

Accreditation Audit Tool:

Information providers and entity dealing with NAIT animals

Legal entity name:

Trading name:

Physical address:

NAIT Location Number:

Audit key contact name
and title:

Audit key contact email:

Auditor(s) name and title:

Date(s) of audit:

Accreditation standards
applicable:

Information providers and entity dealing with NAIT animals

Type of audit:

Re-accreditation application

Mid-point performance audit

Periodic accreditation audit

On-site / remote audit

On-site audit

Remote audit

Information provider activities
(record all that apply):

Carrying out animal registration obligations of PICA

Providing information to NAIT Organisation

Registering a person as a PICA or PICA delegate

Providing animals movement declaration

Providing notification when NAIT animals die, lost or exported live

Sale Yards

Meat Processor

Farm Management

✓ Pre-Audit Checklist for Applicant

Audit logistics confirmed.

Audit key contact established, and support staff
organised for audit.

NAIT records are up to date, and system available
for review.

Policies and Procedures described in Standard(s),
NAIT Act and regulations available for review.

Clear and accurate records available for review.

Training records for staff and contractors
available for review.

Health and safety induction system for visitors*.

Biosecurity induction system for visitors*.

Health and safety: facilities, yards, sheds, pens,
ramps in good condition. No holes, rough edges,
protrusions that could cause injury*.

**Only applicable to on-site audits.*

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Glossary and audit framework

Glossary

NAIT: National Animal Identification and Tracing

NAIT Act: National Animal Identification and Tracing Act 2012.

NAIT Device: An animal identification device manufactured or supplied in accordance with standards issued.

NAIT Location: As defined in section 5 of the NAIT Act. A place where one or more NAIT animals are kept or held, and which has been registered with and issued with a location identifier by the NAIT organisation.

NAIT Organisation: The organisation designated under the NAIT Act 2012 to implement and operate the national animal identification and tracing scheme.

NAIT Number: The number allocated by the NAIT organisation to identify a particular property where the animals are held.

OSPRI: Operational Solutions for Primary Industries

PICA: A natural person in day-to-day charge of a NAIT animal.

PICA Delegate: A natural person who is nominated and registered, under sections 26 and 27 of the NAIT ACT, to undertake specified procedures and obligations on behalf of a PICA.


Audit Framework

- During the audit each audit criterion is assigned a provisional level of attainment by the auditor: (Definitions for Level of Attainment)

Level of attainment

FA  Fully Attained

OFI  Opportunity for Improvement

NC  Non-Conformance

NA  Not Applicable

- Audit criterion that are **NC** are assigned a provisional risk level by the auditor. (Definitions for Level of Risk)

Level of risk

C  Critical

M  Moderate

L  Other

- For any critical/moderate non-conformances evidence will need to be provided to the audit agencies to review for conformance against the NAIT standards.
- For **Other** risk audit non-conformances, your organisation should take actions to remediate the non-conformances. Evidence to demonstrate these non-conformances are adequately resolved may be reviewed at the next planned audit.

Note: Whilst this audit tool references specific sections of the NAIT Standard(s) and NAIT legislation. Accredited organizations should ensure they are aware of their obligations under the entire NAIT Act, regulations and standards which may be sampled during Accreditation audits.

Audit executive summary (this section summarizes the findings from your Audit)

Summary:

Total non-conformances:

Number of critical non-conformances:

Number of other non-conformances:

Number of moderate non-conformances:

Number of opportunities for improvement:

Auditors signed and dated:

Auditors signed and dated:

Section A: Facilities, resources and capability

A01: Accredited entity application and administration

Criteria	Attainment	Risk	Audit summary and findings
A01-01 Entity's users are registered in the NAIT database (for accredited information providers undergoing an audit). [Section 4.2.1 of IP Standard]	Fully Attained Opportunity for Improvement Non-Conformance Not Applicable	Critical Moderate Other	
A01-02 Contracted Information Provider functions on behalf of PICA client(s) align to the requirements in the NAIT Act. [S18 NAIT Act 2012]	Fully Attained Opportunity for Improvement Non-Conformance Not Applicable	Critical Moderate Other	
A01-03 Each PICA must register with the NAIT organisation every location where that person oversees NAIT animals (NAIT location). In registering a NAIT location, a PICA must confirm that he or she is a PICA for the specified location. <i>This includes PICAs registered for Meat Processors or Sales Yards.</i> [S29 NAIT Act 2012]	Fully Attained Opportunity for Improvement Non-Conformance Not Applicable	Critical Moderate Other	

A01-04	<p>The owner of a saleyard or the nominated representative of the owner must be registered as a PICA.</p> <p>[S28 NAIT Act 2012]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>
A01-05	<p>A person who is in day-to-day charge of NAIT animals, whether continuously or intermittently, —</p> <ul style="list-style-type: none"> • must be registered as a PICA; and • if not registered at the time of taking charge of NAIT animals, must register within the time specified in regulations made under this Act. <p>[S26(1) of NAIT Act 2012]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>
A01-06	<p>A registered PICA may—</p> <ul style="list-style-type: none"> • nominate a delegate to undertake specified procedures and obligations under this Act on behalf of the PICA (a PICA delegate). • A person nominated as a delegate must register as a PICA delegate with the NAIT organisation. <p>[S26(2)(a) and S26(3) of NAIT Act 2012]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>
A01-07	<p>An entity dealing with NAIT animals must appoint at least one administrator user.</p> <p>[Section 6.8 of AE Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>

A01-08	An entity dealing with NAIT animals must appoint a PICA for each location that the entity operates at. [Section 6.11 of AE Standard]	Fully Attained Opportunity for Improvement Non-Conformance Not Applicable	Critical Moderate Other
A01-09	An entity's PICA must be regularly present at the NAIT location they are appointed for. [Section 6.12 of AE Standard]	Fully Attained Opportunity for Improvement Non-Conformance Not Applicable	Critical Moderate Other
A01-10	An entity PICA may appoint a PICA delegate(s) to act on their behalf for when they are not present at the NAIT location they are appointed for. [Section 6.1 of AE Standard]	Fully Attained Opportunity for Improvement Non-Conformance Not Applicable	Critical Moderate Other
A01-11	If PICA delegate(s) are used, the PICA Delegate(s) are registered for each NAIT Location they operate at. [S26(3) NAIT Act 2012]	Fully Attained Opportunity for Improvement Non-Conformance Not Applicable	Critical Moderate Other

A02: Facility

A02-01	Applicants must have satisfactory Policies and Procedures for managing NAIT data to ensure NAIT data is held safely and securely. <i>This includes physical security at your facilities where NAIT data is managed.</i> [Section 4.11.3 of AE Standard & IP Standard]	Fully Attained	Critical
		Opportunity for Improvement	Moderate
		Non-Conformance	Other
		Not Applicable	

A03: Policies and procedures to meet obligations under the NAIT Act

A03-01	Applicants must have policies and procedures that enable their staff to meet an Accredited Entity's obligations under the NAIT Act. [Section 4.3 of AE Standard], [Section 4.3 of IP Standard]	Fully Attained	Critical
		Opportunity for Improvement	Moderate
		Non-Conformance	Other
		Not Applicable	
A03-02	A PICA must ensure that the NAIT animals in his or her charge are— (a) correctly fitted at all times with the NAIT device required for those animals in accordance with standards issued under section 14 or regulations made under this Act; and (b) registered with the NAIT organisation. [S30(1) NAIT Act 2012]	Fully Attained	Critical
		Opportunity for Improvement	Moderate
		Non-Conformance	Other
		Not Applicable	

