

Compliance plan for NextGen – 2019

Non-compliance	Description		
Audit Ref: 11.4 With: Clause 15.8 of part 15 From: 01-Apr-17 To: 29-Mar-19	Aggregates file contains submission information. Potential impact: None Actual impact: None Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as strong because the aggregates file is correct compared to the functional specification. There is no impact on settlement because the aggregates file is only used for reporting, therefore the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
NextGen intends to continue with the current practice until the Code is changed.			Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
NextGen intends to continue with the current practice until the Code is changed.			