



the next solution

19 October 2012

Mr M Drevikovsky  
 General Secretary  
 The General Synod of the Anglican Church of Australia  
 Suite 2, Level 9  
 51 Druitt Street  
 SYDNEY NSW 2000

Dear Martin,

We are pleased to attach our independent assurance compliance report on the operation of the National Register Canon 2007 and its related protocols ("the Canon").

*Our Role*

Nexia Court & Co was engaged by the General Synod of the Anglican Church of Australia to complete a compliance audit of the operation of the National Register as required by the Standing Committee of General Synod of the Anglican Church of Australia ("the Standing Committee")

The objective of the audit is to provide assurance that the processes and procedures in relation to the operation of the National Register ("the Register") are in compliance with the Canon. The Engagement involves performing procedures to obtain audit evidence about the compliance of the Register against agreed defined criteria as detailed in the Letter of Engagement dated 28 August 2012.

Our engagement was conducted in accordance with the Australian Accounting Standards on Assurance Engagements ASAE 3000: *Assurance Engagements Other than Audits or Reviews of Historical Financial Information*.

This report has been prepared for the use of the Standing Committee and is submitted on the basis that it will not be made available to any party without express permission given in writing by Nexia, without which permission no warranty or responsibility will be accepted by our firm.

*Our Findings*

A number of procedures were employed to test the operation of the Register in compliance with the canon. Due to the discovery of partial-compliance with a number of requirements of the Canon, and limitations in obtaining sufficient and appropriate audit evidence, we are unable to conclude that the National Register complies with the requirements of the Canon. Please refer to the attached Audit Report and Appendix for further details on work completed, the outcomes on the findings and conclusions on compliance with the Canon.

We would like to take the opportunity to thank you and your staff for the assistance during this process.

Please do not hesitate to contact me if you have any queries in relation to any of the above.

Yours Sincerely

A handwritten signature in black ink that reads "Joseph Santangelo".

**Joseph Santangelo**  
 Partner

**Nexia Court & Co**

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## INDEPENDENT ASSURANCE PRACTITIONER'S COMPLIANCE AUDIT REPORT TO THE GENERAL SYNOD OF THE ANGLICAN CHURCH OF AUSTRALIA

### Report on compliance with the requirements of the National Registry Canon 2007

We have audited the compliance of the operation of the National Register Canon 2007 and its related protocols ("the Canon") in order to provide assurance that the processes and procedures in relation to the operation of the National Register ("Register") are in compliance with the Canon and for the General Secretary to fulfil their reporting obligations to the Standing Committee in accordance with the Canon.

#### *Respective Responsibilities*

The General Secretary and the Directors of Professional Standards are responsible for compliance with the requirements of the Canon.

Our responsibility is to express a conclusion on compliance with the requirements of the Canon, in all material respects. Our audit has been conducted in accordance with applicable Standards on Assurance Engagements (ASAE 3000: *Assurance Engagements Other than Audits or Reviews of Historical Financial Information*) to provide reasonable assurance that the National Register has complied with the requirements of the Canon. Our procedures have been carried out based on the requirements of the separate clauses. These procedures have been undertaken to form a conclusion as to whether the National Registry has complied in all material respects, with the requirements, of the Canon.

#### *Use of Report*

This compliance audit report has been prepared for the Standing Committee of the General Synod of the Anglican Church of Australia in accordance with Section 15 of the Canon. We disclaim any assumption of responsibility for any reliance on this report to any persons or users other than the Standing Committee of the General Synod of the Anglican Church of Australia, or for any purpose other than that for which it was prepared.

#### *Inherent Limitations*

Because of the inherent limitations of any internal control framework, it is possible that fraud, error or non-compliance may occur and not be detected. An audit is not designed to detect all instances of non-compliance with the requirements of the Canon, as an audit is not performed continuously throughout the period and the audit procedures performed in respect of compliance with the requirements as measured by the Suitable Criteria are undertaken on a test basis. The audit conclusion expressed in this report has been formed on the above basis.