A03-03	<p>Where an entity dealing with NAIT animals is unable to scan a NAIT device on an animal that it receives at a location it operates, then the device must be read visually, or if the animal is not being slaughtered, it must be re-tagged with a functioning RFID device and that replacement device linked to the animal's NAIT record to maintain traceability of the animal.</p> <p>[Section 5.19 AE Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>
A03-04	<p>The applicant must meet the following key obligations of PICAs (including PICA Meat Processors and PICA Saleyard).</p> <ul style="list-style-type: none"> • register as a PICA with the NAIT organisation; and • register with the NAIT organisation, as a NAIT location, any location where NAIT animals are to be kept or held; and • identify a NAIT animal with a NAIT device and register the animal with the NAIT organisation; and • declare the movement of NAIT animals from 1 NAIT location or other location to another; and • declare the death, loss, or intended export of NAIT animals; and • provide correct and up-to-date information to the NAIT organisation as required by or under this Act. <p>These obligations apply to every PICA—</p> <ul style="list-style-type: none"> • to the extent that they are applicable in particular circumstances; and • unless a matter qualifies for an exemption under regulations made for that purpose under this Act. <p>[S24 of NAIT Act 2012]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>

A04: Equipment

A04-01	<p>Applicants must possess (own, lease or outsource) appropriate equipment for the functions and duties they perform.</p> <p>This includes radio frequency identification device (RFID) readers capable of handling the volume of livestock moved through the facilities they operate, and computer hardware and software capable of processing and submitting NAIT data within the timeframes prescribed by regulation 10 of the NAIT (Obligations and Exemptions) Regulations 2012.</p> <p>[Section 4.1 of AE Standard], [Section 4.1 of IP Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>
A04-02	<p>Applicants must prove that they can upload data to the NAIT information system, in the required format and otherwise in accordance with this standard.</p> <p>[Section 4.10 of IP Standard], [Section 4.10 of AE Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>

Section B: Collection and submission of NAIT data

B01: Interface with NAIT Database

Criteria	Attainment	Risk	Audit summary and findings
B01-01 The applicant must demonstrate that as an accredited entity dealing with NAIT animals they provide information to the NAIT Organization about the movement of NAIT animals to and from the location(s) operated by the entity, in lieu of a PICA; in particular: <ul style="list-style-type: none"> • an entity operating premises where NAIT animals are slaughtered must provide an animal exit declaration containing details of the animal's death to the NAIT organisation • an entity operating at premises where NAIT animals are sold or otherwise traded must provide full and accurate information about the movement of animals for which they are responsible onto and out of those premises to the NAIT organisation, and • an entity operating premises where an animal is exported live must provide an animal exit declaration as prescribed by regulation 25 of the National Animal Identification and Tracing (Obligations and Exemptions) Regulations 2012.the National Animal Identification and Tracing (Obligations and Exemptions) Regulations 2012. <p>[Section 6.1 & 6.2 of AE Standard]</p>	Fully Attained Opportunity for Improvement Non-Conformance Not Applicable	Critical Moderate Other	

B01-02	Documented policies and procedures are in place that enable staff to meet the information provider's obligations and obligations of the PICA's they contract with, under the NAIT ACT. [Section 4.3 of IP Standard]	Fully Attained	Critical
		Opportunity for Improvement	Moderate
		Non-Conformance	Other
		Not Applicable	

B02: Electronic data submission and data quality

B02-01	Entities must be able to demonstrate that where they link into and access the NAIT information system for the purposes of submitting data that they do not compromise the integrity of the data in the NAIT information system or operation of the NAIT information system. [Section 5.8 of AE Standard], [Section 5.7 of IP Standard]	Fully Attained	Critical
		Opportunity for Improvement	Moderate
		Non-Conformance	Other
		Not Applicable	
B02-02	Entities dealing with NAIT animals must be able to demonstrate that they are able to achieve an operational level of data transfer quality and accuracy without error or omission. This means that in all instances of data transfer to the NAIT organisation the information transferred is both complete and correctly transferred. For example: animal exit declarations, and animal movement declarations, registration of NAIT Devices to NAIT Animals. [Section 5.9 AE Standard], [Section 5.8 of IP Standard]	Fully Attained	Critical
		Opportunity for Improvement	Moderate
		Non-Conformance	Other
		Not Applicable	

