



Australian Government

National Archives of Australia

Records Authority

**Australian Customs and Border
Protection Service**
**Re-issue of RA 2001/630 without
date ranges**

Job no 2009/00921365

January 2010

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INTRODUCTION

The Australian Customs and Border Protection Service 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: *Civil Maritime Surveillance and Response; Detector Dogs; Industry Schemes and Trade Measures; Intelligence; International Relations; Investigation; Revenue Management; Trade Facilitation and Compliance* and *Travel Facilitation and Compliance*. It represents a significant commitment on behalf of the Australian Customs and Border protection Service to understand, create and manage the records of its activities.

This Authority is based on the identification and analysis of the business of the Australian Customs and Border Protection Service. 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 the Australian Customs and Border Protection Service 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.

The Australian Customs and Border Protection Service 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 or by contacting the Agency Service Centre at recordkeeping@naa.gov.au or (02) 6212 3610.

APPLICATION OF THIS AUTHORITY

1. This Authority replaces Records Authority (RA) 2001/630. The superseded RA can no longer be used by the Australian Customs and Border Protection Service to sentence records after the date of issue of this Authority.
2. This authority removes the date ranges that limited the application of RA 2001/630 Australian Customs and Border Protection Service must exercise care in sentencing records created before the previous date limits. The nature of the business and the records may have been different in the past. This could mean that:
 - RNA records are found in classes that are now temporary
 - Temporary records are found in classes that are now RNA
 - Older business records may not be included in classes

If any of these problems are found, the records should be put aside and additional classes approved by the Archives before the records are sentenced.

3. 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.
4. 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 the Australian Customs and Border Protection Service, such as encrypted records and source records that have been copied.
5. 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.
6. 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. The Australian Customs and Border Protection Service will need to ensure that any software, hardware or documentation required to enable continuing access to the information is available for the periods prescribed.
7. In general, retention requirements indicate a minimum period for retention. The Australian Customs and Border Protection Service 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 the Australian Customs and Border Protection Service 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.
8. The Australian Customs and Border Protection Service 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

9. 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
10. Records in the care of the Australian Customs and Border Protection Service should be appropriately stored and preserved. The Australian Customs and Border Protection Service 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).
11. 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.
12. Advice on how to use this Authority is available from the Australian Customs and Border Protection Service 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 records management 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

Website: www.naa.gov.au

AUTHORISATION

RECORDS AUTHORITY

Person to whom notice of authorisation is given:

Michael Carmody
Chief Executive Officer
Australian Customs and Border Protection Service
Customs House
5 Constitution Avenue
CANBERRA CITY ACT 2601

Purpose:

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

Application:

Records of the Australian Customs and Border Protection Service

This authorisation gives permission for the destruction, retention or transfer to the National Archives of Australia of the records described. The authorisation 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:

22/1/10

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CIVIL MARITIME SURVEILLANCE AND RESPONSE

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

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

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

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

Agreements

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

For whole of government agreements use GOVERNMENT RELATIONS – Agreements.

Class No	Description of records	Disposal action
21213	Records documenting the negotiation, establishment, issue, maintenance and review of agreements. Includes: <ul style="list-style-type: none"> • Memorandums of Understanding (MOUs) • Service Level Agreements • National Protocols 	Destroy 7 years after expiry of the agreement

Air and Sea Operations

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

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

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

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

Class No	Description of records	Disposal action
21214	Specific incident reports and other records of operations where major enforcement or search and rescue activities occur involving any of the following: <ul style="list-style-type: none"> • the death or serious injury of persons • the apprehension or attempted apprehension of persons carrying out large scale illegal importations • the apprehension or attempted apprehension of persons undertaking illegal activities that have the potential to cause considerable harm or damage to persons or the environment 	Retain as national archives
21215	Specific incident reports on operations and other records of operations where no significant action is taken.	Destroy 10 years after action completed

CIVIL MARITIME SURVEILLANCE AND RESPONSE

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

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

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

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

Air and Sea Operations - Continued

Class No	Description of records	Disposal action
21216	Records documenting the coordination and facilitation of responses to breaches or possible breaches of the law including deployment of vessels and personnel, liaison with client and partner agencies.	Destroy 3 years after action completed
21217	Vessel log books, used to record: crew, speed, course, arrival and departure at ports, sightings of vessels, operational reports, audit of maintenance and safety requirements.	Destroy 20 years after last entry
21218	Records documenting the reporting of surveillance. Includes: <ul style="list-style-type: none"> • surveillance checklists • post flight and in-flight reports • terra vision database print-outs • daily activity summaries • post flight client surveys • biannual client surveys photographs • video recordings • preparation of specific reports for particular agencies • de-briefing of crews 	Destroy 3 years after action completed

Authorisation

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

Class No	Description of records	Disposal action
21219	Records documenting the delegation of powers to Customs for authorising action relating to the civil maritime surveillance function. Includes: <ul style="list-style-type: none"> • vessels to be detained under Migration Act 1958 • approval for Customs to import and hold prohibited • weapons • officers be authorised to carry firearms • directions of CEO that officers move or destroy ships • seeking and granting of permission from other agencies to carry out certain actions 	Destroy 7 years after authorisation is superseded, cancelled or is no longer applicable

CIVIL MARITIME SURVEILLANCE AND RESPONSE

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

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

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

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

Authorisation - Continued

Class No	Description of records	Disposal action
21220	Records documenting the delegations and authorisations from other agencies for Customs Officers to act or be appointed under their legislation to conduct business on their behalf. Includes: <ul style="list-style-type: none"> • Great Barrier Reef Marine Park Authority Act • Immigration Act • Defence Act • Fisheries Management Act • Quarantine Act • Wildlife Protection Act 	Destroy 5 years after appointment is cancelled or is no longer applicable

Committees

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

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

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

Class No	Description of records	Disposal action
21221	Records of committees including: <ul style="list-style-type: none"> • final version of minutes • tabling of plans • programs reports • reports of inter-agency committees that allow key client agencies to have direct input into the review and development process for the national surveillance program <p>Committees include:</p> <ul style="list-style-type: none"> • Operations Programs Advisory Committee (OPAC) • Planning Advisory Sub-Committee (PASC) • Regional Operations Programs Advisory Committee (ROPAC) 	Retain as national archives

CIVIL MARITIME SURVEILLANCE AND RESPONSE

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

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

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

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

Committees - Continued

Class No	Description of records	Disposal action
21222	Working papers documenting the conduct and administration of interagency committees which consider matters relating to the national surveillance program.	Destroy 5 years after action completed

Community Referral

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

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

Class No	Description of records	Disposal action
21223	Records documenting reports from members of the community about unusual, suspicious, or unlawful land, sea or air activities that are registered and referred to the appropriate business unit or body for action, if required.	Destroy 3 years after reported activity entered

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.

Class No	Description of records	Disposal action
21224	Records documenting contract management in relation to the civil maritime surveillance and response function. Includes: <ul style="list-style-type: none">• measuring and monitoring of delivery performance• daily base status reports• monthly measurement reports• crew performance evaluations• meetings with contractors	Destroy 7 years after completion or other termination of contract

CIVIL MARITIME SURVEILLANCE AND RESPONSE

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

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

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

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

Defensive Armament

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

Class No	Description of records	Disposal action
21225	Records documenting the acquisition of firearms, ammunition and personal defence equipment.	Destroy 7 years after disposal of equipment
21226	Records documenting the disposal, maintenance and repair of firearms, ammunition and personal defence equipment.	Destroy 7 years after disposal of equipment
21227	Records documenting the issue and return of firearms, ammunition and personal defence equipment from secure storage areas.	Destroy 2 years after action completed

Education and Training

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

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

Class No	Description of records	Disposal action
21228	Notification of examination results and awarding of certificates.	Destroy 7 years after last action completed
21229	Records detailing administrative arrangements supporting the conduct of training courses run by Customs for non-agency staff.	Destroy 3 years after last action completed
21230	Working papers documenting the development of training material for civil maritime surveillance and response courses.	Destroy 1 year after training material is produced
21231	Master set of training material for the civil maritime surveillance and response courses run by Customs for non-agency staff. Includes: <ul style="list-style-type: none">• programs• lecture notes• hand-outs• films and videos	Destroy when course is superseded or when training material is no longer relevant

CIVIL MARITIME SURVEILLANCE AND RESPONSE

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

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

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

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

Planning

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

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

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

Class No	Description of records	Disposal action
21232	Final version of plans for resource requirements. Includes: allocation and distribution of vessels, aircraft and crew.	Destroy 5 years after plan is superseded
21233	Working papers used in developing resource requirement plans for the civil maritime surveillance and response function. Includes draft plans, reports analysing issues, and comments received from other areas of the Agency and the contractor.	Destroy 5 years after adoption of the final plan

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.

