
Appendix two – About the audit

Audit objective

This audit assessed the effectiveness of controls in place to ensure the integrity of data in the Births, Deaths and Marriages Register, and to prevent unauthorised access and misuse.

Audit criteria

We addressed the audit objective with the following audit criteria:

1. Security controls are in place and effective to prevent unauthorised access to, and modification of, data in the Register.
2. Process and IT controls are in place and effective to ensure the integrity of data in the Register and the authenticity of records and documents.

Audit scope and focus

In assessing the criteria, we checked the following aspects:

1. Security controls are in place and effective to prevent unauthorised access to, and modification of, data in the Register.
 - a) database security (including third party access, hardening and patching of the operating system and database management system and network/perimeter security)
 - b) managing user access for privileged accounts and general users with edit access through the applications
 - c) managing third party interfaces and access
 - d) password complexity/enforced lockout
 - e) physical security over infrastructure.
2. Process and IT controls are in place and effective to ensure the integrity of data in the Register and the authenticity of records and documents.
 - a) enforcement of segregation of duties
 - b) retention and review of audit trails or alerting
 - c) input validation and data governance
 - d) effective handling and processing of supporting evidence inwards and outwards
 - e) controls over modification to data and outputs (e.g. birth certificates, identity check requests) including validating the authenticity of records and documents.

Audit exclusions

The audit did not:

- examine the overall effectiveness, efficiency and/or economy of the Registry's operations
- question the merits of government policy objectives.

Audit approach

Our procedures included:

1. interviewing a range of Registry staff including the Registrar, Senior Managers overseeing relevant controls and processes and staff responsible for implementing relevant controls and processes
2. examining relevant policies, procedures and training material which relate to the controls to be tested through the audit as well as recent reviews or internal audits undertaken by the Department
3. walkthroughs of the processes and controls to be tested through the audit.

The audit approach was complemented by quality assurance processes within the Audit Office to ensure compliance with professional standards.

Audit methodology

Our performance audit methodology is designed to satisfy Australian Audit Standard ASAE 3500 Performance Engagements and other professional standards. The standards require the audit team to comply with relevant ethical requirements and plan and perform the audit to obtain reasonable assurance and draw a conclusion on the audit objective. Our processes have also been designed to comply with requirements specified in the *Public Finance and Audit Act 1983* and the *Local Government Act 1993*.

Acknowledgements

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Audit cost

The total cost of the audit is \$218,000.