

Compliance plan for NZTA Hawkes Bay DUML – 2021

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-May-20 To: 08-Feb-21	The current monthly report is provided as a snapshot and is non-compliant. The report contains a lamp install date, but this is not used to re-calculate historic submissions. Potential impact: Low Actual impact: Low Audit history: Three times Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
Where significant historical corrections are made in the database, our process will take these into account for revision of submissions.	Ongoing	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
A full database extract is now received each month and any significant change to wattage is reviewed so historic changes are identified and accounted for in wash ups.	Ongoing	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: 01-May-20 To: 08-Feb-21	Two blank descriptions and wattages. 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 recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
Blank descriptions and wattages have been updated	Feb 2021	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
A full database extract is now received each month and is reviewed for any missing information.	Ongoing	

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-May-20 To: 08-Feb-21	Three additional items of load identified by the field audit. 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 recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact on settlement and participants is minor; therefore, the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Location of the additional lights identified is being verified so these lights can be added to the database.		March 2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Management of the database has recently moved to Stantec and it is expected this will result in improved controls and better accuracy of the database ongoing.		Ongoing	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-May-20</p> <p>To: 08-Feb-21</p>	<p>122 items of load have the incorrect ballast applied.</p> <p>One item of load with the incorrect ICP recorded.</p> <p>Two items of load with blank description and wattage.</p> <p>Delays in updating the database for new connections.</p> <p>Burness Road underpass lights are recorded in the database as 3x 36W fluorescent light. These lights have been replaced with an LED panel that is on 24 hours a day.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement.</p> <p>The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
All issues identified have been corrected in the database. The Burness Road lights were identified as metered on another ICP and this is now reflected in the database.		Feb 2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-May-20</p> <p>To: 08-Feb-21</p>	<p>The current monthly report is provided as a snapshot and is non-compliant. The report contains a lamp install date, but this is not used to re-calculate historic submissions.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement.</p> <p>The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p>	
Actions taken to resolve the issue		Completion date
Where significant historical corrections are made in the database, our process will take these into account for revision of submissions.		Ongoing
Preventative actions taken to ensure no further issues will occur		Completion date
A full database extract is now received each month and any significant change to wattage is reviewed so historic changes are identified and accounted for in wash ups.		Ongoing
		Identified