

## **RESERVE BANK OF AUSTRALIA – PERSONAL INFORMATION DIGEST 2011**

Nineteen classes of personal information subject to the Information Privacy Principles (IPPs) are held by the Reserve Bank of Australia. Included in this total is 1 class of Personnel Records.

The Reserve Bank of Australia is subject to the National Privacy Principles (NPPs) and not the IPPs in relation to records in respect of its commercial activities or the commercial activities of another entity including its records in respect of its banking operations (including individual open market operations and foreign exchange dealings). The records of the Reserve Bank of Australia which are subject to the NPPs are not included in this statement. Some of the records in relation to which the Reserve Bank of Australia must comply with the NPPs relate to banking facilities offered by the Reserve Bank of Australia to Australian Government agencies. In relation to those records the Reserve Bank of Australia agrees under its contract with the relevant Australian Government agency not to do an act or engage in a practice which would breach an IPP if done by the relevant agency. As that obligation arises under contract, rather than under the IPPs themselves, the relevant records are not included in this statement.

### **1. PERSONNEL RECORDS**

See Appendix 1 for a description of Personnel Records held by the Reserve Bank.

### **2. INSCRIBED STOCK**

The purpose of these records is to maintain a register of inscribed stockholders on behalf of the following issuers for whom the Reserve Bank provides registry service:

- African Development Bank
- Australian Government
- Asian Development Bank
- Council of Europe Development Bank
- Government of Papua New Guinea
- Inter-American Development Bank
- International Bank for Reconstruction and Development
- International Finance Corporation
- International Finance Facility for Immunisation
- Nordic Investment Bank

Content may include: name, address, payment instruction, date of birth of minors (where known) and occupation.

Sensitive content may include: legal status, tax file numbers, investment information and signatures.

The personal information on these records relates to holders of inscribed stock.

The following staff have access to this personal information: Registry operational and developmental staff and the Bank's auditors.

Stockholder account records are kept for 7 years after closure of account. Transaction records are kept 7 years after transaction occurs. Details of unclaimed moneys for the Australian Government registry are retained until claimed.

Some of this information is disclosed to: the Australian Taxation Office, the Department of Veterans' Affairs and Centrelink.

Individuals can obtain information regarding access to their personal information by contacting the Registrar, Inscribed Stock, through the Reserve Bank of Australia's Canberra and Sydney branches.

The records relate to 8447 current stockholders. Information on stockholders are stored electronically and on paper.

### **3. RESERVE BANK OF AUSTRALIA OFFICERS' SUPERANNUATION FUND (OSF)**

The purpose of these records is to administer the Officers' Superannuation Fund.

Content may include: name, date of birth, address, gender, marital status and names and status of partners and children.

In addition, associated with Anti-Money Laundering & Counter Terrorism Financing Act requirements, certified copies of documents confirming the identity of individuals may be held. This may include documents such as drivers licence, passport, birth/citizenship certificates.

Sensitive content may include: tax file numbers, physical or mental health details, family law material, disabilities and financial information, including debts.

The personal information on these records relates to current members of the fund, preserved members and pensioners.

The following staff have access to this personal information: Management, restricted Financial Administration staff, the Fund's actuary and the Bank's auditors.

The records are kept for 10 years after the final payment.

This information is not usually disclosed to other persons or organisations.

Individuals can obtain information regarding access to their personal information by contacting the Manager, OSF Membership, Financial Administration Department Ph: (02) 9551 8661 or via MyOSF which is the OSF's secure website for members (See Section 17).

The records relate to around 2500 individuals and are stored electronically and on paper.

#### **4. FIREARMS REGISTER**

The purpose of these records is to record staff training and accreditation to carry firearms in the course of their duty.

Content may include name, address and test results.

The following staff have access to this personal information: Management and security staff.

The records are kept for 75 years from DOB.

This information may be disclosed to authorised government organisations as required.