Class No	Description of records	Disposal action
21234	Records documenting the development and establishment of civil maritime surveillance and response policies. Includes: <ul style="list-style-type: none">• final policy documents• major drafts• supporting reports• policy proposals	Retain as national archives
21235	Working papers documenting the development of all civil maritime surveillance and response policies.	Destroy 3 years after new policy is promulgated

CIVIL MARITIME SURVEILLANCE AND RESPONSE

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

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

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

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

Procedures

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

Class No	Description of records	Disposal action
21236	Master set of procedures supporting the civil maritime surveillance and response function.	Retain as national archives
21237	Records documenting the development of agency procedures supporting the civil maritime surveillance and response function.	Destroy 1 year after production of procedures

Reporting

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

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

Class No	Description of records	Disposal action
21238	Final version of internal formal reports and reports made to external agencies relating to the civil maritime surveillance and response function.	Destroy 5 years after action completed
21239	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 1 year after action completed

Risk Management

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

Class No	Description of records	Disposal action
21240	Records documenting risk management relating to the civil maritime surveillance and response function. Includes records covering each stage of the process, treatment schedules, risk register and action plans.	Destroy 7 years after next risk assessment is completed

CIVIL MARITIME SURVEILLANCE AND RESPONSE

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

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

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

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

Tendering

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

Class No	Description of records	Disposal action
21241	Signed contracts under seal resulting from tenders and supporting records: Western Australia.	Destroy 20 years after completion or other termination of contract
21242	Signed contracts under seal resulting from tenders and supporting records: Victoria and South Australia.	Destroy 15 years after completion or other termination of contract
21243	Signed contracts under seal resulting from tenders and supporting records: New South Wales, Queensland, Tasmania, Australian Capital Territory, Northern Territory.	Destroy 12 years after completion or other termination of contract
21244	Tender register.	Destroy 7 years after last entry
21245	Records documenting the development and issue of tender documentation. Includes Statement of Requirements, Request for Proposals, Expression of Interest, Request for Tender (RFT) and draft contract.	Destroy 7 years after tender process completed
21246	Evaluation of tenders received against selection criteria. Includes records documenting arrangements for carrying out the evaluation process, evaluation report, recommendations, final report and public notices, post-offer negotiations and due diligence checks.	Destroy 7 years after tender process completed
21247	Contract register.	Destroy 7 years after last entry
21248	Signed simple contracts and agreements resulting from tenders and supporting records.	Destroy 7 years after completion or other termination of agreement
21249	Records of unsuccessful tenders or a tender process where there is no suitable bidder, or where the tender process has been discontinued. Includes submissions, notification of outcome and reports on debriefing sessions.	Destroy 2 years after tender process completed or decision made not to continue with tender

DETECTOR DOGS

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

Agreements

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

For whole of government agreements use GOVERNMENT RELATIONS – Agreements.

Class No	Description of records	Disposal action
21250	Records documenting the issue, maintenance and review of agreements and Memorandums of Understanding (MOUs), covering the loan of dogs and handlers to law enforcement and other agencies, provision of dogs and breeding methodology to Customs administrations and other organisations, and the placement of pups in foster care.	Destroy 5 years after agreement expires or is superseded

Breeding

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

Class No	Description of records	Disposal action
21251	Records documenting the pedigree of dogs, including details of parentage and descent, date of birth and death etc. Includes the collection and analysis of genetic information with correlations between genotype and phenotypes and development of breeding methodology.	Destroy 50 years after date of birth

Canine Separations

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

For fostering of puppies, use DETECTOR DOGS – Kennelling.

Class No	Description of records	Disposal action
21252	Records documenting the departure of dogs from Customs. Includes the recommendation and arrangements for all forms of departure including sale, donation or giving away of dogs, handing-over of dogs and associated documentation to new owners and arrangements for transport or pick-up.	Destroy 3 years after action completed

DETECTOR DOGS

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

Deployment

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

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

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

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

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

Class No	Description of records	Disposal action
21253	Records documenting requests for/enquiries about use of dogs and handlers on search and other operations. Includes programming of use of dogs on regular and unplanned search operations and deployment notification.	Destroy 3 years after action completed

Dog and Handler Training

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

Class No	Description of records	Disposal action
21254	Records documenting the registration and training of dogs and handlers in the detector dog function. Includes: <ul style="list-style-type: none"> • attendance • conduct in training sessions and exercises • progress assessments • performance evaluations • recording of test and examination results • quality assurance • tasking results • recommendations for training requirements for handler/dog 	Destroy 3 years after dog separation (sale, donation, retirement etc)
21255	Records documenting the loan and control of seized narcotic substances for dog and handler training purposes. Includes registration of narcotics, receipt and return, and stocktakes.	Destroy 3 years after action completed

DETECTOR DOGS

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

Planning - Continued

Class No	Description of records	Disposal action
21256	Master set of training material for dog handlers and trainers. Includes: <ul style="list-style-type: none"> • programs • lecture notes • hand-outs • films and videos 	Destroy when course is superseded or when training material is no longer relevant
21257	Working papers documenting the development of training material for detector dog training.	Destroy 1 year after training material is produced

Kennelling

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

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

Class No	Description of records	Disposal action
21258	Records documenting the management of the placement of pups with foster families for raising and nurturing (Puppy Walking Scheme). Includes arrangements for the provision of food, veterinary care, dietary supplements, and recompense of monies.	Destroy 7 years after action completed
21259	Records documenting the management of raising and nurturing of dogs on or at Customs locations. Includes the provision of food, shelter, veterinary care, dietary supplements, and monitoring of washing, grooming and cleaning of kennels.	Destroy 3 years after action completed

Planning

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

Class No	Description of records	Disposal action
21260	Final version of plans produced for detector dog function.	Destroy 5 years after plan is superseded
21261	Working papers used to develop plans for the detector dog function.	Destroy 1 year after adoption of final plan

DETECTOR DOGS

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

Policy

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

Class No	Description of records	Disposal action
21262	Records documenting the development of policies supporting the detector dogs function.	Destroy 5 years after policy is superseded
21263	Working papers documenting the development of policies supporting the detector dog function.	Destroy 5 years after promulgation of the new policy

Procedures

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

Class No	Description of records	Disposal action
21264	Master set of procedures supporting the detector dog function.	Destroy 5 years after procedures are superseded
21265	Records documenting the development of procedures for the detector dog function.	Destroy 1 year after procedures are superseded

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.

Class No	Description of records	Disposal action
21266	Final version of formal reports supporting the detector dogs function.	Destroy 3 years after action completed
21267	Working papers documenting the development of reports supporting the detector dogs function.	Destroy 1 year after action completed

DETECTOR DOGS

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

Selection

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

Class No	Description of records	Disposal action
21268	Records documenting the results of tests to determine the selection of dogs for the most appropriate training program.	Destroy 3 years after sale, donation, retirement or other separation of dog

Standards

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

Class No	Description of records	Disposal action
21269	Records documenting the implementation of industry and Customs standards to support the detector dog function. Includes those developed to satisfy community expectations, human and dog hygiene, RSPCA animal welfare and kennelling association requirements.	Destroy 7 years after action completed

INDUSTRY SCHEMES AND TRADE MEASURES

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

Addresses (Presentations)

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

Class No	Description of records	Disposal action
21270	Final versions of addresses delivered to industry.	Destroy 2 years after last presentation
21271	Working papers and drafts documenting the development of addresses, including requests to give addresses; distribution of invitations for persons to attend presentations and review of and feedback on presentations.	Destroy when reference ceases

Advice

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

Class No	Description of records	Disposal action
21272	Dumping commodities register. Public record documenting commodities subject to dumping or countervailing duties and the provisional measures or price undertakings. (Dumping refers to a form of price differentiation that occurs when an exporter sells a product to Australia at a lower price than that charged in its home market and causes or threatens to cause material injury to Australian industry).	Retain as national archives
21273	Records documenting the receipt and provision of advice provided on industry schemes or trade measures. Includes information about entitlements, procedures, requirements, and details of schemes.	Destroy 7 years after action completed
21274	Confidential instructions publication detailing the level of dumping and countervailing measures imposed on particular commodities. Includes companies information provided to Agency staff to ensure appropriate duties are collected.	Destroy 3 years after version of publication is superseded

Agreements

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

For whole of government agreements use GOVERNMENT RELATIONS – Agreements.