B02-03	<p>Entities must take reasonable steps to ensure that data received from PICAs is correct and complete before it is transferred to the NAIT information system.</p> <p>[Section 5.10 of AE Standard], [Section 5.9 of IP Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>
B02-04	<p>Entities must notify PICAs in advance when they know ahead of time that they will be unable to provide their usual services.</p> <p>[Section 5.11 of AE Standard], [Section 5.10 of IP Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>
B02-05	<p>Data must be submitted electronically in the format specified by the NAIT organisation via either:</p> <ul style="list-style-type: none"> • secure login to the NAIT information system, or • a common systems interface with the NAIT information system. <p>[Section 5.4 of AE Standard], [Section 5.4 of IP Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>

B03: Provision of information to PICAs

B03-01	When a receiving PICA requests an entity dealing with NAIT animals provides the NAIT number and sub-region of the sending PICA, the entity must provide that information, in a timely manner, if it is available to them.	Fully Attained	Critical
		Opportunity for Improvement	Moderate
		Non-Conformance	Other
	When a sending PICA requests an entity dealing with NAIT animals provides the NAIT number and sub-region of the receiving PICA, the entity must provide that information, in a timely manner, if it is available to them.	Not Applicable	

“in a timely manner” means within the legal timeframes for the PICA’s provision of that information to the NAIT organisation, if applicable, and in any other event no later than 7 days after the request.

[Section 6.3 to 6.5 of **AE Standard**],
[Section 6.7 to 6.9 of **IP Standard**]

B04: Data upload failures

B04-01	Where there is a failure in the process of uploading data to the NAIT information system, the entity must immediately notify the NAIT Organisation’s contact center of the upload failure. To avoid doubt, this only applies where the failure cannot be rectified within the timeframes required by the NAIT Act.	Fully Attained	Critical
		Opportunity for Improvement	Moderate
		Non-Conformance	Other
		Not Applicable	

[Section 5.12 of **IP Standard**] &
[Section 5.13 of **AE Standard**]

B04-02	<p>The entity must resolve any data upload failures or errors within 48 hours of being notified of the failure or error, regardless of how or by whom the notification is made.</p> <p>[Section 5.13 of IP Standard] & [Section 5.14 of AE Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>
B04-03	<p>Where the data upload failure or error is as a result of an ongoing issue with the NAIT information system, entities dealing with animals must immediately notify the NAIT Organisation's contact center of the issue.</p> <p>[Section 5.15 of AE Standard], [Section 5.14 of IP Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>
B05: Accredited entity movement correction			
B05-01	<p>Where a PICA advises either an entity dealing with NAIT animals or the NAIT organisation of an incorrectly recorded animal movement, the entity must take reasonable steps to resolve the issue within 48 hours. In particular, the entity must:</p> <ul style="list-style-type: none"> • delete the incorrect movement • record the correct movement, and • advise the PICA and the NAIT organisation as soon as possible if the incorrect movement cannot be rectified. <p>[Section 5.16 of AE Standard], [Section 5.17 of IP Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>

B05-02	<p>If the entity dealing with NAIT animals is unable to resolve the issue, it must notify the PICA and the NAIT organisation that the incorrect data cannot be rectified within five business days.</p> <p>[Section 5.17 of AE Standard], [Section 5.16 of IP Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>
B05-03	<p>Where an entity dealing with NAIT animals is informed of or identifies an incorrectly recorded movement and has not been informed of this movement by the PICA, the entity dealing with NAIT animals must inform the PICA of the incorrect movement within 48 hours, as well as whether the issue has been resolved. Failure to do so may result in suspension or revocation of the entity's accreditation.</p> <p>[Section 5.18 of AE Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>
B06: Incorrect data			
B06-01	<p>Where a PICA advises the information provider of incorrectly recorded data, the information provider must take reasonable steps to resolve the issue within 48 hours.</p> <p>[Section 5.15 of IP Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>
B06-02	<p>If the entity dealing with NAIT animals is unable to resolve the issue (incorrect data), it must notify the PICA and the NAIT organisation that the incorrect data cannot be rectified within five business days.</p> <p>[Section 5.17 of AE Standard], [Section 5.16 of IP Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>

