

# AUSTRALIAN TRANSACTION REPORTS AND ANALYSIS CENTRE (AUSTRAC)

## Address:

PO Box 5516

WEST CHATSWOOD NSW 2067

Twelve classes of personal information are held by this agency. Included in this total are two classes of Personnel Records identified as:

### 1. PERSONNEL AND CONTRACTOR RECORDS

See Appendix 1

### 2. PERSONNEL SECURITY RECORDS

See Appendix 1

### 3. AUSTRAC ONLINE (AO)

The purpose of these records is to assist businesses in their role as 'reporting entities' (REs) to provide and receive information about their regulatory and reporting obligations under the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* (AML/CTF Act).

Content may include: REs' business and trading names, business addresses, business employees' names and contact details, business structure, Australian registration or licensing details such as Australian Business Numbers (ABNs), agents' names and addresses (if applicable). REs without internet access provide information on paper which is subsequently entered into the AO system. Other information held on REs in the AO system also includes details of providers of designated remittance services (PoDRS) which may include residential addresses, contact phone number and birth dates of proprietors.

The personal information on these records relates to: REs' employees who nominate as the contact for a business; agents' names and addresses; PoDRS' details which may include residential addresses, contact phone numbers and birth dates of proprietors.

These records are stored on computer and paper media and, according to AUSTRAC's Records Disposal Authority issued by the National Archives of Australia, are kept for a minimum of 8 years.

The following agency staff have access to this information: Chief Executive Officer; Executive General Managers; General Managers; and relevant staff in the: Supervisory and Intelligence Groups, Corporate Branch, and Information Technology Branch.

Individuals can request access to their personal information held by AUSTRAC under the provisions of the *Freedom of Information Act 1982* (FOI Act) by contacting the FOI Contact Officer on (02) 6120 2631 or via email at [INFO\\_ACCESS@austrac.gov.au](mailto:INFO_ACCESS@austrac.gov.au).

### 4. AUSTRAC E-NEWS

The purpose of these records is to record personal details of subscribers to a monthly AUSTRAC email newsletter. This process is managed by AUSTRAC and its external service provider.

Content may include: first name; surname; email address; and the industry that the individual is concerned with.

The personal information on these records generally relates to individuals who are interested in AUSTRAC and anti-money laundering and counter-terrorism financing legislation and issues.

The records are kept permanently, or for as long as AUSTRAC produces this email newsletter.

AUSTRAC's Communications Officer and staff from the external service provider have access to these records. The external service provider is contractually bound to keep this information confidential and comply with the Information Privacy Principles.

This information is not disclosed to other persons or organisations.

The records relate to around 1,500 individuals and are kept on an electronic database.

Individuals can request access to their personal information held by AUSTRAC under the provisions of the FOI Act by contacting the FOI Contact Officer on (02) 6120 2631 or via email at [INFO\\_ACCESS@austrac.gov.au](mailto:INFO_ACCESS@austrac.gov.au).

## **5. AUSTRAC PUBLICATIONS MAIL-OUT CONTACT LIST**

The purpose of these records is to record personal details of intended recipients of AUSTRAC publications, particularly the AUSTRAC annual report and the AUSTRAC typologies and case studies report, to enable them to be mailed out.

The contact lists typically includes the recipient's name, place of work, work role title, and work address.

There is no sensitive content included.

The personal information on these records generally relates to stakeholders individuals who are interested in AUSTRAC and anti-money laundering and counter-terrorism financing issues.

Information for the records is provided by various business units and collated by Corporate Communications for the purpose of the mail-out.

The following staff have access to the full list of this personal information: Chief Executive Officer; Executive General Managers; Corporate Communications; and staff from specific business units who provided specific information for the list.

The records are stored permanently to ensure AUSTRAC is able to keep track of names included on the mail-out list from year to year.

This information is not disclosed to other persons or organisations.

The records relate to around 400 individuals and are stored electronically.

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## **6. AUSTRAC AML/CTF RULES NOTIFICATION EMAILS**

The purpose of these records is to record email addresses of subscribers to an AUSTRAC email distribution list. This process is managed by the AUSTRAC AML/CTF Rules team.

The personal information on these records relates to individuals who are interested in AUSTRAC and AML/CTF Rules, including draft Rules released for public comment, and who have specifically requested that they be included on the list. They include representatives of industry associations, individual reporting entities, government agencies and individuals.

