

## Compliance plan for Hamilton City Council DUML – 2019

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Dec-18</p> <p>To: 10-Dec-19</p>	<p>In absolute terms, total annual consumption is estimated to be 7,800 kWh lower than the DUML database indicates</p> <p>Analysis of the ballasts applied indicate an under submission of 37,812 kWh per annum.</p> <p>Christmas light volumes included for the whole year and not the electrically connected period.</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 before they are entered into the database.</p> <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: Three times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</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
<p>The issues identified in this report will be raised with HCC for resolution including;</p> <ul style="list-style-type: none"> <li>• Correction of remaining incorrect ballasts</li> <li>• Resolution of Christmas light volumes in the database</li> <li>• Update of invalid light descriptions</li> <li>• Review of field audit findings</li> </ul>	31 Dec 2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Once the database is up to date, current processes should ensure this remains materially accurate		



All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Dec-18 To: 10-Dec-19	Eight items of load are missing from the database. Potential impact: Low Actual impact: Low Audit history: Twice 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 rated as low because the quantity was low.	
Actions taken to resolve the issue	Completion date	Remedial action status
Field audit findings will be provided to HCC for review	31 March 2020	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-Dec-18</p> <p>To: 10-Dec-19</p>	<p>In absolute terms, total annual consumption is estimated to be 7,800 kWh lower than the DUML database indicates</p> <p>Analysis of the database identified 171 items of load with an invalid light description.</p> <p>Analysis of the ballasts applied indicate an under submission of 37,812 kWh per annum.</p> <p>Christmas light volumes included for the whole year and not the electrically connected period.</p> <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Medium</b>	<p>The controls are rated as moderate, because the inaccuracies are being addressed through the LED roll out and accuracy will continue to improve.</p> <p>The impact is assessed to be medium, based on the kWh differences described above and in sections <b>2.1 &amp; 3.2</b>.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>The issues identified in this report will be raised with HCC for resolution including;</p> <ul style="list-style-type: none"> <li>• Correction of remaining incorrect ballasts</li> <li>• Resolution of Christmas light volumes in the database</li> <li>• Update of invalid light descriptions</li> </ul> <p>Review of field audit findings</p>		31 Dec 2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Once the database is up to date, current processes should ensure this remains materially accurate			

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-Dec-18</p> <p>To: 10-Dec-19</p>	<p>In absolute terms, total annual consumption is estimated to be 7,800 kWh lower than the DUML database indicates</p> <p>Analysis of the ballasts applied indicate an under submission of 37,812 kWh per annum.</p> <p>Christmas light volumes included for the whole year and not the electrically connected period.</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 livened before they are entered into the database.</p> <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: Three times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Medium</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
<p>The issues identified in this report will be raised with HCC for resolution including;</p> <ul style="list-style-type: none"> <li>• Correction of remaining incorrect ballasts</li> <li>• Resolution of Christmas light volumes in the database</li> <li>• Update of invalid light descriptions</li> </ul> <p>Review of field audit findings</p>		31 Dec 2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Once the database is up to date, current processes should ensure this remains materially accurate			