#### *Basis for qualified conclusion*

From our work performed in relation to the National Register's compliance with the Canon, we noted the following:

#### **Limitations of Scope**

Clause	Detail of Limitation
<b>Clause 5(1) &amp; 6(i1.</b>	We were unable to confirm that the National Register is a complete listing of "all clergy" and "all lay persons"
<b>Clause 8(1) and 8(3)</b>	We were unable to confirm the each DPS notified the General Secretary of Information relating to any member of the clergy or lay person to which they had access in carrying out his or her responsibilities as soon as practicable, and no later than one month after he or she has access to the information.

**Breach of Objective set by the Canon**

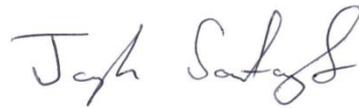
Clause	Detail of Breach
<b>Clause 8(2) &amp; 9</b>	One exception where notifications were not sent out to the notifiable clergy or layperson within the specified timeframe.
<b>Clause 12</b>	One exception where notifications were not sent out to the notifiable clergy or layperson within the specified timeframe.

*Qualified conclusion*

In our opinion, as an outcome determined by the above limitations and breaches referred to in the preceding paragraph, the National Register has not complied, in all material respects, with the processes and procedures in relation to the operation of the National Register and they are not in compliance with the National Registry Canon 2007.



**Nexia Court & Co**  
 Chartered Accountants  
 Dated: 19 October 2012  
 Sydney



**Joseph Santangelo**  
 Partner

## Appendix 1

#	Clause	Requirements of the National Register Canon 2007	Compliance	Comments
1	<b>Clause 4</b>	There shall be a National Professional Standards Register of clergy and lay persons established and maintained in accordance with the provisions of this Canon.	<b>Compliant</b>	<p><b>Work Completed</b> Through audit enquiry and observation, documented the design of the National Standards Register ("the Register") system.</p> <p><b>Findings</b> The Register exists on an independent and secure server. Direct access to data on the register is through The National Register Officers desktop computer. The server is locked in a safe in the office of the National Register Officer and is also protected via extensive anti-virus software.</p> <p>New information can be uploaded to the Register via each of the 12 netbooks provided to the Directors of Professional Standards ("DPS"). When new information is uploaded from these laptops, an email is sent to each DPS, which must be confirmed by the National Register Officer and verified by the DPS. Access to the laptop is through a generic password along with a unique passphrase which is required to upload new cases onto the database.</p> <p>Once the system receives confirmation, a notification can be sent out by the National Register Officer to the person concerned, and the information will be available for access on the system</p> <p>Information regarding persons on the server can be accessed via the following methods:</p> <ul style="list-style-type: none"> <li>▪ Each of the 12 DPS and another 46 Authorised Users have access to the National Register portal. Authorised Users can access Information through the submission of a 'Bishop &amp; Bishops Delegate Report Request'.</li> <li>▪ Any other member of the clergy can request information regarding own information on the register by completing an 'Application to Obtain Information about Yourself in the National Register'. This is located on the <a href="http://www.anglicanregister.org.au">www.anglicanregister.org.au</a> website. It is the responsibility of the National Register Officer to confirm the identity of each applicant before information is disclosed.</li> <li>▪ Persons who have information on the Register can apply to make amendments or remove information by completing the 'Application for Amendment of Information in the National Register' which is also on the website.</li> </ul> <p><b>Conclusion</b> The Register is compliant with Clause 4 of the Canon.</p>