The records will be kept for as long as AUSTRAC produces the email notification.

AUSTRAC staff including the AML/CTF Rules Team has access to these records.

This information is not disclosed to other persons or organisations outside AUSTRAC.

The records relate to around 100 individuals and are kept on an electronic database.

Individuals are removed from the email list on request, with no record being kept of their listing on the distribution list. These requests can be made via email to [aml\\_ctf\\_rules@austrac.gov.au](mailto:aml_ctf_rules@austrac.gov.au) or by oral communication.

Individuals can request access to personal information held by AUSTRAC under the provisions of the FOI Act by contacting the FOI Contact Officer on (02) 6120 2631 or via email at [INFO\\_ACCESS@austrac.gov.au](mailto:INFO_ACCESS@austrac.gov.au).

## **7. AUSTRAC INTERNATIONAL TECHNICAL ASSISTANCE AND TRAINING INITIATIVES (TA&T)**

The purpose of these records is to record details of international delegates attending an International Technical Assistance and Training (TA&T) initiative in order to assist with the administrative and logistical coordination of the event and meet the required outcomes of International TA&T programs as set down in the Record of Understanding between AUSTRAC and the funding agency.

Content may include: name; gender; date of birth; contact details; name of employer; position of employment; next of kin full name and contact details; multimedia video footage of an event; and photographic images of delegates.

Sensitive content may include: passport number; scan of passport details page; personal bank account details; medical conditions; and dietary requirements.

The personal information on these records relates to delegates attending an International TA&T workshop or other initiative that has been held in the past or will be held in the near future, including AUSTRAC staff, staff of International TA&T counterpart financial intelligence units, staff of International TA&T

counterpart jurisdiction supervisory bodies, staff of International TA&T counterpart jurisdiction law enforcement agencies.

The following staff have access to this personal information: Chief Executive Officer; Executive General Managers; General Managers; and relevant staff in the: Supervisory and Intelligence Groups, Corporate Branch, and Information Technology Branch.

The records are kept for a period between five and ten years in accordance with AUSTRAC's Records Disposal Authority.

Some of the general content of this information is disclosed to the Australian Government agency funding the International TA&T program under which the particular initiative has taken place. The sensitive content of this information is not disclosed to other persons or organisations without prior consent/notification.

Individuals can obtain information regarding access to their personal information by contacting the AUSTRAC FOI Contact Officer on (02) 6120 2631 or via email at [INFO\\_ACCESS@austrac.gov.au](mailto:INFO_ACCESS@austrac.gov.au).

The records are kept on the AUSTRAC EDRMS information management system.

## **8. AUSTRAC TRAVEL ARRANGEMENTS**

The purpose of these records is to arrange and record details of AUSTRAC staff who undertake travel as part of their official duties.

Content may include: full passport name; gender; date of birth; contact details; marital status; spouse and or next of kin full name; and contact details.

Sensitive content may include: official passport number, scan of passport details page.

The personal information on these records relates to AUSTRAC staff who undertakes domestic and international travel as part of their official duties.

The following staff have access to this personal information: Chief Executive Officer; Executive General Managers; General Managers; and relevant staff in the: Supervisory and Intelligence Groups, Corporate Branch, and Information Technology Branch.

The records are kept for a period between two and ten years in accordance with AUSTRAC's Records Disposal Authority.

This information is not disclosed to other persons or organisations without prior consent/notification.

Individuals can obtain information regarding access to their personal information by contacting the AUSTRAC FOI Contact Officer on (02) 6120 2631 or via email at [INFO\\_ACCESS@austrac.gov.au](mailto:INFO_ACCESS@austrac.gov.au).

## **9. ENTERPRISE DOCUMENT AND RECORDS MANAGEMENT SYSTEM (EDRMS) AND FILEMAKER PRO FILE INDEX**

The purpose of these records is to retain and provide storage of records created as part of AUSTRAC's business activities. EDRMS and Filemaker Pro are the two record keeping systems utilised by AUSTRAC. Unstructured records include MS Word, Excel, PowerPoint and MS Outlook email. Filemaker Pro contains a register of hardcopy files within the agency. EDRMS is integrated with AUSTRAC's major desktop applications and consists of a user interface, a central database and an electronic file store. Information (metadata) about unstructured records is contained in the central database; electronic unstructured data is stored in the file store.

