

Compliance plan for Southland DC DUML – 2020

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Feb-19 To: 31-Jan-20	The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot. 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 mitigate risk to an acceptable level as is indicated by the database accuracy. The impact is assessed to be low as the volume of change occurring is minimal.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will be working with SDC to find a solution enabling compliance requirements to be met.	01/09/2020	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has been working with the council which has started to provide data extractions from their database. Genesis will continue to liaise with the council in order to see how both parties can manage the tracking of changes.	01/09/2020	

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Feb-19 To: 31-Jan-20	1 additional light found in the field audit sample. NZTA Edendale bypass lights not recorded in the database but as noted in section 2.1 these are being reconciled so this has no material impact. Potential impact: Low Actual impact: None 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 mitigate risk to an acceptable level as is indicated by the database accuracy. The impact is assessed to be none as the database is within the variance threshold but none is not available as an option therefore I have recorded the impact as low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis will request the necessary corrections be completed.		01/05/2020	
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis will advise the council of the field exceptions and have these amended. Genesis will work with the council to see if NZTA are can advise the council of new assets prior to livening.		01/05/2020	Identified

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 01-Feb-19 To: 31-Jan-20	The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as strong as they mitigate risk to an acceptable level as is indicated by the database accuracy. The impact is assessed to be low as the volume of change occurring is minimal.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will be working with SDC to find a solution enabling compliance requirements to be met.	01/09/2020	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has been working with the council which has started to provide data extractions from their database. Genesis will continue to liaise with the council to see how both parties can manage the tracking of changes.	01/09/2020	