

Compliance plan for Tauranga City Council Parks and Reserves DUML May 2022

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: 11(1) of Schedule 15.3</p> <p>From: 01-Nov-21</p> <p>To: 18-May-22</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: Multiple 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
<p>We have established a reliable process for receiving updates from field changes, through back-office databases and into our reconciliation tools that minimise the impact of not being able to reflect actual date changes for lights. That coupled with a low number of light changes (new or upgrades) means the absolute impact of this non-compliance is small</p>		Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>We still intend to work with council to try and get changes made to their database that will continue to improve this</p>	On going	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Nov-20 To: 18-May-22	One additional light identified in Papamoa Domain Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating:	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact on settlement and participants is minor; therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Database to be updated to reflect the findings of this audit		27 May 2022
Preventative actions taken to ensure no further issues will occur		Completion date
Given the risk rating, no further action required		
		Identified

Tracking of load changes		
Non-compliance	Description	
Audit Ref: 2.6 With: Clause 11(3) of Schedule 15.3 From: 01-Nov-20 To: 18-May-22	Database does not track changes from the effective date. Potential impact: Low Actual impact: Low Audit history: Once 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
We have established a reliable process for receiving updates from field changes, through back-office databases and into our reconciliation tools that minimise the impact of not being able to reflect actual date changes for lights. That coupled with a low number of light changes (new or upgrades) means the absolute impact of this non-compliance is small		
Preventative actions taken to ensure no further issues will occur		Completion date
We still intend to work with council to try and get changes made to their database that will continue to improve this		On going
Investigating		

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 lived before they are entered into the database.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple 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
<p>We have established a reliable process for receiving updates from field changes, through back-office databases and into our reconciliation tools that minimise the impact of not being able to reflect actual date changes for lights. That coupled with a low number of light changes (new or upgrades) means the absolute impact of this non-compliance is small</p>		
Preventative actions taken to ensure no further issues will occur		Completion date
<p>We still intend to work with council to try and get changes made to their database that will continue to improve this</p>		ongoing
		Investigating