

Compliance plan for Kawakawa Community Lighting DUML – 2019

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 16-Feb-18 To: 25-Nov-19	Database accuracy is estimated as 38% higher than the wattage installed in the field resulting in an over submission of 1,785.53 kWh per annum. The data used for submission does not track changes at a daily basis and is provided as a snapshot. Potential impact: Low Actual impact: Low Audit history: Once Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as weak as changes in the database are not being managed as expected. The audit risk rating is assessed to be low due to the kWh volumes.	
Actions taken to resolve the issue		Completion date
Database updated accordingly.		28/11/19
Preventative actions taken to ensure no further issues will occur		Completion date
No action required.		
		Identified

Non-compliance	Description		
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 16-Feb-18 To: 25-Nov-19	Database accuracy is estimated as 38% higher than the wattage installed in the field resulting in an over submission of 1,785.53 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Three times Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as weak as changes in the database are not being managed as expected. The impact is assessed to be low due to the estimated impact on submission.		
Actions taken to resolve the issue		Completion date	Remedial action status
Database updated accordingly.		28/11/19	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
nil			

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 16-Feb-18 To: 25-Nov-19	Database accuracy is estimated as 38% higher than the wattage installed in the field resulting in an over submission of 1,785.53 kWh per annum. The data used for submission does not track changes at a daily basis and is provided as a snapshot. Potential impact: Low Actual impact: Low Audit history: Three times Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as weak as changes in the database are not being managed as expected. The audit risk rating is low as the errors are all minor in volume.	
Actions taken to resolve the issue	Completion date	Remedial action status
Database updated accordingly.	Date	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
NIL		