

# Compliance plan for Masterton District Council DUML December 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: 01-Feb-22</p> <p>To: 31-Oct-22</p>	<p>The field audit concluded that in absolute terms, total annual consumption is estimated to be 22,900 kWh lower than the DUML database indicates.</p> <p>53 festive lights not recorded in the database along SH2 with an assessed capacity of 2.811 kW.</p> <p>Vesting dates are recorded as the installation date for new connections and change dates may not reflect the date of the change if they are not processed in the database at the time that the change occurs.</p> <p>Potential impact: High</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		
<b>Medium</b>	<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 medium; therefore, the audit risk rating is medium.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
We will be liaising with Masterton DC to make the necessary updates and corrections to the database.		January 2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We will be communicating to Masterton DC the importance of keeping the database updated and accurate and seeking assurance that this will be maintained.		January 2023	

Description and capacity of load			
Non-compliance	Description		
<p>Audit Ref: 2.4</p> <p>With: Clause 11(2)(c) and (d) of Schedule 15.3</p> <p>From: 01-Feb-22</p> <p>To: 31-Oct-22</p>	<p>Five items of load have a description of Teceo 1 32LED PED but a database wattage of 71 watts and a field label of L51.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time and only a small number of exceptions were identified.</p> <p>The impact is assessed to be low. The erroneous information may have resulted in some over submission.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
We will be liaising with Masterton DC to make the necessary updates and corrections to the database.		January 2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We will be communicating to Masterton DC the importance of keeping the database updated and accurate and seeking assurance that this will be maintained.		January 2023	

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Feb-22 To: 31-Oct-22	11 additional lights found in the field. Potential impact: Medium Actual impact: Medium Audit history: Once Controls: Moderate Breach risk rating: 4		
Audit risk rating	Rationale for audit risk rating		
<b>Medium</b>	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact on settlement is under submission of approx. 12,193 kWh per annum; therefore, the audit risk rating is medium.		
Actions taken to resolve the issue		Completion date	Remedial action status
We will be liaising with Masterton DC to make the necessary updates and corrections to the database.		January 2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We will be communicating to Masterton DC the importance of keeping the database updated and accurate and seeking assurance that this will be maintained.		January 2023	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Feb-22</p> <p>To: 31-Oct-22</p>	<p>The field audit concluded that in absolute terms, total annual consumption is estimated to be 22,900 kWh lower than the DUML database indicates.</p> <p>Five items of load have a description of Teceo 1 32LED PED but a database wattage of 71 watts and a field label of L51.</p> <p>53 festive lights not recorded in the database along SH2 with an assessed capacity of 2.811 kW.</p> <p>Vesting dates are recorded as the installation date for new connections and change dates may not reflect the date of the change if they are not processed in the database at the time that the change occurs.</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		
<b>Medium</b>	<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 medium; therefore, the audit risk rating is medium.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
We will be liaising with Masterton DC to make the necessary updates and corrections to the database.		January 2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We will be communicating to Masterton DC the importance of keeping the database updated and accurate and seeking assurance that this will be maintained.		January 2023	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-Feb-22</p> <p>To: 31-Oct-22</p>	<p>The field audit concluded that in absolute terms, total annual consumption is estimated to be 22,900 kWh lower than the DUML database indicates.</p> <p>Five items of load have a description of Teceo 1 32LED PED but a database wattage of 71 watts and a field label of L51.</p> <p>53 festive lights not recorded in the database along SH2 with an assessed capacity of 2.811 kW.</p> <p>Vesting dates are recorded as the installation date for new connections and change dates may not reflect the date of the change if they are not processed in the database at the time that the change occurs.</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		
<b>Medium</b>	<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 medium; therefore, the audit risk rating is medium.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
We will be liaising with Masterton DC to make the necessary updates and corrections to the database.		January 2023	Identified
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