Section C: Policies and procedures

C01: Quality management

Criteria	Attainment	Risk	Audit summary and findings
C01-01 Satisfactory policies and procedures that describe the quality management system are available for review. [Section 4.12 of AE Standard] & [Section 4.12.3 of IP Standard]	Fully Attained Opportunity for Improvement Non-Conformance Not Applicable	Critical Moderate Other	

C02: Data management

C02-01 Satisfactory policies and procedures that describe the document management system are available for review. [Section 4.12.1 of AE Standard & IP Standard]	Fully Attained Opportunity for Improvement Non-Conformance Not Applicable	Critical Moderate Other	
C02-02 Applicants must have satisfactory policies and procedures for managing the NAIT data that they handle. [Section 4.11 of AE Standard & IP Standard]	Fully Attained Opportunity for Improvement Non-Conformance Not Applicable	Critical Moderate Other	

C02-03	<p>Satisfactory policies and procedures exist for managing the NAIT data that they handle.</p> <p>Specifically, the policies and procedures ensure that the data is collected, held and used in compliance with New Zealand laws.</p> <p>[Section 4.11.1 of AE Standard & IP Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>
C02-04	<p>Satisfactory policies and procedures exist for managing the NAIT data that they handle.</p> <p>Specifically, the policies and procedures ensure that the data is collected, held and used in accordance with any restrictions imposed on the data by the person who provided it.</p> <p>[Section 4.11.2 of AE Standard & IP Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>
C02-05	<p>Satisfactory policies and procedures exist for managing the NAIT data that they handle.</p> <p>Specifically, the policies and procedures ensure that the data is held safely and securely.</p> <p>[Section 4.11.3 of AE Standard & IP Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>
C02-06	<p>Satisfactory policies and procedures exist for managing the NAIT data that they handle.</p> <p>Specifically, the policies and procedures ensure that the data is able to be securely transferred to the NAIT organisation within the regulated timeframes</p> <p>[Section 4.11.5 of AE Standard & IP Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>

C02-07	If a NAIT standard governing accreditation of third-party software is in force and applies to an Information Provider (for example, where that entity wishes to use a common systems interface to connect to the NAIT information system), they must comply with that standard. [Section 5.1 of AE Standard & IP Standard]	Fully Attained	Critical
		Opportunity for Improvement	Moderate
		Non-Conformance	Other
		Not Applicable	

C03: Contract management

C03-01	Satisfactory policies and procedures exist that describe contract management. [Section 4.12.1 of AE Standard & IP Standard]	Fully Attained	Critical
		Opportunity for Improvement	Moderate
		Non-Conformance	Other
		Not Applicable	

C04: Staff responsibility and appointment

C04-01	Sufficient staff are employed or contracted by the organisation and their staff have the skills and experience to perform the functions and duties required of them. [Section 4.2 IP Standard]	Fully Attained	Critical
		Opportunity for Improvement	Moderate
		Non-Conformance	Other
		Not Applicable	

C05: Staff training

C05-01	<p>Policies and procedures that describe the staff training system are available for review.</p> <p>[Step 4.12.5 of AE Standard & IP Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>
C05-02	<p>Applicants must demonstrate that they</p> <ul style="list-style-type: none"> • provide training and support where required to all users of the NAIT information system within their organisation. • provide training and support where required to all registered information provider users within their organisation. <p>[Section 4.2 and 4.2.2 of AE Standard & IP Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>
C05-03	<p>Applicants must:</p> <ul style="list-style-type: none"> • maintain individual training records for administration users and entity PICAs, and • maintain individual training records for all registered information provider users. <p>[Section 4.2.2 AE Standard], [Section 4.2.3 of IP Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>

