



Australian Government

AUSTRAC

# AUSTRAC file list

1 July to 31 December 2016

This is a list of relevant file titles created by AUSTRAC between 1 July and 31 December 2016. It is in accordance with the Senate Continuing Order concerning the production of indexed file title lists, which requires each Minister to table a list of relevant file titles created by their department and portfolio agencies. The original Senate Order was amended in 1998 to require departments and agencies to display their file lists on their websites.

File number	File name
4991225	Compliance, Strategy and Operations management 2016-17
5018988	Alerts July - December 2016
5023176	Operational Intelligence Analysis & Research - \$100 Notes
5027539	National Security Operations - Information analysis 2016-17
5027769	Compliance - International Regulatory MOUs planning
5028695	National Security Operations - Partner Agency Liaison 2016-17
5029043	National Security Operations - Partner Agency Liaison 2016-17 - Restricted
5029277	Development of Guidance - Reporting Entity Self Assessment of ML/TF Risk
5029532	National Security Operations - Information analysis 2016-17 - Restricted
5029592	National Security Operations - Products and Disseminations 2016-17 (Restricted)
5030167	Innovation, Information and Analytics - Reports 2016-17
5032780	Intelligence Collection and Open Source - Planning and Administration 2016-17
5033631	Intelligence Collection and Open Source - Situational Awareness 2016-17
5033911	Intelligence Collection and Open Source - Collection 2016-17
5033916	Intelligence Collection and Open Source - Consultation 2016-17
5034340	Intelligence Collection and Open Source - Open Source 2016-17
5034427	Intelligence Collection and Open Source - Search 2016-17
5034921	Intelligence Collection and Open Source - Briefing Material 2016-17
5039434	AUSTRAC Overseas Deployment Framework
5044589	International Exchange Non Dissemination Matters 2016-17
5047973	International Exchange Disseminations 2016-17
5055781	Monthly Electronic Reporting Book 2016-17
5057817	Profiling and Detection Information Reports 2016
5057864	iTIP Board 2016-17
5057948	iTIP Governance 2016-17

File number	File name
5065398	Risk Assessments Team - Travellers Cheques - 2016
5076999	Compliance Reporting 2016 - Communication and Planning
5082720	Compliance Witness Statement Requests - 2016-17
5086867	Operational Intelligence Analysis & Research - Census Vs Transaction Data
5091074	Compliance National 2016-17 - Stakeholder Relations
5092777	Compliance National 2016/17 - RE Enquires and Disclosures
5092930	Compliance National 2016/17 - Planning and Reporting
5092931	Compliance National 2016/17 - Products, publications and research
5092932	Compliance National 2016/17 - Media
5095592	Domestic Agreements - Templates and Standard Operating Procedures
5100493	AML/CTF Rule - Exemption for National Disability Insurance Scheme
5103547	DIBP Information Sharing - Information and Technology Working Group 2016-2020
5103555	Information Management Policy Group 2016-2020
5104176	AML/CTF Rule - Exemption relating to law enforcement action
5109608	AUSTRAC Parental Leave Guide
5110804	APG - Asia Pacific Group Annual Meeting San Diego September 2016
5110808	Operational Intelligence Analysis & Research - Job Scam Money Mules
5113201	AML/CTF Act S49 requests and responses 2016-17
5113284	MENAFATF - Application for Observer Status
5113760	MENAFATF - Plenary Meeting November 2016
5114350	Ministerial Submissions 2016-17
5115727	MENAFATF/APG - Joint Typologies and Capability Workshop November 2016
5123046	Volunteering Policy
5123705	Operational Intelligence Analysis & Research - Tax evasion via building and construction companies
5130716	Cyber Operations - Ideas and Research 2016-17
5130955	Cyber Operations - Administration 2016-17
5131121	International Technical Assistance and Training - Domestic requests for information
5131810	Situational Awareness Reporting 2016-17
5132161	International Technical Assistance and Training - International requests for information
5135644	Cyber Operations - Collection 2016-17
5135776	Cyber Operations - Consultation 2016-17
5136393	Cyber Operations - Products and Disseminations 2016-17
5136780	Cyber Operations - Partners 2016-17
5136792	AI Reason for Access Data 2016-17
5136853	Cyber Operations - Products and Disseminations 2016-17 (Restricted)
5137150	TES Reason for Access Data 2016-17
5141009	Regulatory Solutions - Planning and Reporting 2016-20

