and progression of potential legal action and prosecution of non-compliant reporting entities with law enforcement agencies and the Director of Public Prosecutions (DPP).

For dob-ins and reports relating to suspected breaches, use REGULATORY COMPLIANCE – Enforcement Case Management

For witness statements gathered for external agencies on matters that are not related to Agency enforcement actions, use AFDA - LEGAL SERVICES - Advice

### Compliance Inspections - Continued

Entry	Description of records	Disposal action
20565	Records documenting routine compliance inspections where there is evidence of significant illegal activity. Includes: <ul style="list-style-type: none"> <li>• samples collected during inspections</li> <li>• interview notes</li> <li>• checklists</li> <li>• acknowledgement letters or undertakings</li> <li>• inspection reports</li> <li>• briefings</li> <li>• referrals</li> </ul>	Destroy 10 years after last action
20566	Records documenting routine compliance inspections where there is no evidence of significant illegal activity. Includes: <ul style="list-style-type: none"> <li>• samples collected during inspections</li> <li>• interview notes</li> <li>• checklists</li> <li>• acknowledgement letters or undertakings</li> <li>• inspection reports</li> <li>• briefings</li> <li>• referrals</li> </ul>	Destroy 10 years after last action

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### 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.

Entry	Description of records	Disposal action
20567	Records documenting contract management relating to the enforcement function. Includes minutes of meetings with stakeholders and performance evaluation reports.	Destroy 7 years after completion or other termination of contract

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## REGULATORY COMPLIANCE

The function of collecting financial transaction reports and ensuring the regulated community complies with legislation. Includes identifying new and existing reporting entities, providing education services, and managing action relating to identified or suspected non-compliance with legislated obligations, including those defined in the Anti-Money Laundering and Counter-Terrorism Financing Act 2006. Includes investigations and actions relating to the regulated community, members of the public undertaking cross border movements of currency or carrying bearer negotiable instruments, and other persons, whether regulated or not, for events covered by the agency's enforcement powers provided in legislation.

Includes the assessment and progression of potential legal action and prosecution of non-compliant reporting entities with law enforcement agencies and the Director of Public Prosecutions (DPP).

For dob-ins and reports relating to suspected breaches, use REGULATORY COMPLIANCE – Enforcement Case Management

For witness statements gathered for external agencies on matters that are not related to Agency enforcement actions, use AFDA - LEGAL SERVICES - Advice

### Education and Awareness

The activities associated with the planning, development and delivery of education and awareness services to assist reporting entities in meeting their obligations.

*For the production of education products and materials, use AFDA - PUBLICATION – Production.*

Entry	Description of records	Disposal action
20568	Records documenting visits to entities to ensure their awareness of compliance with legislative obligations. Includes: <ul style="list-style-type: none"><li>• notices and confirmations regarding visit</li><li>• field notes</li><li>• correspondence regarding visit and what was discussed.</li></ul>	Destroy 20 years after visit
20569	Master set of education and awareness products such as advertising, education packages, information circulars, and guidelines relating to the regulatory compliance function. [For the production of products and materials, use AFDA - PUBLICATION – Production.]	Destroy 7 years after last action
20570	Records documenting the development and distribution of education and awareness products. Includes: <ul style="list-style-type: none"><li>• distribution lists</li><li>• drafts and comments.</li></ul>	Destroy 2 years after last action

## REGULATORY COMPLIANCE

The function of collecting financial transaction reports and ensuring the regulated community complies with legislation. Includes identifying new and existing reporting entities, providing education services, and managing action relating to identified or suspected non-compliance with legislated obligations, including those defined in the Anti-Money Laundering and Counter-Terrorism Financing Act 2006. Includes investigations and actions relating to the regulated community, members of the public undertaking cross border movements of currency or carrying bearer negotiable instruments, and other persons, whether regulated or not, for events covered by the agency's enforcement powers provided in legislation.

Includes the assessment and progression of potential legal action and prosecution of non-compliant reporting entities with law enforcement agencies and the Director of Public Prosecutions (DPP).

For dob-ins and reports relating to suspected breaches, use REGULATORY COMPLIANCE – Enforcement Case Management

For witness statements gathered for external agencies on matters that are not related to Agency enforcement actions, use AFDA - LEGAL SERVICES - Advice

### Enforcement Case Management

The activities associated with the investigation of reported and suspected breaches of obligations under Agency legislation, collection and assessment of supporting material, and undertaking of legislated enforcement action.