Class No	Description of records	Disposal action
21275	Records documenting the negotiation, establishment and issue of terms of agreements and confidentiality of information submitted during an inquiry.	Destroy 7 years after agreement expires or is superseded

INDUSTRY SCHEMES AND TRADE MEASURES

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

Appeals (decisions)

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

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

Class No	Description of records	Disposal action
21276	Records documenting appeals made to the Administrative Appeals Tribunal (AAT) or the Federal Court against a decision associated with the delivery of programs and measures, where results have a major effect on policy making or have major financial implications.	Retain as national archives
21277	Records documenting appeals made to the Administrative Appeals Tribunal (AAT) or the Federal Court against a decision associated with the delivery of programs and measures, where the results have minor or no effect on policies or finances. Includes rejections or withdrawal of appeals.	Destroy 7 years after case is finalised

Benefits and Entitlements

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

Class No	Description of records	Disposal action
21279	Records documenting applications and processing of benefits and entitlements, through Government support programs, that assist industry. Includes quota allocations, bounty and duty drawback.	Destroy 10 years after termination of benefit

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.

Class No	Description of records	Disposal action
21280	Records documenting arrangements for agency conferences including program development, arranging speakers, promotion, managing registrations and venue bookings.	Destroy 3 years after action completed
21281	Records documenting the attendance of staff at conferences arranged by other organisations. Includes the completed conference registration forms, programs, completed conference promotion material, and participants reports.	Destroy 3 years after action completed

INDUSTRY SCHEMES AND TRADE MEASURES

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

Conferences - Continued

Class No	Description of records	Disposal action
21282	Copies of unpublished proceedings, reports, speeches and papers from agency conferences and copies of published conference proceedings and official reports received at conferences arranged by other organisations.	Destroy when reference ceases

Dumping and Subsidisation Enquiries

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

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

Class No	Description of records	Disposal action
21283	Reviews and successful applications for anti-dumping, and/or countervailing measures. Includes recommendations made to the Minister.	Destroy 6 years after measures have been removed (confirm with appropriate section)
21284	Applications for the continuation of anti-dumping measures.	Destroy 6 years after measures have been removed (confirm with appropriate section)
21285	Applications for final duty liability assessment.	Destroy 6 years after measures have been removed (confirm with appropriate section)
21286	Records documenting and notifying the imposition/exemption of interim dumping or countervailing duties.	Destroy 6 years after measure have been removed (confirm with appropriate section)
21287	Unsuccessful or withdrawn applications for anti-dumping, and/or countervailing measures.	Destroy 7 years after action completed

INDUSTRY SCHEMES AND TRADE MEASURES

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

Education and Training

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

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

Class No	Description of records	Disposal action
21288	Notification of examination results and awarding of certificates.	Destroy 7 years after action completed
21289	Arrangements for conduct of training sessions, receipt and assessment of application forms, notices to attendees (confirmation of attendance), hire of equipment, booking of venues, catering arrangements. Reports on and evaluations of training sessions; session attendance registers; arrangements for conduct of tests and examinations.	Destroy 3 years after action completed
21290	Working papers documenting the development of training material for the industry schemes and trade measures function.	Destroy 1 year after training material is produced
21291	Maintenance of master set of training material, including programs, lecture notes, hand-outs, films and videos.	Destroy when course is superseded or when training material is no longer relevant

Industry Representations

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

Class No	Description of records	Disposal action
21292	Records documenting the receipt and acknowledgment of submissions or advice received from industry or the public requiring investigation or response in relation to industry schemes or trade measures policies or procedures.	Destroy 3 years after final response

Planning

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

Class No	Description of records	Disposal action
21293	Final versions of plans formulated to support Industry Schemes or Trade Measures.	Destroy 5 years after plan is superseded

INDUSTRY SCHEMES AND TRADE MEASURES

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

Planning - Continued

Class No	Description of records	Disposal action
21294	Working papers documenting the development of Industry Schemes or Trade Measures plans. Includes input into plans, comments received and drafts.	Destroy 1 year after adoption of final plan

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.

Class No	Description of records	Disposal action
21295	Records documenting the development and establishment of Industry Schemes or Trade Measures implementation policy. Includes: <ul style="list-style-type: none"> • final policy documents • major drafts • supporting reports • policy proposals 	Retain as national archives
21296	Working papers documenting the development of Industry Schemes or Trade Measures implementation policy.	Destroy 3 years after promulgation of new policy

Procedures

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

Class No	Description of records	Disposal action
21297	Master set of manuals, handbooks, directives etc detailing procedures supporting the industry schemes and trade measures function.	Retain as national archives
21298	Records documenting the development of procedures supporting the industry schemes and trade measures function.	Destroy 1 year after production of procedures

INDUSTRY SCHEMES AND TRADE MEASURES

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

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.

Class No	Description of records	Disposal action
21299	Regular formal reports made to departments responsible for development of industry schemes and trade measures function.	Destroy 5 years after action completed

Reviews (decisions)

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

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

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

Class No	Description of records	Disposal action
21300	Records documenting the internal review of decision on a Tariff Concession Order application or revocation.	Destroy 7 years after action completed

Risk Management

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

Class No	Description of records	Disposal action
21301	Records documenting risk management relating to the industry schemes and trade measures function. Includes records covering each stage of the process, treatment schedules and action plans.	Destroy 7 years after next risk assessment is completed

INDUSTRY SCHEMES AND TRADE MEASURES

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

Tariff Concession Orders

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

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

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

Class No	Description of records	Disposal action
21302	Records documenting the granting of Tariff Concession Orders. Includes applications and submissions, and associated documents relating to their subsequent revocation.	Destroy 2 years after concession is revoked
21303	Records documenting the withdrawal or rejection of requests/applications for granting Tariff Concession Orders and associated documents leading to their subsequent withdrawal or rejection	Destroy 2 years after action completed

Visits

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

Class No	Description of records	Disposal action
21304	Records documenting visits by industry organisations to the Customs or visits by Customs staff to industry organisations.	Destroy 7 years after action completed

INTELLIGENCE

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

Advice

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

Class No	Description of records	Disposal action
21305	Records documenting the provision of advice on intelligence policy, procedures and techniques. Includes drafting and distribution of intelligence notes.	Destroy 5 years after action completed

Agreements

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

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

For whole of government agreements use GOVERNMENT RELATIONS – Agreements.

Class No	Description of records	Disposal action
21306	Records documenting the drafting, negotiation, amendment, issue, and review of Memorandums of Understanding (MOUs) and other agreements.	Destroy 7 years after agreement expires or is superseded

Committees

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

Class No	Description of records	Disposal action
21307	Records documenting the establishment of committees (including Intelligence Policy Committee and Regional Intelligence Committees) appointment of committee members, final versions of minutes; reports, submissions and other documents tabled at meetings.	Destroy 5 years after action completed
21308	Working papers documenting the conduct and administration of intelligence committees. Production of agendas and draft versions of minutes.	Destroy when reference ceases
21309	Records documenting the distribution of meeting notices, agendas, minutes, attachments of committees chaired and administered by external agencies and organisations.	Destroy when reference ceases

INTELLIGENCE

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

Education and Training

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

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

Class No	Description of records	Disposal action
21310	Notification of examination results and awarding of certificates.	Destroy 7 years after action completed
21311	Arrangements for conduct of training sessions, receipt and assessment of application forms, notices to attendees (confirmation of attendance) hire of equipment, booking of venues, catering arrangements. Reports on and evaluations of training sessions; session attendance registers; arrangements for conduct of tests and examinations.	Destroy 3 years after action completed
21312	Working papers documenting the development of training material for the intelligence function.	Destroy 1 year after training material is produced
21313	Maintenance of master set of training material, including programs, lecture notes, hand-outs, films and videos.	Destroy when course is superseded or when training material is no longer required

Intelligence Product

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

Class No	Description of records	Disposal action
21314	Records documenting formal intelligence product and the provision of intelligence product to clients about a specified subject or a range of subjects of concern. Includes preparation of intelligence reports or assessment, surveillance summaries and estimates. [For the provision of information on new or changing areas of risk, threat or opportunity, use INTELLIGENCE - Intelligence Sharing.]	Destroy 10 years after record is compiled
21315	Working papers used in the development of intelligence product.	Destroy when reference ceases

INTELLIGENCE

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

Intelligence Sharing

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

Class No	Description of records	Disposal action
21316	Records documenting the exchange and evaluation of information that may alert clients to new or changing areas of risk, threat or opportunity. Includes evaluation of information reports and making queries or comments.	Destroy 5 years after action completed

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.