Content may include: details relating to performance of AUSTRAC functions.

EDRMS is a store that contains electronic records. Electronic records may be of any type, e.g. Microsoft Office applications, jpg, pdf, rtf. Records are also maintained on paper files.

The personal information contained in these records relates to individuals and AUSTRAC employees in relation to AUSTRAC's business activities.

Disposal action for records held within AUSTRAC is in accordance with the Agency's Functional Records Disposal Authorities and the National Archives of Australia Administrative Functional Disposal Authority.

Within strict security access controls, EDRMS allows all authorised employees to access and search unstructured electronic information, held as records by AUSTRAC.

Location:

- Sydney AUSTRAC Level 10, Tower A, Zenith Centre, 821 Pacific Highway, Chatswood NSW 2067
- Melbourne AUSTRAC, Level 30, 140 Williams Street, Melbourne VIC 3000
- Perth AUSTRAC, Level 1, Law Enforcement House, 619 Murray Street, Perth WA 6005
- Brisbane AUSTRAC, Level 11, 241 Adelaide Street, Brisbane QLD 4000.
- Adelaide AFP, 8<sup>th</sup> Floor East, 55 Currie Street, Adelaide SA 5000
- Canberra AUSTRAC, Level 14, 20 Allara Street, Canberra City ACT 2601.

Individuals can request access to their personal information held by AUSTRAC under the provisions of the FOI Act by contacting the FOI Contact Officer on (02) 6120 2631 or via email at [INFO\\_ACCESS@austrac.gov.au](mailto:INFO_ACCESS@austrac.gov.au).

## **10. MEDIA CONTACTS**

The purpose of these records is to record personal details of media contacts and individuals who have requested to receive AUSTRAC media releases.

Content may include: first name, surname, job title, organisation, address, email address, phone number, fax number and website.

The personal information on these records generally relates to individuals who are interested in media statements about AUSTRAC and anti-money laundering and counter-terrorism financing legislation and issues.

The records are kept permanently.

The following staff have access to this personal information: Chief Executive Officer; Executive General Managers; General Managers; and relevant staff in the: Supervisory and Intelligence Groups, Corporate Branch, and Information Technology Branch.

This information is not disclosed to other persons or organisations.

The records relate to around 450 individuals and are kept on an electronic database.

## **11. TRANSACTION REPORTS, ANALYSIS AND QUERY (TRAQ)**

The purpose of these records is to provide for the retention, compilation, analysis and dissemination of financial reports information collected pursuant to the provisions of the *Financial Transaction Reports Act 1988* (FTR Act) and the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* (AML/CTF Act).

Content may include: name, address, date of birth, occupation and identification particulars. Sensitive content may include financial information.

The personal information on these records relates to persons involved in a transaction with a Cash Dealer (as defined in the FTR Act) or a Reporting Entity (as defined in the AML/CTF Act) that must be reported to AUSTRAC. This includes reports on significant cash transactions within Australia, international funds transfer instructions, suspect transactions, threshold transactions and suspicious matters. AUSTRAC also receives reports of cross-border movement of physical currency from persons carrying \$10,000 or more in physical currency into or out of Australia and reports of movements of bearer negotiable instruments into or out of Australia when requested.

These records are stored on computer and paper media and, according to AUSTRAC's Records Disposal Authority, are kept for a minimum of 8 years.

The following staff have access to this information: Chief Executive Officer; Executive General Managers; General Managers; and relevant staff in the: Supervisory and Intelligence Groups, Corporate Branch and Information Technology Branch.

In accordance with the AML/CTF Act and individual Memoranda of Understanding, designated agencies under the AML/CTF Act have access to this information. Lists of these agencies are available at [http://www.austrac.gov.au/our\\_partners.html](http://www.austrac.gov.au/our_partners.html).

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## 12. TRAQ ENQUIRY SYSTEM ACCESS AND TRAINING FORMS

The purpose of these records is for officers of AUSTRAC and Designated Agencies to apply for access to the TRAQ (Transaction Reports, Analysis and Query) Enquiry System (TES), the tool developed for users to directly interrogate AUSTRAC's database within the course of their duties.