*For appeals to higher tribunals against enforcement action related decisions, use REGULATORY COMPLIANCE – Appeals (decisions)*

Entry	Description of records	Disposal action
20556	Records documenting individual enforcement action cases. Includes: <ul style="list-style-type: none"> <li>notice of suspected breach</li> <li>investigation documentation, research, findings and recommendations on case</li> <li>negotiation, guidance, notices, and directions given to breach party</li> <li>remedial directions and enforceable undertakings from reporting entities</li> <li>Advice to and from other parties relating to referrals, hearings, prosecutions, and other legal actions.</li> <li>assessments as to whether enforcement directions and orders are being undertaken</li> <li>advice to and from relevant parties of progress or outcome of action</li> <li>case finalisation documentation (e.g. notices of completion, withdrawal, or cessation of action) and case completion reports.</li> </ul>	10 years after action completed
20557	Records documenting Briefs, recommendations, applications, and other material prepared for civil and criminal actions.	Destroy 10 years after action completed
20558	Records documenting registers of cases and dob ins received.	Destroy 10 years after last action

## REGULATORY COMPLIANCE

The function of collecting financial transaction reports and ensuring the regulated community complies with legislation. Includes identifying new and existing reporting entities, providing education services, and managing action relating to identified or suspected non-compliance with legislated obligations, including those defined in the Anti-Money Laundering and Counter-Terrorism Financing Act 2006. Includes investigations and actions relating to the regulated community, members of the public undertaking cross border movements of currency or carrying bearer negotiable instruments, and other persons, whether regulated or not, for events covered by the agency's enforcement powers provided in legislation.

Includes the assessment and progression of potential legal action and prosecution of non-compliant reporting entities with law enforcement agencies and the Director of Public Prosecutions (DPP).

For dob-ins and reports relating to suspected breaches, use REGULATORY COMPLIANCE – Enforcement Case Management

For witness statements gathered for external agencies on matters that are not related to Agency enforcement actions, use AFDA - LEGAL SERVICES - Advice

Entry	Description of records	Disposal action
20559	Records documenting the administrative handling of litigation activities. Includes: <ul style="list-style-type: none"> <li>• selection of legal representation</li> <li>• arrangement for court proceedings</li> <li>• provision of information</li> <li>• preparation of reports and follow-up action.</li> </ul>	Destroy 3 years after last action

### Enquiries

The activities associated with the handling of requests for information about the organisation and its services by the general public, agency employees, or another organisation.

Entry	Description of records	Disposal action
20571	Enquiry registers documenting the logging of enquiries and responses.	Destroy 7 years after last action
20572	Records documenting the handling of detailed enquiries relating to the regulatory compliance function.	Destroy 7 years after last action
20573	Records documenting the handling of routine enquiries relating to the regulatory compliance function.	Destroy 3 years after last action

### Evaluation

The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes systems, analysis, and ongoing monitoring.

*For assessment and investigation of suspected enforcement breaches, use REGULATORY COMPLIANCE– Enforcement Case Management.*

Entry	Description of records	Disposal action
20574	Records documenting the evaluation and ongoing monitoring of programs, systems, or services relating to the regulatory compliance and enforcement function. Includes surveys and final reports.	Destroy 2 years after action completed

## REGULATORY COMPLIANCE

The function of collecting financial transaction reports and ensuring the regulated community complies with legislation. Includes identifying new and existing reporting entities, providing education services, and managing action relating to identified or suspected non-compliance with legislated obligations, including those defined in the Anti-Money Laundering and Counter-Terrorism Financing Act 2006. Includes investigations and actions relating to the regulated community, members of the public undertaking cross border movements of currency or carrying bearer negotiable instruments, and other persons, whether regulated or not, for events covered by the agency's enforcement powers provided in legislation.

Includes the assessment and progression of potential legal action and prosecution of non-compliant reporting entities with law enforcement agencies and the Director of Public Prosecutions (DPP).