Class No	Description of records	Disposal action
21317	Records documenting the signing and issue of joint venture agreements, including amendments.	Destroy 7 years after completion or other termination of agreement or contract
21318	Records documenting the negotiation and review of joint venture agreements, including meetings, drafts and arrangements for deployment of personnel to joint venture task forces etc.	Destroy 7 years after completion or other termination of agreement or contract

Planning

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

Class No	Description of records	Disposal action
21319	Final versions of plans formulated to support the intelligence function.	Destroy 5 years after plan is superseded
21320	Records documenting the drafting of plans (eg Intelligence Branch Action Plan) including requests for comment or information.	Destroy 1 year after adoption of final plan

INTELLIGENCE

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

Policy

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

Class No	Description of records	Disposal action
21321	Records documenting the promulgation and issue of final, authorised intelligence policy. Includes: <ul style="list-style-type: none"> • final policy documents • major drafts • supporting reports • policy proposals 	Retain as national archives
21322	Working papers documenting the development of intelligence policy including research, draft documents, submissions and comments.	Destroy 10 years after promulgation of new policy

Procedures

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

Class No	Description of records	Disposal action
21323	Master set of procedures supporting the intelligence function, including 'Intelligence Directions'.	Retain as national archives
21324	Records documenting the development of procedures including research, draft documents and submissions and comments.	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.

Class No	Description of records	Disposal action
21325	Final version of regular formal internal reports and routine reports made to external agencies relating to the intelligence function. <i>[For reports from intelligence gathering, use INTELLIGENCE - Intelligence Product].</i>	Destroy 5 years after action completed
21326	Working papers documenting the development of all reports. Includes drafts, comments received, statistical analysis, information gathering and research. <i>[For reports from intelligence gathering, use INTELLIGENCE - Intelligence Product].</i>	Destroy 1 year after action completed

INTELLIGENCE

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

Reviewing

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

Class No	Description of records	Disposal action
21327	Records documenting the review of intelligence operations, principles and processes. Includes documents establishing the review, final report, action plan and identification of problems needing rectification.	Destroy 5 years after action completed
21328	Working papers documenting the conduct of the review of operations, including methodologies, interviews, research and drafts, that support the intelligence function.	Destroy 2 years after action completed

Risk Management

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

Class No	Description of records	Disposal action
21329	Records documenting risk management relating to the intelligence function. Includes records covering each stage of the process, treatment schedules and action plans.	Destroy 7 years after next risk assessment is completed

Standards

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

Class No	Description of records	Disposal action
21330	Records documenting the implementation of industry and agency standards to support the intelligence function. Includes reporting standards and the Commonwealth Protective Security Manual.	Destroy 7 years after action completed

INTERNATIONAL RELATIONS

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

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

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

Advice

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

Class No	Description of records	Disposal action
21331	Records documenting the receipt and provision of general advice and briefing of personnel attending international meetings, conferences and forums.	Destroy 5 years after action completed

Agreements

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

For whole of government agreements use GOVERNMENT RELATIONS – Agreements.

Class No	Description of records	Disposal action
21332	Records documenting the negotiation, establishment, issue, maintenance and review of agreements with other customs administrations and international organisations. Includes: Memorandums of Understanding (MOUs), bilateral agreements, cooperative arrangements and other formal agreements and provision of input on drafting of international conventions/agreements.	Retain as national archives

Bilateral Meetings

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

Class No	Description of records	Disposal action
21333	Final reports of bilateral meetings including minutes and documents tabled at the meetings.	Retain as national archives
21334	Working papers documenting the arrangements for bilateral meetings. Includes attendees, location, agenda, notices of meetings and draft minutes.	Destroy 10 years after action completed

INTERNATIONAL RELATIONS

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

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

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

Committees

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

Class No	Description of records	Disposal action
21335	Records of international committees established/chaired by the Agency or where the Agency is the secretariat, eg. United Nations Committees ¹ , World Customs Organisation, World Trade Organisation, Asia-Pacific Economic Cooperation Forum. Includes: <ul style="list-style-type: none"> • terms of reference • appointment of committee members • final version of minutes • reports and submissions 	Destroy 10 years after action completed
21336	Records documenting the conduct and administration of International committees including agendas, notices of meetings and draft versions of minutes.	Destroy when reference ceases
21337	Records documenting the agendas, minutes of international committees chaired and administered by external agencies and organisations which consider matters relating to customs.	Destroy when reference ceases

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.

Class No	Description of records	Disposal action
21338	Records documenting reports of proceedings of international conferences held to improve cooperation and standardisation, hosted by the Agency. Includes: <ul style="list-style-type: none"> • agenda • minutes • speeches • papers 	Destroy 10 years after action completed

INTERNATIONAL RELATIONS

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

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

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

Conferences - Continued

Class No	Description of records	Disposal action
21339	Preparation, development and feedback for international conferences hosted by the Agency. Includes arrangements for speakers, venue bookings, programmes, registration, presentation packages, promotional material and reports by attendees.	Destroy 3 years after action completed
21340	Records documenting the attendance of staff at conferences arranged by other organisations. Includes the completed conference registration forms, programs, conference promotion material, and participants' reports.	Destroy 3 years after action completed

Planning

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

Class No	Description of records	Disposal action
21341	Final versions of plans formulated to support the international relations function.	Destroy 5 years after plan is superseded
21342	Working papers documenting the development of international relations plans. Includes input into plans, comments received and drafts.	Destroy 1 year after adoption of final plan

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.

Class No	Description of records	Disposal action
21343	Records documenting the development and establishment of international policy and protocol.	Destroy 5 years after policy is superseded
21344	Working papers documenting the development of international policy and protocol.	Destroy 1 year after promulgation of the new policy

INTERNATIONAL RELATIONS

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

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

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

Procedures

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

Class No	Description of records	Disposal action
21345	Master sets of procedures supporting the international relations function	Destroy 5 years after procedures are superseded
21346	Records documenting the development of procedures supporting the international relations function.	Destroy 1 year after action completed

Technical Assistance

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

Class No	Description of records	Disposal action
21347	Records documenting and reporting on assistance provided to international customs or customs related organisations. Assistance may include development of programs, site visits, training sessions, workshops, and provision of procedural/policy documentation and publications.	Destroy 10 years after action completed

Visits

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

Class No	Description of records	Disposal action
21348	Records documenting the planning and coordination of visits. Includes invitations, acceptances, itineraries, travel and accommodation arrangements, information packs, and reports on visit outcomes.	Destroy 10 years after action completed

INVESTIGATION

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

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

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

Advice

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

Class No	Description of records	Disposal action
21349	Records relating to the receipt and provision of advice on the investigation functions.	Destroy 5 years after action completed

Agency Referral

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

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

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

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

Class No	Description of records	Disposal action
21350	Records documenting requests for assistance or referral of matters to or from other agencies. Includes referral of matters for investigation (including Australian Federal Police, National Crimes Authority, State or Territory Police) or prosecution (including Australian Government Solicitor, Director of Public Prosecutions) and the handover of seized goods to the Australian Federal Police.	Destroy 7 years after action completed

Agreements

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

For whole of government agreements use GOVERNMENT RELATIONS – Agreements.