File number	File name
5141398	Compliance budget papers 2016-17
5141718	Egmont Meeting 2017 07 Macao - Plenary EC and Working Groups
5142252	Operational Intelligence Analysis & Research - Casino Junkets 2016
5144300	Egmont Meeting 2017 01 Qatar - EC Working Groups HoFIU
5144301	Egmont PPWG Inter-sessional Meeting 2016 09 - Qatar
5156160	Intelligence Collection and Open Source - Collections 2016-17
5158475	Intelligence Collection and Open Source - Open Source 2016-17
5158478	Intelligence Collection and Open Source - Situational Awareness 2016-17
5161454	AML/CTF Rules - Restructure of Rules Compilation
5161578	Intelligence Collection and Open Source - Briefs 2016-17
5161668	Intelligence Collection and Open Source - Search 2016-17
5165657	Pubs & Clubs Campaign 2016 - Campaign Documents
5165658	Pubs & Clubs Campaign 2016 - Australian Capital Territory
5166539	Pubs & Clubs Campaign 2016 - South Australia
5167175	Pubs & Clubs Campaign 2016 - New South Wales
5167176	Pubs & Clubs Campaign 2016 - Tasmania
5167608	Media Talking Points 2016-17
5168165	Client Services Pubs & Clubs campaign 2016
5168168	Pubs & Clubs Campaign 2016 - Queensland
5168475	National Risk Assessment of Charities and NPOs 2016
5168679	Pubs & Clubs Campaign 2016 - Victoria
5168853	Pubs & Clubs Campaign 2016 - Northern Territory
5186639	XML Test File Queries 2016-17
5189614	INTL MOU - Papua New Guinea
5191652	MOU - Victorian Commission for Gambling and Liquor Regulation
5193307	Legal Informal Advice 2016
5193712	Legal Assistance 2016
5205674	Senate file list January to June 2016
5209085	AUSTRAC - Analyst Exchange Program Aug - Sep 2016
5209912	Compliance - CR15 Campaign 2016
5217750	Counter-Terrorism Financing (CTF) Summit Bali 2016 - Final Presentations - Plenary and Working Groups
5225643	OECD Working Group on Bribery - Phase 4 Review of Australia
5229164	ACIC Technology Capability Committee 2016 - 2019 - TCC
5229624	Intelligence Capability and Tradecraft - Capability Capture Product Pack responses
5234166	Intelligence Capability and Tradecraft - Capability Capture Survey responses 2016-2017
5237073	Financial Intelligence Analyst Course (FIAC) 2016 - Working Papers
5239521	Correspondent Banking Campaign 2016 Responses

File number	File name
5239637	Correspondent Banking Campaign 2016 Planning
5254179	National Security Operations - Alerts 2016-17
5263846	INTL MOU - Zimbabwe
5280817	Senate Estimates - October 2016
5283793	INT MOU - Lao PDR
5284889	Intelligence Collection and Open Source - Hot Topics Register
5328966	Nusa Dua Statement 2016 - Reporting of Deliverables
5329991	FATF Plenary Meeting Paris October 2016
5332325	Operational Intelligence Engagement 2016-17
5342567	Intelligence Capability and Tradecraft - Training and development - 2016-2017
5357587	Egmont Meeting 2016 10 Paris - EC Intersessional
5362937	Legal Service Transformation 2016-17 - Training
5385365	NSW Joint Organised Crime Group 2016-17
5407058	Development of Guidance - Pubs and Clubs Sector
5408260	Operational Intelligence Analysis & Research - Crowdfunding
5409196	Compliance Branch communications 2016-17
5409440	CTF Summit Malaysia 2017 - Promotional & Media
5409710	2016 Nusa Dua Statement Deliverables - FICG Working Group
5409832	CTF Summit Malaysia 2017 - Agenda, Presentations & Content
5412665	2016 Nusa Dua Statement Deliverables - ICE Working Group
5413560	2016 Nusa Dua Statement Deliverables - COCG Working Group
5413738	Workplace Flexibility Policy
5426819	AML/CTF Act review implementation - simplification of transaction reporting
5460367	AML/CTF Act review implementation - Template s49 and s50 notices
5462547	Operational Intelligence Analysis & Research - Environmental Crime
5462921	CR16 Letter & Email Campaign 2016-17
5469760	AML/CTF Act review implementation - CDD and reliance reforms
5472107	SAFE Workflow Design and Modification 2016-2017
5485052	Intelligence Collection and Open Source - Hot Topic Papua New Guinea
5485562	Intelligence Collection and Open Source - Hot Topic Cyber Crime
5488250	Intelligence Collection and Open Source - Hot Topic Match Fixing
5488251	Intelligence Collection and Open Source - Hot Topic Panama Papers
5493402	Operational Intelligence Analysis & Research - Rebate fraud by child care service providers
5493537	AML/CTF Rules - NFIC - Privacy Impacts
5495753	Intelligence Training Courses - Intelligence Fundamentals
5496584	Performance Dashboards 2016-17 - Published Dashboards
5513482	Intelligence Collection and Open Source - Hot Topic China