For dob-ins and reports relating to suspected breaches, use REGULATORY COMPLIANCE – Enforcement Case Management

For witness statements gathered for external agencies on matters that are not related to Agency enforcement actions, use AFDA - LEGAL SERVICES - Advice

### Meetings

The activities associated with ad-hoc gatherings held to formulate, discuss, update, or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Entry	Description of records	Disposal action
20575	Final version of minutes and supporting documents tabled at meetings to support the regulatory compliance and enforcement function.  [For Enforcement Committee meetings, use REGULATORY COMPLIANCE - Committees.]	Destroy 2 years after action completed
20576	Working papers documenting the conduct and administration of meetings. Includes agendas, notices of meetings, draft minutes.	Destroy when reference ceases

### Monitoring Data Integrity

The activities associated with receiving, maintaining and monitoring the integrity of data for financial transaction reports data collected by the agency from reporting entities. Includes identifying and resolving timing, volume, and data quality issues.

Entry	Description of records	Disposal action
20577	Records documenting suspect transaction reports and suspicious matter reports collected by the agency.	Destroy 14 years after receipt of reports
20578	Records documenting financial transaction reports, international currency transfer reports, significant cash transactions, and international funds transfer instructions collected by the agency from reporting entities. Excludes suspect transaction reports and suspicious matter reports.	Destroy 8 years after receipt of reports
20579	Records documenting reports produced by the agency to monitor data integrity. Includes quality, timing and volume issues reports, high value reports, and hot lists.	Destroy 8 years after last action
20580	Records documenting the agency's verification of financial transaction report details. Includes responses.	Destroy 8 years after last action

## REGULATORY COMPLIANCE

The function of collecting financial transaction reports and ensuring the regulated community complies with legislation. Includes identifying new and existing reporting entities, providing education services, and managing action relating to identified or suspected non-compliance with legislated obligations, including those defined in the Anti-Money Laundering and Counter-Terrorism Financing Act 2006. Includes investigations and actions relating to the regulated community, members of the public undertaking cross border movements of currency or carrying bearer negotiable instruments, and other persons, whether regulated or not, for events covered by the agency's enforcement powers provided in legislation.

Includes the assessment and progression of potential legal action and prosecution of non-compliant reporting entities with law enforcement agencies and the Director of Public Prosecutions (DPP).

For dob-ins and reports relating to suspected breaches, use REGULATORY COMPLIANCE – Enforcement Case Management

For witness statements gathered for external agencies on matters that are not related to Agency enforcement actions, use AFDA - LEGAL SERVICES - Advice

### Monitoring Data Integrity - Continued

Entry	Description of records	Disposal action
20581	Alerts.	Disposal not authorised

### Notifications

The activities associated with the provision or receipt of notifications regarding facts or events of legal importance. Also includes follow up action provided by the agency.

Entry	Description of records	Disposal action
20582	Records documenting the receipt of notifications relating to the regulatory compliance function. Includes blocked account and identification reference notifications.	Destroy 7 years after last action

### Planning

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

*For overarching business unit strategic plans, use AFDA - STRATEGIC MANAGEMENT – Planning.*

Entry	Description of records	Disposal action
20583	Final versions of overarching agency wide enforcement plans.	Destroy 5 years after plan is superseded
20584	Records documenting the development of plans relating to the regulatory compliance function, such as campaign or project plans. Includes reports analysing issues and final versions of plans.	Destroy 3 years after plan is superseded
20585	Working papers, comments, drafts etc. documenting the development of plans. Includes: draft plans, and comments received from other areas of the agency.	Destroy 1 year after action completed



## REGULATORY COMPLIANCE

The function of collecting financial transaction reports and ensuring the regulated community complies with legislation. Includes identifying new and existing reporting entities, providing education services, and managing action relating to identified or suspected non-compliance with legislated obligations, including those defined in the Anti-Money Laundering and Counter-Terrorism Financing Act 2006. Includes investigations and actions relating to the regulated community, members of the public undertaking cross border movements of currency or carrying bearer negotiable instruments, and other persons, whether regulated or not, for events covered by the agency's enforcement powers provided in legislation.

Includes the assessment and progression of potential legal action and prosecution of non-compliant reporting entities with law enforcement agencies and the Director of Public Prosecutions (DPP).