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2.1	<b>Clause 5 (1)</b>	<p>The National Register shall be a register of all clergy:</p> <ol style="list-style-type: none"> <li>against whom a notifiable complaint or a notifiable charge has been made unless it is exhausted; or</li> <li>in respect of whom there has been a relinquishment of, or consent to deposition from, Holy Orders arising out of sexual misconduct or child abuse; or</li> <li>who have made an adverse admission or are the subject of an adverse finding; or</li> <li>in respect of whom there has been an adverse working with children check or an adverse criminal history check or an adverse Safe Ministry Check; or</li> <li>who have not been ordained as a priest or as a bishop, or issued with a licence or appointed by a Church authority, because of an adverse risk assessment.</li> </ol>	<b>Unable to confirm full compliance</b>	<p><b>Work Completed</b> Enquired with the National Register Officer the composition of information on the register, and examined documentation to determine if the information on the register has been recorded in accordance with Clause 5(i)</p> <p><b>Findings</b> The Register exists to record clergy who fall under the definitions provided by clause 5(i) under the National Register Canon 2007.</p> <p>There is an inherent limitation of scope in testing the completeness of the register in relation to 'all clergy' due to limitations of evidence being reliance that all DPS's have updated the Register for all reportable complaints and notifications that they are aware of.</p> <p><b>Conclusion</b> We confirm that the Register exists and contains information per 5(i) of the Canon. However, we were unable to confirm if it is a complete register of 'all clergy' required to be reported.</p>
2.2	<b>Clause 5 (2)</b>	<p>The register of clergy shall contain the following matters:</p> <ol style="list-style-type: none"> <li>Information relating to clergy; and</li> <li>relation to each member of the clergy included in the register, a notation of the date on which the register was last altered.</li> </ol>	<b>Compliant</b>	<p><b>Work Completed</b> Through audit procedures, we tested the composition of the Register and details of information regarding persons recorded on the Register.</p> <p><b>Findings</b> The register contains information relating to clergy, including:</p> <ul style="list-style-type: none"> <li>• given names,</li> <li>• date of birth,</li> <li>• postal address,</li> <li>• notifiable complaints or charges that have been placed against them if applicable, and</li> <li>• which authorised user and DPS has requested information about each person on the register.</li> </ul> <p>We found that the register retained details of when information relating to the clergy was last updated/altered.</p> <p><b>Conclusion</b> The Register is compliant with Clause 5(2) of the Canon.</p>

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3.1	<b>Clause 6 (1)</b>	<p>Subject to this Canon the National Register shall be a register of all lay persons:</p> <ol style="list-style-type: none"> <li>against whom a notifiable complaint or a notifiable charge has been made unless it is exhausted; or</li> <li>who have made an adverse admission or are the subject of an adverse finding; or</li> <li>in respect of whom there has been an adverse working with children check or an adverse criminal history check or an adverse Safe Ministry Check; or</li> <li>who have not been ordained as a deacon, or issued with a licence or appointed by a Church authority, because of an adverse risk assessment.</li> </ol>	<b>Unable to confirm full compliance</b>	<p><b>Work Completed</b> Enquired with the National Register Officer the composition of information on the register, and examined documentation to determine if the information on the register has been recorded in accordance with Clause 6(i)</p> <p><b>Findings</b> The National Register exists to record lay persons who fall under the definitions provided by clause 6(i) under the National Register Canon 2007.</p> <p>There is an inherent limitation of scope in testing the completeness of the register in relation to 'all laypersons' due to limitations of evidence being reliance that all DPS's have updated the Register for all reportable complaints and notifications that they are aware of.</p> <p><b>Conclusion</b> We confirm that the Register exists and contains information per 6(i) of the Canon. However, we were unable to confirm if it is a complete register of 'all clergy' required to be reported.</p>
3.2	<b>Clause 6 (2)</b>	<p>The register of lay persons shall contain the following matters:</p> <ol style="list-style-type: none"> <li>Information relating to lay persons; and</li> <li>in relation to each lay person included in the register, a notation of the date on which the register was last altered.</li> </ol>	<b>Compliant</b>	<p><b>Work Completed</b> Through audit procedures, we tested the composition of the Register and details of information regarding persons recorded on the Register.</p> <p><b>Findings</b> The register contains information relating to clergy, including:</p> <ul style="list-style-type: none"> <li>given names,</li> <li>date of birth,</li> <li>postal address,</li> <li>notifiable complaints or charges that have been placed against them if applicable, and</li> <li>which authorised user and DPS has requested information about each person on the register.</li> </ul> <p>We found that the register retained details of when information relating to the lay persons was last updated/altered.</p> <p><b>Conclusion</b> The Register is compliant with Clause 6(2) of the Canon.</p>

