

# Compliance plan for Otorohonga District Council DUML-2019

Deriving submission information			
Non-compliance	Description		
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3  From: 01-May-18 To: 31-Mar-19	Ballasts being applied outside of the database and the incorrect ballasts are recorded in RAMM. Decorative LED lights in two redwood trees not recorded in the database. Festive lights not recorded in the database. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	The controls are rated as weak as the data is being manipulated outside of the RAMM database resulting in a discrepancy between submission and the database. This database is switching traders and the incorrect ballasts will be used with the next trader.  The impact is assessed to be low as the volumes associated with the LED Christmas lights will be very minor.		
Actions taken to resolve the issue		Completion date	Remedial action status
ODC will make the required alterations by the end of June		30 June 2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
ODC will make the required alterations by the end of June		30 June 2019	

Location of each item of load			
Non-compliance	Description		
Audit Ref: 2.3 With: Clause 11(2)(b) of Schedule 15.3  From: 01-May-18 To: 31-Mar-19	One item of load with insufficient details to locate it.  Potential impact: Low Actual impact: None Audit history: Once Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	The controls are rated as strong as the RAMM database has good controls in place to manage load location.  The impact is assessed to be low, as only one item of load had insufficient details to locate it.		
Actions taken to resolve the issue		Completion date	Remedial action status
ODC will rectify the database by end of June		30 June19	
Preventative actions taken to ensure no further issues will occur		Completion date	
ODC will rectify the database by end of June		30 June 19	

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3  From: unknown To: 31-Mar-19	Three additional items of load found in the field. Decorative LED lights in two redwood trees not recorded in the database. Festive lights not recorded in the database. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	The controls are rated as strong as the RAMM database has good controls in place to manage load accuracy. The impact is assessed to be low, as the overall database accuracy was found to be high.		
Actions taken to resolve the issue		Completion date	Remedial action status
ODC will add additional lights to database plus the redwood tree lights if applicable.		30 June 19	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
ODC will add additional lights to database plus the redwood tree lights if applicable.		30 June 19	

Database accuracy			
Non-compliance	Description		
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-May-18 To: 31-Mar-19	Incorrect ballasts recorded in RAMM. Potential impact: Low Actual impact: None Audit history: Once previously Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	The controls are rated as weak as the data is being manipulated outside of the RAMM database resulting in a discrepancy between submission and the database. This database is switching traders and the incorrect ballasts will be used with the next trader as they do not manipulate data outside of the database. The impact is assessed to be low, as the differences found in the database are corrected outside of the database and therefore have no impact on submission with the current trader.		
Actions taken to resolve the issue		Completion date	Remedial action status
ODC will update the database before 30 June 19.		30 June 19	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
ODC will update the database before 30 June 19.		30 June 19	

Volume information accuracy			
Non-compliance	Description		
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 01-May-18 To: 31-Mar-19	Decorative LED lights in two redwood trees not recorded in the database. Festive lights not recorded in the database. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	The controls are rated as weak as the data is being manipulated outside of the RAMM database resulting in a discrepancy between submission and the database. This database is switching traders and the incorrect ballasts will be used with the next trader. The impact is assessed to be low as the volumes associated with the LED Christmas lights will be very minor.		
Actions taken to resolve the issue		Completion date	Remedial action status
Festive lights will be added to the database and Retailer will be notified when they will be livened for submission purposes.		30 June 19	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
ODC will monitor these lights and notify Retailer when livened.		Ongoing	