File number	File name
5514123	Intelligence Collection and Open Source - Hot Topic Casino/Junkets
5514925	Intelligence Collection and Open Source - Hot Topic Money Mules
5515884	Intelligence Collection and Open Source - Hot Topic Counter Terrorism Financing
5523799	Omani FIU Suspicious Transactions Awareness Forum
5524344	Innovation and Change 2016-17 - International Liaison
5525119	Egmont IEWG Meeting Paris - October 2016
5525121	Egmont IEWG Meeting Doha - January 2017
5530311	Sri Lanka Banking RBA Workshop December 2016
5531213	Strategic Implementation, Risk and Legal - JIRA Project 2016-17
5531716	Operational Intelligence Analysis & Research - CTF CBMs
5546706	Region - Southeast Asia - Research 2016-2019
5547135	Region - Pacific - Research 2016-2019
5547141	Region - Central Asia - Research 2016-2019
5547310	Region - Scandinavia - Research 2016-2019
5547375	Review of the AML/CTF Act - Stakeholder consultation - Implementation Plan
5547663	Region - Europe - Research 2016-2019
5547664	Region - Africa - Research 2016-2019
5547856	Region - Middle East - Research 2016-2019
5547859	Region - Latin America - Research 2016-2019
5548110	Region - South Asia - Research 2016-2019
5548675	Region - USA and Canada - Research 2016-2019
5557355	Intelligence - Monitoring and Discovery - Team Planning 2016 - 2017
5561659	Intelligence Collection and Open Source - Product & RFI 2016-17
5562533	Profiling and Detection Automated Output 2017
5562836	Profiling and Detection Flags 2017
5564250	Profiling and Detection Automated Output 2016
5564348	Intelligence Collection and Open Source - Product & RFI 2016-17 Permissions
5566900	Remitters De-risking Risk Assessment 2017 - Consultation and Feedback
5566901	Remitters De-risking Risk Assessment 2017 - Drafts
5567978	Remitters De-risking Risk Assessment 2017 - Background research
5568113	Risk Assessments Team - Remitters De-risking Risk Assessment 2017
5569149	Remitters De-risking Risk Assessment 2017 - Final Versions
5569190	Remitters De-risking Risk Assessment 2017 - Data
5569739	Fintel Alliance Templates and Guides
5570244	Fintel Alliance Governance and Administration
5570821	Fintel Alliance - Panama Papers
5572500	Fintel Alliance - ACORN
5574237	Fintel Alliance - Money Mules