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4.1	<b>Clause 7 (1)</b>	Subject to this Canon, the National Register shall be maintained by the General Secretary in such form as the Standing Committee shall approve so as to ensure the security of the Information therein.	<b>Compliant</b>	<p><b>Work Completed</b> Through enquiry and observation with the National Register Officer, we documented the security systems of the National Register.</p> <p><b>Findings</b></p> <p>On enquiry and observation, we found that the National Register has been developed into a system that is able to record information about clergy and lay persons in accordance with the scope provided by the Canon. We found that the system has the following security measures to protect the information therein.</p> <p><i>Storage of information</i> – Data is stored on an independent server locked in a safe located in the office of the National Register Officer. Data on the server can be accessed only from the desktop computer located in the same office which is password protected.</p> <p><i>Upload of Information</i> – Information is uploaded into the server by each DPS though one of 12 netbooks allocated to each DPS. These netbooks are protected by both a generic password and DPS unique passphrases. netbooks are also protected by extensive anti-virus software.</p> <p>When a DPS uploads a case onto the server, an automatically generated email is returned showing the details of information to be lodged. This is to ensure accuracy of information uploaded onto the server.</p> <p><i>Access of Information</i> – Access of information can be requested by each of the 12 DPS, along with 46 additional ‘Authorised Users’. Each authorised user must fill out and have approved (by the National Register Officer) an ‘Application for Authorisation’ which is available on <a href="http://www.anglicanregister.org.au">www.anglicanregister.org.au</a> to obtain access to information in the database.</p> <p>In addition, any member of the clergy can access own information held on the register, however information will only be make known to those whose identities are confirmed by a Justice of the Peace or equivalent.</p> <p><b>Conclusion</b> The Register is compliant with Clause 7(1) of the Canon.</p>
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4.2	<b>Clause 7 (2)</b>	The General Secretary shall issue forms necessary for the operation of the National Register and publish these forms on the website of the General Synod.	<b>Compliant</b>	<p><b>Work Done</b> Reviewed the <a href="http://www.anglicanregister.org.au">www.anglicanregister.org.au</a> website and documented the forms available relating to the national register.</p> <p><b>Findings</b> We found that the following approved forms allowed users to access the following information on the National Register:</p> <ul style="list-style-type: none"> <li>▪ Application for Authorised Diocesan Persons to Access the National Register Report Request</li> <li>▪ Application to Obtain Information About Yourself in the National Register</li> <li>▪ Application for Amendment of Information in the National Register.</li> </ul> <p><b>Conclusion</b> The Register is compliant with Clause 7(2) of the Canon.</p>
5.1	<b>Clause 8 (1) &amp; (3)</b>	A DPS shall notify the General Secretary of Information relating to any member of the clergy or lay person to which he or she has access in carrying out his or her responsibilities, in accordance with a protocol approved by the General Synod, or the Standing Committee by a two-thirds majority, as soon as practicable, and no later than one month after he or she has access to the Information.	<b>Unable to confirm full compliance</b>	<p><b>Work done</b> Selected all 3 additions to the Register for the year and performed the following tests:</p> <ul style="list-style-type: none"> <li>▪ General Secretary received notification from the DPS</li> <li>▪ DPS has sent notification “as soon as practicable, and within one month after he or she has received access to information”.</li> </ul> <p><b>Findings</b> All notifications that had been received were recorded in the Register. However, due to the limitations in access to evidence from authorised persons and each church authority, we were unable to confirm if the notifications from the DPS had been sent “as soon as practicable and no later than one month” after they had access to the information.</p> <p><b>Conclusion</b> We can confirm that the Register has recorded all three notifications received during the year. However, we were unable to confirm that the notifications were sent “as soon as practicable and no later than one month” after the DPS had access to the information.</p>

