

Compliance plan for NZTA BOP West DUML – 2020

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 Clause 11(1) of Schedule 15.3</p> <p>From: 01-Jan-18 To: 25-Aug-20</p>	<p>The database data was 7.2% lower than the field data for Veritek's 100% field audit. This will result in under submission of 12,398 kWh per annum.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: Twice Controls: Weak Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The database findings from last year's audit have not been updated in the database. It doesn't appear as if there is a process in place to ensure this occurs.</p> <p>The impact on settlement and participants is moderate; therefore, the audit risk rating is medium.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>It is our understanding that the lights that fall within the 60kph boundary are the responsibility of WBOP DC and not NZTA and therefore should not be recorded against our ICP's. We require confirmation of this from NZTA which would trigger the appropriate follow up.</p> <p>Discussions to be arranged with new NZTA Manager.</p>	31/10/2020	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>The monitoring of Audit recommendations is now more structured</p> <p>We will undertake a review of our internal process for receiving, reviewing and updating new light volumes into our databases and reconciliation processes so that decisions around contended light fixtures such as the Te Puna roundabout lights, can be decided in a more timely way.</p> <p>Recommendations from the review will be incorporated as appropriate.</p>	31/10/2020	

All load recorded in database		
Non-compliance	Description	
<p>Audit Ref: 2.5</p> <p>With: Clause 11(2A) of Schedule 15.3</p> <p>From: 01-Jan-18</p> <p>To: 25-Aug-20</p>	<p>28 additional light found in the field audit.</p> <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The database findings from last year's audit have not been updated in the database. It doesn't appear as if there is a process in place to ensure this occurs.</p> <p>The impact on settlement and participants is moderate; therefore, the audit risk rating is medium.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>These 28 lamps at TePuna RAB are within a 60 kph area therefore should be owned and managed by WBOP DC and not NZTA.</p> <p>This is being investigated by NZTA to confirm the demarcation point.</p>	30 Sept 20	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>The monitoring of Audit recommendations is now more structured.</p> <p>As above, we intend to conduct a review on internal process and controls for light volume changes.</p>	31/10/2020	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: unknown</p> <p>To: 28-Feb-19</p>	<p>The database data was 7.2% lower than the field data for Veritek's 100% field audit.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The database findings from last year's audit have not been updated in the database. It doesn't appear as if there is a process in place to ensure this occurs.</p> <p>The impact on settlement and participants is moderate; therefore, the audit risk rating is medium.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
We are working with Powerco on a more robust method of ensuring we are informed when new lights are being livened by the Network approved contractor.		01/12/2020	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
We are working with Powerco on a more robust method of ensuring we are informed when new lights are being livened by the Network approved contractor.		01/12/2020	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>Clause 15.2 and 15.37B(c)</p> <p>From: 01-Jan-18</p> <p>To: 25-Aug-20</p>	<p>The database data was 7.2% lower than the field data for Veritek's 100% field audit. This will result in under submission of 12,398 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>		
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Preventative actions taken to ensure no further issues will occur		Completion date	
<p>The monitoring of Audit recommendations is now more structured</p> <p>As above, we intend to conduct a review on internal process and controls for light volume changes.</p>		01/10/2020	