# Compliance plan for Waitaki DC – 2018

| Deriving submission information | |
|---|---|
| **Non-compliance** | **Description** |
| Audit Ref: 2.1<br>With: Clause 11(1) of Schedule 15.3<br><br>From: 16-Mar-17<br>To: 30-Apr-18 | Waitaki District Council's database is not being used directly for submission calculations.<br>Net over submission estimated to be 65,566 kWh per annum.<br>Potential impact: High<br>Actual impact: High<br>Audit history: None<br>Controls: Weak<br>Breach risk rating: 9 |
| **Audit risk rating** | **Rationale for audit risk rating** |
| **High** | The controls are rated as weak because WDC's database is not directly being used for submission calculations.<br>The impact is high, due to the estimated kWh wattage difference with a corrected database. |

| Actions taken to resolve the issue | Completion date | Remedial action status |
|---|---|---|
| Contact will engage with Waitaki DC to transition The DUML database from Network Waitaki to Waitaki DC RAMM database.<br>This will allow Contact and Waitaki DC to then investigate and address the database accuracy issues in a more effective and timely manner.<br>It will take some time to transition across to the Waitaki DC RAMM and begin develop processes between Waitaki DC and Contact in identifying and resolving exceptions. | Dec 2018 | Identified |
| **Preventative actions taken to ensure no further issues will occur** | **Completion date** | |
| | | |

| ICP identifier and items of load | |
|---|---|
| **Non-compliance** | **Description** |
| Audit Ref: 2.2<br>With: Clause 11(2)(a) and (aa) of Schedule 15.3<br><br>From: 16-Mar-17<br>To: 21-May-18 | There are five items of load that do not have an ICP identifier recorded against them in the database.<br>Potential impact: Low<br>Actual impact: Low<br>Audit history: None<br>Controls: Strong<br>Breach risk rating: 1 |
| **Audit risk rating** | **Rationale for audit risk rating** |
| **Low** | The controls are rated as strong because only five of the 2442 lamps in the database do not have an ICP number recorded.<br>The impact is low, the wattage for these lamps is 740 W. |

| Actions taken to resolve the issue | Completion date | Remedial action status |
|---|---|---|
| Contact will engage with Waitaki DC to transition The DUML database from Network Waitaki to Waitaki DC RAMM database.<br>This will allow Contact and Waitaki DC to then investigate and address the database accuracy issues in a more effective and timely manner.<br>It will take some time to transition across to the Waitaki DC RAMM and begin develop processes between Waitaki DC and Contact in identifying and resolving exceptions. | Aug 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<br>With: Clause 11(2)(c) and (d) of Schedule 15.3<br><br>From: 16-Mar-17<br>To: 21-May-18 | Inadequate load type recorded in the database for 27 items of load<br>• 16 items with no model or wattage information<br>• 11 items with wattage but no model information<br>Incorrect wattage values in the database, resulting in an estimated 47,293 kWh over submission per annum. 20 lamp types, total of 759 items of load affected.<br>Potential impact: Medium<br>Actual impact: Medium<br>Audit history: None<br>Controls: Weak<br>Breach risk rating: 6 |
| **Audit risk rating** | **Rationale for audit risk rating** |
| **Medium** | The controls are rated as weak because of inconsistent and incorrect ballast assigned to lamp types.<br>The impact is medium, the expected over submission is approaching 50,000 kWh per annum. |

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|---|---|---|
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| **Preventative actions taken to ensure no further issues will occur** | **Completion date** | |
| | | |

| Database accuracy | |
|---|---|
| **Non-compliance** | **Description** |
| Audit Ref: 3.1<br>With: Clause 15.2 and 15.37B(b)<br><br>From: 16-Mar-17<br>To: 21-May-18 | The database has a large number of inaccuracies<br>The field data was 78% of the database data for the sample checked. Indicating over submission of 212,200 kWh per annum<br>Potential impact: High<br>Actual impact: High<br>Audit history: None<br>Controls: Weak<br>Breach risk rating: 9 |
| **Audit risk rating** | **Rationale for audit risk rating** |
| **High** | The controls are rated as weak because they do not mitigate risk to an acceptable level.<br>The impact is high, based on the estimated over submission mentioned above |

| Actions taken to resolve the issue | Completion date | Remedial action status |
|---|---|---|
| Contact will engage with Waitaki DC to transition The DUML database from Network Waitaki to Waitaki DC RAMM database.<br>This will allow Contact and Waitaki DC to then investigate and address the database accuracy issues in a more effective and timely manner.<br>It will take some time to transition across to the Waitaki DC RAMM and begin develop processes between Waitaki DC and Contact in identifying and resolving exceptions. | 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<br>With: Clause 15.2 and 15.37B(c)<br><br>From: 16-Mar-17<br>To: 21-May-18 | The database volume information is not correct.<br>Comparison of WDC's (uncorrected) data with the Networks' data results in estimated under submission of 99,341 kWh per annum.<br>Incorrect lamp and wattage values in the database result in an estimated 47,293 kWh over submission per annum.<br>The field data was 78% of the database data for the sample checked, result in estimated over submission of 212,200 kWh per annum.<br>Net over submission estimated to be 65,566 kWh per annum.<br>Potential impact: High<br>Actual impact: High<br>Audit history: None<br>Controls: Weak<br>Breach risk rating: 9 |
| **Audit risk rating** | **Rationale for audit risk rating** |
| **High** | The controls are rated as weak because they do not mitigate risk to an acceptable level<br>The impact is high, because the net expected over submission if the database was to be used is approx. 65,566 kWh per annum. |

| Actions taken to resolve the issue | Completion date | Remedial action status |
|---|---|---|
| Contact will engage with Waitaki DC to transition The DUML database from Network Waitaki to Waitaki DC RAMM database.<br>This will allow Contact and Waitaki DC to then investigate and address the database accuracy issues in a more effective and timely manner.<br>It will take some time to transition across to the Waitaki DC RAMM and begin develop processes between Waitaki DC and Contact in identifying and resolving exceptions. | Dec 2018 | Identified |
| **Preventative actions taken to ensure no further issues will occur** | **Completion date** | |
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