

Compliance Plan NZTA Waimakariri 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: 02-Apr-21</p> <p>To: 25-Apr-22</p>	<p>The monthly database used for submission is no longer being maintained so the monthly volumes being calculated do not take into account any changes.</p> <p>In absolute terms, total annual consumption is estimated to be 25,300 kWh higher than the DUML database indicates.</p> <p>Submission error resulting in an estimated under submission of 1,215 kWh for the month of March.</p> <p>13 items of load with incorrect wattage, resulting in a very minor estimated over submission of 265kWh p.a. based on 4,271 burn hours.</p> <p>Two items of load with lamp type or wattage recorded, resulting in an estimated under submission of 982kWh p.a. based on 4,271 burn hours.</p> <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: Twice previously</p> <p>Controls: None</p> <p>Breach risk rating: 8</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls were rated as none, as there is no current database being provided to reconcile this load.</p> <p>The impact is assessed to be medium due to the level of submission inaccuracy.</p>	
Actions taken to resolve the issue		Completion date
<p>The submission error has been corrected. Additionally, all DUML ICPs have been moved to the DST profile, which has a set of controls more tailored to streetlights to help mitigate issues of this nature in future.</p> <p>Dataset being used for submission calculation will be updated to include/remove these items of load identified by the field audit.</p>		<p>31/5/2022</p> <p>15/6/2022</p>
Preventative actions taken to ensure no further issues will occur		Completion date
<p>NZTA have been engaged again about the lack of controls in managing the database and have indicated that a solution internally should have funding within 6-9 months' time.</p>		<p>31/3/2023</p>

Location of each item of load		
Non-compliance	Description	
Audit Ref: 2.3 With: Clause 11(2)(b) of Schedule 15.3 From: 02-Apr-21 To: 25-Apr-22	Location information insufficient to locate at least 51 items of load. Potential impact: Low Actual impact: Low Audit history: Three times previously Controls: None Breach risk rating: 5	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as none as this database is no longer being maintained. The impact is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Preventative actions taken to ensure no further issues will occur		Completion date
NZTA have been engaged again about the lack of controls in managing the database and have indicated that a solution internally should have funding within 6-9 months' time.		31/3/2023
		Investigating

Description and capacity of load		
Non-compliance	Description	
<p>Audit Ref: 2.4</p> <p>With: Clause 11(2)(c) and (d) of Schedule 15.3</p> <p>From: 02-Apr-21</p> <p>To: 25-Apr-22</p>	<p>Two items of load with lamp type or wattage recorded, resulting in an estimated under submission of 982kWh p.a. based on 4,271 burn hours.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: None</p> <p>Breach risk rating: 5</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>Controls are rated as none as this database is no longer being maintained.</p> <p>The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p>	
Actions taken to resolve the issue		Completion date
Dataset being used for submission calculation will be updated to include wattages for these items of load.		15/6/2022
Preventative actions taken to ensure no further issues will occur		Completion date
NZTA have been engaged again about the lack of controls in managing the database and have indicated that a solution internally should have funding within 6-9 months' time.		31/3/2023
		Identified

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 02-Apr-21 To: 25-Apr-22	Four additional lights found in the field from the 127 items of load sampled. Potential impact: Medium Actual impact: Low Audit history: None Controls: None Breach risk rating: 5	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as none as the database is not being maintained. The impact is assessed to be medium due to the number of additional lights found in the field for the size of the database.	
Actions taken to resolve the issue	Completion date	Remedial action status
Dataset being used for submission calculation will be updated to include/remove these items of load identified by the field audit.	15/6/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
NZTA have been engaged again about the lack of controls in managing the database and have indicated that a solution internally should have funding within 6-9 months' time.	31/3/2023	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 02-Apr-21</p> <p>To: 25-Apr-22</p>	<p>In absolute terms, total annual consumption is estimated to be 25,300 kWh higher than the DUML database indicates.</p> <p>13 items of load with incorrect wattage, resulting in a very minor estimated over submission of 265kWh p.a. based on 4,271 burn hours.</p> <p>Two items of load with lamp type or wattage recorded, resulting in an estimated under submission of 982kWh p.a. based on 4,271 burn hours.</p> <p>51 items of load with insufficient information to locate these.</p> <p>No change management in place as the Mainpower database is no longer being maintained.</p> <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: None</p> <p>Controls: None</p> <p>Breach risk rating: 8</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>Controls are rated as none as this database is no longer being maintained.</p> <p>The impact is assessed to be medium, based on the potential kWh variances detailed above but this will increase until an alternative database is found to manage this load.</p>	
Actions taken to resolve the issue		Completion date
Dataset being used for submission calculation will be updated to include/remove these items of load identified by the field audit.		15/6/2022
Preventative actions taken to ensure no further issues will occur		Completion date
NZTA have been engaged again about the lack of controls in managing the database and have indicated that a solution internally should have funding within 6-9 months' time.		31/3/2023
Remedial action status		
Identified		

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c))</p> <p>From: 02-Apr-21</p> <p>To: 25-Apr-22</p>	<p>The monthly database used for submission is no longer being maintained so the monthly volumes being calculated do not take into account any changes.</p> <p>In absolute terms, total annual consumption is estimated to be 25,300 kWh higher than the DUML database indicates.</p> <p>Submission error resulting in an estimated under submission of 1,215 kWh for the month of March.</p> <p>13 items of load with incorrect wattage, resulting in a very minor estimated over submission of 265kWh p.a. based on 4,271 burn hours.</p> <p>Two items of load with lamp type or wattage recorded, resulting in an estimated under submission of 982kWh p.a. based on 4,271 burn hours.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Twice previously</p> <p>Controls: None</p> <p>Breach risk rating: 8</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls were rated as none, because they were not sufficient to ensure that submission data is calculated accurately.</p> <p>The impact is assessed to be medium due to the level of submission inaccuracy.</p>	
Actions taken to resolve the issue		Completion date
<p>The submission error has been corrected. Additionally, all DUML ICPs have been moved to the DST profile, which has a set of controls more tailored to streetlights to help mitigate issues of this nature in future.</p> <p>Dataset being used for submission calculation will be updated to include/remove these items of load identified by the field audit.</p>		<p>31/5/2022</p> <p>15/6/2022</p>
Preventative actions taken to ensure no further issues will occur		Completion date
<p>NZTA have been engaged again about the lack of controls in managing the database and have indicated that a solution internally should have funding within 6-9 months' time.</p>		<p>31/3/2023</p>
Identified		