C05-04	<p>Applicants must ensure:</p> <ul style="list-style-type: none"> all users of the NAIT information system are aware of their obligations under the NAIT Act, the Privacy Act 2020 and this standard all registered information provider users are aware of their obligations under the NAIT Act, the Privacy Act 2020 and this standard. <p>[Section 4.2.3 AE Standard], [Section 4.2.4 of IP Standard]</p>	Fully Attained	Critical
		Opportunity for Improvement	Moderate
		Non-Conformance	Other
		Not Applicable	

C06: Internal audit

C06-01	<p>Policies and Procedures that describe the internal audit system are available for review.</p> <p>[Section 4.12.3 of AE Standard] & [Section 4.12.3 of IP Standard]</p>	Fully Attained	Critical
		Opportunity for Improvement	Moderate
		Non-Conformance	Other
		Not Applicable	

C07: Complaints

C07-01	<p>Applicants must have a customer complaints management policy and maintain customer complaints register available for review.</p> <p>[Section 4.4. of AE Standard & IP Standard]</p>	Fully Attained	Critical
		Opportunity for Improvement	Moderate
		Non-Conformance	Other
		Not Applicable	

C07-02	<p>The complaints register must detail the following:</p> <ul style="list-style-type: none"> • the nature of the complaint • who made the complaint • how the complaint was resolved • who managed the complaint • the date the complaint was received, and • the date the complaint was resolved. <p>[Section 4.4.1 to 4.4.6 of IP Standard & AE Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>
C07-03	<p>The complaints management policy and any associated procedures are published.</p> <p><i>For example: on the company's website, member's database, or in available in physical copies on demand.</i></p> <p>[Section 4.5 of AE Standard & IP Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>
C07-04	<p>The Complaints Policy and any associated procedures must be provided on request to any PICA.</p> <p>[Section 4.5 of AE Standard & IP Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>

C08: Information provider's obligations

C08-01	<p>The information provider has entered into a written contract with each PICA that specifies the functions and duties that the information provider will undertake on behalf of that PICA. This must be done before the information provider accesses that PICA's information or undertakes a function or duty on their behalf, at the latest.</p> <p>[Section 6.2 of IP Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>
C08-02	<p>The contract between a PICA and an Information Provider must be held for the duration of the relationship with a PICA.</p> <p>[Section 6.3 of IP Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>
C08-03	<p>The information provider must retain copies of all data, correspondence and records relating to the contractual relationship with the PICA for at least 3 years after the contract terminates.</p> <p>[Section 6.4 of IP Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>
C08-04	<p>The contract must be made available to the NAIT organisation or an approved audit agency upon written request during this (retention) period.</p> <p>[Section 6.5 of IP Standard]</p>	<p>Fully Attained</p> <p>Opportunity for Improvement</p> <p>Non-Conformance</p> <p>Not Applicable</p>	<p>Critical</p> <p>Moderate</p> <p>Other</p>

Section D: Data management systems

D01: IT and information security

Criteria	Attainment	Risk	Audit summary and findings
D01-01 Policies and procedure(s) that describe IT Security are available for review. [Section 4.12.2 of AE Standard & IP Standard]	Fully Attained Opportunity for Improvement Non-Conformance Not Applicable	Critical Moderate Other	
D01-02 All Entities Dealing with NAIT Animals and Information Providers must comply with the NAIT information system terms of use. [Section 5.12 of AE Standard], [Section 5.11 of IP Standard]	Fully Attained Opportunity for Improvement Non-Conformance Not Applicable	Critical Moderate Other	

D02: NAIT System terms of use

D02-01 The policies and procedures for IT security and data privacy provide instructions on how to: <ul style="list-style-type: none"> take care of the NAIT Information System information provider logons and passwords avoid the improper use of logons. [Section 4.12.2, and 5.11 of IP Standard , NAIT System Terms of Use July 2015], [Section 4.12.2, AE Standard]	Fully Attained Opportunity for Improvement Non-Conformance Not Applicable	Critical Moderate Other	
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D02-02	<p>The policies and procedures for IT security and data privacy provide instructions on:</p> <ul style="list-style-type: none"> • what to do when your password is compromised • what to do if you know or have reason to believe that there has been or is about to be fraudulent or other unlawful use of your logons. <p>[Section 4.12.2, AE Standard & IP Standard and NAIT System Terms of Use July 2015]</p>	Fully Attained	Critical
		Opportunity for Improvement	Moderate
		Non-Conformance	Other
		Not Applicable	

