

Compliance plan for Dunedin CC – 2018

Deriving submission information		
Non-compliance	Description	
Audit Ref: 3.2 Clause 11(1) of Schedule 15.3 From: 01-Apr-17 To: 30-Apr-18	Net over submission by 39,453 kWh per annum Potential impact: High Actual impact: Medium Audit history: Once Controls: Moderate Breach risk rating: 4	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time but there are still some errors. The impact is assessed to be medium, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Contact will assist DCC in identifying and updating these incorrect values and attributes within the DUMML database	Dec 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clauses 11(2)(c) and (d) of Schedule 15.3 From: 01-Apr-17 To: 30-Apr-18	Three ballast wattage differences in the database, with an overall wattage difference equating to 7,935 kW per annum over submission Potential impact: Medium 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 ensure most information is accurate The impact is low based on the annual kWh	
Actions taken to resolve the issue	Completion date	Remedial action status
Contact will assist DCC in identifying and updating these incorrect values and attributes within the DUML database	Dec 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Apr-17 To: 30-Apr-18	7 lights not recorded in the database leading to under submission by 2,481 kWh per annum Potential impact: Medium Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate because they ensure most information is accurate The impact is low based on the annual kWh	
Actions taken to resolve the issue	Completion date	Remedial action status
Contact will assist DCC in identifying and updating these incorrect values and attributes within the DUML database	Dec 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Apr-17 To: 30-Apr-18	The database accuracy is assessed to be 99.5% indicating an estimated over submission of 34,000 kWh per annum Potential impact: High Actual impact: Medium Audit history: Once Controls: Moderate Breach risk rating: 4	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are rated as moderate, because they are sufficient to ensure that the database is accurate most of the time. The impact is assessed to be medium, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Contact will assist DCC in identifying and updating these incorrect values and attributes within the DUMML database	Dec 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 Clause 15.2 and 15.37B(c) From: 01-Apr-17 To: 30-Apr-18	Net over submission by 39,453 kWh per annum Potential impact: High Actual impact: Medium Audit history: Once Controls: Moderate Breach risk rating: 4	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time but there are still some errors. The impact is assessed to be medium, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Contact will assist DCC in identifying and updating these incorrect values and attributes within the DUML database	Dec 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	