

Compliance Plan Westland DC DUMML 2021

Non-compliance	Description		
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 29-May-20</p> <p>To: 27-Aug-21</p>	<p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>In absolute terms, total annual consumption is estimated to be 11,000 kWh lower than the DUMML database indicates.</p> <p>Five lights recorded with a light type of "Other".</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice previously</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 audit risk rating is low due to the small number of errors found in the field audit and the database is relatively static.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
We have advised Westland Council of inaccuracies and requested to correct.		Completed	Identified
We have recommended to Westland DC reviewing improvements to the database maintenance processes so that these are received more regularly as they occur.		Completed	
Preventative actions taken to ensure no further issues will occur		Completion date	
We will follow up with Westland Council in regard to the inaccuracies, corrections, and improvement to maintenance processes		28/02/2021	
We will consider reviewing the database information on how we provide a more accurate snapshot from the date of when the lights have been changed		Ongoing	

Non-compliance	Description		
<p>Audit Ref: 2.5</p> <p>With: Clause 11(2A) of Schedule 15.3</p> <p>From: 29-May-20</p> <p>To: 27-Aug-21</p>	<p>Four additional lights found in the field not added to database.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times previously</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 as they are sufficient to ensure that all lights are recorded in the database most of the time.</p> <p>The audit risk rating is low due to the small number of additional lights found in the field audit and the database is relatively static.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>We have advised Westland Council of inaccuracies and requested to correct.</p> <p>We have recommended Westland DC review improvements to the database maintenance processes so that these are received more regularly as they occur.</p>		<p>Completed</p> <p>Completed</p>	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>We will follow up with Westland Council in regard to the inaccuracies, corrections, and improvement to maintenance processes.</p>		28/02/2021	

Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 30-May-20</p> <p>To: 27-Aug-21</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated under submission of 11,000 kWh per annum.</p> <p>Five lights recorded with a light type of "Other".</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice previously</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 as they are sufficient to ensure that all lights are recorded in the database most of the time.</p> <p>The audit risk rating is low due to the small number of errors found in the field audit and the database is relatively static.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
We have advised Westland Council of inaccuracies and requested to correct.		Completed	Identified
We have recommended to Westland DC reviewing improvements to the database maintenance processes so that these are received more regularly as they occur.		Completed	
We will follow up with Westland Council in regard to the inaccuracies, corrections, and improvement to maintenance processes.		28/02/2021	

Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 29-May-20</p> <p>To: 27-Aug-21</p>	<p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>In absolute terms, total annual consumption is estimated to be 11,000 kWh lower than the DUMML database indicates.</p> <p>Five lights recorded with a light type of "Other".</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice previously</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 audit risk rating is low due to the small number of errors found in the field audit and the database is relatively static.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
We have advised Westland Council of inaccuracies and requested to correct.		Completed	Identified
We have recommended Westland DC review improvements to the database maintenance processes so that these are received more regularly as they occur.		Completed	
Preventative actions taken to ensure no further issues will occur		Completion date	
We will follow up with Westland Council in regard to the inaccuracies, corrections, and improvement to maintenance processes		28/02/2021	
We will consider reviewing the database information on how we provide a more accurate snapshot from the date of when the lights have been changed.		Ongoing	