

## Compliance plan for Christchurch NZTA – 2018

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3  From: 01-Apr-17 To: 30-Apr-18</p>	<p>The database used to prepare submissions contains some inaccurate information as summarised below:</p> <ul style="list-style-type: none"> <li>• One less lamp in the field</li> <li>• The database accuracy is assessed to be 99.52% indicating an estimated over submission of 6,209 kWh per annum</li> </ul> <p>Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are rated as moderate, because they are sufficient to ensure that submission information is correctly recorded most of the time but there are still some errors.</p> <p>The impact is assessed to be low, based on the over submission of 6,209 kWh per annum</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
All inaccuracies identified in this audit have been corrected in the database.	28/05/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	This matter can be cleared once revisions are conducted
Existing controls are considered adequate to mitigate risk to an acceptable level.	Ongoing	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clauses 11(2)(c) and (d) of Schedule 15.3  From: unknown To: 23-Apr-18	One lamp type has the incorrect lamp wattage recorded in the database, affecting four lamps. The expected wattage is 77 and expected under reporting is 34.2 kWh per annum. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as strong because only 4 of the 1,315 lamps in the database has incorrect wattage information. The impact is low; the expected wattage for the lamp type is 77 not 75.	
Actions taken to resolve the issue	Completion date	Remedial action status
Wattages for this lamp type have been corrected in the database	28/05/2018	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
The standardised wattage table has been provided to Orion to ensure all lamp types have the correct wattage applied going forward.	28/05/2018	

Database accuracy	
Non-compliance	Description
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)  From: 01-Apr-17 To: 30-Apr-18	The database used to prepare submissions contains some inaccurate information. <ul style="list-style-type: none"> <li>• One less lamp in the field</li> <li>• The database accuracy is assessed to be 99.52% indicating an estimated over submission of 6,209 kWh per annum</li> </ul> Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2
Audit risk rating	Rationale for audit risk rating

<b>Low</b>	<p>The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time, but there are still some errors.</p> <p>The impact is assessed to be low, based on the 6,209 kWh differences described above.</p>		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	<b>Remedial action status</b>
All inaccuracies identified in this audit have been corrected in the database.		28/05/2018	Cleared
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>	
Existing controls are considered adequate to mitigate risk to an acceptable level.		Ongoing	

<b>Volume information accuracy</b>			
<b>Non-compliance</b>	<b>Description</b>		
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3  From: 01-Apr-17 To: 30-Apr-18	The database accuracy is assessed to be 99.52% indicating an estimated over submission of 6,209 kWh per annum  Potential impact: Medium  Actual impact: Low  Audit history: None  Controls: Moderate  Breach risk rating: 2		
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>		
<b>Low</b>	The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time but there are still some errors.  The impact is assessed to be low, based on the kWh differences described above.		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	<b>Remedial action status</b>
All inaccuracies identified in this audit have been corrected in the database.		28/05/2018	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>	This matter can be cleared once revisions are conducted
Existing controls are considered adequate to mitigate risk to an acceptable level.		Ongoing	