

Compliance plan for Clutha DC DUML Audit – 2021

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 17-Aug-20 To: 16-Jun-21</p>	<p>In absolute terms, total annual consumption is estimated to be 14,600 kWh lower than the DUML database indicates.</p> <p>The database contains incorrect wattage and ballast wattage leading to under submission of 9,603.34 kWh per annum.</p> <p>Submission is based on a snapshot and does not consider historic adjustments.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: Twice Controls: Moderate Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement.</p> <p>The impact on settlement and participants is moderate; therefore, the audit risk rating is medium.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>The discrepancies identified in this audit are being investigated by Clutha District Council and the database will be corrected as required.</p> <p>Where we are aware of significant retrospective changes to database quantities historic submissions are revised accordingly.</p> <p>Processes and reporting to manage minor retrospective/mid month changes (e.g. bulb changes/removals/additions) are being considered</p>	30 Sept 2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>The LED rollout in the Clutha DC region is complete so future changes are expected to be reduced. Processes are in place for changes in the field to be advised to the council from the new contractor and there is dedicated resource at the council to manage database updates.</p>		

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: 17-Aug-20 To: 16-Jun-21	Nine items of load do not have lamp model, wattage or gear wattage recorded. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Clutha DC are investigating these items of load. They advise it is likely these are lights that are not presently operating.		31 Aug 2021
Preventative actions taken to ensure no further issues will occur		Completion date
Remedial action status		
Investigating		

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 17-Aug-20 To: 16-Jun-21	Six additional items of load found in the field of the sample examined. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact on settlement and participants is minor; therefore, the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Clutha DC are investigating these items of load and will correct the database once details have been confirmed. Information regarding the changes to NZTA lights has been received and database updates are in progress. LEDs were confirmed to be of varying wattages (not all 102W as assumed)		30 Sept 2021 31 Aug 2021	Investigating
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: 17-Aug-20</p> <p>To: 16-Jun-21</p>	<p>In absolute terms, total annual consumption is estimated to be 14,600 kWh lower than the DUML database indicates.</p> <p>The database contains incorrect wattage and ballast wattage leading to an estimated under submission of 9,603.34 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement.</p> <p>The impact on settlement and participants is moderate; therefore, the audit risk rating is medium.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>The discrepancies identified in this audit are being investigated by Clutha District Council and the database will be corrected as required.</p> <p>Refer to previous sections for comment on specific discrepancies.</p>		31 Oct 2021	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>The LED rollout in the Clutha DC region is complete so future changes are expected to be reduced. Processes are in place for changes in the field to be advised to the council from the new contractor and there is dedicated resource at the council to manage database updates.</p>			

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 17-Aug-20</p> <p>To: 17-Jun-21</p>	<p>In absolute terms, total annual consumption is estimated to be 14,600 kWh lower than the DUML database indicates.</p> <p>The database contains incorrect wattage and ballast wattage leading to under submission of 9,603.34 kWh per annum.</p> <p>Submission is based on a snapshot and does not consider historic adjustments.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement.</p> <p>The impact on settlement and participants is moderate; therefore, the audit risk rating is medium.</p>	
Actions taken to resolve the issue		Completion date
<p>The discrepancies identified in this audit are being investigated by Clutha District Council and the database will be corrected as required.</p> <p>Where we are aware of significant retrospective changes to database quantities historic submissions are revised accordingly.</p> <p>Processes and reporting to manage minor retrospective/mid month changes (e.g. bulb changes/removals/additions) are being considered</p>		30 Sept 2021
Preventative actions taken to ensure no further issues will occur		Completion date
<p>The LED rollout in the Clutha DC region is complete so future changes are expected to be reduced. Processes are in place for changes in the field to be advised to the council from the new contractor and there is dedicated resource at the council to manage database updates.</p>		
Remedial action status		
Investigating		