

Compliance plan for NZTA Otago Aurora DUML – 2019

| Deriving submission information | | |
|--|---|------------------------|
| Non-compliance | Description | |
| <p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-May-18 To: 31-Dec-18</p> | <p>Incorrect ballasts applied resulting in an estimated under submission of 1,149 kWh per an annum if these were used for submission.</p> <p>Total kW values are calculated outside of the database resulting in an estimated under submission of 1,408.31 kWh of under submission per annum.</p> <p>The database accuracy is assessed to 96.9% indicating an estimated over submission of 16,100 kWh per annum.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: Once Controls: Moderate Breach risk rating: 4</p> | |
| Audit risk rating | Rationale for audit risk rating | |
| Medium | <p>The controls are rated as moderate as they are will mitigate risk and remove errors 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 |
| Will make the correction on the TP DB | 8/3/2019 | Identified |
| Preventative actions taken to ensure no further issues will occur | Completion date | |
| To get Aurora to include ballasts on their DB | 1/5/2019 | |

| All load recorded in the database | | | |
|--|--|-----------------|------------------------|
| Non-compliance | Description | | |
| Audit Ref: 2.5 With: Clause 11(2A) and (d) of Schedule 15.3 From: 01-May-18 To: 31-Dec-18 | 9 additional items of load found in the field sample. Potential impact: High 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 due to the volume of additional lights found in the field. The impact is assessed to be medium due to the number of differences found in the field and total estimated kWh difference detailed in section 3.1 . | | |
| Actions taken to resolve the issue | | Completion date | Remedial action status |
| Working with NZTA and Aurora to get the DB update from field contractor | | 1/5/2019 | Investigating |
| Preventative actions taken to ensure no further issues will occur | | Completion date | |
| To get NZTA to understand the importance of the DB and to keep up to date | | 19/3/2019 | |

| Database accuracy | | |
|---|--|------------------------|
| Non-compliance | Description | |
| Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-May-18 To: 31-Dec-18 | The database accuracy is assessed to be 96.9% indicating an estimated over submission of 16,100 kWh per annum. Eight items of load with incomplete lamp descriptions. Incorrect ballasts applied resulting in an estimated under submission of 1,149 kWh per an annum, if these were used for submission. Potential impact: Medium Actual impact: Medium Audit history: Once 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 |
| Contact Aurora, NZTA and McKay Electrical to ascertain why this problem exists | | 1/5/2019 |
| Preventative actions taken to ensure no further issues will occur | | Completion date |
| As above | | 19/3/2019 |
| | | Investigating |

| Volume information accuracy | | | |
|---|--|-----------------|------------------------|
| Non-compliance | Description | | |
| Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 01-May-18 To: 31-Dec-18 | Total kW values are calculated outside of the database resulting in an estimated under submission of 1,408.31 kWh of under submission per annum. The database accuracy is assessed to 96.9% indicating an estimated over submission of 16,100 kWh per annum. 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 |
| Will make the correction on the TP DB | | 8/3/2019 | |
| Preventative actions taken to ensure no further issues will occur | | Completion date | |
| To get Aurora to include ballasts on their DB | | 31/3/2019 | |