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5.2	<b>Clause 8 (2)</b>	On receipt of a notification per Clause 8.1, the General Secretary shall promptly enter the notified Information in the National Register.	<b>Not compliant</b>	<p><b>Work Done</b> Selected all 3 additions to the Register for the year and performed the following tests:</p> <ul style="list-style-type: none"> <li>▪ on receipt of information, ensure the General Secretary has entered the information into the Register in a prompt timeframe.</li> <li>▪ information relating to the addition was promptly entered into the National Register</li> <li>▪ notification was sent to the clergy or lay person no later than one month from the entry of information</li> <li>▪ The notification expressed; <ul style="list-style-type: none"> <li>○ the entry of the addition</li> </ul> </li> </ul> <p>Information sent from each of the DPS is uploaded to the system digitally. Therefore there is no requirement for manual input.</p> <p>However, manual input of Notification Dates, Verification Dates and Removal Dates of information to the register are required when each event occurs.</p> <p><b>Findings</b> When testing additions to the register, we found that entry of information into the National Register resulted in non-compliance with the Canon due to two factors:</p> <ul style="list-style-type: none"> <li>▪ Non-verified uploads of information from each DPS (8 instances)</li> <li>▪ Verified uploads – notification to members not being sent in a timely manner. (one instance)</li> </ul> <p>Found 8 un-verified additions to the register. Un-verified additions occur when the DPS has not replied to the email verification they receive when they initially upload new information onto the Register. Upon enquiry with the National Register Officer, it was found that these were due to a number of reasons including:</p> <ul style="list-style-type: none"> <li>▪ DPS having technical issues with their email server. These resulted in an inability to access and approve confirmation emails.</li> <li>▪ DPS not confident they had the correct postal address for the notifiable complaint.</li> <li>▪ Inaccurate Diocese provided in the details of the notifiable complaint.</li> </ul> <p>We found there was one instance where a notification to the member of the clergy/layperson was not sent out within the one month time frame.</p> <ul style="list-style-type: none"> <li>▪ The information was verified by the DPS on the 18 November 2011, however the letter was not sent out until the 1 May 2011. We found that the reason</li> </ul>
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				<p>behind this breach was due to staff rotation and technical errors in the processing of the information of the Register</p> <p><b>Conclusion</b> The Register was not compliant with Clause 8(iv) of the Canon.</p>
5.3	<b>Clause 8 (4)</b>	<p>The General Secretary shall:</p> <p>a) after receipt of advice, promptly enter a caution in the National Register in relation to the member of the clergy or lay person, the subject of that Information; and</p> <p>b) no later than one month after the entry of that caution in the National Register, notify the member of the clergy or lay person concerned, by letter sent to his or her last known postal or electronic address, of:</p> <p>a. the entry of the caution; and</p> <p>b. the right of that person to request in writing of the General Secretary the removal of the caution in accordance with subsection (6).</p>	<b>Compliant</b>	<p><b>Work Done</b> Discussed with the National Register Officer and the General Secretary regarding the incident and recording of cautions</p> <p><b>Findings</b> The National register Officer and General Secretary confirmed that they had not been made aware of any cautions required to be recorded during the financial year.</p>
5.4	<b>Clause 8 (6)</b>	<p>The General Secretary shall promptly after the earlier of:</p> <p>a) notification by a DPS under subsection (5); and</p> <p>b) the expiration of two months from receipt of a request in writing from the member of the clergy or lay person the subject of the caution requesting its removal, remove the caution from the National Register.</p>	<b>Compliant</b>	<p><b>Work Done</b> Discussed with the National Register Officer and the General Secretary regarding the incident and recording of cautions</p> <p><b>Findings</b> The National register Officer and General Secretary confirmed that they had not been made aware of any cautions required to be recorded during the financial year.</p>
5.5	<b>Clause 9</b>	<p>The General Secretary shall, as soon as practicable, and no later than one month, after the entry of Information in the National Register relating to a member of the clergy or a lay person, notify the member of the clergy or lay person concerned of the entry of that Information by letter sent to his or her last known postal or electronic address.</p>	<b>Partial compliance</b>	<p><b>Work Completed</b> Selected all 3 additions to the National Register and performed the following testing:</p> <ul style="list-style-type: none"> <li>▪ Notification was sent to the last known postal or electronic address; and</li> <li>▪ letter was sent as soon as practicable, but no later than one month.</li> </ul>