Class No	Description of records	Disposal action
21351	Final version of agreements and memoranda of understanding made to support the investigation function.	Destroy 7 years after expiry or other termination of agreement

INVESTIGATION

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

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

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

Agreements - Continued

Class No	Description of records	Disposal action
21352	Records documenting negotiations, establishment, maintenance, drafts and review of agreements.	Destroy 7 years after expiry or other termination of agreement

Authorisation

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

Class No	Description of records	Disposal action
21353	Records documenting the delegation of powers to the Agency for authorising action relating to the investigation function. Includes, access to Financial Transaction Reports, approval of controlled operations, and declarations for certain classes of officers to be detention officers. Also includes delegations and authorisations from other agencies (e.g. National Parks and Wildlife) for Agency Officers to act or be appointed under their legislation to conduct business on their behalf.	Destroy 7 years after delegation superseded

Committees

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

Class No	Description of records	Disposal action
21354	Records documenting the establishment of investigation committees, appointment of committee members, final versions of minutes; reports, submissions and other documents tabled at meetings.	Destroy 10 years after action completed
21355	Working papers documenting the conduct and administration of investigation committees. Production of agendas and draft versions of minutes.	Destroy when reference ceases

INVESTIGATION

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

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

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

Investigation Briefs

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

Class No	Description of records	Disposal action
21356	Preparation of briefs of evidence for prosecution of criminal offences where there is no court order or clause in settlement agreement to destroy the brief or return it to source as part of the settlement agreement.	Retain as national archives
21357	Preparation of briefs of evidence for prosecution of Customs offences where there is no court order or clause in settlement agreement to destroy the brief or return it to source as part of the settlement agreement.	Retain permanently in agency
21358	Preparation of briefs of evidence for prosecution of criminal offences where there is a court order or clause in settlement agreement to destroy the brief or return it to source as part of the settlement agreement.	Dispose of in accordance with the court order or settlement agreement
21359	Preparation of briefs of evidence for prosecution of Customs offences where there is a court order or clause in settlement agreement to destroy the brief or return it to source as part of the settlement agreement.	Dispose of in accordance with the court order or settlement agreement

INVESTIGATION

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

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

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

Investigations case

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

Class No	Description of records	Disposal action
21360	<p>Cases where a matter has been referred for further investigation involving criminal offences and or prosecution that would result in a fine and or a jail sentence. Covers records of surveillance, interviews, operations, orders, searches, and seizures, detention of goods or vessels and prosecution. Includes the following records gathered during the case; warrants, preparation and swearing of information, notebooks, charging of offenders, details of search and seizure, ledger of items of evidence and seized goods, retention order applications (for retention of seized things), application for detention orders or renewal of detention orders, seized goods documentation (eg notices, issue of receipts, applications for return, condemnation and notification of disposal of seized goods), impoundment notice, applications for external and internal search orders.</p> <p><i>[For the referral of matters to other agencies for attention or prosecution, use INVESTIGATION - Agency Referral.]</i></p>	Retain as national archives
21361	<p>Cases where a matter has been referred for further investigation involving criminal offences and there is no prosecution, prosecution is terminated, the decision is made not to follow the prosecution further or warning is issued.</p>	Destroy 75 years after date of birth of offender, or where there are multiple offenders destroy 75 years after the date of birth of the youngest offender

INVESTIGATION

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

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

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

Investigations case - Continued

Class No	Description of records	Disposal action
21362	<p>Cases where a matter has been referred for further investigation involving customs offences and or prosecution that would result in a financial penalty. Covers records of surveillance, interviews, operations, orders, searches, and seizures, detention of goods or vessels and prosecution. Includes the following records gathered during the case; warrants, preparation and swearing of information's, notebooks, charging of offenders, details of search and seizure, ledger of items of evidence and seized goods, retention order applications (for retention of seized things), application for detention orders or renewal of detention orders, seized goods documentation (eg notices, issue of receipts, applications for return, condemnation and notification of disposal of seized goods), impoundment notice, applications for external and internal search orders.</p> <p><i>[For the referral of matters to other agencies for attention or prosecution, use INVESTIGATION - Agency Referral.]</i></p>	Destroy 15 years after action completed
21363	<p>Cases where a matter has been referred for further investigation involving Customs offences and there is no prosecution, prosecution is terminated, the decision is made not to follow the prosecution further or warning is issued or training advised to correct the situation.</p>	Destroy 7 years after conclusion of action

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.

Class No	Description of records	Disposal action
21364	<p>Records documenting the signing and issue of joint venture agreements, including amendments.</p>	Destroy 7 years after completion or other termination of agreement or contract

INVESTIGATION

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

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

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

Joint Ventures - Continued

Class No	Description of records	Disposal action
21365	Records documenting the negotiation and review of joint venture agreements, including meetings, drafts and arrangements for deployment of personnel to joint venture task forces etc.	Destroy 7 years after completion or other termination of agreement or contract

Planning

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

Class No	Description of records	Disposal action
21366	Final versions of plans formulated to support the investigation function.	Destroy 5 years after plan is superseded
21367	Working papers documenting the development of investigation plans. Includes input into plans, comments received and drafts.	Destroy 5 years after adoption of the final plan

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.

Class No	Description of records	Disposal action
21368	Records documenting the development and establishment of investigation policy. Includes: <ul style="list-style-type: none"> • final policy documents • major drafts • supporting reports • policy proposals 	Retain as national archives
21369	Working papers documenting the development of investigation policy including research, draft documents, submissions and comments.	Destroy 3 years after promulgation of the new policy

INVESTIGATION

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

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

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

Procedures

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

Class No	Description of records	Disposal action
21370	Master set of manuals, handbooks, directives detailing procedures supporting the investigation function.	Retain as national archives
21371	Records documenting the development of procedures supporting the investigation function.	Destroy 3 years after procedures superseded

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.

Class No	Description of records	Disposal action
21372	Final version of formal internal reports and reports made to external agencies relating to the investigation function.	Destroy 3 years after action completed
21373	Working papers documenting the development of all reports. Includes drafts, comments received, statistical analysis, information gathering and research.	Destroy 1 year after action completed

Reviewing

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

Class No	Description of records	Disposal action
21374	Records documenting the review of investigation methodology and practices, principles and processes. Includes documents establishing the review, and final reports and action plans for the implementation of recommendations.	Destroy 5 years after action completed
21375	Working papers documenting the conduct of the reviews. Includes interviews, research and report drafts.	Destroy 2 years after action completed

INVESTIGATION

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

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

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

Standards

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

Class No	Description of records	Disposal action
21376	Records documenting the implementation of industry and agency standards to support the investigation function.	Destroy 7 years after action completed

REVENUE MANAGEMENT

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

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

Agreements

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

For whole of government agreements use GOVERNMENT RELATIONS – Agreements.

Class No	Description of records	Disposal action
21377	Records documenting the signing and issue of agreements including, amendments and renewals, cancellation, negotiation, drafting, review, and queries about or comments on agreements.	Destroy 7 years after expiry or other termination of agreement

Appeals (decisions)

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

Class No	Description of records	Disposal action
21378	Records documenting applications for review of decisions submitted to the Administrative Appeals Tribunal (AAT), the Ombudsman or the Federal or High Court relating to applications for a refund, rebate or remission of duty, payment of rebates, applications for duty drawback, and remission of penalties where the final decision sets a precedent, leads to a change of policy, relates to issues of national significance or public controversy.	Retain as national archives
21379	Records documenting applications for review of decisions submitted to the Administrative Appeals Tribunal (AAT), the Ombudsman or the Federal or High Court relating to applications for a refund, rebate or remission of duty, payment of rebates, applications for duty drawback, and remission of penalties where the final decision upholds the Agency's decisions, applications are withdrawn or lapse or where there is a minimal impact on the Agency's policies, procedures and revenue.	Destroy 7 years after action completed

Claims

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

Class No	Description of records	Disposal action
21380	Records documenting the receipt of claims for compensation (for damage to or acquisitions of property or for lost, short-landed and damaged goods), assessment of claims, submission of claims to insurance companies, payments to claimants, receipt of payments from insurance companies.	Destroy 7 years after action completed

