

## Compliance plan for Scanpower Community Lights 2019

| Deriving submission information  |  |                        |
|--|--|------------------------|
| Non-compliance   | Description  |                        |
| Audit Ref: 2.1<br>With: Clause 11(1) of Schedule 15.3<br><br>From: 01-Sep-19<br>To: 31-Oct-19                        | The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.<br>The Excel spreadsheet does not record light install, livening, or change dates.<br>Potential impact: Low<br>Actual impact: Low<br>Audit history: Once<br>Controls: Weak<br>Breach risk rating: 3   |                        |
| Audit risk rating  | Rationale for audit risk rating  |                        |
| <b>Low</b>   | The controls are weak, because change dates are not tracked. Only the installation or change month can be determined from the information available.<br>The audit risk rating is low. A small number of lights are recorded in the database and there have been no new installations for several years. There have been some upgrades to LED fittings for faulty lights. |                        |
| Actions taken to resolve the issue   | Completion date  | Remedial action status |
| We will work with Scanpower to implement a pragmatic solution for tracking the date of changes made to the database. | 31 Jan 2019  | Investigating          |
| Preventative actions taken to ensure no further issues will occur  | Completion date  |                        |
|  |  |                        |

| Tracking of load changes  |  |
|---|--|
| Non-compliance  | Description  |
| Audit Ref: 2.6<br>With: Clause 11(3) of Schedule 15.3<br><br>From: 01-Sep-19<br>To: 31-Oct-19 | The Excel spreadsheet does not record light install, livening, or change dates. The database does not currently track additions and removals in a way that allows the total load to be retrospectively derived for any given day.<br>Potential impact: Low<br>Actual impact: Low<br>Audit history: None<br>Controls: Weak<br>Breach risk rating: 3 |

| <b>Audit risk rating</b>   | <b>Rationale for audit risk rating</b>   |                        |                               |
|--|--|------------------------|-------------------------------|
| <b>Low</b>   | <p>The controls are weak, because only the installation or change month can be determined from the information available.</p> <p>The audit risk rating is low based on the number of items of load in the database and frequency of changes.</p> |                        |                               |
| <b>Actions taken to resolve the issue</b>  |  | <b>Completion date</b> | <b>Remedial action status</b> |
| We will work with Scanpower to implement a pragmatic solution for tracking the date of changes made to the database. |  | 31 Jan 2019            | Investigating                 |
| <b>Preventative actions taken to ensure no further issues will occur</b>   |  | <b>Completion date</b> |                               |
|  |  |                        |                               |

| <b>Audit trail</b>   |  |                        |                               |
|--|--|------------------------|-------------------------------|
| <b>Non-compliance</b>  | <b>Description</b>   |                        |                               |
| <p>Audit Ref: 2.7</p> <p>With: Clause 11(4) of Schedule 15.3</p> <p>From: 01-Sep-19</p> <p>To: 31-Oct-19</p>         | <p>The Excel spreadsheet does not record an audit trail.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>  |                        |                               |
| <b>Audit risk rating</b>   | <b>Rationale for audit risk rating</b>   |                        |                               |
| <b>Low</b>   | <p>The controls are weak, because an audit trail is not generated when changes to the database are made.</p> <p>The audit risk rating is low because historic information is retained enabling before and after values to be confirmed, and the approximate date of the change. The database is normally maintained by one user.</p> |                        |                               |
| <b>Actions taken to resolve the issue</b>  |  | <b>Completion date</b> | <b>Remedial action status</b> |
| We will work with Scanpower to implement a pragmatic solution for tracking the date of changes made to the database. |  | 31 Jan 2019            | Investigating                 |
| <b>Preventative actions taken to ensure no further issues will occur</b>   |  | <b>Completion date</b> |                               |
|  |  |                        |                               |

| Database accuracy  |  |                        |
|--|--|------------------------|
| Non-compliance   | Description  |                        |
| Audit Ref: 3.1<br>With: Clause 15.2 and 15.37B(b)<br><br>From: 01-Sep-19<br>To: 31-Oct-19  | The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.<br>The Excel spreadsheet does not record light install, livening, or change dates.<br>Potential impact: Low<br>Actual impact: Low<br>Audit history: Once<br>Controls: Weak<br>Breach risk rating: 3   |                        |
| Audit risk rating  | Rationale for audit risk rating  |                        |
| <b>Low</b>   | The controls are weak, because change dates are not tracked. Only the installation or change month can be determined from the information available.<br>The audit risk rating is low. A small number of lights are recorded in the database and there have been no new installations for several years. There have been some upgrades to LED fittings for faulty lights. |                        |
| Actions taken to resolve the issue   | Completion date  | Remedial action status |
| We will work with Scanpower to implement a pragmatic solution for tracking the date of changes made to the database.<br>We will also supply the field audit findings to Scanpower to correct the database. | 31 Jan 2019  | Investigating          |
| Preventative actions taken to ensure no further issues will occur  | Completion date  |                        |
| We will confirm Scanpower's process for receiving information about replaced faulty lights to ensure these changes are recorded in a timely manner.  | 28 Feb 2019  |                        |

| Volume information accuracy   |  |
|---|--|
| Non-compliance  | Description  |
| Audit Ref: 2.1<br>With: Clause 11(1) of Schedule 15.3<br><br>From: 01-Sep-19<br>To: 31-Oct-19 | The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.<br>The Excel spreadsheet does not record light install, livening, or change dates.<br>Potential impact: Low<br>Actual impact: Low<br>Audit history: Once<br>Controls: Weak<br>Breach risk rating: 3 |

| Audit risk rating  | Rationale for audit risk rating   |                 |                        |
|--|---|-----------------|------------------------|
| Low  | <p>The controls are weak, because change dates are not tracked. Only the installation or change month can be determined from the information available.</p> <p>The audit risk rating is low. A small number of lights are recorded in the database and there have been no new installations for several years. There have been some upgrades to LED fittings for faulty lights.</p> |                 |                        |
| Actions taken to resolve the issue   |   | Completion date | Remedial action status |
| We will work with Scanpower to implement a pragmatic solution for tracking the date of changes made to the database. |   | 31 Jan 2019     | Investigating          |
| Preventative actions taken to ensure no further issues will occur  |   | Completion date |                        |
|  |   |                 |                        |