

# Compliance Plan Dunedin CC DUML Audit 2021

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 Clause 11(1) of Schedule 15.3  From: 04-Nov-20 To: 22-Oct-21	Investigation and correction to the submission data differences, as recorded in the last audit have not been adjusted resulting in a potential under submission of 41,957.40 kWh per annum.  22 items of load have incorrect gear wattages recorded resulting in an estimated very minor over submission of 598 kWh.  Potential impact: Medium  Actual impact: Medium  Audit history: Multiple times  Controls: Moderate  Breach risk rating: 4	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	The controls are rated as moderate, because they are sufficient to ensure that the database is accurate most of the time.  The impact is assessed to be medium, based on potential submission errors detailed above.	
Actions taken to resolve the issue	Completion date	Remedial action status
We will re-review, record and share our findings on the issue of lights missing from submission which would appear as an under submission to the market.	31/12/2021	Identified
Incorrect gear wattages will be corrected	30/11/2021	
Preventative actions taken to ensure no further issues will occur	Completion date	
Quarterly review of the records recorded in RAMM will be reviewed to find clear inaccuracies	Ongoing	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 Clause 11(2) (c) &(d)of Schedule 15.3  From: 04-Nov-20 To: 22-Oct-21	One item of load with no lamp model or wattage recorded.  Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as strong and will mitigate risk to an acceptable level. The impact is assessed to be low as only one item of load was missing details.	
Actions taken to resolve the issue		Completion date
NULL values will be populated		30/11/2021
Preventative actions taken to ensure no further issues will occur		Completion date
Quarterly review of the records recorded in RAMM will be reviewed to find clear inaccuracies		Ongoing
		Identified

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 04-Nov-20 To: 22-Oct-21	Two additional lights found in the field were not added to database. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Strong Breach risk rating:1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as strong, as the processes in place ensure the database accuracy is high overall. The audit risk rating is low due to the small number of additional lights found in the field audit.	
Actions taken to resolve the issue	Completion date	Remedial action status
Field review will be completed by DCC and discrepancies noted in table above will be resolved (extra lights and missing lights).	31/12/2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

<b>Audit trail</b>			
<b>Non-compliance</b>	<b>Description</b>		
Audit Ref: 2.7 With: Clause 11(4) of Schedule 15.3 From: 04-Nov-20 To: 22-Oct-21	Festive lights are recorded in an Excel spreadsheet, which does not have an audit trail. Potential impact: Low Actual impact: Low Audit history: Once previously Controls: Weak Breach risk rating: 3		
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>		
<b>Low</b>	The controls are rated as weak, because a compliant audit trail does not exist for festive lights. The impact is assessed to be low, because changes typically occur only once each year and can be identified by comparing the database versions.		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	
N/a – See below for note on how controls will be improved.		Identified	
<b>Preventative actions taken to ensure no further issues will occur</b>			<b>Completion date</b>
DCC will make edits to how the excel sheet for Festive lights is managed so that <ol style="list-style-type: none"> <li>1) it captures an audit trail within the sheet; and</li> <li>2) versions of the sheet are saved in accordance with the audit trail; and</li> </ol> The sheet is password protected and saved on the DCC server.			31/12/2021

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)  From: 04-Nov-20 To: 22-Oct-21	One item of load with no lamp model or wattage recorded. 22 items of load have incorrect gear wattages recorded. Potential impact: Low Actual impact: Low Audit history: Multiple times previously Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as strong as the processes in place are sufficient to ensure that the database is accurate most of the time.  The impact is assessed to be low as overall the database has high level of accuracy.	
Actions taken to resolve the issue		Completion date
All discrepancies will be correct by 30/11/2021		30/11/2021
Preventative actions taken to ensure no further issues will occur		Completion date
Remedial action status		
Identified		

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2 Clause 15.2 and 15.37B(c)</p> <p>From: 04-Nov-20 To: 22-Oct-21</p>	<p>Investigation and correction to the submission data differences, as recorded in the last audit have not been adjusted resulting in a potential under submission of 41,957.40 kWh per annum.</p> <p>22 items of load have incorrect gear wattages recorded resulting in an estimated very minor over submission of 598 kWh.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: Multiple times Controls: Moderate Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	<p>The controls are rated as moderate, because they are sufficient to ensure that the database is accurate most of the time.</p> <p>The impact is assessed to be medium, based on potential submission errors detailed above.</p>	
Actions taken to resolve the issue		Completion date
<p>We will re-review, record and share our findings on the issue of lights missing from submission which would appear as an under submission to the market.</p> <p>Incorrect gear wattages will be corrected</p>		<p>31/12/2021</p> <p>30/11/2021</p>
Preventative actions taken to ensure no further issues will occur		Completion date
Identified		