

Compliance plan for NZTA Christchurch DUML 2020

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 18-Jun-19 To: 11-May-20	Wattage incorrectly recorded in database for one new lamp resulting in an estimated under submission of 85kWh per annum. 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: None 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 additions to the database are correctly recorded most of the time. The impact is assessed to be low, based on the kWh difference described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
The incorrect wattage identified has been corrected.	Complete	Investigating
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	
Current controls for management of database changes are considered adequate.		

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 30-Sep-19 To: 11-May-20	Wattage incorrectly recorded in database for one new lamp resulting in an estimated under submission of 85kWh per annum. Potential impact: Low Actual impact: Low Audit history: Twice 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 additions to the database are correctly recorded most of the time. The impact is assessed to be low, based on the kWh difference described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
The incorrect wattage identified has been corrected.	Complete	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
Current controls for management of database changes are considered adequate.		

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 18-Jun-19</p> <p>To: 11-May-20</p>	<p>Wattage incorrectly recorded in database for one new lamp resulting in an estimated under submission of 85kWh per annum.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as moderate, because they are sufficient to ensure that additions to the database are correctly recorded most of the time.</p> <p>The impact is assessed to be low, based on the kWh difference described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>The incorrect wattage identified has been corrected.</p> <p>We are considering how we can redesign our processes to incorporate the calculation of volumes at a daily level rather than a monthly snapshot.</p>	<p>Complete</p> <p>Ongoing</p>	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Current controls for management of database changes are considered adequate.		