For dob-ins and reports relating to suspected breaches, use REGULATORY COMPLIANCE – Enforcement Case Management

For witness statements gathered for external agencies on matters that are not related to Agency enforcement actions, use AFDA - LEGAL SERVICES - Advice

### 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.

Entry	Description of records	Disposal action
20586	Records documenting the development and establishment of high-level enforcement policies. Includes: <ul style="list-style-type: none"><li>• policy proposals</li><li>• research papers</li><li>• results of consultations</li><li>• supporting reports</li><li>• major drafts</li><li>• final policy documents</li><li>• national policy statements</li></ul>	Retain as national archives
20587	Records documenting the development and establishment of the agency's internal regulatory compliance and enforcement operating policies. Includes: <ul style="list-style-type: none"><li>• policy proposals</li><li>• research papers</li><li>• results of consultations</li><li>• supporting reports</li><li>• final policy documents.</li></ul>	Destroy 7 years after policy is superseded or becomes obsolete
20588	Working papers documenting the development of all regulatory compliance and enforcement policies. Includes minor drafts.	1 year after action completed

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## REGULATORY COMPLIANCE

The function of collecting financial transaction reports and ensuring the regulated community complies with legislation. Includes identifying new and existing reporting entities, providing education services, and managing action relating to identified or suspected non-compliance with legislated obligations, including those defined in the Anti-Money Laundering and Counter-Terrorism Financing Act 2006. Includes investigations and actions relating to the regulated community, members of the public undertaking cross border movements of currency or carrying bearer negotiable instruments, and other persons, whether regulated or not, for events covered by the agency's enforcement powers provided in legislation.

Includes the assessment and progression of potential legal action and prosecution of non-compliant reporting entities with law enforcement agencies and the Director of Public Prosecutions (DPP).

For dob-ins and reports relating to suspected breaches, use REGULATORY COMPLIANCE – Enforcement Case Management

For witness statements gathered for external agencies on matters that are not related to Agency enforcement actions, use AFDA - LEGAL SERVICES - Advice

### Procedures

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

<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
20589	Master set of agency manuals, handbooks, and instructions detailing procedures relating to the regulatory compliance and enforcement function.	Destroy 7 years after procedures are superseded or become obsolete.
20590	Records documenting the development of agency procedures relating to the regulatory compliance and enforcement function. Includes copies of standards, codes and guidelines, workflows, and drafts.	Destroy 1 year after action completed

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### Referrals

The activities associated with the receipt or issue of referrals regarding suspected matters or misconduct for further action. Includes assessment of the situation, reviewing material, making recommendations, preparing briefs of evidence, and monitoring the progress of the case.

*For investigations and enforcement action taken in relation to reported and suspected breaches of Agency legislation, use REGULATORY COMPLIANCE – Enforcement Case Management.*

<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
20591	Records documenting referrals relating to suspected breaches of legislation requiring enforcement investigation or action. Includes referrals received by the agency or sent to external enforcement organisations.	Destroy 10 years after action completed

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## REGULATORY COMPLIANCE

The function of collecting financial transaction reports and ensuring the regulated community complies with legislation. Includes identifying new and existing reporting entities, providing education services, and managing action relating to identified or suspected non-compliance with legislated obligations, including those defined in the Anti-Money Laundering and Counter-Terrorism Financing Act 2006. Includes investigations and actions relating to the regulated community, members of the public undertaking cross border movements of currency or carrying bearer negotiable instruments, and other persons, whether regulated or not, for events covered by the agency's enforcement powers provided in legislation.

Includes the assessment and progression of potential legal action and prosecution of non-compliant reporting entities with law enforcement agencies and the Director of Public Prosecutions (DPP).

For dob-ins and reports relating to suspected breaches, use REGULATORY COMPLIANCE – Enforcement Case Management

For witness statements gathered for external agencies on matters that are not related to Agency enforcement actions, use AFDA - LEGAL SERVICES - Advice

### Registration

The activities associated with processing and maintaining the registration of reporting entities, including those defined in the Anti-Money Laundering and Counter-Terrorism Financing Act 2006.

