

PGPA Compliance Documents

Background

1. The contents of this document are provided in reply to a Freedom of Information (FOI) request dated 12 March 2021. The FOI request is outlined as follows:

My inquiry is in relation to compliance with the Public Governance, Performance and Accountability Rule 2014.

I'm seeking from Australian Transaction Reports and Analysis Centre, for each calendar year from 2016 to 2019 inclusively, the first page that contains the completion date of the first finalised:

- a) fraud-risk assessment for purposes of s10(a) of the Rule, and*
- b) fraud/compliance audit implemented for purposes of s10(b/d) of the Rule.*

For clarity, this entails only 1 page per calendar year for each activity (a) & (b).

Please feel free to redact everything but the completion date, activity type (assessment/audit) and entity name on each page, and if you implement these measures divisionally, then please be sure to release the pages requested above for each division respectively.

Alternatively, if convenient, a simple tabular report would suffice as follows:

<i>Year, Entity/Division, Activity, Completion</i>
<i>2016, Entity/Division A, Risk-assessment, 1/2/2016</i>
<i>2016, Entity/Division A, Fraud/compliance audit, 1/5/2016</i>
<i>2017, Entity/Division A, Fraud/compliance audit, 1/8/2017</i>
<i>2018, Entity/Division A, Risk-assessment, 1/2/2018</i>
<i>2018, Entity/Division A, Fraud/compliance audit, 1/9/2018</i>

Current Information

- 2. A Total of one (1) table has been produced to support the FOI reply.
- 3. Table 1 below is the requested tabular report that satisfies the parameters of this FOI request.
- 4. Table 1 has been derived from documents produced in compliance with the PGPA¹:

¹ A fraud risk assessment is only required to be conducted regularly or when there is a substantial change to the entity (s.10(a)). Ss.10 (b/d) refer to developing and implementing a fraud control plan and having mechanisms for detecting incidents of fraud or suspected fraud. We have answered the request with reference to the actual wording in the PGPA Rule.

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	Report	Date
1.	2013-15 Fraud and Corruption Risk Assessment Agency-wide	Version 1: June 2013 Modified: July 2015
2.	2017 Fraud and Corruption Risk Assessment Agency-wide	December 2017
3.	2019-21 Fraud and Corruption Control Plan Agency-wide	July 2019

Table 1: Documents produced in compliance with the PGPA.

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