

## Compliance plan for Ashburton DC (Meridian) – 2019

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: 09-Apr-19</p>	<p>The database contains some inaccurate data.</p> <p>The field data is 73.9% of the database data for the sample checked. This will result in potential over submission of 217,900 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUML database auditing tool).</p> <p>Two lamps had incorrect gear wattages recorded, and were corrected during the audit. The error resulted in over submission of 8W or 34 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUML database auditing tool).</p> <p>Five private lights which ADC is not responsible for were recorded in the database, resulting in over submission of 325W or 1388 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUML database auditing tool).</p> <p>Festive and decorative lights are unmetered, but are not recorded in RAMM.</p> <p>Four lights were assigned to an ICP which is not settled, resulting in under submission of 394W or 1682 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUML database auditing tool).</p> <p>Potential impact: High</p> <p>Actual impact: Unknown</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>
Audit risk rating	Rationale for audit risk rating
<p><b>High</b></p>	<p>The controls are rated as weak, because they are not sufficient to ensure that database wattage is accurate.</p> <p>The impact is assessed to be high based on the wattage differences described above.</p>

Actions taken to resolve the issue	Completion date	Remedial action status
<p>The LED upgrade program is now complete and all resulting changes to lamp information and wattages have been made in the database. As noted, this is expected to improve the accuracy of the database significantly as the majority of discrepancy found during the field audit were associated with upgraded lamps that had not been changed in the database.</p>	May 2019	Identified
<p>The council is in the process of identifying the lamps associated with the decorative and festive lighting so these can be added to the database.</p>	Nov 2019	
<p>The 4 lights that were assigned to an ICP that is not settled have now been assigned to the correct ICP</p>	April 2019	
Preventative actions taken to ensure no further issues will occur	Completion date	
See above		

ICP identifier and items of load		
Non-compliance	Description	
<p>Audit Ref: 2.2 With: Clause 11(2)(a) and (aa) of Schedule 15.3 From: unknown To: 09-Apr-19</p>	<p>Four lights were assigned to an ICP which is not settled.</p> <p>Potential impact: Low Actual impact: Unknown Audit history: None Controls: Moderate Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are rated as moderate, because almost all lights are assigned to a settled ICP.</p> <p>The impact is assessed to be low, the total wattage of the lights assigned to ICP 0000000000EAZZZ is 394W or 1682 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUML database auditing tool).</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
The 4 lights that were assigned to an ICP that is not settled have now been assigned to the correct ICP	April 2019	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: unknown To: 09-Apr-19	Festive and decorative lights are not recorded in the database. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	Controls are rated as weak, because festive lights are currently excluded from the database. The impact is expected to be low, because only festive and decorative lights are affected.	
Actions taken to resolve the issue	Completion date	Remedial action status
The council is in the process of identifying the lamps associated with the decorative and festive lighting so these can be added to the database.	Nov 2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

<b>Database accuracy</b>	
<b>Non-compliance</b>	<b>Description</b>
<p>Audit Ref: 3.1  With: Clause 15.2 and 15.37B(b)</p> <p>From: unknown  To: 09-Apr-19</p>	<p>The database contains some inaccurate data.</p> <p>The field data is 73.9% of the database data for the sample checked. This will result in potential over submission of 217,900 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUMML database auditing tool).</p> <p>Two lamps had incorrect gear wattages recorded, and were corrected during the audit. The error resulted in over submission of 8W or 34 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUMML database auditing tool).</p> <p>Five private lights which ADC is not responsible for were recorded in the database, resulting in over submission of 325W or 1388 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUMML database auditing tool).</p> <p>Festive and decorative lights are unmetered, but are not recorded in RAMM.</p> <p>Four lights were assigned to an ICP which is not settled, resulting in under submission of 394W or 1682 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUMML database auditing tool).</p> <p>Potential impact: High  Actual impact: Unknown  Audit history: None  Controls: Weak  Breach risk rating: 9</p>
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>
<b>High</b>	<p>The controls are rated as weak, because they are not sufficient to ensure that database wattage is accurate.</p> <p>The impact is assessed to be high based on the wattage differences described above.</p>

Actions taken to resolve the issue	Completion date	Remedial action status
<p>The LED upgrade program is now complete and all resulting changes to lamp information and wattages have been made in the database. As noted, this is expected to improve the accuracy of the database significantly as the majority of discrepancy found during the field audit were associated with upgraded lamps that had not been changed in the database.</p>	May 2019	Identified
<p>The council is in the process of identifying the lamps associated with the decorative and festive lighting so these can be added to the database.</p>	Nov 2019	
<p>The 4 lights that were assigned to an ICP that is not settled have now been assigned to the correct ICP</p>	April 2019	
Preventative actions taken to ensure no further issues will occur	Completion date	

Volume information accuracy	
Non-compliance	Description
<p>Audit Ref: 3.2 With: Clause 11(1) of Schedule 15.3</p> <p>From: unknown</p>	<p>The database contains some inaccurate data.</p> <p>The field data is 73.9% of the database data for the sample checked. This will result in potential over submission of 217,900 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUMML database auditing tool).</p> <p>Two lamps had incorrect gear wattages recorded, and were corrected during the audit. The error resulted in over submission of 8W or 34 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUMML database auditing tool).</p> <p>Five private lights which ADC is not responsible for were recorded in the database, resulting in over submission of 325W or 1388 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUMML database auditing tool).</p> <p>Festive and decorative lights are unmetered, but are not recorded in RAMM.</p> <p>Four lights were assigned to an ICP which is not settled, resulting in under submission of 394W or 1682 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUMML database auditing tool).</p> <p>Potential impact: High Actual impact: Unknown Audit history: Once</p>

To: 09-Apr-19	Controls: Weak Breach risk rating: 9	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>High</b>	The controls are rated as weak, because they are not sufficient to ensure that database wattage is accurate.  The impact is assessed to be high based on the wattage differences described above.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
The LED upgrade program is now complete and all resulting changes to lamp information and wattages have been made in the database. As noted, this is expected to improve the accuracy of the database significantly as the majority of discrepancy found during the field audit were associated with upgraded lamps that had not been changed in the database.  The council is in the process of identifying the lamps associated with the decorative and festive lighting so these can be added to the database.  The 4 lights that were assigned to an ICP that is not settled have now been assigned to the correct ICP	May 2019  Nov 2019  April 2019	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	