Individuals can obtain information regarding access to their personal information by contacting Human Resources.

The records relate to previous staff members and are stored on paper and electronically.

#### **5. ACCESS CONTROL SYSTEM**

The purpose of these records is to monitor and control access of visitors and non-Bank tenants through or into specified areas

Content may include: name, organisation, gender and validation date.

Sensitive content may include date and time of access to specific areas.

The personal information on these records relates to visitors and non-Bank tenants.

The Bank's auditors and staff from Security Section, Facilities Management Department, have access to this personal information.

The records are kept for 7 years.

This information is not normally disclosed to other persons or organisations.

Individuals can obtain information regarding access to their personal information by contacting the Senior Manager, (Security), Facilities Management Department Ph:(02) 9551 9130.

There are 1211 current records. These relate to visitors and non-Bank tenants and are stored electronically.

#### **6. FINANCIAL SANCTIONS**

The purpose of these records is to record applications for approval to transfer funds or undertake other transactions relating to countries, persons or entities against which financial sanctions apply.

Content may include: name, address, date of birth, phone number, and/or bank details of applicant and other person(s) involved in the transaction.

Sensitive content may include information on the purpose of the transaction and amounts involved.

The personal information on these records relates to members of the public who have applied for approval to undertake transactions that may be prohibited in terms of financial sanctions.

The following staff have access to this personal information: Management, and staff in Market Analysis Section, International Department.

The records are kept for 10 years.

This information is not normally disclosed to other persons or organisations, apart from the Department of Foreign Affairs and Trade (DFAT) and/or the Australian Federal Police (AFP).

Individuals can obtain information regarding access to their personal information by contacting the Senior Manager, Market Analysis Section, International Department Ph: (02) 9551 8450.

The records are stored electronically (approximately 1400 individual records) and on paper (number of records unknown).

## **7. AUSTRALIAN PAYMENTS CLEARING ASSOCIATION**

The purpose of these records is to detail operations of the Australian Payments Clearing Association (APCA) and to administer crisis communications with individual staff of APCA member institutions.

Content may include: name, work telephone number, email address, home or mobile telephone number.

Sensitive content may include: home telephone number.

The following staff have access to this information: Payments Settlements Department staff.

The records are kept for 7 years.

Some of this information (name and work telephone number) is disclosed to other APCA members. Note, sensitive content is not disclosed.

Individuals can access their personal information by calling the RITS Help Desk.

The records relate to approximately 150 staff from 65 APCA member institutions and are stored electronically.

## **8. RESERVE BANK INFORMATION AND TRANSFER SYSTEM (RITS)**

The purpose of these records is to identify individual staff of RITS member institutions that are users of RITS and their contact details during business hours, and in some cases after hours, and the signatures of staff nominated by each institution.

Content may include: name, work telephone number, email address and for some users home or mobile telephone number, and for some staff their signature.

Sensitive content may include: home telephone number, signature.

The following staff has access to this information: staff involved in the Payments Settlements Department and Audit Department.

The records are kept for 7 years following the termination of an institution's membership.

Some of this information (name and work telephone number) is disclosed to other RITS members. Note, sensitive content is not disclosed.

Individuals can seek access to their personal information by calling the RITS Help Desk.

The records relate primarily to RITS users (approximately 1000) of around 100 current RITS member institutions. Records also relate to approximately 30 institutions that were members of RITS in the past 7 years but are no longer members.

The records are stored electronically and for some records on paper.

## **9. DAMAGED BANKNOTE CLAIMS**

The purpose of these records is to track the receipt of claims made on the Bank in relation to damaged, incomplete or contaminated banknotes and enable payment to be made to claimants.

Content may include: name of claimant, address, phone number, business name, ADI name, account/BSB information, signature, name/signature of financial institution staff, how damage occurred, nature of contamination (if applicable) and assessed value.

The personal information on these records relates to members of the public, financial institutions and private businesses that have made a claim on the Bank for damaged notes.

