

Compliance plan for NZTA Napier DULM Audit – 2018

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Mar-17 To: 30-Apr-18</p>	<p>The database used to prepare submissions contains some inaccurate information.</p> <p>The database accuracy is assessed to be 102.6% indicating an estimated under submission of 11,500 kWh per annum.</p> <p>Incorrect profile is recorded on the registry.</p> <p>Potential impact: Medium Actual impact: Medium</p> <p>Audit history: Twice previously Controls: Moderate Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time.</p> <p>The impact is assessed to be medium, based on the kWh differences described above. Profiles were recorded correctly on the registry for most of the audit period.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p><i>Database inaccuracies</i></p> <p>Contact will work with NZTA in getting these streetlight values and attributes updated within their database.</p> <p><i>Incorrect profiles on registry</i></p> <p>The incorrect profile on the registry issue is a result of a system defect – currently a fix is underway to prevent this issue from occurring. A manual work around is currently in place to update the registry where required</p>	Dec 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Mar-17 To: 30-Apr-18	All load is not recorded in the database. Potential impact: Medium Actual impact: Medium Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are rated as moderate, because they are sufficient to ensure that database information is correctly recorded most of the time. The impact is assessed to be medium, based on the kWh differences described in section 3.1 .	
Actions taken to resolve the issue	Completion date	Remedial action status
<i>Database inaccuracies</i> Contact will work with NZTA in getting these streetlight values and attributes updated within their database.	Dec 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Mar-17</p> <p>To: 30-Apr-18</p>	<p>The database used to prepare submissions contains some inaccurate information. The database accuracy is assessed to be 102.6% indicating an estimated under submission of 11,500 kWh per annum.</p> <p>The database is not complete as ballasts are not recorded in the RAMM database.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are rated as moderate, because they are sufficient to ensure that database information is correctly recorded most of the time.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p><i>Database inaccuracies</i></p> <p>Contact will work with NZTA in getting these streetlight values and attributes updated within their database.</p>		Dec 2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-Mar-17</p> <p>To: 30-Apr-18</p>	<p>The database used to prepare submissions contains some inaccurate information.</p> <p>The database accuracy is assessed to be 102.6% indicating an estimated under submission of 11,500 kWh per annum.</p> <p>Incorrect profile is recorded on the registry.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Twice previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time.</p> <p>The impact is assessed to be medium, based on the kWh differences described above. Profiles were recorded correctly on the registry for most of the audit period.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p><i>Database inaccuracies</i></p> <p>Contact will work with NZTA in getting these streetlight values and attributes updated within their database.</p>	Dec 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	