

Compliance plan for NZTA Otago DUMML Audit 2018

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: unknown To: 30-Apr-18	The database accuracy is assessed to be 90.9% indicating an estimated over submission of 46,200 kWh per annum. Incorrect ballasts applied resulting in an estimated under submission of 802.95 kWh. Potential impact: Medium Actual impact: Medium Audit history: None Controls: Moderate Breach risk rating: 4	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are rated as moderate as they are will mitigate risk and remove errors most of the time. The impact is assessed to be medium, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
TRUS will work with Aurora to review and update the database anomalies as required	30/09/18	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Validation of data to occur as it comes in from the field	Ongoing	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) of Schedule 15.3 From: unknown To: 30-Apr-18	Ten items of load with incomplete lamp descriptions. 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 rated as moderate as they will mitigate risk and remove errors most of the time. The impact is assessed to be low as only ten items of load are affected.	
Actions taken to resolve the issue	Completion date	Remedial action status
TRUS will work with Aurora to review and update the database anomalies as required	30/09/18	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Validation of data to occur as it comes in from the field	Ongoing	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: unknown To: 30-Apr-18	The database accuracy is assessed to be 90.9% indicating an estimated over submission of 46,200 kWh per annum. Incorrect ballasts applied resulting in an estimated under submission of 802.95 kWh. Potential impact: Medium Actual impact: Medium Audit history: None Controls: Moderate Breach risk rating: 4	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are rated as moderate as they are will mitigate risk and remove errors most of the time. The impact is assessed to be medium, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
TRUS will work with Aurora to review and update the database anomalies as required	30/09/18	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Validation of data to occur as it comes in from the field	Ongoing	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: unknown To: 30-Apr-18	The database accuracy is assessed to be 90.9% indicating an estimated over submission of 46,200 kWh per annum. Incorrect ballasts applied resulting in an estimated under submission of 802.95 kWh. Potential impact: Medium Actual impact: Medium Audit history: None Controls: Moderate Breach risk rating: 4	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are rated as moderate as they will mitigate risk and remove errors most of the time. The impact is assessed to be medium, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
TRUS will work with Aurora to review and update the database anomalies as required	30/09/18	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Validation of data to occur as it comes in from the field	Ongoing	