

Compliance plan for Tauranga CC Parks and Reserves November 2023

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: 11(1) of Schedule 15.3</p> <p>From: 01-Nov-21 To: 24-Oct-23</p>	<p>Database does not track changes from the correct effective date, they are only recorded from the date of data entry.</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, therefore controls are rated as moderate overall for database and submission accuracy.</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
Manawa to work with TCC to try and identify any historic changes that were recorded inaccurately and update them.	01/02/2024	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Manawa to work with TCC to identify whether there are any system or process changes that would allow us to accurately record the change date into the database	01/03/2024	

Tracking of load changes		
Non-compliance	Description	
Audit Ref: 2.6 With: Clause 11(3) of Schedule 15.3 From: 01-Nov-20 To: 24-Oct-23	Database does not track changes from the effective date. Potential impact: Low Actual impact: Low Audit history: Twice 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
Manawa to work with TCC to try and identify any historic changes that were recorded inaccurately and update them.	01/02/2024	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Manawa to work with TCC to identify whether there are any system or process changes that would allow us to accurately record the change date into the database	01/03/2024	

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: 24-Oct-23</p>	<p>Database does not track changes from the correct effective date, they are only recorded from the date of data entry.</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, therefore controls are rated as moderate overall for database accuracy.</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
Manawa to work with TCC to try and identify any historic changes that were recorded inaccurately and update them.		01/02/2024	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Manawa to work with TCC to identify whether there are any system or process changes that would allow us to accurately record the change date into the database		01/03/2024	