REVENUE MANAGEMENT

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

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

Client Compliance

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

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

Class No	Description of records	Disposal action
21381	Records documenting the generation of penalty or infringement notices. Includes notices requiring payment of duty and penalty on customs offences, impounded goods, breaches of securities and undertakings, receipt of Administrative Appeals Tribunal (AAT) direction to remit penalty imposed.	Destroy 7 years after action completed
21382	Records documenting the management of securities. Includes security for ensuring goods will be landed at the place for which they are entered for export, receipt of securities and undertakings for the payment of duty on goods imported for a temporary period of time, receipt of securities include those lodged by registered owners or authorised users of trade marks, Copyright owners, furnishers of a tender under the Customs Act, imposition of provisional measures (cash or documentary securities) on imports of goods that are the subject of Anti-Dumping or Countervailing investigation.	Destroy 7 years after action completed

Collection

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

Class No	Description of records	Disposal action
21383	Records documenting the assessment of amount due and payments made to Customs (incoming monies). Includes duty, cargo processing, cargo screening, import entry processing, Goods and Services Tax (GST), Wine Equalisation Tax (WET), Luxury Car Tax (LCT), Marine Navigation Levy (MNL), Protection of the Sea Levy (PSL), Passenger Movement Charge (PMC), demands for payment of duty and tax that has been underpaid or refunds that have been erroneously paid, demands for payments of monies respecting dutiable goods for which approval has been given for warehouse possession/custody or control, remittance of taxation and duties collected on postal articles by Australia Post, and Remittance of Passenger Movement Charge monies by Airlines, Shipping Companies and Travel Agents.	Destroy 7 years after action completed

REVENUE MANAGEMENT

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

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

Collection - Continued

Class No	Description of records	Disposal action
21384	Records documenting debt collection. Includes: <ul style="list-style-type: none"> • raising of invoice for payment of debt • registration and listing of debtors • debtor journals and referral of debt matters for litigation 	Destroy 7 years after action completed

Payments

The activities involved in the preparation and payment of money.

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

Claims	Description of records	Disposal action
21385	Records documenting the preparation and payment of money to Agency Clients (outgoing monies). Includes the drawing of cheques, payment of cash and electronic fund transfers for claims.	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.

Claims	Description of records	Disposal action
21386	Final version of agency-wide revenue management plans.	Destroy 5 years after plan is superseded
21387	Working papers used to develop all revenue management plans. Includes input into plans, comments received and drafts.	Destroy 1 year after adoption of final plan

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.

Class No	Description of records	Disposal action
21388	Records documenting the development and establishment of revenue management policy. Includes major drafts, supporting reports and policy proposals.	Destroy 5 years after policy is superseded
21389	Working papers documenting the development of revenue management policy.	Destroy 1 year after promulgation of the new policy

REVENUE MANAGEMENT

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

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

Procedures

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

Class No	Description of records	Disposal action
21390	Master set of manuals, handbooks and directives detailing procedures supporting the revenue management function.	Destroy 5 years after procedures are superseded
21391	Records documenting the development of procedures supporting the revenue management function.	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.

Class No	Description of records	Disposal action
21392	Formal reports and reports made to external agencies relating to the revenue function.	Destroy 5 years after action completed
21393	Working papers documenting the development of all reports. Includes drafts, comments received, statistical analysis, information gathering and research.	Destroy 1 year after action completed

Standards

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

Class No	Description of records	Disposal action
21394	Records documenting the implementation of industry and agency standards to support the revenue management function.	Destroy 7 years after action completed

TRADE FACILITATION AND COMPLIANCE

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

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

Advice

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

Class No	Description of records	Disposal action
21395	Records documenting the provision of binding advice on the import and export of goods. Includes tariff classification, valuation of goods, and preference rulings (Rules of Origin). <i>[For matters relating to suspect or incorrect use of trade descriptions, use TRADE FACILITATION AND COMPLIANCE - Industry Referral].</i>	Destroy 7 years after action completed
21396	Records documenting the receipt of questions and queries and provision of informal and or non-binding advice. Includes tariff classification, valuation of goods, and preference rulings (Rules of Origin). <i>[For matters relating to suspect or incorrect use of trade descriptions use TRADE FACILITATION AND COMPLIANCE - Industry Referral].</i>	Destroy 2 years after action completed

Agency Referral

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

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

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

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

Class No	Description of records	Disposal action
21397	Records documenting requests for assistance or referral of matters to or from other agencies. Includes referral of matters for their attention (eg requirement for quarantine inspection), or prosecution (eg false trade description, narcotics seizures, revenue fraud), and the handover of seized goods or protected objects to the Australian Federal Police.	Destroy 7 years after action completed

TRADE FACILITATION AND COMPLIANCE

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

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

Agreements

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

For whole of government agreements use GOVERNMENT RELATIONS – Agreements.

Class No	Description of records	Disposal action
21398	Records documenting the negotiation, establishment, issue, maintenance and review of agreements. Includes agreements for access to computer systems and reporting of information for the import or export of goods, Memorandums Of Understanding with other agencies or commercial operators (eg Port Authorities, Quarantine Service), and intellectual property agreements (copyright and trade marks).	Destroy 7 years after agreement expires or is superseded

Appeals (decisions)

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

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

Class No	Description of records	Disposal action
21399	Records documenting appeals made to the Administrative Appeals Tribunal (AAT) or the Federal Court against decisions associated with the movement of goods across the border, where results have a major effect on policy and/or procedure making or have major financial implications. Includes appeals associated with the issue of licences, tariff classification decisions, valuation decisions, imposition of penalties.	Retain as national archives
21400	Records documenting appeals made to the Administrative Appeals Tribunal (AAT) or the Federal Court against decisions associated with the movement of goods across the border, where results have a negligible or nil effect on policy making and/or procedure. Includes, issue of licences, tariff classification decisions, valuation decisions, imposition of penalties.	Destroy 7 years after action completed

TRADE FACILITATION AND COMPLIANCE

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

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

Authorisation

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

Class No	Description of records	Disposal action
21401	Records documenting the delegation of powers to officers, and the appointment of persons other than employees of the Australian Customs Service as officers of Customs, for authorising action relating to the trade facilitation and compliance function. Includes monitoring powers, examining powers and seizing powers.	Destroy 7 years after delegation superseded

Cargo Clearance

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

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

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

Class No	Description of records	Disposal action
21402	Records documenting the application for the release of goods from Agency control. Including requests for cargo release, warehouse declaration, release of warehoused goods, export declaration, and temporary importation documents. Includes approval/release advice, clearance and issue of transaction codes, authorisation for unshipment, authority to deal or equivalent, examination of certificates, licences, permits, cancellation of approvals, refusal to clear goods, notice that goods are to be held for further inspection and examination, and withdrawal or amendment of details.	Destroy 7 years after action completed

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

TRADE FACILITATION AND COMPLIANCE

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

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

Cargo Reporting

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

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

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

Class No	Description of records	Disposal action
21403	Records documenting particulars of cargoes transported aboard ships and aircraft. Includes assessment and processing of reports, and directions for the storage and movement of goods.	Destroy 7 years after action completed

Committees

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

Class No	Description of records	Disposal action
21404	Records of committees formed to consider trade and licensing matters relating to the trade facilitation and compliance function. Includes documents establishing the committee, final versions of minutes, reports, recommendations, and supporting documents such as briefing papers and discussion papers. Includes Customs National Consultative Committee.	Retain as national archives
21405	Working papers documenting the conduct and administration of committees which consider matters relating to the trade facilitation and compliance function. Includes: <ul style="list-style-type: none"> • National Customs Agents/Brokers Licensing Advisory Committee • Agenda • notices of meetings • draft minutes 	Destroy 10 years after action completed

TRADE FACILITATION AND COMPLIANCE

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

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

Education and Training

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

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

Class No	Description of records	Disposal action
21406	Notification of examination results and awarding of certificates.	Destroy 7 years after action completed
21407	Records detailing administrative arrangements supporting the conduct of training courses.	Destroy 3 years after action completed
21408	Working papers documenting the development of training material for the trade facilitation and compliance function.	Destroy 1 year after training material is produced
21409	Maintenance of master set of training material for trade facilitation and compliance, including programs, lecture notes, hand-outs, films and videos.	Destroy when course is superseded or when training material is no longer relevant

