

Compliance plan for Rotorua Lakes Council – December 2018

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Jun-17 To: 19-Nov-18	The database accuracy is assessed to be 96% indicating an estimated over submission of 136,300 kWh per annum. Incorrect profile recorded on the registry for ICP 0001264717UNC3A. Potential impact: High Actual impact: High Audit history: Three times previously 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 high, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
As indicated by the auditor, the data will be more accurate in the next audit period.	November 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Jun-17</p> <p>To: 19-Nov-18</p>	<p>The database accuracy is assessed to be 96% indicating an estimated over submission of 136,300 kWh per annum.</p> <p>3 items of load with conflicting lamp description, wattage and ballast combinations.</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 changes to the database are correctly recorded most of the time.</p> <p>The impact is assessed to be high, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Mercury continues to work with the Council selected contractor to resolve this issue.		November 2019	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	

Volume information accuracy			
Non-compliance	Description		
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 01-Jun-17 To: 19-Nov-18	The database accuracy is assessed to be 96% indicating an estimated over submission of 136,300 kWh per annum. Incorrect profile recorded on the registry for ICP 0001264717UNC3A. Potential impact: High Actual impact: High Audit history: Three times previously Controls: Moderate Breach risk rating: 6		
Audit risk rating	Rationale for audit risk rating		
High	The controls are rated as moderate, because the database management and submission calculation controls will mitigate risk 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
As indicated in the findings, the data will be more accurate from November.		March 2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	