

## Compliance plan for South Waikato DC DUML – 2019

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-May-18 To: 18-Nov-19</p>	<p>In absolute terms, total annual consumption is estimated to be 9,400 kWh lower than the DUML database indicates.</p> <p>Submission is based on a snapshot and does not consider historic adjustments</p> <p>Incorrect ballasts resulting in under submission of 1,725 kWh per annum.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are rated as moderate, because they are sufficient to ensure that wattage information is correctly recorded most of the time.</p> <p>The impact is assessed to be low, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
We will pass inaccuracies identified to the council to update the database in the short term.	31 Dec 2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
As reported, this DUML is to be metered by the end of 2020.	31 Dec 2020	

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-May-18 To: 18-Nov-19	Three additional items of load found in the field audit 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, because they are sufficient to ensure that lamp information is correctly recorded most of the time. The impact is assessed to be low as only three additional items of load were found in the field audit.		
Actions taken to resolve the issue		Completion date	Remedial action status
We will pass inaccuracies identified to the council to update the database in the short term.		31 Dec 2019	
Preventative actions taken to ensure no further issues will occur		Completion date	
As reported, this DUML is to be metered by the end of 2020.		31 Dec 2020	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-May-18</p> <p>To: 18-Nov-19</p>	<p>In absolute terms, total annual consumption is estimated to be 9,400 kWh lower than the DUML database indicates.</p> <p>184 items of load have incorrect ballast figures, resulting in under submission of 1,725 kWh per annum</p> <p>location details are inaccurate for four items of load.</p> <p>1,655 LED items of load have insufficient detail in the description to confirm the accuracy of the wattage</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time.</p> <p>The impact is assessed to be low, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
We will pass inaccuracies identified to the council to update the database in the short term.		31 Dec 2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
As reported, this DUML is to be metered by the end of 2020.		31 Dec 2020	

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-May-18</p> <p>To: 18-Nov-19</p>	<p>In absolute terms, total annual consumption is estimated to be 9,400 kWh lower than the DUML database indicates.</p> <p>Submission is based on a snapshot and does not consider historic adjustments</p> <p>Incorrect ballasts resulting in under submission of 1,725 kWh per annum.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
We will pass inaccuracies identified to the council to update the database in the short term.		31 Dec 2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
As reported, this DUML is to be metered by the end of 2020.		31 Dec 2020	