Enforcement

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

Class No	Description of records	Disposal action
21410	Records documenting interception of prohibited and restricted imports and exports. Includes records leading up to, and resulting from, the conduct of search and seizure (e.g. warrants), and notification of actions taken. <i>[For the referral of matters to other agencies, use TRADE FACILITATION AND COMPLIANCE - Agency Referral. For the prosecution of importers, use INVESTIGATION - Investigations Case.</i> <i>For records used to manage the movement of seized goods, use TRADE FACILITATION AND COMPLIANCE - Goods Control].</i>	Destroy 7 years after action completed

TRADE FACILITATION AND COMPLIANCE

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

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

Goods Control

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

Class No	Description of records	Disposal action
21411	Records documenting the issue of receipts for goods that are being withheld. Includes registration, stocktake and receipt of claim for return of withheld goods. <i>[For the referral of matters to other agencies, use TRADE FACILITATION AND COMPLIANCE - Agency Referral. For the prosecution of importers, use INVESTIGATION - Investigations Cases].</i>	Destroy 10 years after action completed
21412	Records documenting the retention, forfeiture, condemnation, impoundment, inspection, disposal, destruction and release of goods that have been seized or forfeited. Includes associated consent (to release or forfeit), claims, applications, notifications and court orders. <i>[For the referral of matters to other agencies, use TRADE FACILITATION AND COMPLIANCE - Agency Referral. For the prosecution of importers, use INVESTIGATION - Investigations Case].</i>	Destroy 10 years after action completed
21413	Records documenting the examination of goods including screening, targeting and inspecting consignments or individual parcels and items. <i>[For the referral of matters to other agencies, use TRADE FACILITATION AND COMPLIANCE - Agency Referral. For the prosecution of importers, use INVESTIGATION - Investigations Case].</i>	Destroy 7 years after action completed
21414	Records documenting the sale of goods. Includes arrangements for and notification of sales, generation of sales receipts and merchant summary.	Destroy 7 years after action completed

TRADE FACILITATION AND COMPLIANCE

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

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

Goods Control - Continued

Class No	Description of records	Disposal action
21415	<p>Reports and other records relating to the monitoring, checking and reconciliation of cargo content at time of discharge or deconsolidation. Also includes granting or refusal of permission to transfer goods between vessels, move goods and access transshipment cargo.</p> <p><i>[For the referral of matters to other agencies, use TRADE FACILITATION AND COMPLIANCE - Agency Referral.</i></p> <p><i>[For the prosecution of importers, use INVESTIGATION - Investigations Case].</i></p>	Destroy 7 years after action completed

Industry Referral

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

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

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

Class No	Description of records	Disposal action
21416	<p>Records documenting the receipt and acknowledgment of submissions or advice received from industry or the public requiring investigation or response in relation to trade facilitation and compliance policies or procedures. Includes enquiries into matters such as alleged false trade descriptions, alleged trade mark violations, alleged duty evasion, awarding of preference entitlements (Rules of Origin) and follow-up enquiries and monitoring.</p> <p><i>[For investigation of allegations etc related to dumping and subsidisation, use INDUSTRY SCHEMES AND TRADE MEASURES - Dumping and Subsidisation Enquiries.</i></p> <p><i>For clarification or questions regarding Customs procedures, use TRADE FACILITATION AND COMPLIANCE - Advice].</i></p>	Destroy 5 years after action completed

TRADE FACILITATION AND COMPLIANCE

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

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

Licensing

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

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

Class No	Description of records	Disposal action
21417	Records documenting the granting of licences (depot, warehouse, brokers) and permissions or directions for undertaking of activities and tasks on licensed premises. Includes applications, alteration of licence conditions/endorsements, and refusals to grant or vary licences. <i>[For the making of agreements with industry groups and companies for industry referral purposes, use TRADE FACILITATION AND COMPLIANCE - Agreements].</i>	Destroy 10 years after expiry or other termination or refusal of licence

Planning

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

Class No	Description of records	Disposal action
21418	Final versions of plans formulated to support the trade facilitation and compliance function.	Destroy 5 years after plan is superseded
21419	Working papers documenting the development of trade facilitation and compliance plans. Includes input into plans, comments received and drafts.	Destroy 3 years after adoption of the final plan

TRADE FACILITATION AND COMPLIANCE

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

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

Policy

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

Class No	Description of records	Disposal action
21420	Records documenting the development and establishment of trade facilitation and compliance policies. Includes: <ul style="list-style-type: none"> • final policy documents • major drafts • supporting reports • policy proposals 	Retain as national archives
21421	Working papers documenting the development of all trade facilitation and compliance policies.	Destroy 5 years after promulgation of the new policy

Procedures

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

Class No	Description of records	Disposal action
21422	Master set of procedures supporting the trade facilitation and compliance function.	Retain as national archives
21423	Records documenting the development of agency procedures supporting the trade facilitation and compliance function.	Destroy 3 years after procedures superseded

TRADE FACILITATION AND COMPLIANCE

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

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

Reporting

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

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

Class No	Description of records	Disposal action
21424	Final version of internal formal reports and reports made to external agencies relating to the trade facilitation and compliance function.	Destroy 5 years after action completed
21425	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 1 year after action completed

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.

Class No	Description of records	Disposal action
21426	Records documenting final reports of research carried out to support the trade facilitation and compliance function.	Destroy 10 years after action completed
21427	Working papers documenting research carried out in support of the trade facilitation and compliance function.	Destroy 3 years after action completed

Reviewing

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

Class No	Description of records	Disposal action
21428	Records documenting the review and monitoring of trade facilitation and compliance operations. Includes documents establishing the review, final report and action plan.	Destroy 5 years after action completed

TRADE FACILITATION AND COMPLIANCE

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

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

Reviewing - Continued

Class No	Description of records	Disposal action
21429	Working papers documenting the conduct of the review of operations including methodologies, interviews, research and drafts that support the trade facilitation and compliance function.	Destroy 2 years after action completed

Reviews (decisions)

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

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

Class No	Description of records	Disposal action
21430	Records documenting applications for reviews of decisions. Includes reports and review of; goods classification, goods valuation, Rules of Origin, and decisions made under Copyright Act.	Destroy 5 years after action completed

Risk Management

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

Class No	Description of records	Disposal action
21431	Records documenting risk management relating to the trade facilitation and compliance function. Includes records covering each stage of the process, treatment schedules, risk register and action plans.	Destroy 7 years after next risk assessment is completed

Standards

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

Class No	Description of records	Disposal action
21432	Records documenting the implementation of national, international and agency standards to support the trade facilitation and compliance function.	Destroy 7 years after action completed

TRADE FACILITATION AND COMPLIANCE

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

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

Trade Audit

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

Class No	Description of records	Disposal action
21433	Records documenting the planning and conduct of industry audits and monitoring relating to the trade facilitation and compliance function. Includes applications for warrants and recommendations for sanctions and other actions. <i>[For imposition of fines, penalties, sanctions and other measures arising from audit recommendations, use REVENUE MANAGEMENT- Client Compliance].</i>	Destroy 7 years after action completed

TRAVEL FACILITATION AND COMPLIANCE

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

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

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

Advice

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

Class No	Description of records	Disposal action
21434	Records relating to the receipt and provision of advice on the travel facilitation and compliance function.	Destroy 2 years after advice has been provided

Agency Referral

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

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

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

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

Class No	Description of records	Disposal action
21435	Records documenting requests for assistance or referral of matters to or from other agencies. Includes referral of goods to Quarantine Agency for quarantine inspection or treatment, forwarding of currency transfer reports to financial transaction reporting agency, and the handover of seized narcotics, and other goods or articles to the Australian Federal Police.	Destroy 7 years after action completed

TRAVEL FACILITATION AND COMPLIANCE

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

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

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

Agreements

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

For whole of government agreements use GOVERNMENT RELATIONS – Agreements.

