

Compliance plan for Thames Coromandel DC – November 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-Jun-17</p> <p>To: 19-Nov-18</p>	<p>NZTA lighting volume excluded from submission resulting in an estimated under submission of 282,745 kWh per annum.</p> <p>The database accuracy is assessed to be 96.3% indicating potential over submission of 32,300 kWh per annum.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
High	<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 high, based on the kWh differences described in section 3.1.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
NZTA lights are in the process of being allocated a separate ICP and will not form part of the TCDC DUML audit moving forward.	June 2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
As above		

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) & (d) of Schedule 15.3 From: 01-Jun-17 To: 19-Nov-18	Four items of load with missing lamp details. Potential impact: Low Actual impact: None Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong as the controls in place mitigate the risk. The impact is assessed to be low as this only four items of load are affected.	
Actions taken to resolve the issue	Completion date	Remedial action status
Mercury continues to work with the TCDC contractor to resolve these issues	Ongoing	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	

All load recorded in the database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Jun-17 To: 19-Nov-18	Items of load are missing from the database. Potential impact: Low Actual impact: Low Audit history: Once previously Controls: Moderate Breach risk rating: 4	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are rated as moderate as the full field audit is underway to correct the historic issues. The impact is assessed to be high, based on the kWh differences detailed in section 3.1 .	
Actions taken to resolve the issue	Completion date	Remedial action status
As indicated by the auditor a field audit is underway. There is a statistically low indication of non-compliance against the sampled installations.	June 19	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Database accuracy			
Non-compliance	Description		
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Jun-17 To: 19-Nov-18	The database accuracy is assessed to be 96.3% indicating potential over submission of 32,300 kWh per annum. The ballasts are not recorded correctly in the RAMM database. Potential impact: Medium Actual impact: Medium Audit history: Once previously Controls: Moderate Breach risk rating: 4		
Audit risk rating	Rationale for audit risk rating		
Medium	The controls are rated as moderate as the full field audit is underway to correct the historic issues. 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
As indicated a full field audit is underway		June 2019	
Preventative actions taken to ensure no further issues will occur		Completion date	

Volume information accuracy			
Non-compliance	Description		
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 01-Jun-17 To: 19-Nov-18	NZTA lighting volume excluded from submission resulting in an estimated under submission of 282,745 kWh per annum. The database accuracy is assessed to be 96.3% indicating potential over submission of 32,300 kWh per annum. Potential impact: High Actual impact: High Audit history: Three times previously Controls: Moderate Breach risk rating: 6		
Audit risk rating	Rationale for audit risk rating		
High	The controls are rated as moderate as the full field audit is underway to correct the historic issues. The impact is assessed to be high, based on the kWh differences described in section 3.1 .		
Actions taken to resolve the issue		Completion date	Remedial action status
As indicated this relates to the transition of NZTA away from the database.		June 2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	