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				<p><b>Findings</b> Letters sent out to the member of the clergy or lay person are being sent to their last known postal or electronic address.</p> <p>Please refer to Clause 8(iv). Found one instance where the notification was sent to the notifiable complaint outside the designated time frame of one month.</p> <p><b>Conclusion</b> The Register is partially compliant with Clause 9 of the Canon.</p>
6.1	<b>Clause 10 (1)</b>	A DPS shall notify the General Secretary as soon as practicable after becoming aware that a notifiable complaint or a notifiable charge against a member of clergy or a lay person has been exhausted.	<b>Compliant</b>	<p><b>Work Completed</b> From enquiry and observation, we found one instance where a notifiable charge against a member of clergy or a lay person had been exhausted. On testing of applications for amendment of information received from the DPS, we found the following information disclosed:</p> <ul style="list-style-type: none"> <li>▪ information which is sought to be amended;</li> <li>▪ ground on which the amendment is sought;</li> <li>▪ any evidence in support of the amendment; and</li> <li>▪ deleted information that would be removed from the National Register, if the Amendment were made.</li> </ul> <p><b>Findings</b> Copies of the Application for Amendment of Information in the National Register had been filled out by the individual in the approved format and were supported by evidence from the local courts confirming the exhaustion of the case.</p> <p><b>Conclusion</b> The Register is compliant with Clause 10(i) of the Canon.</p>
6.2	<b>Clause 10 (2)</b>	Where notification is received from the applicable DPS that a notifiable complaint or notifiable charge against a member of the clergy or a lay person has been exhausted, the General Secretary shall, as soon as practicable and no later than one month after receipt of the notification, remove Information in the National Register relating to that notifiable complaint or notifiable charge and notify:	<b>Compliant</b>	<p><b>Work Completed</b> Tested the documentation relating to the Application of Amendment of Information, ensuring the following:</p> <ul style="list-style-type: none"> <li>▪ Letter was sent out to member of clergy/lay person within one month of notification being received from the applicable DPS that a notifiable complaint or notifiable charge against a member of the clergy or a lay person has been exhausted.</li> </ul>

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		<p>a) the member of the clergy or lay person concerned of the removal of that Information by written notification sent to his or her last known postal or electronic address; and</p> <p>b) each authorised person who has had access to that Information, other than the person, of the removal of that Information, by written notification.</p>		<p><b>Findings</b> From the audit evidence obtained, we found that the Register was notified by the DPS that a notifiable complaint or notifiable charge against a member of the clergy or a lay person had been exhausted on 10 November 2011.</p> <p>Notifications were sent out to both the member of the clergy/layperson and each authorised person who has had access to that information on the 18 November 2011.</p> <p>Therefore the notifications have been sent out in the acceptable time frame.</p> <p><b>Conclusion</b> The Register is compliant with Clause 10(ii) of the Canon.</p>
6.3	<b>Clause 10 (3)</b>	Each authorised person shall, as soon as practicable and no later than one month after the receipt of the notification referred to in that subsection, shall forward a copy of that notification to each Church authority to whom the authorised person has disclosed the Information.	<b>Compliant</b>	<p><b>Work Completed</b> Performed the following tests on the one instance of exhaustion of information:</p> <ul style="list-style-type: none"> <li>▪ Agree date of notification of exhaustion to documentation between the authorised person and the church authority ensuring disclosure was made “as soon as practicable and no later than one month after the receipt of the notification”.</li> </ul> <p><b>Findings</b> There was no disclosure of Information to Church Authority in relation to the above instance therefore was no requirement to forward notification to Church Authority regarding the exhaustion.</p>
6.4	<b>Clause 10 (4)</b>	Where notification is received from the applicable Director of Professional Standards that a member of the clergy or a lay person relating to whom there is Information in the National Register has died, the General Secretary shall, as soon as practicable and no later than one month after receipt of the notification, remove Information in the National Register relating to that member of the clergy or lay person.	<b>Compliant</b>	<p><b>Work Completed</b> Through enquiry and observation, concluded that there were no notifications received during the year from the Director of Professional Standards that a member of the clergy or a lay person relating to whom there is Information in the National Register has died.</p>

