

Compliance plan for AIAL Signage DUML 2022

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Jun-21 To: 02-Jun-22	One additional item of load identified in the field, resulting in a potential under submission of 1,357.8 kWh per annum. Potential impact: Medium Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as weak as the change management process requires review. The impact is assessed to be low, based on the kWh values described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
This has been added to the database & submission value has been adjusted accordingly	1/5/2022	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
We knew the signs were moved around as part of the Airport renovation which is still in process. Due to the signs being in restricted areas, its hard to confirm the changes unless one is travelling & has a boarding pass. Covid lockdowns & restrictions at the airport didn't help either. Our client has recently gone through some management changes that has allowed them to take on more staff & have a dedicated person we can deal with about these changes. Also hoping to workout some sort of authorised AXS with AIAL to visit these signs ourselves & monitor the changes. Not sure if this will be possible.	Jan2023	

Audit trail		
Non-compliance	Description	
Audit Ref: 2.7 With: Clause 11(4) of Schedule 15.3 From: 01-Jun-18 To: 02-Jun-22	The available audit trails do not specify the user who made the data change. Potential impact: Low Actual impact: None Audit history: Twice previously Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as strong, because there is typically one person who updates the spreadsheet. The impact is assessed to be low based on the nature and type of the non-compliance.	
Actions taken to resolve the issue		Completion date
Since this audit, we started capturing the user name in the audit trail.		07/2022
Preventative actions taken to ensure no further issues will occur		Completion date
Since only 1 person has authority & write access to the file, we didn't see the need to record user's names. Everyone knew who was making the changes. However; we have made the change now.		07/2022
		Cleared