

Compliance Plan NZTA South Canterbury DUML 2022

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 29-Feb-20 To: 29-Mar-22	The data used for submission does not track changes at a daily basis and is provided as a snapshot. Potential impact: Medium Actual impact: Low Audit history: Multiple times previously Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	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	
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	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 29-Feb-20 To: 29-Mar-22	The data used for submission does not track changes at a daily basis and is provided as a snapshot. Potential impact: Medium Actual impact: Unknown Audit history: Multiple times previously Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	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	
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	

