

Compliance plan for Prime Wellington Billboards DUML – 2023

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-May-21 To: 31-Mar-23	The database is outside the allowable +/-5% accuracy threshold resulting in an estimated over submission of 29,547 kWh per annum. Potential impact: Medium Actual impact: Medium Audit history: Once Controls: Weak Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are rated as weak as the change management process requires review. The impact is assessed to be medium, based on the kWh values described above.	
Actions taken to resolve the issue		Completion date
Will request customer to report back with any work completed with fittings and wattage ratings to more accurately calculate kWh per annum.		30/06/2023
Preventative actions taken to ensure no further issues will occur		Completion date
New allocated staff will communicate regularly with customer on an agreed schedule to request reports on any updates to the supplied sites.		30/06/2023
		Identified

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-May-21 To: 31-Mar-23	17 additional items of load identified in the field were not recorded in the database. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Weak Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are rated as weak as the change management process requires review. The impact is assessed to be medium, based number of differences identified across the entire database population.	
Actions taken to resolve the issue		Completion date
Updated database to match auditor findings		TBC – pending audit update
Preventative actions taken to ensure no further issues will occur		Completion date
Previous staff managing DUMML has left the company, new staff will be assigned to oversee and regularly communicate with customer for updates.		TBC
		Remedial action status
		Identified

Audit trails			
Non-compliance	Description		
<p>Audit Ref: 2.7</p> <p>With: Clause 11(4) of Schedule 15.3</p> <p>From: 01-May-21</p> <p>To: 31-Mar-23</p>	<p>The available audit trails do not specify the user who made the data change.</p> <p>Potential impact: Low</p> <p>Actual impact: None</p> <p>Audit history: Once</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>Controls are rated as strong, because there is typically one person who updates the spreadsheet.</p> <p>The impact is assessed to be low based on the nature and type of the non-compliance.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Previously only one staff was responsible for the database and others had no access, the identification of the user was implied.		N/A	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Previous staff has since left the company and a new staff will be assigned to this role, new fields will be added to future spreadsheets to clearly identify the user and time of when changes were made.		30/06/2023	

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-21</p> <p>To: 31-Mar-23</p>	<p>The database is outside the allowable +/-5% accuracy threshold resulting in an estimated under submission of 29,547 kWh per annum.</p> <p>The site labelled Main Hutt Road, Petone incorrectly assigned to WIL0331 not GFD0331.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are rated as weak as the change management process requires review.</p> <p>The impact is assessed to be medium, based on the kWh values described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Network to be contacted and confirm allocated NSP is correct. Database to be updated to audit findings and customer response to more accurately represent what is physically onsite.</p> <p>Will request customer to report back with any work completed with fittings and wattage ratings to more accurately calculate kWh per annum.</p>		30/06/2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>New allocated staff will communicate regularly with customer on an agreed schedule to request reports on any updates to the supplied sites.</p>		30/06/2023	

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-May-21</p> <p>To: 31-Mar-23</p>	<p>The database is outside the allowable +/-5% accuracy threshold resulting in an estimated under submission of 29,547 kWh per annum.</p> <p>The site labelled Main Hutt Road, Petone incorrectly assigned to WIL0331 not GFD0331.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are rated as weak as the change management process requires review.</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
<p>Network to be contacted and confirm allocated NSP is correct. Database to be updated to audit findings and customer response to more accurately represent what is physically onsite.</p> <p>Will request customer to report back with any work completed with fittings and wattage ratings to more accurately calculate kWh per annum.</p>		30/06/2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>New allocated staff will communicate regularly with customer on an agreed schedule to request reports on any updates to the supplied sites.</p>		30/06/2023	