

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: 11(2)(c) and (d) of Schedule 15.3 From: 01-Aug-20 To: 30-Apr-21	228 items of load with blank or zero wattage recorded. 126 items of load with blank light description. 136 items of load with invalid descriptions. Potential impact: High Actual impact: High Audit history: Multiple times Controls: Moderate Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as moderate as the majority of the load is recorded in the RAMM database. The audit risk rating is high due to potential under submission of 48,690 kWh per annum	
Actions taken to resolve the issue		Completion date
Auckland Transport received and corrected the items of load within the database with incorrect wattage values.		
Preventative actions taken to ensure no further issues will occur		Completion date
N/a Client database left Contact (CTCS) 1/7/2021 prior to the audit being completed by Contact.		
		Identified

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: 11(2A) of Schedule 15.3 From: 01-Aug-20 To: 30-Apr-21	Not all load recorded in the database (3 additional lights found or 0.3% of the load sampled). Potential impact: High Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The audit risk rating is low due to the impact a 0.3% % variance for this large database potentially has on reconciliation.	
Actions taken to resolve the issue		Completion date
Auckland Transport received and corrected the items of load within the database by adding the missing lights.		
Preventative actions taken to ensure no further issues will occur		Completion date
N/a Client database left Contact (CTCS) 1/7/2021 prior to the audit being completed by Contact.		
		Identified

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Aug-20</p> <p>To: 30-Apr-21</p>	<p>In absolute terms the installed capacity is estimated to be 474 kW lower than the database indicates.</p> <p>228 items of load with blank or zero no wattage recorded.</p> <p>126 items of load with blank lamp description.</p> <p>136 items of load were identified with an invalid light type description.</p> <p>5,225 26.7 watt LEDs are recorded as 26 watts in the database.</p> <p>110 items of load with incorrect ICPs.</p> <p>491 items of load with a ballast discrepancy.</p> <p>Any changes that are made during any given month take effect from the beginning of that month. This process does not account for historic changes or changes within a month.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times</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. Whilst there are a large number of discrepancies, processes are being improved to ensure accuracy becomes better.</p> <p>The impact is assessed to be high, based on the kWh differences described above.</p>	
Actions taken to resolve the issue		Completion date
Auckland Transport received and corrected the items of load within the database with incorrect wattage values.		
Preventative actions taken to ensure no further issues will occur		Completion date
N/a Client database left Contact (CTCS) 1/7/2021 prior to the audit being completed by Contact.		
Remedial action status		
Identified		

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 10-Oct-19</p> <p>To: 25-Jul-20</p>	<p>Over submission because of dimming being used. The impact on submission is unknown.</p> <p>A variance exists between the database and the monthly report sent to Contact, as the LED wattages are being adjusted outside of RAMM resulting in the monthly report being less than the database output by approx. 1,272,000 kWh per annum.</p> <p>228 items of load with zero or blank wattage recorded indicating potential under submission of 48,690 kWh.</p> <p>In absolute terms, total annual consumption is estimated to be 2,024,400 kWh lower than the DUMML database indicates based on the field audit.</p> <p>Incorrect ballasts recorded in RAMM indicate over submission of an estimated 3,785 kWh per annum.</p> <p>110 items of load with incorrect ICP and balancing area.</p> <p>Any changes that are made during any given month take effect from the beginning of that month. This process does not account for historic changes or changes within a month.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times</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, as processes to improve the database accuracy have commenced.</p> <p>The audit risk rating is high due to the indicative kWh variances found for those that can be quantified.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Auckland Transport received and corrected the items of load within the database with incorrect wattage values.		Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
N/a Client database left Contact (CTCS) 1/7/2021 prior to the audit being completed by Contact.		