

## Compliance plan for NZTA Central Otago Aurora– 2021

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 15-Sep-20 To: 15-Jan-21</p>	<p>The database extract contained ten more lights than the monthly wattage report being supplied to Trustpower. This will be resulting in an estimated under submission of 3,286 kWh per annum.</p> <p>Approximately 30 lamps in Wanaka recorded in two databases and therefore submitted twice resulting in an estimated over submission of approximately 19,818 kWh per annum.</p> <p>Five lamps with no gear wattage recorded resulting in an estimated minor under submission of 769 kWh per annum.</p> <p>In absolute terms, total annual consumption is estimated to be 3,100 kWh higher 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: Multiple times Controls: Weak Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	<p>Aurora do not have visibility of the fieldwork that takes place, they receive notification by way of a monthly file provided by Central Otago DC containing the complete council database, but it is unclear as to when these get loaded to the GIS.</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
We will be working with NZTA to see if their contractor Aurora is the best placed organisation to maintain this database going forward.	01/06/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Depends on discussions with NZTA	To be advised	

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) and (d) of Schedule 15.3 From: 15-Sep-20 To: 15-Jan-21	Seven additional items of load were found in the field. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	The controls are recorded as weak as Aurora are not the field contractor and are reliant on CODC providing this information. The impact is assessed to be low. The overall database accuracy is detailed in <b>section 3.1</b> .		
Actions taken to resolve the issue		Completion date	Remedial action status
We will be working with NZTA to see if their contractor Aurora is the best placed organization to maintain this database going forward.		01/06/2021	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Depends on discussions with NZTA		To be advised	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 15- Sept-20</p> <p>To: 15-Jan-21</p>	<p>The database is inaccurate. In absolute terms, total annual consumption is estimated to be 3,100 kWh higher than the DUMML database indicates.</p> <p>36 items of load with incomplete lamp descriptions.</p> <p>Five lamps with no gear wattage recorded resulting in an estimated minor under submission of 769 kWh per annum.</p> <p>LED lights recorded with insufficient descriptions to confirm lamp wattage.</p> <p>Approximately 30 lamps in Wanaka recorded in two databases and therefore submitted twice resulting in an estimated over submission of approximately 19,818 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Multiple times</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Medium</b>	<p>Aurora do not have visibility of the fieldwork that takes place, they receive notification by way of a monthly file provided by Central Otago DC containing the complete council database, but it is unclear as to when these get loaded to the GIS.</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
We will be working with NZTA to see if their contractor Aurora is the best placed organisation to maintain this database going forward.		01/06/2021	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Depends on discussions with NZTA		To be advised	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 15-Sep-20</p> <p>To: 15-Jan-21</p>	<p>The database extract contained ten more lights than the monthly wattage report being supplied to Trustpower. This will be resulting in an estimated under submission of 3,286 kWh per annum.</p> <p>Approximately 30 lamps in Wanaka recorded in two databases and therefore submitted twice resulting in an estimated over submission of approximately 19,818 kWh per annum.</p> <p>Five lamps with no gear wattage recorded resulting in an estimated minor under submission of 769 kWh per annum.</p> <p>In absolute terms, total annual consumption is estimated to be 3,100 kWh higher 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: Multiple times</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Medium</b>	<p>Aurora do not have visibility of the fieldwork that takes place, they receive notification by way of a monthly file provided by Central Otago DC containing the complete council database.</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
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