

Compliance Plan NZTA Otago QLDC RAMM DB DUML 2022

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 21-Jan-21</p> <p>To: 30-Nov-21</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>The database is not confirmed as accurate with a 95% level of confidence with a potential over submission of approximately 9,900 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Once</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>Trustpower is endeavouring to establish an accurate lamp count and as adjustments are made these are included in any revisions that are submitted. Unfortunately, due to the nature of this DUML and the parties involved, this process often takes longer than the Revision timeframe. Trustpower will continue to work with the parties to improve the accuracy of the DUML database and will submit the most accurate information we have available for all revisions.</p>		31 March 2022
Preventative actions taken to ensure no further issues will occur		Completion date
Investigating		30 November 2022
Remedial action status		
Investigating		

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 21-Jan-21 To: 30-Nov-21	Five additional lights were found in the field. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate because they 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.	
Actions taken to resolve the issue	Completion date	Remedial action status
QLDC has instructed McKay Electrical to carry out a field inventory as per their contract, which will capture these discrepancies	30 November 2022	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
QLDC has instructed McKay Electrical to carry out a field inventory as per their contract which will capture these discrepancies	30 November 2022	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 21-Jan-21</p> <p>To: 30-Nov-21</p>	<p>The database is not confirmed as accurate with a 95% level of confidence with a potential under submission of approximately be 9,900 kWh per annum.</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>LED lights recorded with insufficient descriptions to confirm lamp wattage.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Once</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
QLDC have instructed McKay Electrical to populate LED data into the DB		30 November 2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
QLDC have instructed McKay Electrical to populate LED data into the DB		31 March 2022	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 21-Jan-21</p> <p>To: 30-Nov-21</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>The database is not confirmed as accurate with a 95% level of confidence with a potential under submission of approximately be 9,900 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Once</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
Trustpower is endeavouring to establish an accurate lamp count and as adjustments are made these are included in any revisions that are submitted. Unfortunately, due to the nature of this DUML and the parties involved, this process often takes longer than the Revision timeframe. Trustpower will continue to work with the parties to improve the accuracy of the DUML database and will submit the most accurate information we have available for all revisions.		30 November 2022
Preventative actions taken to ensure no further issues will occur		Completion date
Investigating		30 November 2022
Remedial action status		
Investigating		