File number	File name
5578931	Questions on Notice - The Senate and House of Representatives 2016-17
5581254	Executive Strategist External Meetings - London - October 2016
5596653	Australian Criminal Intelligence Commission (ACIC) Board 2016
5596752	Australian Criminal Intelligence Commission (ACIC) Board 2017
5608541	AUSTRAC Data Governance Planning 2016-2017
5619874	Fintel Alliance - IP Issues
5620640	Fintel Alliance IP Issues - Research
5620948	Fintel Alliance IP Issues - Trade Marks
5621443	Corporate Plan 2017-21
5621900	Reporting entity segmentation & prioritisation
5622949	Fintel Alliance IP Issues - Advice
5626917	AUSTRAC / ASIC - Intelligence Working Groups
5636478	INTL MOU - Afghanistan
5637790	INTL MOU - Egmont Key Documents
5639562	Nauru
5645607	Canberra Data Centres Departmental User Council Meeting - 2016-2020
5649019	Weekly Situational Awareness Reports 2017
5651319	Country Snapshot Reports 2017 - Q3
5651375	Weekly Situational Awareness Reports 2016
5652321	Country Snapshot Reports 2017 - Q1
5652322	Country Snapshot Reports 2017 - Q4
5652758	Quarterly Country Snapshot Reports 2017
5654823	Quarterly Country Snapshot Reports 2016
5655076	Country Snapshot Reports 2017 - Q2
5657491	Country Snapshot Reports 2016 - Q3
5657492	Country Snapshot Reports 2016 - Q1
5657493	Country Snapshot Reports 2016 - Q4
5657494	Country Snapshot Reports 2016 - Q2
5678060	CTF Summit - Community Outreach Consultative Group (COCG)
5678061	COCG - Action Items and Concept Papers
5681143	AFP Convergence updates 2016-2017
5681802	COCG - Agenda
5690424	Digital Transformaiton Plan
5693254	Annual Performance Statement 2016-17
5693580	Performance and Governance Reporting 2016-17
5699014	Annual Report 2016-17
5699694	Agency Planning and Performance Reporting 2016-17
5701185	Risk Assessments Toolbox

File number	File name
5701456	Gender Equality Strategy
5708198	Planning and Reporting Working Group 2016-17
5708200	Regulator Performance Framework 2016-17
16/316	MOU - Serious Financial Crime Taskforce
16/317	MOU - Attorney General's Department (AGD)
16/326	MOU - Racing Integrity Commissioner Victoria
16/347	Attorney-General's Department (AGD) Intelligence Correspondence 2014-2018
16/348	Prime Minister and Cabinet (PM&C) Intelligence Correspondence 2014-2018
16/349	Department of Foreign Affairs and Trade (DFAT) Intelligence Correspondence 2014-2018
16/350	Australian Criminal Intelligence Center (ACIC) Intelligence Correspondence 2014-2018
16/352	Department of Immigration and Border Protection Intelligence Correspondence 2014-2018
16/353	Australian Counter-Terrorism Centre Intelligence Correspondence 2014-2018
16/356	National Security Operations 2015 - 2018
2016-0124	Legal Matter - Disclosure of AUSTRAC information to DIBP
2016-0129	Legal Matter - Procedural fairness and review of registration suspension decisions
2016-0130	Legal Matter - Advice regarding date on which SMR given to AUSTRAC CEO
2016-0131	Legal Matter - Advice regarding meaning of adoption of an AML/CTF program
2016-0132	Legal Matter - Egmont PPWG internal procedures
2016-0134	Legal Matter - NFIC Policy and Legal working group
2016-0136	Legal Matter - Out-posted lawyers
2016-0137	Legal Matter - Risk based regulation
2016-0140	Legal Matter - Panama papers legal issues
2016-0141	Legal Matter - Customs e-gate amendments to AML/CTF Act
2016-0142	Legal Matter - Review contract variation letter template
2016-0143	Legal Matter - Deceased estate transfers and AML/CTF Act
2016-0144	Legal Matter - Australia Post - FTR Act - multi currency stored value cards
2016-0145	Legal Matter - Designated Service status in Item 54
2016-0146	Legal Matter - Review of draft rule regarding exemption for trustees
2016-0147	Legal Matter - Advice regarding designated agencies in respect of the recently established Liquor and Gaming NSW
2016-0149	Legal Matter - Review of Exemption Instrument 11 of 2016
2016-0151	Legal Matter - Scope of section 30 of the AML/CTF Act
2016-0152	Legal Matter - Effect of certain administrative actions on request to withdraw registration application
2016-0153	Legal Matter - Collection of CBM information
2016-0154	Legal Matter - TTR obligation involving agent banks
2016-0156	Legal Matter - Provide comment on revised s132 policy
2016-0158	Legal Matter - Indemnity for non-compliance with the AML/CTF Act at the request of

