

Compliance plan for Southland District Council – 2019

Tracking of load changes		
Non-compliance	Description	
Audit Ref: 2.6 With: Clause 11(3) of schedule 15.3 From: 01-Jun-18 To: 31-Jan-19	The SDC spreadsheet does not track changes. Potential impact: Low Actual impact: Low Audit history: Once previously Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate as the spreadsheet is being uploaded to RAMM which will then comply with this clause's requirements. The impact is assessed to be low as the data within the spreadsheet has a high level of accuracy and is expected to be loaded to RAMM where there is a full audit trail.	
Actions taken to resolve the issue	Completion date	Remedial action status
As reported, the upload of information to RAMM will resolve this issue	30 June 2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Audit trail			
Non-compliance	Description		
<p>Audit Ref: 2.7</p> <p>With: Clause 11(4) of schedule 15.3</p> <p>From: 01-Jun-18</p> <p>To: 31-Jan-19</p>	<p>The SDC spreadsheet does not have an audit trail.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</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 spreadsheet is being uploaded to RAMM which will then comply with this clause's requirements.</p> <p>The impact is assessed to be low as the data within the spreadsheet has a high level of accuracy and is expected to be loaded to RAMM where there is a full audit trail.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
As reported, the upload of information to RAMM will resolve this issue		30 June 2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
As above			

Database accuracy			
Non-compliance		Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Jun-18 To: 31-Jan-19		Small number of incorrect ballasts and light descriptions were found with a very minor impact on reconciliation. Potential impact: Low 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 strong, as they ensure errors are minimised. The impact is assessed to be low based on the wattage differences described above.	
Actions taken to resolve the issue		Completion date	Remedial action status
The discrepancies have been passed on to SDC to correct and we will follow up with them to ensure this is completed.		28/02/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	