Compliance with the *Anti-Money Laundering & Counter Terrorism Financing Act 2006* requires that first-time customers provide additional information. This may include identifying numbers and expiry dates in identification documents (such as: licence, passport, national ID card, birth/citizenship certificates). Some of this information is disclosed to AUSTRAC following the requirements of the legislation.

The following staff have access to the information: selected Note Issue Department and National Note Processing and Distribution Centre staff who are involved in the processing of claims.

The records are kept in the database for an indefinite period.

The records relate to approximately 16,000 claimants and are stored on paper and electronic media.

Individuals can obtain information regarding access to their personal information from the Senior Manager, Distribution and Processing, Note Issue Department Ph: (02) 9551 9330.

## **10. COUNTERFEIT EXAMINATION LABORATORY**

Under the Deed of Agreement between the Reserve Bank of Australia and Australian Federal Police on collaborative working arrangements relating to the storage and examination of counterfeit banknotes, details are recorded on suspect banknotes submitted to the Reserve Bank of Australia's Counterfeit Examination Laboratory.

Content may include police or organisation name, name of individual, address, phone number and information surrounding the reasons for submitting the suspect counterfeit banknote.

Sensitive content may include details of criminal convictions, criminal intelligence, bank account details and any other information contained in police incident reports.

The personal information in these records relates to members of the public and police, financial institutions and private organisations that have submitted a suspect counterfeit banknote for assessment.

The following staff have access to the information: selected Note Issue Department and Australian Federal Police staff who are involved in the assessment of suspect counterfeit banknotes.

The records relate to approximately 1,200 persons, the approximate average number of records containing personal information received per year, and are stored on paper for a period of at least 90 days after initial submission for assessment.

The Reserve Bank of Australia does not store electronic records of personal information relating to individuals submitting suspect banknotes.

This information is not usually disclosed to other persons or organizations.

Individuals seeking to obtain information regarding access to their personal information should contact the organisation to whom they surrendered the suspect banknotes.

## **11. CONFIDENTIALITY DEEDS**

The purpose of these records is to accurately identify those persons who have signed, or are named in, confidentiality deeds or non-disclosure agreements with the Reserve Bank of Australia in relation to research and development activities conducted on behalf of or in conjunction with the Reserve Bank.

Contents may include: name, address, employer and position title for those individuals.

The personal information on these records relates to persons involved in specific research activities that the Bank conducts with external organizations, where the persons are employed.

The following staff have access to the information: selected Note Issue Department staff involved in research and development activities.

The records are kept for an indefinite period.

The records relate to 202 persons and are stored on paper and electronic media.

This information is not usually disclosed to other persons or organisations.

Individuals can obtain information regarding access to their personal information by contacting the Senior Manager, Research and Development, Note Issue Department Ph: (02) 9551 9331.

## **12. SUPPLIERS, CONSULTANTS, SERVICE PROVIDERS, GOVERNMENT AGENCIES AND PROFESSIONAL AND BUSINESS ASSOCIATES**

The purpose of these records is to ensure that contact details of individuals who are, or who are employed by, suppliers, consultants, services providers or professional or business associates are available to certain RBA staff in order to fulfil their responsibilities.

These records would include for example, contact details of employees from financial institutions, professional associations, media organisations, government agencies, central banks, consultants, service providers and suppliers.

Included in these records are contact details for key individuals in both Australian and overseas organisations held for the purpose of emergency or crisis management.

Contents may include: name, title, company name, address, telephone (including fax and mobile), and email contact details.

Sensitive content may include: Personal contact details, details relating to high profile individuals.

The records are kept for an indefinite period and updated regularly.

The records are stored on paper and electronic media.

This information is not typically disclosed to other people or organisations.

Individuals would not usually request access to this information but they can seek access to, or update, their information by contacting the Department within the Bank with which they typically deal.

