

Compliance plan for TCDC DUMML – 2020

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 23-Nov-19 To: 08-Sep-20	61 incorrect ballasts are recorded in the RAMM database resulting in a minor under submission of 355 kWh per annum. Submission is based on a snapshot and does not consider historic adjustments. Potential impact: Low Actual impact: Low Audit history: Three times previously Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time. The impact is assessed to be low as the number of changes is minimal therefore the impact of using a snapshot will be low to none.	
Actions taken to resolve the issue		Completion date
Audit findings will be provided to TCDC to be addressed with PSL		Dec 2020
Preventative actions taken to ensure no further issue will occur		Completion date
Remedial action status		
Identified		

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 30-Sep-19 To: 08-Sep-20	Six items of load are missing from the database. Potential impact: Low Actual impact: Low Audit history: Three times previously Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time. The impact is assessed to be low as the database was found to be within the allowable accuracy threshold as detailed in section 3.1 .	
Actions taken to resolve the issue		Completion date
Audit findings will be provided to TCDC to be addressed with PSL		Dec 2020
Preventative actions taken to ensure no further issue will occur		Completion date
Remedial action status		
Identified		

Database accuracy			
Non-compliance	Description		
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 30-Nov-19 To: 08-Sep-20	61 incorrect ballasts are recorded in the RAMM database resulting in a minor under submission of 355 kWh per annum. 394 NZTA items of load with the incorrect ICP identifier applied. Potential impact: Low Actual impact: Low Audit history: Twice previously Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time. The impact is assessed to be low based on the database inaccuracies found.		
Actions taken to resolve the issue		Completion date	Remedial action status
Audit findings will be provided to TCDC to be addressed with PSL		Dec 2020	
Preventative actions taken to ensure no further issue will occur		Completion date	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 30-Nov-19</p> <p>To: 08-Sep-20</p>	<p>61 incorrect ballasts are recorded in the RAMM database resulting in a minor under submission of 355 kWh per annum.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time.</p> <p>The impact is assessed to be low based on the database inaccuracies found.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Audit findings will be provided to TCDC to be addressed with PSL		Dec 2020	Identified
Preventative actions taken to ensure no further issue will occur		Completion date	