# Compliance plan for NZTA Electronet DUML – 2019

| Deriving submission information | |
|---|---|
| **Non-compliance** | **Description** |
| Audit Ref: 2.1<br>With: Clause 11(1) of Schedule 15.3<br><br>From: 07-May-18<br>To: 31-Mar-19 | The database used to prepare submissions contains some inaccurate information.<br>The field data was 92.2% of the database data for the sample checked. This will result in potential over submission of 51,300 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUML database auditing tool).<br>26 items of load with the incorrect wattage recorded.<br>Three items of load with zero or no wattage recorded.<br>Potential impact: High<br>Actual impact: High<br>Audit history: Once previously<br>Controls: Weak<br>Breach risk rating: 9 |
| **Audit risk rating** | **Rationale for audit risk rating** |
| **Medium** | Controls are rated as weak as the data used for these lights has not been validated and a high error rate was found in the field audit.<br>The impact is assessed to be high, based on the kWh differences described above. |

| Actions taken to resolve the issue | Completion date | Remedial action status |
|---|---|---|
| To arrange a meeting with NZTA regional Manager to get agreement to pay for a complete field inventory so ElectroNets DB for the NZTA lights can be brought up to standard | 30th May | Investigating |
| **Preventative actions taken to ensure no further issues will occur** | **Completion date** | |
| Once this has been done these errors will be eliminated | | |

| Description and capacity of load | | | |
|---|---|---|---|
| **Non-compliance** | **Description** | | |
| Audit Ref: 2.4<br>With: Clause 11(2)(c) and (d) of Schedule 15.3<br><br>From: 07-May-18<br>To: 31-Mar-19 | Three items of load have missing capacity and/or wattage information.<br>Potential impact: Low<br>Actual impact: Low<br>Audit history: Once previously<br>Controls: Moderate<br>Breach risk rating: 2 | | |
| **Audit risk rating** | **Rationale for audit risk rating** | | |
| **Low** | The controls are rated as weak as the data uploaded from RAMM was not verified and the field audit found it has a high level of error.<br>The impact is assessed to be low because only three items of load (0.3%) are affected. | | |
| **Actions taken to resolve the issue** | | **Completion date** | **Remedial action status** |
| When the field inventory is completed then anomalies like this are able to be corrected quickly | | As soon as agreement is reached from NZTA and ElectroNet can carry out the work | Investigating |
| **Preventative actions taken to ensure no further issues will occur** | | **Completion date** | |
| | | | |

| All load recorded in database | | | |
|---|---|---|---|
| **Non-compliance** | **Description** | | |
| Audit Ref: 2.5<br>With: Clause 11(2A) of Schedule 15.3<br><br>From: 07-May-18<br>To: 01-Apr-19 | Six additional lights found in the field.<br>Potential impact: High<br>Actual impact: High<br>Audit history: Once previously<br>Controls: Weak<br>Breach risk rating: 9 | | |
| **Audit risk rating** | **Rationale for audit risk rating** | | |
| **High** | Controls are rated as weak as the data used for these lights has not been validated and a high error rate was found in the field audit.<br>The impact is high due to the kWh variance indicated in **section 3.1**. | | |
| **Actions taken to resolve the issue** | | **Completion date** | **Remedial action status** |
| A field inventory would correct all these errors | | A field inventory would correct all these errors | Investigating |
| **Preventative actions taken to ensure no further issues will occur** | | **Completion date** | |
| | | | |

| Database accuracy | |
|---|---|
| **Non-compliance** | **Description** |
| Audit Ref: 3.1<br>With: Clause 15.2 and 15.37B(b)<br><br>From: 07-May-18<br>To: 31-Mar-19 | The database contains some inaccurate data.<br>The field data was 92.2% of the database data for the sample checked. This will result in potential over submission of 51,300 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUML database auditing tool).<br>26 items of load with the incorrect wattage recorded<br>Three items of load with zero or no wattage recorded.<br>Potential impact: High<br>Actual impact: High<br>Audit history: Once previously<br>Controls: Weak<br>Breach risk rating: 9 |
| **Audit risk rating** | **Rationale for audit risk rating** |
| **High** | Controls are rated as weak as the data used for these lights has not been validated and a high error rate was found in the field audit.<br>The impact is assessed to be high, based on the kWh differences described above. |

| Actions taken to resolve the issue | Completion date | Remedial action status |
|---|---|---|
| When the field inventory is carried out then will sort out these problems | | Investigating |
| **Preventative actions taken to ensure no further issues will occur** | **Completion date** | |
| | | |

| Volume information accuracy | |
|---|---|
| **Non-compliance** | **Description** |
| Audit Ref: 3.2<br>With: Clause 15.2 and 15.37B(c)<br><br>From: 07-May-18<br>To: 31-Mar-19 | The database used to prepare submissions contains some inaccurate information.<br>The field data was 92.2% of the database data for the sample checked. This will result in potential over submission of 51,300 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUML database auditing tool).<br>26 items of load with the incorrect wattage recorded.<br>Three items of load with zero or no wattage recorded.<br>Potential impact: High<br>Actual impact: High<br>Audit history: Once previously<br>Controls: Weak<br>Breach risk rating: 9 |
| **Audit risk rating** | **Rationale for audit risk rating** |
| **Medium** | Controls are rated as weak as the data used for these lights has not been validated and a high error rate was found in the field audit.<br>The impact is assessed to be high, based on the kWh differences described above. |

| Actions taken to resolve the issue | Completion date | Remedial action status |
|---|---|---|
| To get agreement from NZTA to fund the field inventory which will give ElectroNet all the correct information they need to set up a complete and accurate DB. We know from experience ElectroNet's system are accurate and robust and well maintained | ASAP | Investigating |
| **Preventative actions taken to ensure no further issues will occur** | **Completion date** | |
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