

AUSTRAC—Supplementary Budget Estimates October 2021

<p>The number of security incidents that have occurred in AUSTRAC in 2020-21</p> <p>a) overall incident reporting numbers for 2020-21</p> <p>b) the number of incidents within the Protective Security Policy Framework definition of a security breach</p> <p>c) the nature of those incidents - including details of medium or high-level breaches, and the implications of those breaches.</p>	<p>(a) Under the definition of Security Incidents in the Personal Security Policy Framework:</p> <ul style="list-style-type: none"> - AUSTRAC had no significant Security Incidents during the period 2020/21 - There were 10 security incidents for 2020/21. <p>(b) While below the threshold of PSPF Significant Security Incidents, the 10 security incidents for 2020/21 include:</p> <ul style="list-style-type: none"> - leaving low level classified documents on desks in an AUSTRAC office unattended, leaving computer screens unlocked, misaddressing unclassified or low level official emails to the incorrect recipient or to personal accounts, plugging in an unauthorised device into an AUSTRAC device for charging purposes, loss of staff access card. The security implications of these warnings were minimal and did not have medium or high level security implications, and were effectively mitigated through internal security processes.
<p>Australian Public Service Code of Conduct:</p> <p>a) The number of staff investigated following referrals for breaching the Australian Public Service Code of Conduct,</p> <p>b) the number of those referrals that were investigated, and</p> <p>c) the outcomes of those investigations in 2020-21.</p>	<p>There were no referrals of or investigations into or substantiated breaches of the APS Code of Conduct during 2020/21.</p>
<p>3. Misconduct, fraud and corruption:</p>	<p>AUSTRAC had four <i>Misconduct</i> matters over 2020-21:</p> <ol style="list-style-type: none"> 1. External referral – found to be unsubstantiated.

<p>a) The number of internally and externally referred misconduct, fraud and corruption allegations received in 2020-21.</p> <p>b) How many investigations are open, unsubstantiated/withdrawn, or substantiated.</p> <p>c) In the instance of substantiated, what were the consequences.</p>	<ol style="list-style-type: none">2. External referral - Breach Notice and aftercare program put in place.3. Internal referral- found to be unsubstantiated.4. Internal referral - found to be unsubstantiated.
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