

Compliance plan for NZTA Otago DUML – 2020

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Sep-19 To: 03-Aug-20</p>	<p>In absolute terms, total annual consumption is estimated to be 23,400 kWh lower than the DUML database indicates, as recorded in section 3.1.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: Three times Controls: Weak Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>There is no process in place for updates to be provided from the field to Aurora, because Aurora is not the field contractor.</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
Have spoken to QLDC who McKay Electrical work for and they keep their DB up to date. QLDC believe that their DB for the NZTA lights in the QLDC area is accurate and can be accessed if required.		1/5/2020
Preventative actions taken to ensure no further issues will occur		Completion date
NZTA lights in the QLDC area should be split off from this audit and be a standalone audit. This would mean the we use QLDC DB for these lights		30/9/2020
		Investigating

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Sep-19</p> <p>To: 03-Aug-20</p>	<p>The database is inaccurate. In absolute terms, total annual consumption is estimated to be 23,400 kWh lower than the DUML database indicates.</p> <p>29 items of load with incomplete lamp descriptions.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Three times</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>There is no process in place for updates to be provided from the field to Aurora because Aurora is not the field contractor. The ballast information was updated following the last audit, indicating there are some controls in place for corrections.</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
Have spoken to QLDC who McKay Electrical work for and they keep their DB up to date. QLDC believe that their DB for the NZTA lights in their area is accurate and can be accessed if required		1/5/2020	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
NZTA lights in the QLDC area should be split off from this audit and be a standalone audit. This would mean the we use QLDC DB for these lights		30/9/2020	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-Sep-19</p> <p>To: 03-Aug-20</p>	<p>In absolute terms, total annual consumption is estimated to be 23,400 kWh lower than the DUML database indicates, as recorded in section 3.1.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Three times</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>There is no process in place for updates to be provided from the field to Aurora, because Aurora is not the field contractor. A small number of updates occur if the work is conducted by Aurora.</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
Have spoken to QLDC who McKay Electrical work for and they keep their DB up to date. QLDC believe that their DB for the NZTA lights in the QLDC area is accurate and can be accessed if required.		1/5/2020	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
NZTA lights in the QLDC area should be split off from this audit and be a standalone audit. This would mean the we use QLDC DB for these lights		30/9/2020	