

## Compliance plan for Ashburton District Council DUML 2018

Deriving Submission Information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: 11(1) of Schedule 15.3</p> <p>From: entire audit period</p>	<p>Under submission of 15.04 kWh per month due to the rounding of the unmetered load kW figure to the nearest whole number</p> <p>Accuracy ratio is 100.21% indicating under submission of 3,178 kWh per annum.</p> <p>625 items of load with the incorrect ballast applied indicating under submission of 5,901 kWh per annum.</p> <p>Combined value of 9,079 kWh under submitted per annum.</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	
<p><b>Low</b></p>	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</p> <p>The combined variance of 9,079 kWh under submitted is considered minor therefore the audit risk rating is low.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>A fix has been put in place to correct the upload file from rounding to the nearest whole number. Data has been backdated for the 14 month washup cycle.</p> <p>ADC are working with Electricity Ashburton to update ballasts in the database to match the EA standards</p>	<p>13/03/18</p> <p>31/03/18</p>	<p><b>Identified</b></p>
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>ADC will run an internal annual audit on the RAMM data comparing listed ballasts with the EA recommendations. Discrepancies will be discussed with Electricity Ashburton and corrected as required.</p>	<p>Ongoing</p>	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3  From: Entire audit period	2 lights not found in the field. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.  Overall the database accuracy was high hence the audit risk rating of low.	
Actions taken to resolve the issue	Completion date	Remedial action status
ADC have undertaken to investigate discrepancies and update where required	31/03/18	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
ADC are undertaking audits and improving maintenance to capture discrepancies	Ongoing	

Tracking of load changes		
Non-compliance	Description	
Audit Ref: 2.6 With: Clause 11(3) of Schedule 15.3  From: Entire audit period	Methven festival lights not included in reporting to Trustpower.  Potential impact: Low  Actual impact: Low  Audit history: None  Controls: Moderate  Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.  The volume associated with the festival lights is minor and therefore the audit risk rating of low.	
Actions taken to resolve the issue	Completion date	Remedial action status
Vested Streetlight data will be sent to Electricity Ashburton for verification before loading into RAMM as part of ADC's vesting procedures.  ADC are investigating the festival lights to confirm if they are metered or unmetered, if they are the Council's lights or belong to other non-council groups and when they are in use (Winter Festival and Holiday season). Once this is determined processes will be put in place to include these lights in the database where needed.	As data is received	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Included in ADC Vesting procedures.	Ongoing	

Database Accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: 15.2 & 15.37(b)  From: entire audit period	Accuracy ratio is 100.21% indicating under submission of 3,178 kWh per annum. 625 items of load with the incorrect ballast applied indicating under submission of 5,901 kWh per annum. Combined value of 9,079 kWh under submitted per annum. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement. The combined variance of 9,079 kWh under submitted is considered minor therefore the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
ADC have undertaken to investigate discrepancies and update where required	31/03/18	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Included in ADC Vesting procedures.	Ongoing	

Volume Information Accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2 With: 15.2 &amp; 15.37(c)  From: entire audit period</p>	<p>Under submission of 15.04 kWh per month due to the rounding of the unmetered load kW figure to the nearest whole number</p> <p>Accuracy ratio is 100.21% indicating under submission of 3,178 kWh per annum.</p> <p>625 items of load with the incorrect ballast applied indicating under submission of 5,901 kWh per annum.</p> <p>Combined value of 9,079 kWh under submitted per annum.</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>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</p> <p>The combined variance of 9,079 kWh under submitted is considered minor therefore the audit risk rating is low.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>A fix has been put in place to correct the upload file from rounding to the nearest whole number. Data has been backdated for the 14 month washup cycle.</p> <p>ADC are working with Electricity Ashburton to update ballasts in the database to match the EA standards</p>	<p>13/03/18</p> <p>31/03/18</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
ADC will run an internal annual audit on the RAMM data comparing listed ballasts with the EA recommendations. Discrepancies will be discussed with Electricity Ashburton and corrected as required.	Ongoing	