

## Compliance plan for Waikato DC DUML – 2020

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3  From: 01-Nov-18 To: 22-May-20	In absolute terms, total annual consumption is estimated to be 33,200 kWh higher than the DUML database indicates.  Potential impact: Medium  Actual impact: Medium  Audit history: Once  Controls: Moderate  Breach risk rating: 4	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	The controls are rated as moderate as the processes in place to manage change are sufficient to mitigate risk most of the time.  The impact is assessed to be medium, based on the kWh differences.	
Actions taken to resolve the issue	Completion date	Remedial action status
Discrepancies identified have been provided to Odyssey Energy to resolve and will also be followed up with the council.	30 June 2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Change management processes reported in section 3.1 appear generally robust.  Annual audits undertaken to check both quality of workmanship and accuracy of asset capture are in place to pick up issues on an ongoing basis.  As recommended, we will discuss the council the processes for connection of new lights so these are added to RAMM without delay.	Ongoing	

All load recorded in database		
Non-compliance	Description	
<p>Audit Ref: 2.5</p> <p>With: Clause 11(2A) of Schedule 15.3</p> <p>From: 01-Nov-18</p> <p>To: 22-May-20</p>	<p>Nine items of load are missing from the database.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Twice 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 as the processes in place to manage change are sufficient to mitigate risk most of the time.</p> <p>The impact is assessed to be low, based on the database accuracy as detailed in <b>section 3.1</b>.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Discrepancies identified have been provided to Odyssey Energy to resolve and will also be followed up with the council.	30 June 2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Change management processes reported in section 3.1 appear generally robust.</p> <p>Annual audits undertaken to check both quality of workmanship and accuracy of asset capture are in place to pick up issues on an ongoing basis</p> <p>As recommended we will discuss the council the processes for connection of new lights so these are added to RAMM without delay.</p>	Ongoing	

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: 31-Oct-18</p>	<p>In absolute terms, total annual consumption is estimated to be 33,200 kWh higher than the DUML database indicates.</p> <p>Seven wattage/description discrepancies</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Twice previously</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 as the processes in place to manage change are sufficient to mitigate risk most of the time.</p> <p>The impact is assessed to be medium, based on the kWh value above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Discrepancies identified have been provided to Odyssey Energy to resolve and will also be followed up with the council.		30 June 2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Change management processes reported in section 3.1 appear generally robust.</p> <p>Annual audits undertaken to check both quality of workmanship and accuracy of asset capture are in place to pick up issues on an ongoing basis</p> <p>As recommended we will discuss the council the processes for connection of new lights so these are added to RAMM without delay.</p>		Ongoing	

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-Nov-18</p> <p>To: 22-May-20</p>	<p>In absolute terms, total annual consumption is estimated to be 33,200 kWh higher than the DUML database indicates.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Twice previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	<p>The controls are rated as moderate as the processes in place to manage change are sufficient to mitigate risk most of the time.</p> <p>The impact is assessed to be medium, based on the kWh value above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Discrepancies identified have been provided to Odyssey Energy to resolve and will also be followed up with the council.	30 June 2020	Identified
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<p>Change management processes reported in section 3.1 appear generally robust.</p> <p>Annual audits undertaken to check both quality of workmanship and accuracy of asset capture are in place to pick up issues on an ongoing basis</p> <p>As recommended we will discuss the council the processes for connection of new lights so these are added to RAMM without delay.</p>	Ongoing	