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7	<p><b>Clause 11</b></p>	<p>Access to and disclosure of Information in the National Register shall, subject to sections 12 and 13, be limited to the following authorised persons:</p> <ol style="list-style-type: none"> <li>a diocesan bishop or delegate;</li> <li>the Bishop to the Defence Force or delegate;</li> <li>a Director of Professional Standards;</li> <li>the General Secretary;</li> <li>any person within the General Synod Office whose duties include assisting the General Secretary in maintaining the National Register; and</li> <li>such other persons as may be determined by the Standing Committee by a two-thirds majority;</li> </ol> <p>who agree to abide by the protocols under this Canon approved by the General Synod, or the Standing Committee by a two-thirds majority.</p>	<p style="text-align: center;"><b>Compliant</b></p>	<p><b>Work Completed – Authorised persons</b> Reviewed the Authorised User register and ensured that the information disclosed for each user was limited to the following authorised persons:</p> <ul style="list-style-type: none"> <li>▪ a diocesan bishop or delegate;</li> <li>▪ the Bishop to the Defence Force or delegate;</li> <li>▪ a Director of Professional Standards;</li> <li>▪ the General Secretary;</li> <li>▪ any person within the General Synod Office whose duties include assisting the General Secretary in maintaining the National Register; and</li> <li>▪ such other persons as may be determined by the Standing Committee by a two-thirds majority</li> </ul> <p><b>Findings – Authorised persons</b> We examined the “Authorised User Register” and found that each authorised user must complete an Application for Authorisation. Each form is validated by the National Register Officer and approved by the General Secretary.</p> <p><b>Conclusion – Authorised persons</b> The Register is compliant with Clause 11 of the Canon.</p> <p><b>Work Completed – Protocols</b> The total number of applications for information during the year totalled 1,341. Therefore we scientifically determined a sample size of 22 applications from our control sampling worksheet.</p> <p>In order to sample a spread of the Dioceses, we selected 2 applications from each Director of Professional Standards along with another 4 from Authorised Users.</p> <p>From this sample, we performed the following tests as per the Protocol for Access to and Disclosure of Information in the National Register:</p> <ul style="list-style-type: none"> <li>▪ Application has been made by an approved DPS or Authorised User</li> <li>▪ User has declared to the General Secretary the reason for access</li> <li>▪ User has declared the Church Authority to which the information will be disclosed</li> <li>▪ Agreed to copy of website request printout</li> <li>▪ Agrees to Log of access by authorised persons</li> </ul> <p><b>Findings - Protocols</b> In all cases we found that all applicants had been made by an approved DPS or</p>
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				<p>Authorised User, Agreed to website printout request, and Agreed to log of access.</p> <p>We were also able to agree that all applicants had declared to the General secretary the reasons for access.</p> <p>We were unable to confirm that each user has declared the Church Authority to which the information will be disclosed. The website request printout does not show who the information will be disclosed to, however the server will not allow a form to be submitted if this field is left blank.</p> <p><b>Conclusion - Protocols</b> The Register is compliant with Clause 13 of the Canon.</p>
8	<b>Clause 12</b>	The General Secretary, on application by a person to ascertain whether there is any Information, and if so to obtain a copy of the Information, in the National Register relating to that person, shall notify the person whether there is any such Information, and if so provide a copy of that Information to that person, in accordance with a protocol approved by the General Synod, or the Standing Committee by a two-thirds majority.	<b>Partial compliance</b>	<p><b>Work Completed</b> There were four applications for own information made during the year. We selected a sample of 100% of the population and performed the following tests as prescribed by the "Protocol to Ascertain Details of any Information and Access to that Information in the National Register":</p> <ul style="list-style-type: none"> <li>▪ Application for own information was completed by and applicant whose identity has been confirmed by Justice of the Peace or Equivalent</li> <li>▪ Response to the applicant sent out in a 'reasonable' time frame</li> <li>▪ Copy of information was provided to the applicant</li> </ul> <p><b>Findings</b> In all cases, we found that applicant's identity was appropriately confirmed by a Justice of the Peace of Minister of Religion, and the correct information was sent out to the applicant. We also found that all but one responses were sent out in a reasonable time-frame in accordance with Clause 12.</p> <p>An exception was found when an Application was made on 10 October 2011, however notifications of information were not sent out until 11 January 2012 (3 months).</p> <p><b>Conclusion</b> The Register is compliant with Clause 12 of the Canon.</p>

