

Compliance plan for Invercargill CC – Nov 2018

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 23-Mar-18 To: 05-Oct-18	Incorrect wattage and ballasts in the database resulting in an estimated 10,340.5 kWh over submission. The database accuracy is assessed to be 92.1% indicating a potential over submission of approximately 283,400 kWh per annum. Potential impact: High Actual impact: High Audit history: Once Controls: Moderate Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
High	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, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
We have spoken to ICC and they have said they are working on the DB to ensure that it is accurate and updated	7/12/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Once the database has been corrected, this matter should never arise again	7/12/2018	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 23-Mar-18 To: 05-Oct-18	One 70W HPS lamp located on McQuarrie Street that is not included in the database. 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 are sufficient to ensure that most information is accurate. The impact is assessed to be low as the only one extra lamp was found.	
Actions taken to resolve the issue	Completion date	Remedial action status
ICC are investigating with a view to updating the accuracy and completeness of the database as soon as possible.	7/12/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Once this is corrected then the database will be correct going forward.	7/12/2018	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 23-Mar-18 To: 05-Oct-18	The database accuracy is assessed to be 92.1% indicating a potential over submission of approximately 283,400 kWh per annum. Incorrect database wattage and ballast values amount to an estimated 10,340.5 kWh over submission. Potential impact: High Actual impact: High Audit history: Twice Controls: Moderate Breach risk rating:6	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time. The impact is assessed to be high, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
We have spoken to ICC and they have said they are working on the DB to ensure that it is accurate and updated.	7/12/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Once this has been corrected then this should not reoccur.	7/12/2018	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: entire audit period</p>	<p>Incorrect database wattage and ballast values amount to an estimated 10,340.5 kWh over submission.</p> <p>The database accuracy is assessed to be 92.1% indicating a potential over submission of approximately 283,400 kWh per annum.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
High	<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, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
ICC have indicated they are currently working on getting a procedure in place that will eliminate this.	7/12/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Once the procedure is in place it this should not reoccur.	7/12/2018	