

Compliance Plan Central NZTA Nelson 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-Jun-23</p> <p>To: 31-Jul-23</p>	<p>17 items of load do not have a lamp make and lamp model populated in the database. The field audit confirmed that the wattages were correct and there is no impact on submission.</p> <p>Eight items of load have incorrect lamp model information populated in the database. The field audit confirmed that the wattages were correct and there is no impact on submission.</p> <p>Three LED lights have 28W of ballast recorded in the database but should have 0W of ballast. This could result in estimated over submission of 359 kWh per annum.</p> <p>The database extract used for submission does not record installation or change dates. This is expected to have no impact as no known changes have occurred.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as weak as changes made in the field are not being reflected in the database extract and I have recommended this process is reviewed.</p> <p>The impact is assessed to be low due to the field audit confirming the correct wattage.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Manawa to work with Phil Hamblin & Waka Kotahi (WK) to investigate Nelson SH6 database inaccuracy and update the data where required. We will also update the identified LED Ballast issue and assess whether any revision is required in the available 14-month period.	01/11/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
WK has outlined their plan for improving their DUML data across NZ by consolidating DUML by region and centralising each region in a RAMM database managed by WK themselves rather than contracted local entities. Manawa is supportive of this project and will continue to work with WK to make sure that the ongoing maintenance of these centralised databases is also addressed.	01/09/2024	

Description and capacity of load		
Non-compliance	Description	
<p>Audit Ref: 2.4</p> <p>With: Clause 11(2)(c) & (d) of Schedule 15.3</p> <p>From: 01-Jun-23</p> <p>To: 31-Jul-23</p>	<p>17 items of load do not have a lamp make and lamp model populated in the database. The field audit confirmed that the wattages were correct and there is no impact on submission.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as weak because 17/114 (15%) items of load do not have a lamp make and model recorded. The field audit confirmed that the wattages were correct and there is no impact on submission.	
Actions taken to resolve the issue	Completion date	Remedial action status
Manawa to work with Phil Hamblin & Waka Kotahi (WK) to - identify individual lamp make and models so that the database can be updated.	01/11/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
WK has outlined their plan for improving their DUMML data across NZ by consolidating DUMML by region and centralising each region in a RAMM database managed by WK themselves rather than contracted local entities. Manawa is supportive of this project and will continue to work with WK to make sure that the ongoing maintenance of these centralised databases is also addressed.	01/09/2024	

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: 31-Jul-23	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
Manawa to work with Phil Hamblin & Waka Kotahi (WK) to add additional lamp to database.	01/11/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
WK has outlined their plan for improving their DUMML data across NZ by consolidating DUMML by region and centralising each region in a RAMM database managed by WK themselves rather than contracted local entities. Manawa is supportive of this project and will continue to work with WK to make sure that the ongoing maintenance of these centralised databases is also addressed.	01/09/2024	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Jun-22</p> <p>To: 31-Jul-23</p>	<p>17 items of load do not have a lamp make and lamp model populated in the database. The field audit confirmed that the wattages were correct and there is no impact on submission.</p> <p>Eight items of load have incorrect lamp model information populated in the database. The field audit confirmed that the wattages were correct and there is no impact on submission.</p> <p>Three LED lights have 28W of ballast recorded in the database but should have 0W of ballast. This could result in estimated over submission of 359 kWh per annum.</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
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 extract 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
Manawa to work with Phil Hamblin & Waka Kotahi (WK) to investigate Nelson SH6 database inaccuracy and update the data where required. We will also update the identified LED Ballast issue and assess whether any revision is required in the available 14-month period.	01/11/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
WK has outlined their plan for improving their DUMML data across NZ by consolidating DUMML by region and centralising each region in a RAMM database managed by WK themselves rather than contracted local entities. Manawa is supportive of this project and will continue to work with WK to make sure that the ongoing maintenance of these centralised databases is also addressed.	01/09/2024	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-Jun-23 To: 31-Jul-23</p>	<p>17 items of load do not have a lamp make and lamp model populated in the database. The field audit confirmed that the wattages were correct and there is no impact on submission.</p> <p>Eight items of load have incorrect lamp model information populated in the database. The field audit confirmed that the wattages were correct and there is no impact on submission.</p> <p>Three LED lights have 28W of ballast recorded in the database but should have 0W of ballast. This could result in estimated over submission of 359 kWh per annum.</p> <p>The database extract used for submission does not record installation or change dates. This is expected to have no impact as no known changes have occurred.</p> <p>Potential impact: Low Actual impact: Low Audit history: Twice Controls: Weak Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as weak as changes made in the field are not being reflected in the database extract and I have recommended this process is reviewed.</p> <p>The impact is assessed to be low due to the field audit confirming the correct wattage.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Manawa to work with Phil Hamblin & Waka Kotahi (WK) to investigate Nelson SH6 database inaccuracy and update the data where required. We will also update the identified LED Ballast issue and assess whether any revision is required in the available 14-month period.	01/11/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>WK has outlined their plan for improving their DUMML data across NZ by consolidating DUMML by region and centralising each region in a RAMM database managed by WK themselves rather than contracted local entities. Manawa is supportive of this project and will continue to work with WK to make sure that the ongoing maintenance of these centralised databases is also addressed.</p> <p>Manawa will also work with WK to address the maintenance process in the short term while this project is under way so any changes that occur before consolidation are updated in the submission data</p>	01/09/2024	