

## Compliance plan for NZTA Electronet DUML – 2020

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 31-Oct-19 To: 25-Sep-20</p>	<p>In absolute terms, total annual consumption is estimated to be 33,400 kWh lower than the DUML database indicates.</p> <p>36 items of load with the incorrect wattage recorded resulting in a minor estimated under submission of 329 kWh 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: High Actual impact: Medium Audit history: Three times previously Controls: Weak Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	<p>The controls are rated as weak, the ElectroNet field audit while being completed has not corrected the data as expected. This is being investigated by ElectroNet.</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
We have worked with Electronet and they have now updated the Database with the findings of the Field Audit	29/10/2020	Identified
Preventative actions taken to ensure no further issue will occur	Completion date	
We have instructed Electronet to ensure that all field work is updated in the DUML database in a timely manner and we will monitor for effectiveness ongoingly	28/10/2020 & Ongoing	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 31-Oct-19 To: 25-Sep-20	Two additional lights found in the field. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as weak due to the high number of errors found in the field. The impact is assessed to be low due to the small number of additional lights found	
Actions taken to resolve the issue		Completion date
We are investigating the discrepancy in what the Auditor has found and what was in our comprehensive Field Audit of all fixtures		01/12/2020
Preventative actions taken to ensure no further issue will occur		Completion date
We will work with the Auditor to ensure that GPS coordinates are obtained for any lights that they located, so that we can more accurately compare with the DUMML database any potential discrepancies.		01/12/2020
		Investigating

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)</p> <p>From: 31-Oct-19 To: 25-Sep-20</p>	<p>In absolute terms, total annual consumption is estimated to be 33,400 kWh lower than the DUML database indicates.</p> <p>36 items of load with the incorrect ballast recorded resulting in a minor estimated under submission of 329 kWh per annum.</p> <p>Potential impact: High Actual impact: Medium Audit history: Twice previously Controls: Weak Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	<p>A full field audit was performed by ElectroNet, they have advised there may have been some technical difficulties with the iPads, impacting the data updates. This is currently being investigated by ElectroNet.</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
We have worked with Electronet and they have now updated the Database with the findings of the Field Audit	29/10/2020	Identified
Preventative actions taken to ensure no further issue will occur	Completion date	
We have instructed Electonet to ensure that all field work is updated in the DUML database in a timely manner and will monitor to ensure effectiveness	28/10/2020 & Ongoing	

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-Nov-19</p> <p>To: 25-Sep-20</p>	<p>In absolute terms, total annual consumption is estimated to be 33,400 kWh lower than the DUML database indicates.</p> <p>36 items of load with the incorrect wattage recorded resulting in a minor estimated under submission of 329 kWh 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: 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		
<b>Medium</b>	<p>The controls are rated as weak, the ElectroNet field audit while being completed has not corrected the data as expected. This is being investigated by ElectroNet</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
We have worked with Electronet and they have now updated the Database with the findings of the Field Audit		29/10/2020	Identified
We have instructed Electonet to ensure that all field work is updated in the DUML database in a timely manner and will monitor to ensure effectiveness		28/10/2020 & ongoing	