

Compliance plan for RNZAF Woodbourne DUML – 2020

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 17-Aug-17 To: 31-Mar-20	Two incorrect wattage values recorded in the database. These are reported correctly in the monthly wattage report sent to Meridian therefore this has no impact on submission. The monthly wattage report provided does not track changes at a daily basis and is provided as a snapshot. Potential impact: None Actual impact: None 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 impact is assessed to be low/none as this database is relatively static and the correct volumes are being submitted to the market.	
Actions taken to resolve the issue	Completion date	Remedial action status
We will liaise with Marlborough Lines regarding the update of the 2 incorrect wattage values in their database. We will propose a process change so wattage values from the database are used for the monthly report rather than adding ballasts outside.	31/05/2020 31/05/2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Tracking of load change		
Non-compliance	Description	
Audit Ref: 2.6 Clause 11(3) of Schedule 15.3 From: 17-Aug-17 To: 31-Mar-20	Changes not tracked. Potential impact: Low Actual impact: Low Audit history: None 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
We'll discuss with Marlborough Lines what options there are for resolving this issue taking into account the low volume of lights managed and the relatively static nature of the database.	31/07/2020	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	

Audit trails		
Non-compliance	Description	
Audit Ref: 2.7 Clause 11(4) of Schedule 15.3 From: 17-Aug-17 To: 31-Mar-20	Audit trail not visible. Potential impact: Low Actual impact: Low Audit history: None 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
We'll discuss with Marlborough Lines what options there are for resolving this issue taking into account the low volume of lights managed and the relatively static nature of the database.	31/07/2020	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 17-Aug-17</p> <p>To: 31-Mar-20</p>	<p>Two incorrect wattage values recorded in the database, but these are reported correctly in the monthly wattage report, therefore this has no impact on submission.</p> <p>Potential impact: None</p> <p>Actual impact: None</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as moderate as the ballasts are not derived from the database but are being added correctly for reconciliation purposes.</p> <p>The impact is assessed to be low 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
<p>We will liaise with Marlborough Lines regarding the update of the 2 incorrect wattage values in their database.</p> <p>We will propose a process change so wattage values from the database are used for the monthly report rather than adding ballasts outside.</p>	<p>31/05/2020</p> <p>31/05/2020</p>	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 17-Aug-17</p> <p>To: 31-Mar-20</p>	<p>Two incorrect wattage values recorded in the database. These are reported correctly in the monthly wattage report sent to Meridian therefore this has no impact on submission.</p> <p>The monthly wattage report provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: None</p> <p>Actual impact: None</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<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
<p>We will liaise with Marlborough Lines regarding the update of the 2 incorrect wattage values in their database.</p> <p>We will propose a process change so wattage values from the database are used for the monthly report rather than adding ballasts outside.</p>		<p>31/05/2020</p> <p>31/05/2020</p>
Preventative actions taken to ensure no further issues will occur		Completion date
Remedial action status		
Identified		