File number	File name
	LEAs
2016-0159	Legal Matter - Australia Post - FTR Act - FTR Act exemption powers
2016-0160	Legal Matter - Disclosure of AUSTRAC information overseas by the ACIC
2016-0162	Legal Matter - Link between Regulated Entities and child care fraud
2016-0163	Legal Matter - Disclosure of AUSTRAC information via a secure digital platform
2016-0164	Legal Matter - Legal disclaimer CBM reporting threshold calculator
2016-0166	Legal Matter - Disclosure of AUSTRAC information by DIBP to foreign counterparts
2016-0169	Legal Matter - CBM reporting obligations of cash-in-transit operators
2016-0170	Legal Matter - Accessing reporting entity data during study visit
2016-0171	Legal Matter - Digital Servicing Project for Enrolment & Registration - legal service requests
2016-0173	Legal Matter - Direction Instrument - incorrect date revoked
2016-0174	Legal Matter - Review - Automated Section 49 Notice Template
2016-0175	Legal Matter - Bulk Procurement Processes
2016-0179	Legal Matter - Egmont STR Project Survey - privacy issues
2016-0181	Legal Matter - MOU with Racing Integrity Commissioner (Victoria) - a non-designated agency
2016-0182	Legal Matter - Removal of child exploitation material attachments from AUSTRAC financial intelligence database
2016-0183	Legal Matter - Review of external auditors options paper
2016-0184	Legal Matter - Civil penalty provisions applicable to data quality of transaction reports
2016-0187	Legal Matter - Correspondent banking questions
2016-0191	Legal Matter - Review of s49 template following partner agency feedback
2016-0192	Legal Matter - Review of draft spending proposal and RFQ for external legal review of AUSTRAC contract templates
2016-0196	Legal Matter - Amendments to the Privacy Act
2016-0198	Legal Matter - Publication of registration refusal and renewal refusal information
2016-0199	Legal Matter - IFTI Reporting Requirements - Super and Credit/Debit/Prepaid Cards
2016-0200	Legal Matter - MOU with Papua New Guinea PNG FIU
2016-0201	Legal Matter - Citizenship guidance referencing AUSTRAC information
2016-0207	Legal Matter - Whether charity sending funds overseas providing a designated remittance service
2016-0210	Legal Matter - Effectiveness of Chapters 12 and 13 of AML/CTF Rules
2016-0214	Legal Matter - Data matching protocol review by Office of Australian Information Commissioner (OAIC)
2016-0215	Legal Matter - Does a bank guarantee or a performance bond constitute a designated service
2016-0216	Legal Matter - Review of authorised external auditors
2016-0218	Legal Matter - Review Fact Sheet Annual Compliance Report CR16
2016-0219	Legal Matter - Whether ASIC can disclose AUSTRAC information to a liquidator
2016-0220	Legal Matter - Request for document via Mutual Assistance Request



<b>File number</b>	<b>File name</b>
2016-0224	Legal Matter - Whether a RE can rely on electronic images for customer identification
2016-0226	Legal Matter - MOU with Saudi Arabia Financial Investigation Unit
2016-0229	Legal Matter - Request for guidance - IFTI-Es that are rejected
2016-0231	Legal Matter - Whether sending bitcoin overseas is a designated remittance arrangement
2016-0232	Legal Matter - Release of AUSTRAC information for Mutual Assistance Request purposes
2016-0236	Legal Matter - Whether can disclose information to RBA or PEXA
2016-0237	Legal Matter - Section 133 AML/CTF Act - Provision of information to intelligence agencies
2016-0239	Legal Matter - Obligations of debt collectors under the AML/CTF Act
2016-0241	Legal Matter - Section 51B - Enrolling on the Reporting Entities Roll
2016-0243	Legal Matter - Review of AUSTRAC Privacy Policy
2016-0245	Legal Matter - Definition of 'loan' and 'account' Item 17, Table 1, subsection 6(2) of the AML/CTF Act