

Compliance Plan NZTA Central Otago QLDC DUML 2023

| Deriving submission information | | |
|---|--|-----------------|
| Non-compliance | Description | |
| <p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Dec-21</p> <p>To: 07-Dec-22</p> | <p>Revisions not carried out for duplicated lights resulting in an estimated over submission of 23,121 kWh over the available 14-month revision period.</p> <p>Revisions not carried out to correct the volumes for the available 14-month revision period resulting in approximately 17,103 kWh of submission against the incorrect balancing area.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p> | |
| Audit risk rating | Rationale for audit risk rating | |
| Medium | <p>The controls are rated as moderate as processes to manage change capture most changes.</p> <p>The impact is assessed to be medium due to the impact on submission.</p> | |
| Actions taken to resolve the issue | | Completion date |
| <p>We made a correction in November 2021 to remove these 30 lights from ICP 0000027638CECB5.</p> <p>However, we are yet to get confidence that the lights recorded against 0000486695CE506 and the other NZTA Central Otago ICP of 0000486694CE943 are complete and accurate, and therefore have decided not to complete historical washups on any of the 3 NZTA Central Otago ICPs.</p> <p>The potential effective of this is that for the 14 months prior to us removing these 30 lights from ICP 0000027638CECB5, we have in fact over submitted for the equivalent of these 30 lights.</p> <p>We've been advised that NZTA – via the work being completed by their consultant Kara – that they expect to have the allocation of lights against 0000486694CE943 and 0000486695CE506 sorted and understood by March 2023.</p> | | April 2023 |
| Preventative actions taken to ensure no further issues will occur | | Completion date |
| <p>Continue to build on the good relationship we have with QLDC who provide the monthly report to Manawa of this database, to ensure accuracy. The spreadsheet is now imported into an inhouse database (SLIM) where duplicate lights (Light ID's) can be identified easily.</p> | | April 2023 |
| <p>Remedial action status</p> <p>Investigating</p> | | |

| Database accuracy | | |
|---|--|------------------------|
| Non-compliance | Description | |
| <p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Dec-21</p> <p>To: 07-Dec-22</p> | <p>Revisions not carried out for duplicated lights resulting in an estimated over submission of 23,121 kWh over the available 14-month revision period.</p> <p>Revisions not carried out to correct the volumes for the available 14-month revision period resulting in approximately 17,103 kWh of submission against the incorrect balancing area.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p> | |
| Audit risk rating | Rationale for audit risk rating | |
| Medium | <p>The controls are rated as moderate as controls will mitigate risk most of the time.</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>We made a correction in November 2021 to remove these 30 lights from ICP 0000027638CECB5.</p> <p>However, we are yet to get confidence that the lights recorded against 0000486695CE506 and the other NZTA Central Otago ICP of 0000486694CE943 are complete and accurate, and therefore have decided not to complete historical washups on any of the 3 NZTA Central Otago ICPs.</p> <p>The potential effective of this is that for the 14 months prior to us removing these 30 lights from ICP 0000027638CECB5, we have in fact over submitted for the equivalent of these 30 lights.</p> <p>We've been advised that NZTA – via the work being completed by their consultant Kara – that they expect to have the allocation of lights against 0000486694CE943 and 0000486695CE506 sorted and understood by March 2023.</p> | April 2023 | Investigating |
| Preventative actions taken to ensure no further issues will occur | Completion date | |
| <p>Continue to build on the good relationship we have with QLDC who provide the monthly report to Manawa of this database, to ensure accuracy. The spreadsheet is now imported into an inhouse database (SLIM) where duplicate lights (Light ID's) can be identified easily.</p> | April 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-Dec-21</p> <p>To: 07-Dec-22</p> | <p>Revisions not carried out for duplicated lights resulting in an estimated over submission of 23,121 kWh over the available 14-month revision period.</p> <p>Revisions not carried out to correct the volumes for the available 14-month revision period resulting in approximately 17,103 kWh of submission against the incorrect balancing area.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p> | |
| Audit risk rating | Rationale for audit risk rating | |
| Medium | <p>The controls are rated as moderate as processes to manage change capture most changes.</p> <p>The impact is assessed to be medium due to the impact on submission.</p> | |
| Actions taken to resolve the issue | Completion date | Remedial action status |
| <p>We made a correction in November 2021 to remove these 30 lights from ICP 0000027638CECB5.</p> <p>However, we are yet to get confidence that the lights recorded against 0000486695CE506 and the other NZTA Central Otago ICP of 0000486694CE943 are complete and accurate, and therefore have decided not to complete historical washups on any of the 3 NZTA Central Otago ICPs.</p> <p>The potential effective of this is that for the 14 months prior to us removing these 30 lights from ICP 0000027638CECB5, we have in fact over submitted for the equivalent of these 30 lights.</p> <p>We've been advised that NZTA – via the work being completed by their consultant Kara – that they expect to have the allocation of lights against 0000486694CE943 and 0000486695CE506 sorted and understood by March 2023.</p> | April 2023 | Investigating |
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