

Compliance plan for Burnham Military Camp DUML – 2021

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Aug-20 To: 08-Apr-21	The data used for submission does not track changes at a daily basis and is provided as a snapshot. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate as the processes overall are robust but the change is not tracked at a daily level. The impact is assessed to be low as there are very few changes made to this database and the field audit confirmed the database to be accurate based on the estimated database errors found.	
Actions taken to resolve the issue	Completion date	Remedial action status
		Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Processes are in place to account for historical database corrections that have a material impact on settlement volumes.		

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 01-Aug-20 To: 08-Apr-21	The data used for submission does not track changes at a daily basis and is provided as a snapshot. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate as the processes overall are robust, but the change is not tracked at a daily level. The impact is assessed to be low as there are very few changes made to this database and the field audit confirmed the database to be accurate medium based on the estimated database errors found.	
Actions taken to resolve the issue	Completion date	Remedial action status
[Participant comment]	Proposed or actual date	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Processes are in place to account for historical database corrections that have a material impact on settlement volumes.		