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9	<b>Clause 13</b>	The General Secretary, on application by a person to ascertain whether there has been access to any Information in the National Register relating to that person by an authorised person, shall notify the person whether there has been any such access, and if so provide details of that access to that person, in accordance with a protocol approved by the General Synod, or the Standing Committee by a two-thirds majority.	<b>Compliant</b>	<p><b>Work Completed</b> Confirmed with the General secretary that there had been no applications by persons to ascertain whether there has been access to any Information in the National Register in relation to them.</p>
10.1	<b>Clause 14 (1)</b>	<p>The General Secretary, on application by a person to amend the Information in the National Register relating to that person, shall:</p> <ul style="list-style-type: none"> <li>▪ amend the Information in the National Register relating to that person, or</li> <li>▪ include a statement of the person in the National Register,</li> </ul> <p>subject to any limitation on the length of any amendment or statement determined by the Standing Committee, in accordance with a protocol approved by the General Synod, or the Standing Committee by a two-thirds majority.</p>	<b>Compliant</b>	<p><b>Work Completed</b> There was one application for amendment of information lodged during the year, which was included in the testing of Clause 10 – notification of exhaustion of charge/complaint against a member of clergy or lay person. We confirmed the following:</p> <ul style="list-style-type: none"> <li>▪ Information in the National Register relating to that person had been amended, and</li> <li>▪ include a statement of the person in the National Register</li> </ul> <p><b>Findings</b> We found that the Information in the National Register had been amended and the statement regarding the person in the national register had been removed.</p> <p><b>Conclusion</b> The Register is compliant with Clause 14(1) of the Canon.</p>
10.2	<b>Clause 14 (2)</b>	The General Secretary shall, as soon as practicable and no later than one month after making the amendment or including the statement referred to in subsection (1), notify by written notification each authorised person who has had access to that Information, other than the person or persons in subsections 11(d) and (e), of the making of that amendment or the inclusion of that statement.	<b>Compliant</b>	<p><b>Work Completed</b> From the one application for amendment of information recorded during the year, we compared the recorded “Date Removed” against the “Date Notification Sent”, including copies of notifications sent to all persons who had access to that information, and noted any instances where notifications were not sent out “as soon as practicable” or no later than one month after making the amendment.</p> <p><b>Findings</b> We found that notifications were sent out within 7 days, and therefore procedures are within the scope of Clause 14(ii).</p> <p><b>Conclusion</b> The Register is compliant with Clause 14(ii) of the Canon.</p>

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10.3	<b>Clause 14 (iii)</b>	Each authorised person referred to in subsection (2) shall, as soon as practicable and no later than one month after the receipt of the notification referred to in subsection (2), forward a copy of that notification to each Church authority to whom the authorised person has disclosed the Information.	<b>Compliant</b>	<b>Work Completed</b> Confirmed via audit observation and enquiry that there were no instances of amendments of information within the reporting period.
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