

Compliance plan for Kawakawa Community Lights DUML – 2021

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 16-Feb-18 To: 22-Oct-21</p>	<p>Database wattage is estimated as 11 watts higher than the wattage installed in the field resulting in an over submission of 46.98 kWh per annum.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>Controls are rated as weak as changes in the database are not being managed as expected.</p> <p>The audit risk rating is assessed to be low due to the kWh volumes.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Contacted Richard of Kawakawa community. All news to him but will check it out. Part of the circuit is out of action at present, waiting for the electrician to get on to it.</p> <p>20,40 & 12 Gillies have been dead for the last couple of weeks at least. Will amend database & bill October submission to auditors findings.</p> <p>If Richard is able to confirm a date of change I will rework to specific date.</p>	29/10/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
I have communicated this to Richard of Kawakawa Community to ensure he is updated.	29/10/2021	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) and (d) of Schedule 15.3 From: unknown To: 22-Oct-21	Two additional items of load found in the field sample. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as weak as changes in the database are not being managed as expected. The audit risk rating is assessed to be low due to the kWh volumes.	
Actions taken to resolve the issue		Completion date
Contacted Richard of Kawakawa community. All news to him but will check it out. Part of the circuit is out of action at present, waiting for the electrician to get on to it. 20,40 & 12 Gillies have been dead for the last couple of weeks at least. Will amend database & bill October submission to auditors findings. If Richard is able to confirm a date of change I will rework to specific date.		29/10/2021
Preventative actions taken to ensure no further issues will occur		Completion date
I have communicated this to Richard of Kawakawa Community to ensure he is updated.		29/10/2021
Investigating		

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 16-Feb-18</p> <p>To: 22-Oct-21</p>	<p>Database wattage is estimated as 11 watts higher than the wattage installed in the field resulting in an over submission of 46.98 kWh per annum.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>Controls are rated as weak as changes in the database are not being managed as expected.</p> <p>The impact is assessed to be low due to the estimated impact on submission.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Contacted Richard of Kawakawa community. All news to him but will check it out. Part of the circuit is out of action at present, waiting for the electrician to get on to it.</p> <p>20,40 & 12 Gillies have been dead for the last couple of weeks at least. Will amend database & bill October submission to auditors findings.</p> <p>If Richard is able to confirm a date of change I will rework to specific date.</p>	29/10/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
I have communicated this to Richard of Kawakawa Community to ensure he is updated.	29/10/2021	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 16-Feb-18</p> <p>To: 22-Oct-21</p>	<p>Database wattage is estimated as 11 watts higher than the wattage installed in the field resulting in an over submission of 46.98 kWh per annum.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>Controls are rated as weak as changes in the database are not being managed as expected.</p> <p>The audit risk rating is low as the errors are all minor in volume.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Contacted Richard of Kawakawa community. All news to him but will check it out. Part of the circuit is out of action at present, waiting for the electrician to get on to it.</p> <p>20,40 & 12 Gillies have been dead for the last couple of weeks at least. Will amend database & bill October submission to auditors findings.</p> <p>If Richard is able to confirm a date of change I will rework to specific date.</p>	29/10/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
I have communicated this to Richard of Kawakawa Community to ensure he is updated.	29/10/2021	