*For contact lists of entities, use REGULATORY COMPLIANCE – Agency Liaison.*

Entry	Description of records	Disposal action
20592	Registers of reporting entities, such as the Register of Providers of Remittance Services, maintained by the agency. [For contact lists of entities, use REGULATORY COMPLIANCE – Agency Liaison]	Retain as national archives
20593	Records documenting the receipt and processing of reporting entity registration details.	Destroy when reference ceases

### 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 business unit Quarterly reports, use AFDA - STRATEGIC MANAGEMENT - Reporting*

*For the receipt, maintenance, and monitoring of financial transaction reports collected by the agency, use REGULATORY COMPLIANCE – Monitoring Data Integrity.*

Entry	Description of records	Disposal action
20594	Final versions of formal internal reports and reports made to external agencies relating to the regulatory compliance and enforcement function.	Destroy 7 years after last action
20595	Final versions of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the enforcement function. Includes work progress reports and the collection and reporting of statistical information.	Destroy 5 years after last action
20596	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 1 year after action completed

## REGULATORY COMPLIANCE

The function of collecting financial transaction reports and ensuring the regulated community complies with legislation. Includes identifying new and existing reporting entities, providing education services, and managing action relating to identified or suspected non-compliance with legislated obligations, including those defined in the Anti-Money Laundering and Counter-Terrorism Financing Act 2006. Includes investigations and actions relating to the regulated community, members of the public undertaking cross border movements of currency or carrying bearer negotiable instruments, and other persons, whether regulated or not, for events covered by the agency's enforcement powers provided in legislation.

Includes the assessment and progression of potential legal action and prosecution of non-compliant reporting entities with law enforcement agencies and the Director of Public Prosecutions (DPP).

For dob-ins and reports relating to suspected breaches, use REGULATORY COMPLIANCE – Enforcement Case Management

For witness statements gathered for external agencies on matters that are not related to Agency enforcement actions, use AFDA - LEGAL SERVICES - Advice

### 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.

*For investigation conducted for individual enforcement action cases, use REGULATORY COMPLIANCE – Enforcement Case Management*

<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
20597	Final report of significant research relating to the regulatory compliance function that identifies major problems and issues, and results in major changes to policy or procedures. Excludes enforcement related research.	Retain as national archives
20598	Final report of routine research relating to the regulatory compliance function that does not result in major changes to policy or procedures. Excludes enforcement related research.	Destroy 20 years after report released
20599	Final report of detailed research related to the enforcement function.	Destroy 5 years after last action
20600	Final report of routine research related to the enforcement function that does not result in major changes to policy or procedures.	Destroy 1 year after last action
20601	Records and working papers used to develop the research report. Includes literature searches, consultation and interview notes, surveys, drafts and comments.	Destroy 1 year after action completed

## REGULATORY COMPLIANCE

The function of collecting financial transaction reports and ensuring the regulated community complies with legislation. Includes identifying new and existing reporting entities, providing education services, and managing action relating to identified or suspected non-compliance with legislated obligations, including those defined in the Anti-Money Laundering and Counter-Terrorism Financing Act 2006. Includes investigations and actions relating to the regulated community, members of the public undertaking cross border movements of currency or carrying bearer negotiable instruments, and other persons, whether regulated or not, for events covered by the agency's enforcement powers provided in legislation.

Includes the assessment and progression of potential legal action and prosecution of non-compliant reporting entities with law enforcement agencies and the Director of Public Prosecutions (DPP).

For dob-ins and reports relating to suspected breaches, use REGULATORY COMPLIANCE – Enforcement Case Management

For witness statements gathered for external agencies on matters that are not related to Agency enforcement actions, use AFDA - LEGAL SERVICES - Advice

### Reviewing

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

*For reviews by outside agencies in relation to individual enforcement action cases use REGULATORY COMPLIANCE – Appeals (Decisions).*

<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
20602	Reports documenting reviews of programs and operations supporting the enforcement function. Includes: <ul style="list-style-type: none"><li>• documents establishing reviews</li><li>• final reports</li><li>• action plans</li></ul>	Destroy 5 years after action completed
20603	Working papers documenting a review of programs and/or operations supporting the enforcement function.	Destroy 1 years after action completed

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## REGULATORY POLICY

The function of developing, implementing, and maintenance of Australia's anti-money laundering and counter-terrorist financing framework. Includes the setting of policy, rules, and guidelines that constitute the statutory framework and the development and management of associated legislation.

