

Action Sheet – Public Registers – Handling of Confidential Information Performance Audit

Area audit: ACCC and AER

Report date: November 2016

Date of audit: March 2016

Audit recommendation	Management comments	Resp. officer	Estimated completion date	Risk rating	Status as at November 2016
<p>Recommendation 1:</p> <p>It is recommended that ACCC and AER explicitly address the risk of confidential information being improperly released within each responsible division's risk mitigation strategy.</p>	Agreed	Executive Management Board (EMB) via EGMs to implement in next divisional business plan reviews.	March 2017 (revised from July/August 2016) – timing subject to the completion date of divisional plans	[REDACTED]	EGM commitment to incorporate in business plans when they are finalised: <u>D16/141627</u> .
<p>Recommendation 2:</p> <p>Audit recommends that ACCC:</p> <ul style="list-style-type: none"> implement a competencies-based approval and publication workflow for each public register implement induction and refresher training for staff involved in administering each public register on methods to prepare and publish information, including appropriate handling of confidential information. document the publication and approval process used to prepare and publish information on each public register and provide these documented procedures and control checklists to staff responsible for the process. The development of a standard template could be used by all divisions to drive key principles of: <ul style="list-style-type: none"> approval of material for publication by at least three staff with appropriate competency and 	Agreed.	EMB	December 2016	[REDACTED]	<p>Completed</p> <p>Standard ACCC competencies-based approval and publication workflow developed and documented at <u>D16/148171</u>.</p> <p>Standard training principles developed and documented at <u>D16/149040</u>.</p> <p>Standard control checklist created at <u>D16/148189</u>.</p> <p>These documents will be submitted in a paper to the</p>

EMB to consider endorsing adoption and implementation by divisions.

- authority
- o restricted access to publish information
- o details of security setting protocols.

Recommendation 3:

Audit recommends that ACCC and AER:

develop a standard mechanism (such as a working group or mailing list) to share improvements in the administration of public registers, particularly lessons learnt in relation to handling confidential information.

Agreed.
To be considered as part of the project.

EMB

July/August for establishment of working group

Completed

Email distribution group established. Group has met to discuss its role and implementation of the audit recommendations.

On completion of all recommendations, an intranet page will also be set up to facilitate sharing of information on the administration of public registers.

Recommendation 4:

Audit recommends that ACCC implement restricted system permissions for reclassification of documents and publication of information to appropriately authorised and skilled staff.

Agreed.
To be considered as part of the project.

EMB

Following the establishment of the training program.

Completed

This recommendation is achieved through the implementation of recommendations 2 and 3.

Note: The review of public registers is a separate project which did not form part of the auditors' recommendation but the COO has requested that it be considered as part of this project. A number of public registers have been identified as potentially suitable to be archived or deleted.