

Compliance plan for Otorohanga DC DUML 2018

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: unknown</p> <p>To: 30-Apr-18</p>	<p>The database used to prepare submissions contains some inaccurate information. The database accuracy is assessed to be 95.5% indicating an estimated over submission of 13,000 kWh per annum.</p> <p>Incorrect ballasts recorded in RAMM.</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>The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time.</p> <p>The impact is assessed to be low, as the differences found in the field will be flowing through to submission as expected.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
TRUS adds ballast to lamp wattages as standard procedure when calculating submission data. TRUS will work with ODC to update the ballast information in the RAMM database	31/07/18	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
TRUS will work with ODC to update the ballast information in the RAMM database and will review new items to ensure the ballast is correct.	Ongoing	

Location of each item of load		
Non-compliance	Description	
Audit Ref: 2.3 With: Clause 11(2)(b) of Schedule 15.3 From: unknown To: 30-Apr-18	Three items of load with insufficient details to locate them. Potential impact: Low Actual impact: None Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong as the RAMM database has good controls in place to manage load location. The impact is assessed to be low, as only three items of load had insufficient details to locate these.	
Actions taken to resolve the issue	Completion date	Remedial action status
TRUS will work with ODC to update the missing location details for the 3 items	31/07/18	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
The current RAMM database has good controls in place, TRUS will review new items added to the database to ensure locations are included	Ongoing	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: unknown</p> <p>To: 30-Apr-18</p>	<p>The database accuracy is assessed to be 94.4% indicating an estimated over submission of 16,000 kWh per annum if these changes don't flow through in the monthly report.</p> <p>Incorrect ballasts recorded in RAMM.</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>The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time.</p> <p>The impact is assessed to be low, as the differences found in the field will be flowing through to submission as expected.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>ODC is currently undertaking a LED roll out and will ensure these are updated to the database as the lights are changed.</p> <p>TRUS adds ballast to lamp wattages as standard procedure when calculating submission data. TRUS will work with ODC to update the ballast information in the RAMM database</p>	<p>Ongoing</p> <p>31/07/18</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>ODC is currently undertaking a LED roll out and will ensure these are updated to the database as the lights are changed.</p>	Ongoing	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c)</p> <p>From: unknown To: 30-Apr-18</p>	<p>The database accuracy is assessed to be 94.4% indicating an estimated over submission of 16,000 kWh per annum if these changes don't flow through in the monthly report. Incorrect ballasts recorded in RAMM.</p> <p>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>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 the differences found in the field will be flowing through to submission as expected.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>ODC is currently undertaking a LED roll out and will ensure these are updated to the database as the lights are changed. TRUS adds ballast to lamp wattages as standard procedure when calculating submission data. TRUS will work with ODC to update the ballast information in the RAMM database</p>	<p>Ongoing 31/07/18</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>ODC is currently undertaking a LED roll out and will ensure these are updated to the database as the lights are changed.</p>	Ongoing	