D03: Data privacy

D03-01	<p>Policies and Procedures describe Data Privacy systems are available for review.</p> <p>[Section 4.12.2 of AE Standard & f IP Standard]</p>	Fully Attained	Critical
		Opportunity for Improvement	Moderate
		Non-Conformance	Other
		Not Applicable	

D04: Information retention

D04-01	<p>Entities must retain an electronic copy of all data entered into the NAIT information system, regardless of how that data is submitted, for 3 years.</p> <p>[Section 5.7 of AE Standard], [Section 5.6 of IP Standard]</p>	Fully Attained	Critical
		Opportunity for Improvement	Moderate
		Non-Conformance	Other
		Not Applicable	

D05: Information system back up

D05-01	Satisfactory policies and procedures that describe the system back-up are available for review. [Section 4.12.4 of AE Standard & IP Standard]	Fully Attained	Critical
		Opportunity for Improvement	Moderate
		Non-Conformance	Other
		Not Applicable	
D05-02	Applicants must ensure that they have a system back up and that records are securely held. [Step 4.8 AE Standard & f IP Standard]	Fully Attained	Critical
		Opportunity for Improvement	Moderate
		Non-Conformance	Other
		Not Applicable	

D06: Information system recovery

D06-01	Satisfactory policies and procedures that describe the system recovery procedures are available for review. [Section 4.12.4 of AE Standard & IP Standard]	Fully Attained	Critical
		Opportunity for Improvement	Moderate
		Non-Conformance	Other
		Not Applicable	
D06-02	Applicants must have satisfactory policies and procedures for managing the NAIT data they handle, ensuring that information backed up can be recovered – so that it is able to be transferred to the NAIT organisation within the regulated timeframes. [Section 4.11.5 of AE Standard & IP Standard]	Fully Attained	Critical
		Opportunity for Improvement	Moderate
		Non-Conformance	Other
		Not Applicable	

D07: IT incident resolution

D07-01	Satisfactory policies and procedures that describe IT incident resolution are available for review. (Incidents are an unplanned loss or disruption of the IT systems, services, or functions.) [Section 4.12.6 of AE Standard] & [Section 4.12.6 of IP Standard]	Fully Attained	Critical
		Opportunity for Improvement	Moderate
		Non-Conformance	Other
		Not Applicable	

Section E: Business continuity

E01: Business continuity plan

Criteria	Attainment	Risk	Audit summary and findings
E01-01	Fully Attained	Critical	
	Opportunity for Improvement	Moderate	
	Non-Conformance	Other	
	Not Applicable		
Applicants must have a business continuity plan that includes provisions for the specific site(s) audited. And ensures they can continue to perform their NAIT functions and duties, within the timeframes prescribed by the National Animal Identification and Tracing (Obligations and Exemptions) Regulations 2012, in the event of a systems failure or other emergency. [Section 4.6 of IP Standard & AE Standard]			

E01-02	<p>The business continuity plan must include procedures for:</p> <ul style="list-style-type: none"> Restoring system capability without loss of data. Operating alternative systems during emergency <p>[Section 4.7.1 and 4.7.2 of AE Standard & IP Standard]</p>	Fully Attained	Critical
		Opportunity for Improvement	Moderate
		Non-Conformance	Other
		Not Applicable	

E02: Communication plan

E02-01	<p>The business continuity plan must include procedures for:</p> <ul style="list-style-type: none"> Communication with the NAIT Organisation about the emergency within 24 hours of its detection. Communicating with PICAs about the emergency if required. <p>[Section 4.7.3 and 4.7.4 of AE Standard & IP Standard]</p>	Fully Attained	Critical
		Opportunity for Improvement	Moderate
		Non-Conformance	Other
		Not Applicable	