

Compliance plan for NZTA ElectroNet DUML – 2019

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 07-May-18</p> <p>To: 31-Oct-19</p>	<p>Database is not confirmed as accurate with a 95% level of confidence.</p> <p>64 items of load with the incorrect wattage recorded resulting in a minor estimated under submission of 846kWh per annum.</p> <p>One item of load with no wattage recorded.</p> <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: Twice previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as weak as the data uploaded from the NZTA RAMM database was not verified and no approval has been received from NZTA for ElectroNet to do a field audit to correct Arc GIS.</p> <p>The impact is assessed to be medium, based on the submission inaccuracies indicated by the DUML audit tool.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>It is Trustpowers view that a full field audit needs to be completed and has approached Electronet on NZTA's behalf to supply pricing to complete that audit. His information has been provided to NZTA however at this time they have not agreed to complete the field audit. Trustpower continues to work with NZTA to have this work completed however we aware that EA is in discussion with NZTA around their DUML processes and therefore suggest that this database serves as an example to be discussed with them.</p>	To be advised	Investigating
Preventative actions taken to ensure no further issue will occur	Completion date	
To get agreement from NZTA to meet the cost of the field inventory	ASAP	

Description and capacity of load		
Non-compliance	Description	
<p>Audit Ref: 2.4</p> <p>With: Clause 11(2)(c) and (d) of Schedule 15.3</p> <p>From: 07-May-18</p> <p>To: 30-Sep-19</p>	<p>One item of load has no capacity, lamp or wattage information.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as weak as the data uploaded from RAMM was not verified and no approval has been received from NZTA for ElectroNet to do a field audit to correct this.</p> <p>The impact is assessed to be low as only one item of load (0.3%) is affected.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>It is Trustpowers view that a full field audit needs to be completed and has approached Electronet on NZTA's behalf to supply pricing to complete that audit. His information has been provided to NZTA however at this time they have not agreed to complete the field audit. Trustpower continues to work with NZTA to have this work completed however we aware that EA is in discussion with NZTA around their DUMML processes and therefore suggest that this database serves as an example to be discussed with them</p>	To be advised	Investigating
Preventative actions taken to ensure no further issue will occur	Completion date	
<p>To get agreement from NZTA to meet the cost of the field inventory</p>	To be advised	

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 07-May-18 To: 31-Oct-19	Three additional lights found in the field. Potential impact: High Actual impact: Medium Audit history: Twice previously Controls: Weak Breach risk rating: 6		
Audit risk rating	Rationale for audit risk rating		
Medium	The controls are rated as weak as the data uploaded from RAMM was not verified and no approval has been received from NZTA for ElectroNet to do a field audit to correct this. The impact is assessed to be medium, based on the submission inaccuracies indicated by the DUMML audit tool.		
Actions taken to resolve the issue		Completion date	Remedial action status
It is Trustpowers view that a full field audit needs to be completed and has approached Electronet on NZTA's behalf to supply pricing to complete that audit. His information has been provided to NZTA however at this time they have not agreed to complete the field audit. Trustpower continues to work with NZTA to have this work completed however we aware that EA is in discussion with NZTA around their DUMML processes and therefore suggest that this database serves as an example to be discussed with them		To be advised	Investigating
Preventative actions taken to ensure no further issue will occur		Completion date	
To get agreement from NZTA to meet the cost of the field inventory		To be advised	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 07-May-18</p> <p>To: 31-Oct-19</p>	<p>Database is not confirmed as accurate with a 95% level of confidence.</p> <p>64 items of load with the incorrect wattage recorded resulting in a minor estimated under submission of 846kWh per annum.</p> <p>One item of load with no wattage recorded.</p> <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: Twice previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as weak as the data uploaded from RAMM was not verified and no approval has been received from NZTA for ElectroNet to do a field audit to correct this.</p> <p>The impact is assessed to be medium, based on the submission inaccuracies indicated by the DUMML audit tool.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>It is Trustpowers view that a full field audit needs to be completed and has approached Electronet on NZTA's behalf to supply pricing to complete that audit. His information has been provided to NZTA however at this time they have not agreed to complete the field audit. Trustpower continues to work with NZTA to have this work completed however we aware that EA is in discussion with NZTA around their DUMML processes and therefore suggest that this database serves as an example to be discussed with them</p>	To be advised	Investigating
Preventative actions taken to ensure no further issue will occur	Completion date	
<p>To get agreement from NZTA to meet the cost of the field inventory</p>	To be advised	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 07-May-18</p> <p>To: 31-Oct-19</p>	<p>Database is not confirmed as accurate with a 95% level of confidence.</p> <p>64 items of load with the incorrect wattage recorded resulting in a minor estimated under submission of 846kWh per annum.</p> <p>One item of load with no wattage recorded.</p> <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: Twice previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as weak as the data uploaded from RAMM was not verified and no approval has been received from NZTA for ElectroNet to do a field audit to correct this.</p> <p>The impact is assessed to be medium, based on the submission inaccuracies indicated by the DUMML audit tool. .</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>It is Trustpowers view that a full field audit needs to be completed and has approached Electronet on NZTA's behalf to supply pricing to complete that audit. His information has been provided to NZTA however at this time they have not agreed to complete the field audit. Trustpower continues to work with NZTA to have this work completed however we aware that EA is in discussion with NZTA around their DUMML processes and therefore suggest that this database serves as an example to be discussed with them</p>	To be advised	Investigating
Preventative actions taken to ensure no further issue will occur	Completion date	
<p>To get agreement from NZTA to meet the cost of the field inventory</p>	To be advised	