

Compliance plan for Taupo DC 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-Apr-20 To: 01-Mar-21</p>	<p>In absolute terms, total annual consumption is estimated to be 68,000 kWh lower than the DUML database indicates.</p> <p>Incorrect wattages recorded for 2,542 lamps resulting in an estimated over submission of 16,285 kWh per annum.</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: High Actual impact: High Audit history: Multiple times</p> <p>Controls: Strong Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as strong as the change management process is robust and the risks are managed to an acceptable level.</p> <p>The impact is assessed to be high based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Taupo DC has corrected the incorrect wattages for the lamps identified.</p> <p>The recommendation for a full field audit to resolve historic inaccurate data capture has been raised with the council.</p>	<p>March 2021</p> <p>Ongoing</p>	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>A new contractor and better controls are expected to improve accuracy of data capture for the next stages of the LED roll out.</p>	Ongoing	

All load recorded in the database			
Non-compliance	Description		
<p>Audit Ref: 2.5</p> <p>With: Clause 11(2A) of Schedule 15.3</p> <p>From: 01-Apr-20</p> <p>To: 01-Mar-21</p>	<p>All load is not recorded in the database.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as strong, as the processes to capture change has been improved during the audit period.</p> <p>The impact is assessed to be low as the majority of the volume of additional lighting found in the sample was small.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Taupo DC has been provided the details of missing lights to correct the database.</p> <p>The recommendation for a full field audit to resolve historic inaccurate data capture has been raised with the council.</p>		<p>30 April 2021</p> <p>Ongoing</p>	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>A new contractor and better controls are expected to improve accuracy of data capture for the next stages of the LED roll out.</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-Apr-20</p> <p>To: 01-Mar-21</p>	<p>In absolute terms, total annual consumption is estimated to be 68,000 kWh lower than the DUML database indicates.</p> <p>Incorrect wattages recorded for 2,542 lamps resulting in an estimated over submission of 16,285 kWh per annum.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times</p> <p>Controls: Strong</p> <p>Breach risk rating: 3</p>		
Audit risk rating	Rationale for audit risk rating		
High	<p>The controls are rated as strong as the change management process is robust and the risks are managed to an acceptable level.</p> <p>The impact is assessed to be high based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Taupo DC has corrected the incorrect wattages for the lamps identified.</p> <p>The recommendation for a full field audit to resolve historic inaccurate data capture has been raised with the council.</p>		<p>March 2021</p> <p>Ongoing</p>	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>A new contractor and better controls are expected to improve accuracy of data capture for the next stages of the LED roll out.</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-Apr-20</p> <p>To: 01-Mar-21</p>	<p>In absolute terms, total annual consumption is estimated to be 68,000 kWh lower than the DUML database indicates.</p> <p>Incorrect wattages recorded for 2,542 lamps resulting in an estimated over submission of 16,285 kWh per annum.</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: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times</p> <p>Controls: Strong</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as strong as the change management process is robust and the risks are managed to an acceptable level.</p> <p>The impact is assessed to be high based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Taupo DC has corrected the incorrect wattages for the lamps identified.</p> <p>The recommendation for a full field audit to resolve historic inaccurate data capture has been raised with the council.</p>	<p>March 2021</p> <p>Ongoing</p>	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>A new contractor and better controls are expected to improve accuracy of data capture for the next stages of the LED roll out.</p>	Ongoing	