

Compliance plan for Hamilton City Council DUML– 2021

Deriving Submission Information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Dec-18 To: 21-Dec-20</p>	<p>Christmas light volumes included for the whole year and not the electrically connected period.</p> <p>Analysis of the ballasts applied indicate a minor under submission of 3,903 kWh per annum.</p> <p>Analysis of the database found 56 lights with a light description that could not be verified, or the incorrect wattage applied according to the light specifications. This will be resulting in an estimated under submission of an estimated 19,190 kWh per annum. This variance is a result of 17 HPS lights with the incorrect wattage applied.</p> <p>Submission is based on a snapshot of the database at the end of the month and does not consider historic adjustments or the fact that lights can be livened before they are entered into the database.</p> <p>Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time.</p> <p>The impact is assessed to be low due to the overall database accuracy being good and the few variances found are in the process of being fixed.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>We will work with HCC to resolve recording and reporting of Christmas lights.</p> <p>Ballast and wattage discrepancies identified are in the process of being investigated and corrected where necessary. Historic submissions will be revised where material variances are identified.</p>	<p>30/04/2021</p> <p>31/03/2021</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

ICP Identifier		
Non-compliance	Description	
Audit Ref: 2.2 With: Clause 11(2)(aa) of Schedule 15.3 From: 11-Dec-19 To: 21-Dec-20	22 items of load with no ICP recorded. Potential impact: Low Actual impact: None Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong as all unmetered items of load are correctly labelled and the process is robust to ensure that all unmetered items of load have an ICP assigned. The impact is assessed to be none, but low is the only available option.	
Actions taken to resolve the issue	Completion date	Remedial action status
ICPs are being added to the metered supplies.	28/02/2021	Identified
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: 11-Dec-19 To: 21-Dec-20	One item of load missing from the database. 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 are sufficient to ensure that lamp information is correctly recorded most of the time. The impact is rated as low as only one additional item of load was found.	
Actions taken to resolve the issue	Completion date	Remedial action status
Field audit findings have been provided to HCC to investigate and update the database.	31/03/2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Database Accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 11-Dec-19</p> <p>To: 21-Dec-21</p>	<p>Analysis of the ballasts applied indicate an estimated under submission of 3, 903 kWh per annum.</p> <p>Analysis of the database found 56 lights with a light description that could not be verified, or the incorrect wattage applied according to the light specifications. This will be resulting in an estimated under submission of an estimated 19,190 kWh per annum. This variance is a result of 17 HPS lights with the incorrect wattage applied.</p> <p>Christmas light volumes included for the whole year and not the electrically connected period.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as moderate, because the inaccuracies are being addressed through the LED roll out and accuracy will continue to improve.</p> <p>The impact is assessed to be low due to the overall database accuracy being good and the few variances found are in the process of being fixed.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>We will work with HCC to resolve recording and reporting of Christmas lights.</p> <p>Ballast and wattage discrepancies identified are in the process of being investigated and corrected where necessary. Historic submissions will be revised where material variances are identified.</p>	<p>30/04/2021</p> <p>31/03/2021</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-Dec-18</p> <p>To: 21-Dec-20</p>	<p>Christmas light volumes included for the whole year and not the electrically connected period.</p> <p>Analysis of the ballasts applied indicate a minor under submission of 3,903 kWh per annum.</p> <p>Analysis of the database found 56 lights with a light description that could not be verified, or the incorrect wattage applied according to the light specifications. This will be resulting in an estimated under submission of an estimated 19,190 kWh per annum. This variance is a result of 17 HPS lights with the incorrect wattage applied.</p> <p>Submission is based on a snapshot of the database at the end of the month and does not consider historic adjustments.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time.</p> <p>The impact is assessed to be low due to the overall database accuracy being good and the few variances found are in the process of being fixed.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>We will work with HCC to resolve recording and reporting of Christmas lights.</p> <p>Ballast and wattage discrepancies identified are in the process of being investigated and corrected where necessary. Historic submissions will be revised where material variances are identified.</p>	<p>30/04/2021</p> <p>31/03/2021</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	