

Compliance plan for Kawakawa Community Lighting DUML Audit

Deriving Submission Information		
Non-compliance	Description	
Audit Ref: 2.1 With: 11.1 of schedule 15.3 From: entire audit period	Rounded daily kW figure is resulting in an estimated over submission of 1.33%. All 22 items of permanent load have the incorrect ballast applied indicating under submission of 111.05 kWh per annum. Three 6 watt LED festive lights not recorded in the database and on period not tracked. 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 audit risk rating is low as the errors are all minor in volume.	
Actions taken to resolve the issue	Completion date	Remedial action status
The TRUS upload process has been changed to have as much rounding as the LoadkW field allows. These have been backdated for 14 months, and the latest revisions have been submitted based on the unrounded figures. The ballast will be corrected to the figures in the "Standardised Table to Streetlight Wattages" spreadsheet The three 6W Festive Lights are used over Dec/Jan. A reminder will sent to the customer in December and January to confirm when the lights are in use.	Resolved Completed Resolved	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Upload process altered to take out rounding Comparison of wattage and ballast against the standardised table Database reminder set	Resolved Completed Resolved	

All load recorded in database		
Non-compliance	Description	
<p>Audit Ref: 2.5</p> <p>With: 11(2A) of Schedule 15.3</p> <p>From: entire audit period</p>	<p>Three 6 watt LED festive lights not recorded in the database.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</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 unrecorded festive lights will result in minimal under reporting of submission information during the period that the lights are used, therefore the audit risk rating is low.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
The three 6W Festive Lights are used over Dec/Jan. A reminder will sent to the customer in December and January to confirm when the lights are in use.	Resolved	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Database reminder set	Resolved	

Tracking of load change		
Non-compliance	Description	
Audit Ref: 2.6 With: Clause 11(3) of Schedule 15.3 From: Entire audit period	Tracking of load change not carried out for three 6 watt LED festive lights. 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
The three 6W Festive Lights are used over Dec/Jan. A reminder will sent to the customer in December and January to confirm when the lights are in use.	Resolved	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Database reminder set	Resolved	

Database Accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1 With: 15.2 & 15.37(b) From: entire audit period</p>	<p>All 22 items of permanent load have the incorrect ballast applied indicating under submission of 111.05 kWh per annum. Three 6 watt LED festive lights not recorded in the database. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate 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. The unrecorded festive lights will result in minimal under reporting of submission information during the period that the lights are used. The variance of 111.05 kWh, is considered minor therefore the audit risk rating is low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>The ballast will be corrected to the figures in the "Standardised Table to Streetlight Wattages" spreadsheet</p> <p>The three 6W Festive Lights are used over Dec/Jan. A reminder will sent to the customer in December and January to confirm when the lights are in use..</p>		<p>Completed</p> <p>Resolved</p>	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Comparison of wattage and ballast against the standardised table</p> <p>Database reminder set</p>		<p>Completed</p> <p>Resolved</p>	

Volume Information Accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: 15.2 & 15.37(c)</p> <p>From: entire audit period</p>	<p>Rounded daily kW figure is resulting in an estimated over submission of 1.33%.</p> <p>All 22 items of permanent load have the incorrect ballast applied indicating under submission of 111.05 kWh per annum.</p> <p>Three 6 watt LED festive lights not recorded in the database and on period not tracked.</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 audit risk rating is low as the errors are all minor in volume.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>The TRUS upload process has been changed to have as much rounding as the LoadkW field allows. These have been backdated for 14 months, and the latest revisions have been submitted based on the unrounded figures</p> <p>The ballast will be corrected to the figures in the "Standardised Table to Streetlight Wattages" spreadsheet</p> <p>The three 6W Festive Lights are used over Dec/Jan. A reminder will sent to the customer in December and January to confirm when the lights are in use.</p>	<p>Resolved</p> <p>Complete</p> <p>Resolved</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Upload process altered to take out rounding</p> <p>Comparison of wattage and ballast against the standardised table</p> <p>Database reminder set</p>	<p>Resolved</p> <p>Complete</p> <p>Resolved</p>	