Class No	Description of records	Disposal action
21436	Records documenting the negotiation, establishment, issue, maintenance and review of agreements with agencies, clients, airport owners/administrators, and shipping or airline companies. Includes agreements, concerning arrangements for referral of matters and sharing of information, access to computer systems, issue of Restricted Goods Export Permits for exportation for non-commercial purposes of sporting firearms and non-military ammunition and explosives.	Destroy 7 years after agreement expires or is superseded

Appeals (decisions)

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

Class No	Description of records	Disposal action
21437	Records documenting appeals made to the Administrative Appeals Tribunal (AAT) or the Federal Court against decisions made by Customs. Includes, decision of refusing to authorise a journey between a sea installation and an external place, decision not to grant a Certificate of Clearance to a ship master or aircraft pilot.	Destroy 7 years after action completed

Arrival and Departure Reporting

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

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

Class No	Description of records	Disposal action
21438	Records documenting the impending arrival and arrival of ships and aircraft, particulars of passengers and crews, details of ships and aircraft stores, and the loss or wreckage of ships and aircraft. Includes registers, supporting documentation and information.	Destroy 7 years after report received

TRAVEL FACILITATION AND COMPLIANCE

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

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

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

Authorisation

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

Class No	Description of records	Disposal action
21439	Records documenting the appointment of ports, airports, wharves, boarding stations, and sufferance wharves. Includes permissions for installations.	Retain as national archives
21440	Records documenting the consideration of applications required under legislation or formal procedure, for the approval of certain arrangements or permissions relating to the movement of persons, aircraft and vessels. Includes landing or docking at places either not designated or not appointed as a port or airport, making of direct journeys between sea installations and external places, making unauthorised journeys, and exemptions from arrival and departure reporting requirements.	Destroy 7 years after action completed
21441	Records documenting the delegation of powers to Customs, and the appointment of persons other than Australian Customs Service employees as officers of Customs. Includes authorisation of access to Financial Transaction Reports, authorisation for Customs officers to perform certain migration-related actions, and authorisation for officers to act as detention officers.	Destroy 7 years after action completed

Committees

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

Class No	Description of records	Disposal action
21442	Records of committees including: <ul style="list-style-type: none"> • final version of minutes • tabling of plans • programs • reports Including the National Passenger Processing Committee (NPPC).	Retain as national archives

TRAVEL FACILITATION AND COMPLIANCE

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

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

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

Committees - Continued

Class No	Description of records	Disposal action
21443	Working papers documenting the conduct and administration of committees which consider matters relating to the travel facilitation and compliance function.	Destroy 5 years after action completed

Education and Training

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

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

Class No	Description of records	Disposal action
21444	Notification of examination results and awarding of certificates.	Destroy 7 years after action completed
21445	Records detailing administrative arrangements supporting the conduct of training courses.	Destroy 3 years after action completed
21446	Working papers documenting the development of training material for travel facilitation and compliance courses.	Destroy 1 year after training material is produced
21447	Master set of training material for travel facilitation and compliance courses. Includes: programs, lecture notes, hand-outs, films and videos.	Destroy when course is superseded or when training material is no longer relevant

TRAVEL FACILITATION AND COMPLIANCE

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

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

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

Enforcement

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

Class No	Description of records	Disposal action
21448	Records documenting the interception of prohibited and restricted imports and exports including seizure of goods and substances, and the search, detention and or arrest of persons. Includes related applications to the courts and court orders, detainee consents, notes and records of interview. <i>[For the referral of matters to other agencies, use TRAVEL FACILITATION AND COMPLIANCE - Agency Referral.</i> <i>For the prosecution of travellers, use INVESTIGATION - Investigations Case.</i> <i>For Records used to manage the movement of seized goods, use TRAVEL FACILITATION AND COMPLIANCE - Goods Control].</i>	Destroy 7 years after detention or search completed
21449	Records of results of external search where relevant proceedings have not been instituted or have been discontinued. Includes videotape, photograph, image or sample from outer surface of the detainee.	Destroy as soon as practicable after a period of 12 months has elapsed since the record was made (Director of Public Prosecution may extend the period)
21450	Records of results of external search where detainee is found to have; committed a relevant offence and no conviction is recorded; or the detainee is acquitted and there is no appeal or an appeal is rejected or withdrawn.	Destroy as soon as practicable after incident completed. (Except where the record is pending investigation into another offence)

TRAVEL FACILITATION AND COMPLIANCE

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

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

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

Goods Control

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

Class No	Description of records	Disposal action
21451	<p>Records documenting the retention, forfeiture, condemnation, impoundment, inspection, destruction and release of goods that have been seized or forfeited. Includes associated consent (to release or forfeiture), claims, applications, notifications and court orders, registration, stocktake and receipt of claim for return of withheld goods.</p> <p><i>[For the application of regulatory powers to detect concealed etc goods use TRAVEL FACILITATION AND COMPLIANCE - Enforcement.</i></p> <p><i>For the prosecution of travellers, use INVESTIGATION - Investigations Case.</i></p> <p><i>For the referral of matters to other agencies, use TRAVEL FACILITATION AND COMPLIANCE - Agency Referral.</i></p> <p><i>For the sale of goods seized, relinquished, abandoned etc. by travellers use TRADE FACILITATION - Goods Control.]</i></p>	Destroy 7 years after action completed

Liaison

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

Class No	Description of records	Disposal action
21452	Records documenting liaison activities undertaken with professional organisations. Includes provision and receipt of information, invitations and arrangements for seminars.	Destroy 3 years after action completed

TRAVEL FACILITATION AND COMPLIANCE

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

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

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

Passenger and Crew Processing

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

Class No	Description of records	Disposal action
21453	<p>Records documenting the collection of passenger and crew declarations and travel details. Includes unaccompanied effects statements and related packing lists, clearance of personal effects, sighting of permits/licences/receipts and certification (stamping, signing) of Carnets, reports relating to transfers of currency, inspection of goods, processing of passports (ie visas and other immigration-related documentation) processing of Quarantine Statements, and collection of Goods Exported in Passenger Baggage form.</p> <p><i>[For the application of regulatory powers to detect concealed etc goods use TRAVEL FACILITATION AND COMPLIANCE - Enforcement.</i></p> <p><i>For calculation and collection of duty and taxation payments, use REVENUE MANAGEMENT - Collection.</i></p> <p><i>For the referral of matters to other agencies, use TRAVEL FACILITATION AND COMPLIANCE - Agency Referral.</i></p> <p><i>For the prosecution of travellers, use INVESTIGATION - Investigations Case.</i></p> <p><i>For records used to manage the movement of seized goods use TRAVEL FACILITATION AND COMPLIANCE - Goods Control].</i></p>	Destroy 7 years after action completed

Planning

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

Class No	Description of records	Disposal action
21454	Final version of plans produced for the travel facilitation and compliance function.	Destroy 5 years after plan is superseded
21455	Working papers used to develop plans for the travel facilitation and compliance function. Includes input into plans, comments received and drafts.	Destroy 1 year after adoption of the final plan

TRAVEL FACILITATION AND COMPLIANCE

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

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

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

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.

Class No	Description of records	Disposal action
21456	Records documenting the promulgation and issue of final, authorised travel facilitation and compliance policy. Includes: <ul style="list-style-type: none"> • final policy documents • major drafts • supporting reports • policy proposals 	Retain as national archives
21457	Working papers documenting the development of travel facilitation and compliance policy including research, draft documents, submissions and comments.	Destroy 3 years after promulgation of the new policy

Procedures

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

Class No	Description of records	Disposal action
21458	Master set of procedures supporting the travel facilitation and compliance function.	Retain as national archives
21459	Records documenting the development of agency procedures supporting the travel facilitation and compliance function.	Destroy 1 year after procedures superseded

TRAVEL FACILITATION AND COMPLIANCE

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

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

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

Standards - Continued

Reporting

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

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

Class No	Description of records	Disposal action
21460	Final version of formal internal reports and reports made to external agencies relating to the travel facilitation and compliance function.	Destroy 5 years after action completed
21461	Working papers documenting the development of all reports. Includes drafts, comments received, statistical analysis, information gathering and research.	Destroy 1 year after action completed

Risk Management

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

Class No	Description of records	Disposal action
21462	Records documenting risk management relating to the travel facilitation and compliance function. Includes records covering each stage of the process, treatment schedules and action plans.	Destroy 7 years after next risk assessment is completed

Standards

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

Class No	Description of records	Disposal action
21463	Records documenting the implementation of industry and agency standards to support the travel facilitation and compliance function.	Destroy 7 years after action completed