

Compliance Plan for NZTA Electronet DUMML audit 2021

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 16-Nov-20 To: 16-Aug-21	The data used for submission does not track changes at a daily basis and is provided as a snapshot. 15 items of permanent load have the incorrect ballast applied indicating a very minor estimated over submission of 128 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Multiple times previously Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement. The impact is assessed to be low due to the impact on submission.	
Actions taken to resolve the issue		Completion date
Have spoken to ElectroNet about the audit report findings		4/11/2021
Preventative actions taken to ensure no further issue will occur		Completion date
ElectroNet have corrected the ballast errors in the DB and are reviewing their system and exploring DB options. We will follow up with to ensure accuracy & compliance.		30/11/2021
Identified		

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2A) of Schedule 15.3 From: 18-Nov-20 To: 16-Aug-21	Four additional lights found in the field of the sample of 148 items of load checked. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement The impact is assessed to be low due to the small number of additional lights found.	
Actions taken to resolve the issue	Completion date	Remedial action status
ElectroNet are arranging site visits so DB can be corrected	30/11/2021	Identified
Preventative actions taken to ensure no further issue will occur	Completion date	
ElectroNet are reviewing their system and DB capabilities. We will follow up with them to ensure accuracy and compliance.	30/11/2021	

Database Accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 16-Nov-20 To: 16-Aug-21	15 items of permanent load have the incorrect ballast applied indicating a very minor estimated over submission of 128 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Three times previously Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement. The impact is assessed to be low due to the impact on submission.	
Actions taken to resolve the issue		Completion date
Have spoken to ElectroNet about the audit report findings		4/11/2021
Preventative actions taken to ensure no further issue will occur		Completion date
ElectroNet have corrected the ballast errors in the DB and are reviewing their system and exploring DB options. We will follow up with them to ensure accuracy and compliance.		30/11/2021
		Identified

Accuracy of DUMML database		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 25-Nov-20 To: 16-Aug-21	The data used for submission does not track changes at a daily basis and is provided as a snapshot. 15 items of permanent load have the incorrect ballast applied indicating a very minor estimated over submission of 128 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Multiple times previously Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement. The impact is assessed to be low due to the impact on submission.	
Actions taken to resolve the issue	Completion date	Remedial action status
Have spoken to ElectroNet about the audit report findings	4/11/2021	Identified
ElectroNet have corrected the ballast errors in the DB and are reviewing their system and exploring DB options. We will follow up with them to ensure accuracy and compliance.	30/11/2021	