

Compliance plan for RNZAF Woodbourne DUML Audit 2018

Deriving Submission Information		
Non-compliance	Description	
Audit Ref: 2.1 With: 11(1) of Schedule 15.3 From: entire audit period	Incorrect methodology being used to derive submission. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as weak, as this was set up incorrectly but not identified until this audit. The difference in volume is small therefore the impact on reconciliation is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
Contact has resolved the settlement methodology issues within its systems	Resolved	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

ICP Identifier		
Non-compliance	Description	
Audit Ref: 2.2 With: 11(2)(a) of Schedule 15.3 From: entire audit period	ICP identifier not recorded against each item of load in the database. 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 there is only one ICP associated with this load. There is only one ICP associated with this load and the property owner field correctly identifies this, so there is no impact on reconciliation.	
Actions taken to resolve the issue	Completion date	Remedial action status
Contact has requested the DURL database owner to populate ICP number into the relevant field in their database	July 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Location of each item of load		
Non-compliance	Description	
Audit Ref: 2.3 With: 11(2)(b) of Schedule 15.3 From: entire audit period	Three items of load with insufficient location details recorded. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as strong, as all but three items had sufficient location details. The audit risk rating is low as this has no impact on reconciliation.	
Actions taken to resolve the issue	Completion date	Remedial action status
Contact has requested the DUML database owner to populate the relevant information into their database which was available in the previous version of their streetlight database	July 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: 15.2 & 15.37B(b) From: entire audit period	45 Incorrect lamp capacities resulting in an estimated over submission of 92 kWh 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 the database does record total wattage but is using incorrect values. The incorrect lamp capacities would result in an estimated 92 kWh over submission per annum therefore the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
Contact has requested the database owner to provide any reference information / technical specifications of the installed lights to support their circuit wattage values. Where this information is available then the current values will remain – however if the database owner is unable to provide supporting information then Contact will recommend that the Authority's standardized values be applied	July 2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: 15.2 & 15.37B(c) From: entire audit period	Incorrect values used to derive submission. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as weak, as this was set up incorrectly, but not identified until this audit. The difference in volume is small (3,489 kWh per annum) therefore the impact on reconciliation is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
Contact has resolved the settlement methodology issues within its systems	Resolved	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	