

Compliance plan for Gore District Council – 2019

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Sep-18 To: 01-Apr-19</p>	<p>The database accuracy is assessed to be 90.1% of the database for the sample checked indicating a potential over submission of approximately 46,600 kWh per annum.</p> <p>Festive lighting and decorative lighting in the park beside Medway Road not recorded in RAMM and therefore not reconciled.</p> <p>Estimated potential under submission of 41,786 kWh per annum due to incorrect lamp wattage and ballasts being used.</p> <p>Potential impact: High Actual impact: High Audit history: Multiple times</p> <p>Controls: Moderate Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as moderate as the GDC RAMM database is being used for reconciliation and there are good controls in place to ensure that the database is kept up to date and accurate, but errors can still occur.</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
<p>All under verandah lighting has now been inspected and correct wattages are in the process of being updated in RAMM</p> <p>Festive and decorative lighting will be confirmed and added to the database</p> <p>Incorrect wattages and ballasts identified have been passed to GDC for correction.</p>	<p>31 July 2019</p> <p>31 July 2019</p> <p>31 July 2019</p>	<p>Identified</p>
Preventative actions taken to ensure no further issues will occur	Completion date	

All load recorded in the database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Sep-18 To: 01-Apr-19	Four additional lights found in the field. Festive lighting and decorative lighting in the park beside Medway Road not recorded in RAMM. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as moderate as the GDC RAMM database is being used for reconciliation and there are good controls in place to ensure that the database is kept up to date and accurate, but errors can still occur. The impact is assessed to be low as the volume of additional lights found in the field as a percentage of the overall sample checked is small and the database is relatively static.		
Actions taken to resolve the issue		Completion date	Remedial action status
Festive and decorative lighting will be confirmed and added to the database Discrepancies identified during the field audit have been passed to GDC for correction.		31 July 2019	Identified
		31 July 2019	
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-Sep-18</p> <p>To: 01-Apr-19</p>	<p>The database accuracy is assessed to be 90.1% of the database for the sample checked indicating a potential over submission of approximately 46,600 kWh per annum.</p> <p>Festive lighting and decorative lighting in the park beside Medway Road not recorded in RAMM.</p> <p>Estimated potential under submission of 41,786 kWh per annum due to incorrect lamp wattage and ballasts being used.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Twice</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 as the GDC RAMM database is being used for reconciliation and there are good controls in place to ensure that the database is kept up to date and accurate, but errors can still occur.</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
All under verandah lighting has now been inspected and correct wattages are in the process of being updated in RAMM		31 July 2019	Identified
Festive and decorative lighting will be confirmed and added to the database		31 July 2019	
Incorrect wattages and ballasts identified have been passed to GDC for correction.		31 July 2019	
Preventative actions taken to ensure no further issues will occur		Completion date	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 20-Mar-18</p> <p>To: 31-Aug-18</p>	<p>The database accuracy is assessed to be 90.1% of the database for the sample checked indicating a potential over submission of approximately 46,600 kWh per annum.</p> <p>Festive lighting and decorative lighting in the park beside Medway Road not recorded in RAMM and therefore not reconciled.</p> <p>Estimated potential under submission of 41,786 kWh per annum due to incorrect lamp wattage and ballasts being used.</p> <p>Potential impact: High</p> <p>Actual impact: Unknown</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as moderate as the GDC RAMM database is being used for reconciliation and there are good controls in place to ensure that the database is kept up to date and accurate, but errors can still occur.</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
<p>All under verandah lighting has now been inspected and correct wattages are in the process of being updated in RAMM. Historic submission information will be revised once updates are complete.</p> <p>Festive and decorative lighting will be confirmed and added to the database</p> <p>Incorrect wattages and ballasts identified have been passed to GDC for correction.</p>	<p>31 July 2019</p> <p>31 July 2019</p> <p>31 July 2019</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	