

# Compliance Plan CCC Unmetered Traffic Lights 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: 8 March 2022</p> <p>To: 17 February 2023</p>	<p>Two DUML ICPs with metered load associated.</p> <p>Over submission occurring as both metered and unmetered load are being submitted for the same items of load. The quantity is unable to be determined as the items of load being measured by the meter are unknown.</p> <p>Daily kWh information for PedCams was not included in the daily calculations for 74 sites, and one set of traffic lights, resulting in under submission of an estimated 4,260 kWh per annum.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are rated as moderate because they ensure most information is accurate.</p> <p>The impact is assessed to be low as the discrepancy found will only have a minor effect on submission.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>CCC working with Orion &amp; MEP to confirm location of meter at 0007102604RN9FD.</p> <p>NZTA are due to take responsibility for the last remaining 2 unmetered assets at 0000298513MPF38 by 30 June 2023, at which point 0000298513MPF38 will be a metered ICP.</p> <p>CCC have added daily kWh info for PedCams.</p> <p>CCC currently using Access database, will be moving all records to RAMM database within 12 months and they will then have the functionality available to track changes and view audit trails</p>	<p>30 June 2023</p> <p>May 2024</p>	<p>Investigating</p>
Preventative actions taken to ensure no further issues will occur	Completion date	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: 8 March 2022 To: 17 February 2023	One item of load does not have any equipment type associated to the site name, to indicate the vehicle lantern type and wattage. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are recorded as strong because they mitigate risk to an acceptable level. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
CCC have added missing equipment type	05/04/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
CCC currently using Access database, will be moving all records to RAMM database within 12 months and they will then have the functionality available to make the equipment type field mandatory	May 2024	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 8 March 2022 To: 17 February 2023	Two additional items of load found in the field of 100 items of load sampled. Potential impact: Low Actual impact: Low Audit history: Once Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are recorded as strong because they mitigate risk to an acceptable level. 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
CCC have updated their database	05/04/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

<b>Audit trail</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 2.7 With: Clause 11(4) of Schedule 15.3 From: 8 March 2022 To: 17 February 2023	No audit trail of changes made in the access database. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Weak Breach risk rating: 3	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	The controls are rated as weak because audit trails do not exist. The impact is rated as low, because it does not affect submission.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
		Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
CCC currently using Access database, will be moving all records to RAMM database within 12 months and they will then have the functionality available to track changes and view audit trails]	May 2021	

<b>Database accuracy</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)  From: 8 March 2022 To: 17 February 2023	Daily kWh information for PedCams was not included in the daily calculations for 74 sites, and one set of traffic lights, resulting in under submission of an estimated 4,260 kWh per annum.  Potential impact: Low Actual impact: Low Audit history: Multiple times previously Controls: Moderate Breach risk rating: 2	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	The controls are rated as moderate because they ensure most information is accurate.  The impact is assessed to be low as the discrepancy found will only have a minor effect on submission.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
CCC have updated their database	05/04/2023	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 18-Mar-21</p> <p>To: 7-Mar-22</p>	<p>Two DUMIL ICPs with metered load associated.</p> <p>Over submission occurring as both metered and unmetered load are being submitted for the same items of load. The quantity is unable to be determined as the items of load being measured by the meter are unknown.</p> <p>Daily kWh information for PedCams was not included in the daily calculations for 74 sites, and one set of traffic lights, resulting in under submission of an estimated 4,260 kWh per annum.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are rated as moderate because they ensure most information is accurate.</p> <p>The impact is assessed to be low as the discrepancy found will only have a minor effect on submission.</p>	
Actions taken to resolve the issue	Completion date	Actions taken to resolve the issue
CCC working with Orion & MEP to confirm location of meter at 0007102604RN9FD. NZTA are due to create new ICP for 0000298513MPF38 by 30 June 2023, at which point only unmetered load will remain on 0000298513MPF38	30 June 2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	