

Compliance plan for Tauranga City Council Parks and Reserves DUML– 2020

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1</p> <p>With: 11(1) of Schedule 15.3</p> <p>From: 26-Nov-19</p> <p>To: 22-Oct-20</p>	<p>Database does not track changes from the effective date.</p> <p>Submission is based on a snapshot of the database at the end of the month and does not consider historic adjustments or the fact that lights can be livened before they are entered into the database.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>Changes are made when required but cannot be applied for the correct date and some errors in the field indicate that the information is not always being updated in the database therefore controls are rated as moderate overall.</p> <p>Overall, the database accuracy is high therefore the audit risk rating is assessed to be low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Working with customer to look at getting changes applied at the actual date they occur		On going	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Working with customer to look at getting changes applied at the actual date they occur		On going	

Tracking of load change			
Non-compliance	Description		
Audit Ref: 2.6 With: Clause 11(3) of Schedule 15.3 From: 26-Nov-19 To: 22-Oct-20	Database does not track changes from the effective date. Potential impact: Low Actual impact: Low Audit history: None Controls: None Breach risk rating: 5		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as none as the database functionality prevents the loading of changes to the database for the date of install and changes can only be from the date the change is loaded. The audit risk rating is low as the number of lights in the database is small so any impact to reconciliation will be low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Working with customer to look at getting changes applied at the actual date they occur		On going	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Working with customer to look at getting changes applied at the actual date they occur		On going	

Database accuracy			
Non-compliance	Description		
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 26-Nov-19 To: 22-Oct-20	20 metered items of load recorded against the unmetered ICP. Potential impact: Low Actual impact: Low Audit history: Three times Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as moderate, because they are sufficient to ensure that database is kept up to date for the majority of the load. Overall, the database accuracy is high therefore the audit risk rating is assessed to be low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Duml database has been updated The 20 lights have been corrected		01/12/2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Minor issue which has now been updated The 20 lights have been corrected		01/12/2020	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 26-Nov-19</p> <p>To: 22-Oct-20</p>	<p>Database does not track changes from the effective date.</p> <p>Submission is based on a snapshot of the database at the end of the month and does not consider historic adjustments or the fact that lights can be livened before they are entered into the database.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>Changes are made when required but cannot be applied for the correct date and some errors in the field indicate that the information is not always being updated in the database therefore controls are rated as moderate overall.</p> <p>Overall, the database accuracy is high therefore the audit risk rating is assessed to be low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Working with customer to look at getting changes applied at the actual date they occur		On going	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Working with customer to look at getting changes applied at the actual date they occur		On going	