Content may include: account, name, address, occupation, Agency/Department, contact details, identification particulars and details of the authorising officer(s).

The records are stored on electronic and paper media, updated as required and kept permanently.

The following relevant staff have access to this personal information: Chief Executive Officer; General Managers; and relevant staff in the Information Technology Branch, Supervisory and Intelligence Groups.

### Location:

- Sydney AUSTRAC Level 7, Tower A, Zenith Centre, 821 Pacific Highway, Chatswood NSW 2067
- Melbourne AUSTRAC, Level 30, 140 Williams Street, Melbourne VIC 3000
- Perth AUSTRAC, Level 1, Law Enforcement House, 619 Murray Street, Perth WA 6005
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[INFO\\_ACCESS@austrac.gov.au](mailto:INFO_ACCESS@austrac.gov.au)

## **APPENDIX 1**

### **PERSONNEL, CONTRACTOR AND SECURITY RECORDS**

Due to the commonality of these classes of records between agencies, they have been grouped in one entry. This necessarily reduces the amount of detail provided. Current and former employees can obtain details of specific agency record handling practices by contacting personnel staff in AUSTRAC.

It should not be assumed that all records described are kept in a common storage facility. Separate security arrangements will typically apply, depending on the sensitivity of the information.

The purpose of these records is to maintain employment history and payroll and administrative information relating to all permanent, contract and temporary staff members and employees of AUSTRAC.

#### Personnel and payroll

The records may include any one or more of the following:

- (1) records relating to attendance and overtime;
- (2) leave applications and approvals;
- (3) medical and dental records;
- (4) payroll and pay related records, including banking details;
- (5) tax file number declaration forms;
- (6) declarations of pecuniary interests;
- (7) personal history files;
- (8) performance appraisals, etc;
- (9) records relating to personal development and training;
- (10) trade, skill and aptitude test records;
- (11) completed questionnaires and personnel survey forms;
- (12) records relating to removals;

- (13) travel documentation;
- (14) records relating to personal welfare matters;
- (15) contracts and conditions of employment;
- (16) EEO Data; and
- (17) next of kin details.

### Recruitment

The records may include any one or more of the following:

- (1) recruitment records and dossiers;
- (2) records relating to relocation of staff and removals of personal effects; and
- (3) records relating to character checks and security clearances.

### Other

The records may include any one or more of the following:

- (1) records of accidents and injuries;
- (2) compensation case files;
- (3) rehabilitation case files;
- (4) records relating to counselling and discipline matters, including disciplinary, investigation and action files, legal action files, records of criminal convictions, and any other staff and establishment records as appropriate;
- (5) complaints and grievances; and
- (6) recommendations for honours and awards.

The content of personnel records may include: name, address, date of birth, occupation, AGS number, gender, qualifications, equal employment opportunity group designation, next of kin, details of pay and allowances, leave details, work reports, security clearance details and employment history.

Personnel records may include information which employees may consider sensitive such as: physical and mental health, disabilities, racial or ethnic origin, disciplinary investigation and action, criminal convictions, adverse performance and security assessments, tax file numbers, relationship details and personal financial information.

Personal information on personnel records relates to current and former staff members and employees including contract and temporary staff.

Records relating to AUSTRAC staff personal development and training are located in the Managed Learning System (MeLS).

The following agency staff have access to personnel records: Chief Executive Officer, Executive General Managers; senior personnel management staff; supervisors; and members of selection committees (if appropriate); the individual to whom the record relates; and (as appropriate) personnel staff, security officers and case managers.

Personnel records are kept according to the applicable provisions of the General Disposal Authority for staff and establishment records issued by the National Archives of Australia.

Information held in personnel records may be disclosed, as appropriate, to: Comcare; Commonwealth Medical Officers; Australian Public Service Commission; ComSuper and other superannuation administrators; Australian Taxation Office; and the receiving agency following movement or re-engagement of an employee.

Individuals can obtain information regarding access to their personal information by contacting the personnel section of AUSTRAC. If the individual is dissatisfied with the information received from personnel section then the documents may be obtained under section 15A of the FOI Act.

Records relate to all current and former employees of the agency and are stored on paper, microfiche and electronic media.

Location:

- Sydney AUSTRAC Level 10, Tower A, Zenith Centre, 821 Pacific Highway, Chatswood NSW 2067
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