### Advice

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

Entry	Description of records	Disposal action
20604	Records documenting the receipt and provision of advice relating to the regulatory policy function.	Destroy 7 years after last action

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### Agency Liaison

The activities associated with establishing and maintaining relationships with other agencies, organisations, industry groups, governments, or individuals. Includes sharing informal information, consultation, collaboration on projects that are not joint ventures, and development and maintenance of profiles on agencies, clients, and countries.

Entry	Description of records	Disposal action
20605	Records documenting agency liaison activities undertaken with reporting entities, agencies, organisations, and industry. Includes exchanges of information and notifications regarding change of contact details and information collected.	Destroy 3 years after last action
20606	Records documenting contact and distribution lists.	Destroy when reference ceases

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### Committees

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

Entry	Description of records	Disposal action
20607	Records of high-level committees with overall responsibility for making major decisions in the area of developing and implementing regulatory policy, including those where the agency provides the Secretariat. Includes: <ul style="list-style-type: none"><li>• documents establishing the committee</li><li>• agendas</li><li>• final versions of minutes</li><li>• reports</li><li>• recommendations</li><li>• supporting documents such as briefing papers and discussion papers.</li></ul>	Retain as national archives

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## REGULATORY POLICY

The function of developing, implementing, and maintenance of Australia's anti-money laundering and counter-terrorist financing framework. Includes the setting of policy, rules, and guidelines that constitute the statutory framework and the development and management of associated legislation.

### Committees - Continued

Entry	Description of records	Disposal action
20608	Records of internal committees formed to consider specific matters relating to the development and implementation of regulatory policy. Includes: <ul style="list-style-type: none"><li>• documents establishing the committee</li><li>• agenda</li><li>• copies of minutes</li><li>• reports</li><li>• recommendations</li><li>• supporting documents such as briefing and discussion papers.</li></ul>	Destroy 3 years after last action
20609	Working papers documenting the administrative arrangements made for the conduct of committees.	Destroy when reference ceases

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### Implementation

The activities associated with carrying out or putting into action plans, policies, procedures, or instructions, all of which could be internally or externally driven. Includes manual or automated databases, applications, or systems, but excludes installation of equipment. Also includes monitoring to ensure the implementation goes according to schedule and that standards are met and includes first aid treatment.

Entry	Description of records	Disposal action
20610	Records documenting the implementation of plans, policies, strategies, procedures, and guidelines formulated to support the regulatory policy function. Includes monitoring the implementation activities.	Destroy 3 years after last action

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### Meetings

The activities associated with ad-hoc gatherings held to formulate, discuss, update, or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Entry	Description of records	Disposal action
20611	Records documenting meetings held to support the regulatory policy function. Includes agenda and minutes.	Destroy 3 years after last action

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## REGULATORY POLICY

The function of developing, implementing, and maintenance of Australia's anti-money laundering and counter-terrorist financing framework. Includes the setting of policy, rules, and guidelines that constitute the statutory framework and the development and management of associated legislation.

### Planning

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

*For overarching business unit strategic plans, use AFDA - STRATEGIC MANAGEMENT – Planning.*

Entry	Description of records	Disposal action
21019	Final versions of plans relating to the regulatory policy function. Includes transition plans and project plans	Destroy 7 years after last action
21020	Working papers documenting the development of plans. Includes drafts and comments received.	Destroy 2 years after last action

### Policy Development

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

*For the preparation and passage of Legislation, use AFDA - GOVERNMENT RELATIONS – Legislation.*

*For the development of new legislation or proposals for amendments to legislation, use AFDA - STRATEGIC MANAGEMENT - Legislation*

Entry	Description of records	Disposal action
20612	Final versions of records documenting regulatory policy, rules, and guidelines to clarify or interpret legislation. Includes legislative instruments.	Retain as national archives
20613	Records documenting the drafting and editing of regulatory policy, rules, and guidelines to clarify or interpret legislation. Includes: <ul style="list-style-type: none"> <li>• drafts</li> <li>• agency and legal comments</li> <li>• consultations with stakeholders.</li> </ul>	Destroy 7 years after last action

### 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.

Entry	Description of records	Disposal action
20614	Records and working papers used to develop research reports for the regulatory policy function. Includes final report, literature searches, consultation and interview notes, surveys, drafts, and comments.	Destroy 3 years after last action