### **13. BUSINESS LIAISON PROGRAM**

The purpose of these records is to maintain a list of contacts for the Business Liaison Program.

Content may include: the name of the company, name of the contact, position held in the company, personal telephone contact number, fax number, email address, company website address, postal address, industry category, history of contact details, and the activities undertaken with the company.

The data are kept electronically.

The following Bank staff have access to this information: selected Economic Analysis staff involved in or providing support to the Business Liaison Program.

The records are updated regularly and held indefinitely, until deleted at the request of a company or the Bank. This information is not typically disclosed to other people or organisations.

Individuals would not usually request access to this information but they can seek access to, or update, their information by contacting the Department within the Bank with which they typically deal.

### **14. BIOGRAPHICAL AND PERSONAL INFORMATION ON CURRENT AND FORMER MEMBERS OF THE RESERVE BANK BOARD, THE PAYMENTS SYSTEM BOARD AND THE AUDIT COMMITTEE**

The purpose of these records is to be able to contact, and to publish certain information about, current and former members of the Reserve Bank Board, the Payments System Board and the Reserve Bank Audit Committee. The information of current Board and Audit Committee members is used to co-ordinate the arrangements for the monthly Reserve Bank Board meetings, quarterly Payments System Board meetings and meetings of the Audit Committee.

Contents may include names, addresses, dates of birth, current occupation details and details of other directorships.

Sensitive contents may include: home addresses and phone numbers.

The following staff have access to this information: Governor and Deputy Governor, Secretary and Deputy Secretary and Board Section staff in Secretary's Department.

The records are kept up-to-date and old records destroyed.

Individuals can obtain information regarding access to their personal information by contacting the Senior Board Officer, Phone: (02) 9551 9740

The records relate to approximately 71 individuals and are stored on paper and electronic media.

## **15. BIOGRAPHICAL AND PERSONAL INFORMATION ON MEMBERS OF THE BOARD OF THE RESERVE BANK HEALTH SOCIETY**

The Bank provides secretariat services to the board of directors of Reserve Bank Health Society Ltd (RBHS). The purpose of these records is to carry out these secretariat functions including contacting current members of the RBHS board.

Contents may include names, addresses, dates of birth, current and past occupation details and details of other directorships.

Sensitive contents may include: home addresses and phone numbers.

The following staff have access to this information: selected Staff Payment staff who provide services to the RBHS.

The records are kept for an indefinite period.

Individuals can obtain information regarding access to their personal information by contacting the Senior Manager, Staff Payments, Phone: (02) 9551 9094.

The records relate to approximately 12 individuals and are stored on paper and electronic media.

## **16. BIOGRAPHICAL AND PERSONAL INFORMATION ON CURRENT AND FORMER MEMBERS OF, AND INDIVIDUALS INSURED BY, THE RESERVE BANK HEALTH SOCIETY**

The Bank provided administrative services to the Reserve Bank Health Society Ltd (RBHS) which involved maintaining records on members of RBHS from its establishment in 1959 until May 2011.

The purpose of these records is to store information about the members and other individuals covered under the member's insurance policy to enable the RBHS to comply with legislative and regulatory requirements and historical records relating to memberships.

Contents may include names, addresses, dates of birth, member numbers, Medicare numbers, past health insurance details, health related information, health insurance claims received and paid, bank account details, power of attorneys, correspondence with members.

Sensitive contents may include: home addresses and phone numbers, Medicare numbers, past health insurance details, health related information, health insurance claims received and paid, bank account details, powers of attorney, correspondence with members.

The following staff have access to this information: selected Staff Payment staff who provide services to the RBHS.

The records are kept for an indefinite period.

Individuals can obtain information regarding access to their personal information by contacting the Senior Manager, Staff Payments, Phone: (02) 9551 9094.

The records relate to approximately 2,600 individuals and are stored on paper and electronic media.

#### **17. MY OSF/OSF WEBSITE**

The purpose of these records is to administer the Officers' Superannuation Fund.

