

Compliance plan for Tauranga NZTA DUML – 2020

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: 11(1) of Schedule 15.3</p> <p>From: 26-Nov-19 To: 22-Oct-20</p>	<p>The data base error is indicated to be outside the allowable +/-5% threshold resulting in an estimated over submission of 29,629 kWh per annum for the sample checked.</p> <p>Submission is based on a snapshot of the database at the end of the month and does not consider historic adjustments or the fact that lights can be livened before they are entered into the database.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: Multiple times Controls: Moderate Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are recorded as moderate overall. The existing load is accurate but where changes made in the field these are not being provided to TCC in a timely manner to ensure that the database contents are up to date.</p> <p>The audit risk rating is indicated to be medium based on the estimated over submission.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
TCC are updating the database with the correct information	01/01/2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Most of the issues involve one major project in Tauranga City involving NZTA. TCC have discussed with the contractor and reinforced with them the expectation that they are informed when changes are occurring. The new process involving Powerco and their contractors around livening information should assist with this issue	01/0202021	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 26-Nov-19</p> <p>To: 22-Oct-20</p>	<p>The data base error is indicated to be outside the allowable +/-5% threshold resulting in an estimated over submission of 29,629 kWh per annum for the sample checked.</p> <p>18 items of load have the incorrect ICP.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are recorded as weak as changes made in the field are not being provided to TCC in a timely manner to ensure that the database contents are up to date.</p> <p>The audit risk rating is indicated to be medium based on the estimated over submission.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
TCC are updating the database with the correct information		01/01/2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Most of the issues involve one major project in Tauranga City involving NZTA. TCC have discussed with the contractor and reinforced with them the expectation that they are informed when changes are occurring. The new process involving Powerco and their contractors around livening information should assist with this issue		01/02/2021	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: 15.2 and 15.37B(c)</p> <p>From: 26-Nov-19</p> <p>To: 22-Oct-20</p>	<p>The data base error is indicated to be outside the allowable +/-5% threshold resulting in an estimated over submission of 29,629 kWh per annum for the sample checked.</p> <p>Submission is based on a snapshot of the database at the end of the month and does not consider historic adjustments or the fact that lights can be livened before they are entered into the database.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are recorded as moderate overall. The existing load is accurate but where changes made in the field these are not being provided to TCC in a timely manner to ensure that the database contents are up to date.</p> <p>The audit risk rating is indicated to be medium based on the estimated over submission.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
TCC are updating the database with the correct information		01/01/2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Most of the issues involve one major project in Tauranga City involving NZTA. TCC have discussed with the contractor and reinforced with them the expectation that they are informed when changes are occurring. The new process involving Powerco and their contractors around livening information should assist with this issue		01/02/2021	