

## Compliance plan for Western Bay of Plenty District Council – 2019

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 Clause 11(1) of Schedule 15.3</p> <p>From: 01-Mar-19 To: 26-Nov-19</p>	<p>New lights not added to the RAMM database within the month of electrical connection. 32 new lights not in the RAMM database equating to an estimated annual under submission of 4,117 kWh.</p> <p>In absolute terms, total annual consumption is estimated to be 12,600 kWh higher than the DUML database indicates.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: Three times Controls: Weak Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	<p>The controls are rated as weak as new lights are not added to RAMM within the month of being electrically connected.</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 WBOPDC are responsible for notifying WestLink of any new installation. There are errors with how this happens because WBOPDC do not have appropriate processes and controls in place.</p> <p>Several meetings with WBOPDC have taken place to focus on getting lists of installed and connected lamps entered in the database, as well as a focus on remedying business processes. Despite assurances not all processes and outcomes comply.</p> <p>Another meeting will be scheduled using this audit report as motivation for further improvement.</p>	<p>Unknown but will expect before 31 March 20.</p>	<p>Identified</p>
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>A follow-up meeting will occur with the council to focus on and put processes in place to address the areas of non-compliance identified (and re-occurring) in this audit.</p>	<p>ASAP</p>	

<b>All load recorded in database</b>		
<b>Non-compliance</b>	<b>Description</b>	
<p>Audit Ref: 2.5</p> <p>With: Clause 11(2A) of Schedule 15.3</p> <p>From: 01-Jul-17</p> <p>To: 26-Nov-19</p>	<p>13 additional lights found in the field audit.</p> <p>32 lights electrically connected but not recorded in the database since July 2017.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Twice previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	<p>The controls are rated as weak as new lights are not added to the database as required by the code.</p> <p>The impact is low as the volume of missing lights identified is small.</p>	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
<p>The WBOPDC are responsible for notifying WestLink of any new installation. There are errors with how this happens because WBOPDC do not have appropriate processes and controls in place.</p> <p>Several meetings with WBOPDC have taken place to focus on getting lists of installed and connected lamps entered in the database, as well as a focus on remedying business processes. Despite assurances not all processes and outcomes comply.</p> <p>Another meeting will be scheduled using this audit report as motivation for further improvement.</p>	<p>Unknown but will expect before 31 March 20.</p>	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
<p>A follow-up meeting will occur with the council to focus on and put processes in place to address the areas of non-compliance identified (and re-occurring) in this audit.</p>	<p>ASAP</p>	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Jul-17</p> <p>To: 26-Nov-19</p>	<p>In absolute terms, total annual consumption is estimated to be 12,600 kWh lower than the DUML database indicates.</p> <p>New lights not added to the RAMM database within the month of electrical connection. 32 new lights not in the RAMM database equating to an estimated annual under submission of 4,117 kWh.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Twice previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	<p>The controls are rated as weak as new lights are not added to RAMM within the month of being electrically connected.</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 WBOPDC are responsible for notifying WestLink of any new installation. There are errors with how this happens because WBOPDC do not have appropriate processes and controls in place.</p> <p>Several meetings with WBOPDC have taken place to focus on getting lists of installed and connected lamps entered in the database, as well as a focus on remedying business processes. Despite assurances not all processes and outcomes comply.</p> <p>Another meeting will be scheduled using this audit report as motivation for further improvement.</p>	Unknown but will expect before 31 March 20.	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
A follow-up meeting will occur with the council to focus on and put processes in place to address the areas of non-compliance identified (and re-occurring) in this audit.	ASAP	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2 Clause 15.2 and 15.37B(c)</p> <p>From: 01-Mar-19 To: 26-Nov-19</p>	<p>New lights not added to the RAMM database within the month of electrical connection. 32 new lights not in the RAMM database equating to an estimated annual under submission of 4,117 kWh.</p> <p>In absolute terms, total annual consumption is estimated to be 12,600 kWh higher than the DUML database indicates.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: Three times Controls: Weak Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are rated as weak as new lights are not added to RAMM within the month of being electrically connected.</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 WBOPDC are responsible for notifying WestLink of any new installation. There are errors with how this happens because WBOPDC do not have appropriate processes and controls in place.</p> <p>Several meetings with WBOPDC have taken place to focus on getting lists of installed and connected lamps entered in the database, as well as a focus on remedying business processes. Despite assurances not all processes and outcomes comply.</p> <p>Another meeting will be scheduled using this audit report as motivation for further improvement.</p>	Unknown but will expect before 31 March 20.	Identified
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A follow-up meeting will occur with the council to focus on and put processes in place to address the areas of non-compliance identified (and re-occurring) in this audit.	ASAP	