

Invercargill City Council DUML Compliance Plan 2021

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Oct-19 To: 30-Jun-21	Database is not confirmed as accurate with a 95% level of confidence. In absolute terms, total annual consumption is estimated to be 114,700 kWh lower than the DUML database indicates as recorded in section 3.1 Incorrect ballast applied for two lamps. Potential impact: High Actual impact: High Audit history: Multiple Controls: Moderate Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
High	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement. The impact is assessed to be high, based on the database accuracy detailed in section 3.1 .	
Actions taken to resolve the issue	Completion date	Remedial action status
We have provided ICC with a full list of the non-compliances identified in the audit and will be working with them to ensure the issues are addressed. We will be requesting ICC to investigate the estimated over submission due to database inaccuracies and to look at process changes/improvements to assist with this and to ensure for ongoing accuracy.	Ongoing	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
As above.	Ongoing	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Oct-19 To: 30-Jun-21	Six additional lights were found in the field. Potential impact: Low Actual impact: Low Audit history: Three times previously Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate because they ensure most information is accurate. The impact is assessed to be low based on kWh variances detailed in section 3.1 .	
Actions taken to resolve the issue	Completion date	Remedial action status
We have sent a full list of the non-compliance issues identified in the audit, to ICC. We will be working with them to ensure light discrepancies found in the field audit are investigated and corrected in the database as necessary.	Ongoing	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We will be requesting ICC to look into how processes can be improved to ensure for an accurate database.	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-Oct-19</p> <p>To: 30-Jun-21</p>	<p>Database is not confirmed as accurate with a 95% level of confidence. In absolute terms, total annual consumption is estimated to be 114,700 kWh lower than the DUML database indicates.</p> <p>Incorrect ballast applied for two lamps resulting in an estimated very minor submission of kWh per annum.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be high, based on the kWh difference described above.</p>	
Actions taken to resolve the issue		Completion date
<p>We have provided ICC with a full list of the non-compliances identified in the audit and will be working with them to ensure the issues are addressed. We will be requesting ICC to investigate the estimated over submission due to database inaccuracies and to look at process changes/improvements to assist with this and to ensure for ongoing accuracy.</p>		Ongoing
Preventative actions taken to ensure no further issues will occur		Completion date
As above.		Ongoing
Remedial action status		
Identified		

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-Oct-19</p> <p>To: 30-Jun-21</p>	<p>Database is not confirmed as accurate with a 95% level of confidence. In absolute terms, total annual consumption is estimated to be 114,700 kWh lower than the DUML database indicates as recorded in section 3.1.</p> <p>Incorrect ballast applied for two lamps.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be high, based on the kWh difference described above</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
We have provided ICC with a full list of the non-compliances identified in the audit and will be working with them to ensure the issues are addressed. We will be requesting ICC to investigate the estimated over submission due to database inaccuracies and to look at process changes/improvements to assist with this and to ensure for ongoing accuracy.	Ongoing	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
As above.	Ongoing	