

# Compliance Plan NZTA Tasman DUML 2022

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 14-Aug-21</p> <p>To: 20-Sep-22</p>	<p>Database is not confirmed as accurate with a 95% level of confidence. In absolute terms, total annual consumption is estimated to be 8,600 kWh higher than the DUML database indicates.</p> <p>Incorrect wattages for 11 items of load resulting in an estimated minor under submission of 482.6kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are recorded as strong because they mitigate risk to an acceptable level.</p> <p>The audit risk rating is low based on the estimated kWh volume impact of the database inaccuracy.</p>	
Actions taken to resolve the issue		Completion date
Incorrect wattages have been corrected		31/10/2022
Preventative actions taken to ensure no further issues will occur		Completion date
Remedial action status		
Identified		

Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 With: Clause 11(2)(c) &(d) of Schedule 15.3 From: 14-Aug-21 To: 20-Sep-22	One item of load with no light or wattage details populated. Potential impact: Low Actual impact: Low Audit history: Three times previously Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	Controls are rated as strong as the processes in place ensure that this detail is captured, and there was only one light that had no wattage or light type recorded. The audit risk rating is recorded as low to none as there was only one light with no wattage recorded.		
Actions taken to resolve the issue		Completion date	Remedial action status
Wattage details have been populated		31/10/2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clauses 11(2A) of Schedule 15.3 From: 14-Aug-21 To: 20-Sep-22	Three additional lamps identified in the field of 105 items of load sampled. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as moderate as the processes in place will ensure that the data is recorded correctly most of the time. The impact is assessed to be low due to the small number of additional lights found in the field in relation to the overall count of the items of load.	
Actions taken to resolve the issue	Completion date	Remedial action status
Missing lights will be added, and incorrect wattages will be corrected	30/11/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 14-Jan-21</p> <p>To: 13-Aug-21</p>	<p>Database is not confirmed as accurate with a 95% level of confidence. In absolute terms, total annual consumption is estimated to be 8,600 kWh higher than the DUML database indicates.</p> <p>One item of load with no light or wattage details populated.</p> <p>Incorrect wattages for 11 items of load resulting in an estimated minor under submission of 482.6kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Multiple time previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time, but there is room for improvement.</p> <p>The audit risk rating indicates that the impact of database inaccuracy is low based on the estimated kWh of over submission.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Missing lights will be added, and incorrect wattages will be corrected		30/11/2022	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(c)</p> <p>From: 14-Aug-21</p> <p>To: 20-Sep-22</p>	<p>Database is not confirmed as accurate with a 95% level of confidence. In absolute terms, total annual consumption is estimated to be 8,600 kWh higher than the DUML database indicates.</p> <p>Incorrect wattages for 11 items of load resulting in an estimated minor under submission of 482.6kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are recorded as strong because they mitigate risk to an acceptable level.</p> <p>The audit risk rating is low based on the estimated kWh volume impact of the database inaccuracy.</p>	
Actions taken to resolve the issue		Completion date
Incorrect wattages will be corrected		31/10/2022
		Remedial action status
		Identified