

## Compliance plan for NZTA South Canterbury 2020

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3  From: 28-Feb-20 To: 28-Feb-20	The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot. Potential impact: Medium Actual impact: Unknown Audit history: Twice Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as moderate, because change dates are recorded accurately within the database itself, but the database extract provided is a snapshot. The impact is assessed to be low, because it is likely only part of a month's data will be affected where a change occurs.	
Actions taken to resolve the issue	Completion date	Remedial action status
We are considering how we can redesign our processes to incorporate the calculation of volumes at a daily level rather than a monthly snapshot.	Ongoing	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	

Volume information accuracy	
Non-compliance	Description
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c)  From: 28-Feb-20 To: 28-Feb-20	The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot. Potential impact: Medium Actual impact: Unknown Audit history: Twice Controls: Moderate Breach risk rating: 2

Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>The controls are rated as moderate, because change dates are recorded accurately within the database itself, but the database extract provided is a snapshot.</p> <p>The impact is assessed to be low, because it is likely only part of a month's data will be affected where a change occurs.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
We are considering how we can redesign our processes to incorporate the calculation of volumes at a daily level rather than a monthly snapshot.		Ongoing	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	