

Compliance plan for Auckland Transport DUML October 2023

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: 11(1) of Schedule 15.3</p> <p>From: 01-Jan-23 To: 02-Aug-23</p>	<p>The variance of wattage values between the SLV system and RAMM is calculated to be 1,243,880 kWh per annum. I have not considered this in the audit risk rating as RAMM is less accurate, but the more accurate SLV is being used for submission.</p> <p>Over submission because of dimming being used. The impact on submission is unknown.</p> <p>One item of load with no ICP recorded in the database.</p> <p>18 items of load with zero or blank wattage recorded indicating a potential under submission of 3,844 kWh per annum.</p> <p>Incorrect wattages recorded in the database for a significant number of LED lights.</p> <p>Incorrect ballasts applied to 130 items of load recorded resulting in an estimated over submission of 6,030 kWh per annum.</p> <p>Any changes that are made during any given month take effect from the beginning of that month. This process does not account for historic changes or changes within a month.</p> <p>Potential impact: High Actual impact: High Audit history: Multiple times</p> <p>Controls: Moderate Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as moderate. The accuracy of the database has improved and will improve further with the SLV system being used to determine actual load for each light.</p> <p>The audit risk rating is high due to the indicative kWh variances found for those that can be quantified.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Data for submission is now being calculated from the SLV system under the HHS profile for all LED lights (approx. 93% of lights) which resolves the vast majority of issues that have been identified in relation to database and submission accuracy.</p> <p>Other wattage/ballast and ICP discrepancies are in the process of being reviewed and corrected by Auckland Transport.</p>	<p>01 Sept 2023</p> <p>28/02/2024</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

<p>Auckland Transport has robust controls in place to monitor and manage their streetlight network. There are daily comparisons between RAMM and SLV to ensure changes to the network are identified and any discrepancies are followed up.</p>	<p>Ongoing</p>	
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ICP identifier and items of load		
Non-compliance	Description	
<p>Audit Ref: 2.2 With: 11(2)(a) of Schedule 15.3 From: 01-Jan-23 To: 02-Aug-23</p>	<p>One item of load with no ICP recorded in the database. Seven items of load with the incorrect ICP recorded. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
<p>Low</p>	<p>The controls are rated as moderate. ICP allocation of new load has robust controls but there is still some data cleansing to be done of historical data. The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Wattage/ballast and ICP discrepancies are in the process of being reviewed and corrected by Auckland Transport.</p>	<p>28/02/2024</p>	<p>Identified</p>
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Meridian will continue to follow up to ensure corrections are made to the database.</p>	<p>Ongoing</p>	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: 11(2)(c) and (d) of Schedule 15.3 From: 01-Jan-23 To: 02-Aug-23	18 items of load with zero or blank wattage recorded indicating a potential under submission of 3,844 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate. The accuracy of the database has improved, and processes continue to be strengthened to ensure accuracy. The audit risk rating is low due to potential impact on reconciliation.	
Actions taken to resolve the issue	Completion date	Remedial action status
Wattage/ballast and ICP discrepancies are in the process of being reviewed and corrected by Auckland Transport.	28/02/2024	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Meridian will continue to follow up to ensure corrections are made to the database.	Ongoing	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: 11(2A) of Schedule 15.3 From: 01-Jan-23 To: 02-Aug-23	Four additional lights found in the field of 1,401 sampled. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate as they will mitigate risk most of the time but there is room for improvement. 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
Field audit discrepancies are in the process of being reviewed and corrected by Auckland Transport.	28/02/2024	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Meridian will continue to follow up to ensure corrections are made to the database.	Ongoing	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Jan-23</p> <p>To: 02-Aug-23</p>	<p>Incorrect wattages recorded in the database for a significant number of LED lights.</p> <p>Incorrect ballasts applied to 130 items of load recorded resulting in an estimated over submission of 6,030 kWh per annum.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
High	<p>The controls are rated as moderate. The accuracy of the database has improved and will improve further with the SLV system being used to determine actual load for each light.</p> <p>The impact is assessed to be high, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Data for submission is now being calculated from the SLV system under the HHS profile for all LED lights (approx. 93% of lights).</p> <p>Ballast discrepancies are in the process of being reviewed and corrected by Auckland Transport.</p>		<p>1 Sept 2023</p> <p>28/02/2024</p>	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: 01-Jan-23</p> <p>To: 02-Aug-23</p>	<p>The variance of wattage values between the SLV system and RAMM is calculated to be 1,243,880 kWh per annum. I have not considered this in the audit risk rating as RAMM is less accurate, but the more accurate SLV is being used for submission.</p> <p>Over submission because of dimming being used. The impact on submission is unknown.</p> <p>One item of load with no ICP recorded in the database.</p> <p>18 items of load with zero or blank wattage recorded indicating a potential under submission of 3,844 kWh per annum.</p> <p>Incorrect wattages recorded in the database for a significant number of LED lights.</p> <p>Incorrect ballasts applied to 130 items of load recorded resulting in an estimated over submission of 6,030 kWh per annum.</p> <p>Any changes that are made during any given month take effect from the beginning of that month. This process does not account for historic changes or changes within a month.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>	
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Preventative actions taken to ensure no further issues will occur		Completion date

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