

Compliance plan for Thames Coromandel District Council DUML 2022

Deriving submission information			
Non-compliance	Description		
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 09-Sep-20 To: 05-May-22	Submission is based on a snapshot and does not consider historic adjustments. Potential impact: Low Actual impact: Low Audit history: Multiple 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 changes to the database are correctly recorded most of the time. The impact is assessed to be low as the light changes will be captured in the month that they are made but not for the specific date of change resulting in a small amount of over and under submission inaccuracies.		
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	

Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 With: Clause 11(2)(c) of Schedule 15.3 From: 09-Sep-20 To: 05-May-22	21 items of load with an "unknown" light description. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as strong as the light descriptions are required to be provided by the contractor and the process will mitigate risk to an acceptable level. The impact is assessed to be low as the number of lights with no light description recorded to confirm their wattage is small. All have a wattage recorded.		
Actions taken to resolve the issue		Completion date	Remedial action status
Meridian has advised of the inaccuracies. Power Solutions advise that these lights are old or obsolete models and do not know the light model details. The lamp type, gear type and wattage for the records however are known and are accurately recorded in the database. The "unknown" light model does not affect the wattage report.		23/5/2022	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
No further action		23/5/2022	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 09-Sep-20 To: 05-May-22	The data used for submission does not track changes at a daily basis and is provided as a snapshot. Potential impact: Low Actual impact: Low Audit history: Three times previously 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 changes to the database are correctly recorded most of the time. The impact is assessed to be low as the light changes will be captured in the month that they are made but not for the specific date of change resulting in a small amount of over and under submission inaccuracies.	
Actions taken to resolve the issue		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
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
		Remedial action status
		Investigating