

# Compliance plan for Queenstown Lakes District Council – 2019

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1 With: 11(1) of Schedule 15.3</p> <p>From: 01-Nov-18 To: 28-Feb-19</p>	<p>The field data was 93.7% of the database data for the sample checked. This will result in potential over submission of 86,400 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUMML database auditing tool).</p> <p>151 items of load with incomplete lamp descriptions and zero wattage recorded indicating a potential estimated under submission of 53,528 kWh per annum.</p> <p>Nine items of load with and incorrect lamp and wattage combination.</p> <p>80 items of load with the incorrect ballast recorded resulting in a minor estimated annual under submission of 2,773 kWh (based on annual burn hours of 4,271 as detailed in the DUMML database auditing tool).</p> <p>Queenstown winter festival lights are not recorded in RAMM.</p> <p>Potential impact: High Actual impact: High Audit history: Once previously Controls: Moderate Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
<b>High</b>	<p>The controls are rated as moderate, they have been weak but QLDC have appointed a new contractor and this will move the controls to be moderate with the expectation that controls will move to strong once the full field audit is completed.</p> <p>The impact is assessed to be high due to volume of additional lights found in the field.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Contact will continue to work with QLDC on ensuring the accuracy of their database		23/05/2019	
Preventative actions taken to ensure no further issues will occur		Completion date	
Contact is in regular contact with QLDC on their database. We will also continue to complete quarterly checks on the database. The full field check should also highlight some more accurate information		23/05/2019	

Location of each item of load		
Non-compliance	Description	
Audit Ref: 2.3 With: 11(2)(b) of Schedule 15.3  From: 01-Nov-18 To: 28-Feb-19	103 items of load not readily locatable  Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as moderate, historically this data was not maintained as expected. QLDC are undertaking a full field audit that will address these items hence I have rated controls as moderate.  The audit risk rating is low as this represents a small percentage of the database.	
Actions taken to resolve the issue	Completion date	Remedial action status
Contact will continue to work with QLDC on ensuring the accuracy of their database	23/05/2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Contact is in regular contact with QLDC on their database. We will also continue to complete quarterly checks on the database. The full field check should also highlight some more accurate information	23/05/2019	

Description and capacity of each item of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: 01-Nov-18 To: 28-Feb-19	151 items of load with incomplete lamp descriptions and zero wattage recorded indicating a potential estimated under submission of 53,528 kWh per annum. Potential impact: High Actual impact: High Audit history: Multiple Controls: Moderate Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	The controls are rated as moderate, historically this data was not maintained as expected. QLDC are undertaking a complete data cleanse that will address these items hence I have rated controls as moderate.  The impact is assessed to be low, as this represents 2.8% of the total load.	
Actions taken to resolve the issue	Completion date	Remedial action status
Contact will continue to work with QLDC on ensuring the accuracy of their database	23/05/2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Contact is in regular contact with QLDC on their database. We will also continue to complete quarterly checks on the database. The full field check should also highlight some more accurate information	23/05/2019	

All load recorded in database			
Non-compliance	Description		
<p>Audit Ref: 2.5</p> <p>With: Clause 11(2A) and (d) of Schedule 15.3</p> <p>From: 01-Nov-18</p> <p>To: 28-Feb-19</p>	<p>24 additional items of load found.</p> <p>Queenstown winter festival lights are not recorded in RAMM.</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		
<b>High</b>	<p>The controls are rated as moderate, they have been weak but QLDC have appointed a new contractor and this will move the controls to be moderate with the expectation that controls will move to strong once the full field audit is completed.</p> <p>The impact is assessed to be high due to volume of additional lights found in the field.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Contact will continue to work with QLDC on ensuring the accuracy of their database		23/05/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Contact is in regular contact with QLDC on their database. We will also continue to complete quarterly checks on the database. The full field check should also highlight some more accurate information. QLDC are also completing a full audit of their assets		23/05/2019	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Nov-18</p> <p>To: 28-Feb-19</p>	<p>The database contains some inaccurate data.</p> <p>The field data was 93.7% of the database data for the sample checked. This will result in potential over submission of 86,400 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUMML database auditing tool).</p> <p>151 items of load with incomplete lamp descriptions and zero wattage recorded indicating a potential estimated under submission of 53,528 kWh per annum.</p> <p>Nine items of load with and incorrect lamp and wattage combination.</p> <p>80 items of load with the incorrect ballast recorded resulting in a minor estimated annual under submission of 2,773 kWh (based on annual burn hours of 4,271 as detailed in the DUMML database auditing tool).</p> <p>Queenstown winter festival lights are not recorded in RAMM.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Once previously</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, they have been weak but QLDC have appointed a new contractor and this will move the controls to be moderate with the expectation that controls will move to strong once the full field audit is completed.</p> <p>The impact is assessed to be high due to volume of additional lights found in the field.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Contact will continue to work with QLDC on ensuring the accuracy of their database		23/05/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Contact is in regular contact with QLDC on their database. We will also continue to complete quarterly checks on the database. The full field check should also highlight some more accurate information		23/05/2019	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-Nov-18</p> <p>To: 28-Feb-19</p>	<p>The field data was 93.7% of the database data for the sample checked. This will result in potential over submission of 86,400 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUMML database auditing tool).</p> <p>151 items of load with incomplete lamp descriptions and zero wattage recorded indicating a potential estimated under submission of 53,528 kWh per annum.</p> <p>Nine items of load with and incorrect lamp and wattage combination.</p> <p>80 items of load with the incorrect ballast recorded resulting in a minor estimated annual under submission of 2,773 kWh (based on annual burn hours of 4,271 as detailed in the DUMML database auditing tool).</p> <p>Queenstown winter festival lights are not recorded in RAMM.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Once previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	<p>The controls are rated as moderate, they have been weak but QLDC have appointed a new contractor and this will move the controls to be moderate with the expectation that controls will move to strong once the full field audit is completed.</p> <p>The impact is assessed to be high due to volume of additional lights found in the field.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Contact will continue to work with QLDC on ensuring the accuracy of their database	23/05/2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Contact is in regular contact with QLDC on their database. We will also continue to complete quarterly checks on the database. The full field check should also highlight some more accurate information	23/05/2019	