

Compliance plan for Tauranga Parks DUML – 2019

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: 11(1) of Schedule 15.3 From: 01-May-18 To: 26-Nov-19	The field audit found a total wattage of 19,551 and the database recorded 21,324. The difference indicates over submission of 7,572 kWh per annum. Submission is based on a snapshot of the database at the end of the month and does not consider historic adjustments or the fact that lights can be livened before they are entered into the database. Potential impact: Medium Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate, because they are sufficient to ensure that lamp details are correct most of the time The impact is rated as low because the impact on settlement of the database inaccuracy is 7,572 kWh.	
Actions taken to resolve the issue	Completion date	Remedial action status
Tga City Council are in the process of shifting this database into Ramm. Once this is completed the contractor will be able update all lamps and locations and bring the database upto date.	Proposed date of completion 31 March.	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Once the database has been switched over to Ramm this will maintain compliance.	31 March	

Location of each item of load		
Non-compliance	Description	
Audit Ref: 2.3 With: Clause 11(2)(b) of Schedule 15.3 From: 01-May-18 To: 26-Nov-19	Two records without a location description Potential impact: Low Actual impact: Low Audit history: Once Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as strong because they mitigate risk most of the time. The impact on settlement and participants is minor; therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Tga City Council are in the process of shifting this database into Ramm. Once this is completed the contractor will be able update all lamps and locations and bring the database upto date.		Proposed date of completion 31 March.
Preventative actions taken to ensure no further issues will occur		Completion date
Once the database has been switched over to Ramm this will maintain compliance.		31 March
		Identified

Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 With: Clause 11(2)(b) of Schedule 15.3 From: 01-May-18 To: 26-Nov-19	Gear wattage not recorded in the database Potential impact: Medium 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 because the gear wattage data is not present at all The impact is rated as low because of the low numbers and because the ballast wattage is correctly added ensure submission is correct.		
Actions taken to resolve the issue		Completion date	Remedial action status
Tga City Council are in the process of shifting this database into Ramm. Once this is completed the contractor will be able update all lamps and locations and bring the database upto date.		Proposed date of completion 31 March.	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Once the database has been switched over to Ramm this will maintain compliance.		31 March	

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: 26-Nov-19	The field audit identified three lamps which was not recorded in the database. Potential impact: Medium Actual impact: Low Audit history: Twice previously Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as strong, as they are sufficient to ensure that most database information is recorded correctly. The impact is rated as low because the impact on settlement is minor for three lights		
Actions taken to resolve the issue		Completion date	Remedial action status
Tga City Council are in the process of shifting this database into Ramm. Once this is completed the contractor will be able update all lamps and locations and bring the database upto date.		Proposed date 31 March	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Once the database has been switched over to Ramm this will maintain compliance.		31 March	

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: 26-Nov-19</p>	<p>The field audit found a total wattage of 19,551 and the database recorded 21,324. The difference indicates over submission of 7,572 kWh per annum.</p> <p>Two records do not have a location description.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as moderate, because they are sufficient to ensure that lamp details are correct most of the time</p> <p>The impact is rated as low because the impact on settlement of the database inaccuracy is approximately 7,572 kWh per annum</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Tga City Council are in the process of shifting this database into Ramm. Once this is completed the contractor will be able update all lamps and locations and bring the database upto date.		Proposed date for completion 31 March	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Once the database has been switched over to Ramm this will maintain compliance.		31 March	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: unknown</p> <p>To: 30-Apr-18</p>	<p>The field audit found a total wattage of 19,551 and the database recorded 21,324. The difference indicates over submission of 7,572 kWh per annum.</p> <p>Submission is based on a snapshot of the database at the end of the month and does not consider historic adjustments or the fact that lights can be lived in before they are entered into the database.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as moderate, because they are sufficient to ensure that lamp details are correct most of the time</p> <p>The impact is rated as low because the impact on settlement of the database inaccuracy is 7,572 kWh.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Tga City Council are in the process of shifting this database into Ramm. Once this is completed the contractor will be able update all lamps and locations and bring the database upto date.		Proposed date for completion 31 March	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Once the database has been switched over to Ramm this will maintain compliance.		31 March	