Content may include: name, date of birth, address, gender, marital status and names and status of partners and children. In addition, certified copies of documents confirming the identity of individuals may be held. This may include documents such as drivers licence, passport, birth/citizenship certificates.

Sensitive content may include: tax file numbers, physical or mental health details, family law material, disabilities and financial information, including debts.

The personal information on these records relates to current members of the fund, preserved members and pensioners.

The following people have access to this personal information: OSF Management, restricted Financial Administration staff, the Fund's actuary and the Bank's auditors.

The records are kept for 10 years after the final payment.

The records relate to around 2500 individuals and are stored electronically.

#### **18. SECURE RBA WEBSITES**

The purpose of these records is to allow relevant individuals secure access to certain secure websites or databases. These include RBA Minutes, RBHS Board, ResLink, ID Returns and Traces databases.

Content may include first name, surname, address, email, phone number, secret question and answer.

The records are kept for an indefinite period.

This information is not typically disclosed to other people or organisations.

Individuals would not usually request access to this information.

Individuals can obtain information regarding access to personal information by contacting the administrator of the system in question or by contacting the Department within the Bank with which they typically deal.

The records relate to an unknown number of individuals.

## **19. MAILING LISTS**

The purpose of these records is to provide a distribution list of persons who have indicated they wish to receive information or publications from the Bank.

Content may include: names, email addresses, postal addresses, telephone and facsimile numbers.

The personal information relates to individuals who want to receive information or publications from the Bank.

The records are kept indefinitely or until a person asks to unsubscribe to the list.

The records are kept on paper and electronically.

This information is not typically disclosed to other people or organisations.

Individuals would not usually request access to this information. However individuals can obtain information regarding access to their personal information, or update their personal information, by contacting by contacting the Department within the Bank which distributes the publication.

The records relate to an unknown number of individuals.

Human Resources Department  
Reserve Bank of Australia  
27 July 2011

## **APPENDIX 1**

### **PERSONNEL RECORDS**

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 the Reserve Bank of Australia.

#### Personnel and payroll

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

- (1) records relating to attendance, access control 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, including pecuniary interest of family members;
- (7) personal history files;
- (8) performance appraisals;
- (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) records relating to identity checks and police and security clearances;
- (17) EEO Data; and
- (18) emergency contact details.

### Recruitment

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

- (1) recruitment records and candidate applications; and
- (2) selection panel reports and assessments.

### 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 Bank also retains personal information of staff in both the Business Impact Assessments (BIA) and the Business Continuity Plans (BCP). The information is for business continuity, to enable quick contact and to give managers information to make decisions about assignment of staff in disruption situations. The BIA information is mainly for planning purposes i.e. to overcome impediments for a staff member working in a disruption. It covers such issues as - how far will they have to go to get to work and whether can they work from home. The BCP data is about getting in contact with staff quickly. It is important the contact numbers are available to restore work processes quickly particularly when events happen overnight.

Contents of personnel records may include: name, address, date of birth, occupation, staff 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.

Sensitive contents of personnel records may include: 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.

In the BIA there is currently information on name, transport method to work, distance from home, in some cases a person's postcode, time taken to get to work, computer and internet access, whether there are dependents. The BIA data varies depending on department. Some have a limited list of managers only but some have nearly all staff listed.

For the BCP there are names, contact phone numbers and in some cases addresses.

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

The following RBA staff have access to personnel records: executive and senior management, members of selection panels (if appropriate), the individual to whom the record relates and, as is appropriate, human resources staff.

All staff in the Bank can access the BIA data currently. Access to the BCP data is restricted. Permission from the Head of Department owner is required to release personal data.

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

Historical BIA and BCP data is currently kept without a destruction date. Data is updated regularly.

Individuals can obtain information regarding access to their personal information by contacting the Human Resources Department.

Records relate to all current and former employees of the Reserve Bank of Australia and are stored on paper and electronic media.