Compliance plan for NZTA Central Otago QLDC RAMM dB DUML – 2021]

Deriving submission information	
Non-compliance	**Description**
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: Unknown To: 20-Jan-21	Approximately 30 lamps in Wanaka submitted against the incorrect ICP. 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. The database is not confirmed as accurate with a 95% level of confidence with a potential over submission of approximately 11,800 kWh per annum. Newly connected streetlights are included for the whole month and not the date of electrical connection. Potential impact: Medium Actual impact: Medium Audit history: None Controls: Moderate Breach risk rating: 4
Audit risk rating	**Rationale for audit risk rating**
Medium	The controls are rated as moderate as processes to manage change capture most changes. The impact is assessed to be medium, based on the database inaccuracies detailed above.

Actions taken to resolve the issue	Completion date	Remedial action status
We are investigating to see if the issue is valid or not.	01/06/2021	Investigating
Preventative actions taken to ensure no further issues will occur	**Completion date**	
This will depend on what the investigation uncovers	To be advised	

Database accuracy	
Non-compliance	**Description**
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: Unknown To: 20-Jan-21	The database is not confirmed as accurate with a 95% level of confidence with a potential under submission of approximately 11,800 kWh per annum. LED lights recorded with insufficient descriptions to confirm lamp wattage. Approximately 30 lamps in Wanaka submitted against the incorrect ICP. 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. Potential impact: Medium Actual impact: Medium Audit history: None Controls: Moderate Breach risk rating: 4
Audit risk rating	**Rationale for audit risk rating**
Medium	The controls are rated as moderate as controls will mitigate risk most of the time. The impact is assessed to be medium, based on the kWh differences described above.

Actions taken to resolve the issue	Completion date	Remedial action status
We are investigating to see if the issue is valid or not	01/06/2021	Investigating
Preventative actions taken to ensure no further issues will occur	**Completion date**	
This will depend on what the investigation uncovers	To be advised	

Volume information accuracy	
Non-compliance	**Description**
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: Unknown To: 20-Jan-21	Approximately 30 lamps in Wanaka submitted against the incorrect ICP. 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. The database is not confirmed as accurate with a 95% level of confidence with a potential over submission of approximately 11,800 kWh per annum. Newly connected streetlights are included for the whole month and not the date of electrical connection. Potential impact: Medium Actual impact: Medium Audit history: None Controls: Moderate Breach risk rating: 4
Audit risk rating	**Rationale for audit risk rating**
Medium	The controls are rated as moderate as processes to manage change capture most changes. The impact is assessed to be medium, based on submission inaccuracies indicated by the DUML audit tool.

Actions taken to resolve the issue	Completion date	Remedial action status
We are investigating to see if the issue is valid or not	01/06/2021	Investigating
Preventative actions taken to ensure no further issues will occur	**Completion date**	
This will depend on what the investigation uncovers	To be advised	