

Compliance plan for Waikato DC DUML – 2021

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-May-20</p> <p>To: 28-May-21</p>	<p>In absolute terms, total annual consumption is estimated to be 66,700 kWh higher than the DUML database indicates.</p> <p>Submission is based on a snapshot and does not consider historic changes.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
High	<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 high, based on the kWh differences.</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 2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
While change management processes for vested lights reported in section 3.1 appear generally robust there still appear to be issues with accurate data capture in the database which we will raise with the council in addition to reviewing the processes for connection of new lights.	30 Sept 2021	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-May-20 To: 28-May-21	18 items of load are missing from the database. Potential impact: Medium 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 as the processes in place to manage change are sufficient to mitigate risk most of the time. The impact is assessed to be low, based on the quantity of additional lights.	
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 2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-May-20 To: 28-May-21	In absolute terms, total annual consumption is estimated to be 66,700 kWh higher than the DUMML database indicates. Potential impact: High Actual impact: High Audit history: Three times previously Controls: Moderate Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
High	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 high, based on the kWh value above.	
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 2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
While change management processes for vested lights reported in section 3.1 appear generally robust there still appear to be issues with accurate data capture in the database which we will raise with the council in addition to reviewing the processes for connection of new lights.	30 Sept 2021	

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-May-20</p> <p>To: 28-May-21</p>	<p>In absolute terms, total annual consumption is estimated to be 66,700 kWh higher than the DUML database indicates.</p> <p>Submission is based on a snapshot and does not consider historic changes.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
High	<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 high, based on the kWh differences.</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 2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
While change management processes for vested lights reported in section 3.1 appear generally robust there still appear to be issues with accurate data capture in the database which we will raise with the council in addition to reviewing the processes for connection of new lights.		30 Sept 2021	