

Compliance plan for Westland District Council DUML – 2020

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 07-May-18</p> <p>To: 13-May-20</p>	<p>Database discrepancies and incorrect ballasts not corrected from last audit.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice previously</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, because they are sufficient to ensure that lamp information is correctly recorded most of the time.</p> <p>The audit risk rating is low due to the small number of errors found in the field audit and the database is relatively static.</p>	
Actions taken to resolve the issue		Completion date
<p>As reported the database discrepancies identified during the last field audit have now been resolved.</p> <p>We will request the 2 remaining incorrect ballasts recorded be updated.</p> <p>We are considering how we can redesign our processes to incorporate the calculation of volumes at a daily level rather than a monthly snapshot.</p>		<p>Complete</p> <p>30 June 2020</p> <p>Ongoing</p>
Preventative actions taken to ensure no further issues will occur		Completion date
<p>Current controls for management of database changes are considered adequate.</p>		
Remedial action status		
<p>Investigating</p>		

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 07-May-18 To: 13-May-20	Five additional lights found in the field not added to database. Potential impact: Low Actual impact: Low Audit history: Twice previously Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate as they are sufficient to ensure that all lights are recorded in the database most of the time. The audit risk rating is low due to the small number of additional lights found in the field audit and the database is relatively static.	
Actions taken to resolve the issue	Completion date	Remedial action status
As reported these discrepancies have now been resolved.	Complete	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
Current controls for management of database changes are considered adequate.		

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 07-May-18 To: 13-May-20	Two items of load with the incorrect ballast applied. Database discrepancies not corrected from last audit. 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 they are sufficient to ensure that all lights are recorded in the database most of the time. The audit risk rating is low due to the small number of errors found in the field audit and the database is relatively static.	
Actions taken to resolve the issue	Completion date	Remedial action status
We will request to 2 incorrect ballasts be updated. Database discrepancies identified during the last field audit have now been corrected	30 June 2020 Complete	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Current controls for management of database changes are considered adequate.		

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 07-May-18</p> <p>To: 13-May-20</p>	<p>Database discrepancies and incorrect ballasts not corrected from last audit.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice previously</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, because they are sufficient to ensure that lamp information is correctly recorded most of the time.</p> <p>The audit risk rating is low due to the small number of errors found in the field audit and the database is relatively static.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>As reported the database discrepancies identified during the last field audit have now been resolved.</p> <p>We will request the 2 remaining incorrect ballasts recorded be updated.</p> <p>We are considering how we can redesign our processes to incorporate the calculation of volumes at a daily level rather than a monthly snapshot.</p>	<p>Complete</p> <p>30 June 2020</p> <p>Ongoing</p>	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Current controls for management of database changes are considered adequate.		