

# Compliance Plan Invercargill CC DUML 2022

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 14-Dec-21</p> <p>To: 07-Jun-22</p>	<p>Database is not confirmed as accurate with a 95% level of confidence. In absolute terms, total annual consumption is estimated to be 39,000 kWh higher than the DUML database indicates as recorded in <b>section 3.1</b>.</p> <p>Incorrect ballast applied for five lamps resulting in an estimated over submission of 1,234 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Multiple time previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Medium</b>	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be medium, based on the database accuracy detailed in <b>section 3.1</b>.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
We have asked ICC to correct the incorrect ballast. We have also suggested that the ICC carry out a review of their DUML database in order to clear any discrepancies and ensure accuracy.		August 2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We will continue to follow up with ICC on the ballast corrections and review of the database.		Ongoing	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 14-Dec-21 To: 07-Jun-22	Ten additional lights were found in the field of the 390 items of load sampled. Potential impact: Low Actual impact: Low Audit history: Multiple times previously Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as moderate because they ensure most information is accurate. The impact is assessed to be low due to the small number of additional lights found in the field in relation to the overall count of the items of load.	
Actions taken to resolve the issue	Completion date	Remedial action status
We have asked ICC to correct the database in line with the field audit findings. We have also suggested that the ICC carry out a review of their DUML database in order to clear any discrepancies and ensure accuracy.	August 2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We will continue to follow up with ICC on the ballast corrections and review of the database.	Ongoing	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 14-Dec-21</p> <p>To: 07-Jun-22</p>	<p>Database is not confirmed as accurate with a 95% level of confidence. In absolute terms, total annual consumption is estimated to be 39,000 kWh higher than the DUML database indicates.</p> <p>Incorrect ballast applied for five lamps resulting in an estimated over submission of 1,234 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Multiple times previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Medium</b>	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be medium, based on the kWh difference described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
We have asked ICC to correct the incorrect ballast. We have also suggested that the ICC carry out a review of their DUML database in order to clear any discrepancies and ensure accuracy.		August 2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We will continue to follow up with ICC on the ballast corrections and review of the database.		Ongoing	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 14-Dec-21</p> <p>To: 07-Jun-22</p>	<p>Database is not confirmed as accurate with a 95% level of confidence. In absolute terms, total annual consumption is estimated to be 39,000 kWh higher than the DUMML database indicates as recorded in <b>section 3.1</b></p> <p>Incorrect ballast applied for five lamps resulting in an estimated over submission of 1,234 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Multiple time previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Medium</b>	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be medium, based on the database accuracy detailed in <b>section 3.1</b>.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
We have asked ICC to correct the incorrect ballast. We have also suggested that the ICC carry out a review of their DUMML database in order to clear any discrepancies and ensure accuracy.		August 2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We will continue to follow up with ICC on the ballast corrections and review of the database.		Ongoing	

