

Compliance plan for NZTA Mainpower – 2018

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-Apr-17</p> <p>To: 30-Apr-18</p>	<p>Incorrect daily kWh figures leading to over submission by 3,290 kWh</p> <p>The database accuracy is assessed to be 98.5% indicating an estimated over submission of 10,400 kWh per annum, on top of the 3,290 kWh mentioned above</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: None</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, because they are sufficient to ensure that lamp information is correctly recorded most of the time.</p> <p>The impact is assessed to be medium because the difference is between 10,000 kWh and 50,000 kWh per annum.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Mainpower uses an annual burn hours value of 4300 hours annually. In our last update of the daily kWh our derivation of daily hours was incorrect. Contact has now refreshed its daily Kwh values to reflect a daily hours of operation vale of 11.78 hours</p>		Resolved	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	

Location of each item of load		
Non-compliance	Description	
Audit Ref: 2.3 With: Clause 11(2)(b) of Schedule 15.3 From: 01-Apr-17 To: 30-Apr-18	Location information insufficient to locate at least 308 items of load Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as weak because they don't mitigate risk most of the time. The impact is minor; therefore the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
The database owner (Mainpower) have advised that they intend to update location information using their GIS mapping system	July 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Apr-17</p> <p>To: 03-Apr-18</p>	<p>The database accuracy is assessed to be 98.5% indicating an estimated over submission of 10,400 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: None</p> <p>Controls: Strong</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as strong, because they are sufficient to ensure that lamp information is correctly recorded most of the time.</p> <p>The impact is assessed to be medium because the difference is between 10,000 kWh and 50,000 kWh per annum.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>The region covering NZTA streetlights is still recovering from the Kaikoura earthquake and the count differences relates to an intersection currently being rebuilt as part of earthquake repairs. The removal of these lights was undertaken by the earthworks contractors and not advised to Mainpower who manage the DUML DB.</p> <p>The two missing lights will be reinstated once the intersection has been rebuilt. The accuracy of the DUML DB for NZTA is high considering the devastation experienced in this region from the earthquake.</p>	Dec 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Apr-17</p> <p>To: 30-Apr-18</p>	<p>Incorrect daily kWh figures leading to over submission by 3,290 kWh</p> <p>The database accuracy is assessed to be 98.5% indicating an estimated over submission of 10,400 kWh per annum, on top of the 3,290 kWh mentioned above</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: None</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, because they are sufficient to ensure that lamp information is correctly recorded most of the time.</p> <p>The impact is assessed to be medium because the difference is between 10,000 kWh and 50,000 kWh per annum.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Mainpower uses an annual burn hours value of 4300 hours annually. In our last update of the daily kWh our derivation of daily hours was incorrect. Contact has now refreshed its daily Kwh values to reflect a daily hours of operation vale of 11.78 hours		Resolved	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	