

Compliance plan for NZTA Nelson DUML – Sept 2021

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 29-Oct-20 To: 03-Aug-21	Variance in light volumes reported to Trustpower vs what is recorded in the database is likely to be resulting in an estimated 1,760 kWh per annum of over submission. Database is not confirmed as accurate within the +/-5% threshold. Resulting in an estimated over submission of 4,425 kWh per annum (based on 4,271 annually). Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Overall controls are rated as moderate as they will mitigate risk most of the time, but there is room for errors to occur. The impact is assessed to be low, based on the potential kWh variances detailed above.	
Actions taken to resolve the issue	Completion date	Remedial action status
To arrange a meeting to discuss the recommendations between all parties involved and to implement an action plan to resolve the concerns raised in this audit	31/10/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
All parties to agree to implement the actions agreed to at the above meetings	31/10/2021	

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 29-Oct-20 To: 03-Aug-21	One additional light found in the field. Potential impact: Low Actual impact: Low Audit history: Once 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 lamp information is correctly recorded most of the time. The impact is assessed to be low as only one additional item of load was found in the field audit.		
Actions taken to resolve the issue		Completion date	Remedial action status
To arrange a meeting to discuss the recommendations between all parties involved and to implement an action plan to resolve the concerns raised in this audit		31 st October 2021	
Preventative actions taken to ensure no further issue will occur		Completion date	
All parties to agree to implement the actions agreed to at the above meetings		31 st October 2021	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 29-Oct-20</p> <p>To: 03-Aug-21</p>	<p>Database is not confirmed as accurate within the +/-5% threshold. Resulting in an estimated over submission of 4,425 kWh per annum (based on 4,271 annually).</p> <p>Ten lights with the incorrect light description. The correct wattage is recorded so this has no impact on reconciliation.</p> <p>One light with the incorrect ballast recorded. The impact on submission is negligible. Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as weak as changes made in the field are not being reflected in the database and I have recommended this process is reviewed.</p> <p>The impact is assessed to be low, based on the potential kWh variances detailed above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
As there is only a small amount of lights, a site visit to all lights to check what's in the field and to update the DB		31 October 2021	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
To arrange a meeting to discuss the recommendations between all parties involved and to implement an action plan to resolve the concerns raised in this audit		31 October 2021	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 29-Oct-20</p> <p>To: 03-Aug-21</p>	<p>Variance in light volumes reported to Trustpower vs what is recorded in the database is likely to be resulting in an estimated 1,760 kWh per annum of over submission.</p> <p>Database is not confirmed as accurate within the +/-5% threshold. Resulting in an estimated over submission of 4,425 kWh per annum (based on 4,271 annually).</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>Overall controls are rated as moderate as they will mitigate risk most of the time, but there is room for errors to occur.</p> <p>The impact is assessed to be low, based on the potential kWh variances detailed above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
To check wattage of each fitting against DB from a site visit	31/10/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
To arrange a meeting to discuss the recommendations between all parties involved and to implement an action plan to resolve the concerns raised in this audit	31/10/2021	