

Compliance plan for Hauraki DC DUML – 2020

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-Sep-19</p> <p>To: 31-Aug-20</p>	<p>In absolute terms, total annual consumption is estimated to be 11,200 kWh lower than the DUML database indicates.</p> <p>Submission is based on a snapshot and does not consider historic adjustments.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are rated as moderate, because they are sufficient to ensure that changes to the database are 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 accuracy issues raised in this report have been provided to the council for resolution.</p> <p>Where we are aware of significant retrospective changes to database quantities historic submissions are revised accordingly.</p> <p>Processes and reporting to manage minor retrospective/mid month changes (e.g. bulb changes/removals/additions) are being considered.</p>		<p>18 Sept 20</p> <p>In place</p>	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
A full field audit will be recommended to confirm accuracy of the database following LED roll out.		Oct 2021	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Sep-19</p> <p>To: 31-Aug-20</p>	<p>In absolute terms, total annual consumption is estimated to be 11,200 kWh lower than the DUML database indicates.</p> <p>8 items of load have incorrect ballast wattage recorded.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are rated as moderate, because they are sufficient to ensure that changes to the database are 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
The accuracy issues raised in this report have been provided to the council for resolution.		18 Sept 20	
Preventative actions taken to ensure no further issues will occur		Completion date	
A full field audit will be recommended to confirm accuracy of the database following LED roll out.		Oct 2021	

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-Sep-19</p> <p>To: 31-Aug-20</p>	<p>In absolute terms, total annual consumption is estimated to be 11,200 kWh lower than the DUML database indicates.</p> <p>Submission is based on a snapshot and does not consider historic adjustments.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are rated as moderate, because they are sufficient to ensure that changes to the database are 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 accuracy issues raised in this report have been provided to the council for resolution.</p> <p>Where we are aware of significant retrospective changes to database quantities historic submissions are revised accordingly.</p> <p>Processes and reporting to manage minor retrospective/mid month changes (e.g. bulb changes/removals/additions) are being considered.</p>		<p>18 Sept 20</p> <p>In place</p>	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>A full field audit will be recommended to confirm accuracy of the database following LED roll out.</p>		Oct 2021	