

Compliance Plan RNZAF Woodbourne DUML 2021

Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Apr-20</p> <p>To: 20-Sep-21</p>	<p>The monthly wattage report provided does not track changes on a daily basis and is provided as a snapshot.</p> <p>Potential impact: None</p> <p>Actual impact: None</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as weak as whilst the processes for updating the database are robust, it was not proven that the database is able to meet the requirements of the code.</p> <p>The impact is assessed to be low/none as this database is relatively static and the correct volumes are being submitted to the market.</p>	
Actions taken to resolve the issue		Completion date
A change log has been implemented outside the database to record changes made to database records including the date of any changes made. This log is provided to Meridian with the database extract monthly and enables comparison with prior months extracts to confirm before and after values for the record.		Nov 2021
Preventative actions taken to ensure no further issues will occur		Completion date
		Cleared

Non-compliance	Description		
Audit Ref: 2.6 Clause 11(3) of Schedule 15.3 From: 01-Apr-20 To: 20-Sep-21	Changes not tracked. Potential impact: Low Actual impact: Low Audit history: Once Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as weak as whilst the processes for updating the database are robust, it was not proven that the database is able to meet the requirements of the code. The audit risk rating is low as the volume of changes is not high.		
Actions taken to resolve the issue		Completion date	Remedial action status
A change log has been implemented outside the database to record changes made to database records including the date of any changes made. This log is provided to Meridian with the database extract monthly and enables comparison with prior months extracts to confirm before and after values for the record.		Nov 2021	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	

Non-compliance	Description		
Audit Ref: 2.7 Clause 11(4) of Schedule 15.3 From: 01-Apr-20 To: 20-Sep-21	Audit trail not visible. Potential impact: Low Actual impact: Low Audit history: Once Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as weak as whilst the processes for updating the database are robust, it was not proven that the database is able to meet the requirements of the code. The audit risk rating is low as the volume of changes is not high.		
Actions taken to resolve the issue		Completion date	Remedial action status
A change log has been implemented outside the database to record changes made to database records including the date of any changes made. This log is provided to Meridian with the database extract monthly and enables comparison with prior months extracts to confirm before and after values for the record.		Nov 2021	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	

Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-Apr-20</p> <p>To: 20-Sep-21</p>	<p>The monthly wattage report provided does not track changes on a daily basis and is provided as a snapshot.</p> <p>Potential impact: None</p> <p>Actual impact: None</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as weak as whilst the processes for updating the database are robust it was not proven that the database is able to meet the requirements of the code.</p> <p>The impact is assessed to be low/none as this database is relatively static and the correct volumes are being submitted to the market.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
A change log has been implemented outside the database to record changes made to database records including the date of any changes made. This log is provided to Meridian with the database extract monthly and enables comparison with prior months extracts to confirm before and after values for the record.		Nov 2021	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	