

## Compliance plan for Tauranga Waka Kotahi DUML 2022

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: 11(1) of Schedule 15.3</p> <p>From: 01-Nov-20 To: 25-Jul-22</p>	<p>The data base error is indicated to be outside the allowable +/-5% threshold resulting in an estimated over submission of 32,753 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 lived before they are entered into the database.</p> <p>Potential impact: Medium Actual impact: Medium</p> <p>Audit history: Multiple times Controls: Moderate Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	<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
<p>Tauranga City Council have made significant progress in improving the accuracy of the DUML database since the last audit in December 2020. At that time a variance of greater than 18% was recorded. Notwithstanding the challenges associated with the ongoing infrastructure upgrade at Baypark, the council has proactively sought to improve its systems and processes which is demonstrated in these results.</p>	ongoing	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Tauranga City Council to work with Waka Kotahi to update infrastructure changes specifically at the Baypark interchange.</p>	ongoing	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Nov-20</p> <p>To: 25-Jul-22</p>	<p>The data base error is indicated to be outside the allowable +/-5% threshold resulting in an estimated over submission of 32,753 kWh per annum for the sample checked.</p> <p>One item of load has the incorrect ICP.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Medium</b>	<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, mainly where roading changes are occurring</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
Refer earlier comments		ongoing	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Refer earlier comments		ongoing	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: 15.2 and 15.37B(c)</p> <p>From: 01-Nov-20</p> <p>To: 25-Jul-22</p>	<p>The data base error is indicated to be outside the allowable +/-5% threshold resulting in an estimated over submission of 32,753 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		
<b>Medium</b>	<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
Refer earlier comments		ongoing	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Refer earlier comments		ongoing	