

Compliance plan for Waitomo DC DUML – 2020

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Apr-19 To: 30-Oct-20</p>	<p>In absolute terms, total annual consumption is estimated to be 11,700 kWh higher than the DUML database indicates</p> <p>Under submission of 1,553 kWh p.a. for private lights.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Livening dates are not recorded for new connections, and lamp installation dates are replaced where lights change.</p> <p>Potential impact: High Actual impact: Medium Audit history: Once Controls: Moderate Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>Improvements have been made during the audit period. NZTA and festive lights are now being submitted correctly. I have recorded the controls as moderate; however, there are still some improvements required.</p> <p>There is a medium impact on settlement because there is potential under submission of 13,253 kWh per annum.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Audit results will be provided to the council to correct the errors identified.</p> <p>Ownership of unresolved private lights will be clarified with TLC and Waitomo DC.</p> <p>We will clarify with Waitomo DC whether NZTA lights are to remain in the database or whether there are plans for these to be recorded and managed in an NZTA database. If these are to remain we will follow up on assignment of an ICP and confirm the change management process for these lights.</p>		<p>30 Nov 2020</p> <p>31 Dec 2020</p> <p>March 2021</p>	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	

ICP identifier and items of load		
Non-compliance	Description	
<p>Audit Ref: 2.2</p> <p>With: Clause 11(2)(a) and (aa) of Schedule 15.3</p> <p>From: 01-Apr-19</p> <p>To: 30-Oct-20</p>	<p>ICP numbers are not recorded in the database for 201 NZTA urban lights and ten private lights.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are recorded as weak because the NZTA and private lights still don't have ICPs recorded.</p> <p>The impact is low because submission is occurring for NZTA lights, but not private lights.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Ownership of unresolved private lights will be clarified with TLC and Waitomo DC.</p> <p>We will clarify with Waitomo DC whether NZTA lights are to remain in the database or whether there are plans for these to be recorded and managed in an NZTA database. If these are to remain we will follow up on assignment of an ICP.</p>	<p>31 Dec 2020</p> <p>March 2021</p>	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Jan-20 To: 30-Oct-20	One additional light identified. Potential impact: Medium Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact on settlement and participants is minor; therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Details of the additional light will be provided to the council to update in the database.		31 Nov 2020
Preventative actions taken to ensure no further issues will occur		Completion date
Remedial action status		
Identified		

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Apr-19</p> <p>To: 30-Oct-20</p>	<p>In absolute terms, total annual consumption is estimated to be 11,700 kWh higher than the DUML database indicates</p> <p>Under submission of 1,553 kWh p.a. for private lights.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Livening dates are not recorded for new connections, and lamp installation dates are replaced where lights change.</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		
Medium	<p>Improvements have been made during the audit period. NZTA and festive lights are now being submitted correctly. I have recorded the controls as moderate; however, there are still some improvements required.</p> <p>There is a medium impact on settlement because there is potential under submission of 13,253 kWh per annum.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Audit results will be provided to the council to correct the errors identified.</p> <p>Ownership of unresolved private lights will be clarified with TLC and Waitomo DC.</p> <p>We will clarify with Waitomo DC whether NZTA lights are to remain in the database or whether there are plans for these to be recorded and managed in an NZTA database. If these are to remain we will follow up on assignment of an ICP and confirm the change management process for these lights.</p>		<p>30 Nov 2020</p> <p>31 Dec 2020</p> <p>March 2021</p>	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	

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-Apr-19</p> <p>To: 30-Oct-20</p>	<p>In absolute terms, total annual consumption is estimated to be 11,700 kWh higher than the DUMML database indicates</p> <p>Under submission of 1,553 kWh p.a. for private lights.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Livening dates are not recorded for new connections, and lamp installation dates are replaced where lights change.</p> <p>Potential impact: High</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>Improvements have been made during the audit period. NZTA and festive lights are now being submitted correctly. I have recorded the controls as moderate; however, there are still some improvements required.</p> <p>There is a medium impact on settlement because there is potential under submission of 13,253 kWh per annum.</p>		
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Preventative actions taken to ensure no further issues will occur		Completion date	