

Compliance Plan Central NZTA Nelson DUML 2022

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 04-Aug-21 To: 16-Aug-22	Eight lights with the incorrect light description. The correct wattage is recorded so this has no impact on reconciliation. 17 items of load do not have a lamp make and lamp model populated in the database. Potential impact: Low Actual impact: Low Audit history: Once Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as weak as changes made in the field are not being reflected in the database and I have recommended this process is reviewed. The impact is assessed to be low due to the field audit confirming the correct wattage.	
Actions taken to resolve the issue	Completion date	Remedial action status
Have contacted NZTA and WJ Ashton to see what they have recorded and have changed accordingly	15/9/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Have amended accordingly	15/9/2022	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) & (d) of Schedule 15.3 From: 04-Aug-21 To: 16-Aug-22	17 lights with no lamp make and model populated. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as weak as the database used for submission is not being updated with changes. The impact is assessed to be low due to the field audit confirming the correct wattage.	
Actions taken to resolve the issue	Completion date	Remedial action status
Have contacted NZTA and WJ Ashton to see what they have recorded and have changed accordingly	15/9/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Have amended accordingly	15/9/2022	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 04-Aug-21 To: 16-Aug-22	One additional light found in the field. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time. The impact is assessed to be low as only one additional item of load was found in the field audit.	
Actions taken to resolve the issue	Completion date	Remedial action status
Have amended accordingly in DB	15/9/2022	Identified
Preventative actions taken to ensure no further issue will occur	Completion date	
This is a one-off error.	15/9/2022	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 04-Aug-21 To: 16-Aug-22	Eight lights with the incorrect light description. The correct wattage is recorded so this has no impact on reconciliation. 17 items of load do not have a lamp make and lamp model populated in the database. Actual impact: Low Audit history: Once Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as weak as changes made in the field are not being reflected in the database and I have recommended this process is reviewed. The impact is assessed to be low due to the field audit confirming the correct wattage.	
Actions taken to resolve the issue	Completion date	Remedial action status
Have contacted NZTA and WJ Ashton to see what they have recorded and have changed accordingly	15/9/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Have changed accordingly	15/9/2022	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 04-Aug-21 To: 16-Aug-22	Eight lights with the incorrect light description. The correct wattage is recorded so this has no impact on reconciliation. 17 items of load do not have a lamp model and lamp model populated in the database. Potential impact: Low Actual impact: Low Audit history: Once Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as weak as changes made in the field are not being reflected in the database and I have recommended this process is reviewed. The impact is assessed to be low due to the field audit confirming the correct wattage.	
Actions taken to resolve the issue	Completion date	Remedial action status
Have contacted NZTA and WJ Ashton to see what they have recorded and have changed accordingly	15/9/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Have changed accordingly	15/9/2022	