

# Compliance plan for Masterton District Council DUML 2023

Deriving submission information	
Non-compliance	Description
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 10-Mar-23</p> <p>To: 29-Apr-23</p>	<p>January 2023 kW values were applied when calculating the February 2023 submission in error, resulting in over submission of 84.36 kWh for February 2023 for ICP 0020902000WRB7A. There was no difference for ICP 0020901000WR99A because the kW values were the same for January and February 2023. Mercury processed a correction for ICP 0020902000WRB7A during the audit and revised submission data will be washed up.</p> <p>Based on the field audit of 224 items of load, the best available estimate is not precise enough to conclude that the database is accurate within <math>\pm 5\%</math>. The field audit concluded that in absolute terms, total annual consumption is estimated to be 7,300 kWh lower than the DUML database indicates.</p> <p>Seven 160W Mercury Vapour lights had a zero-gear wattage recorded when 15W is expected, leading to under submission of 448.5 kWh per annum.</p> <p>55 19W LED lights had a blank gear wattage when zero is expected. There is no impact on submission.</p> <p>Seven LED 4000k (120W) lights are recorded with a 102W lamp wattage when 120W is expected, leading to under submission of 538.1 kWh per annum.</p> <p>Five Teceo 1 32LEDS Pedestrian lights are recorded with a lamp wattage of 71W when 51W is expected, leading to over submission of 427.1 kWh per annum.</p> <p>The monthly database extract is provided as a snapshot.</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: Low</p> <p>Audit history: Three times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>
Audit risk rating	Rationale for audit risk rating
Low	<p>The controls are moderate because they mitigate risk most of the time but there is room for improvement in database accuracy.</p> <p>The impact on settlement is assessed to be low, based on the kWh differences described above.</p>

<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Masterton DC have been made aware of the audit findings and are taking actions to ensure that the database is accurate.	May 2023	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Masterton DC are aware of the importance of ensuring that the database is accurate.	Ongoing	

<b>Description and capacity of load</b>		
<b>Non-compliance</b>	<b>Description</b>	
<p>Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3</p> <p>From: 13-Mar-23 To: 13-Mar-23</p>	<p>Seven 160W Mercury Vapour lights had a zero-gear wattage recorded when 15W is expected, leading to under submission of 448.5 kWh per annum.</p> <p>55 19W LED lights had a blank gear wattage when zero is expected. There is no impact on submission.</p> <p>Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2</p>	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	<p>Controls are rated as moderate, as they will ensure that valid descriptions, lamp wattages and gear wattages are applied most of the time. 62 exceptions were identified relating to two light types.</p> <p>The impact is low. All items of load have a description and valid lamp wattage. The missing or incorrect gear wattages is estimated to result in under submission of 105W or 448.5 kWh per annum.</p>	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Masterton DC have been made aware of the audit findings and are taking actions to ensure that the database is accurate.	May 2023	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Masterton DC are aware of the importance of ensuring that the database is accurate.	Ongoing	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 10-Mar-23</p> <p>To: 29-Apr-23</p>	<p>Based on the field audit of 224 items of load, the best available estimate is not precise enough to conclude that the database is accurate within <math>\pm 5\%</math>. The field audit concluded that in absolute terms, total annual consumption is estimated to be 7,300 kWh lower than the DUMML database indicates.</p> <p>Seven 160W Mercury Vapour lights had a zero-gear wattage recorded when 15W is expected, leading to under submission of 448.5 kWh per annum.</p> <p>55 19W LED lights had a blank gear wattage when zero is expected. There is no impact on submission.</p> <p>Seven LED 4000k (120W) lights are recorded with a 102W lamp wattage when 120W is expected, leading to under submission of 538.1 kWh per annum.</p> <p>Five Teceo 1 32LEDS Pedestrian lights are recorded with a lamp wattage of 71W when 51W is expected, leading to over submission of 427.1 kWh per annum.</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: Low</p> <p>Audit history: Three times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are moderate because they mitigate risk most of the time but there is room for improvement in database accuracy.</p> <p>The impact on settlement is assessed to be low, based on the kWh differences described above.</p>	
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Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 10-Mar-23</p> <p>To: 29-Apr-23</p>	<p>January 2023 kW values were applied when calculating the February 2023 submission in error, resulting in over submission of 84.36 kWh for February 2023 for ICP 0020902000WRB7A. There was no difference for ICP 0020901000WR99A because the kW values were the same for January and February 2023. Mercury processed a correction for ICP 0020902000WRB7A during the audit and revised submission data will be washed up.</p> <p>Based on the field audit of 224 items of load, the best available estimate is not precise enough to conclude that the database is accurate within <math>\pm 5\%</math>. The field audit concluded that in absolute terms, total annual consumption is estimated to be 7,300 kWh lower than the DUML database indicates.</p> <p>Seven 160W Mercury Vapour lights had a zero-gear wattage recorded when 15W is expected, leading to under submission of 448.5 kWh per annum.</p> <p>55 19W LED lights had a blank gear wattage when zero is expected. There is no impact on submission.</p> <p>Seven LED 4000k (120W) lights are recorded with a 102W lamp wattage when 120W is expected, leading to under submission of 538.1 kWh per annum.</p> <p>Five Teceo 1 32LEDS Pedestrian lights are recorded with a lamp wattage of 71W when 51W is expected, leading to over submission of 427.1 kWh per annum.</p> <p>The monthly database extract is provided as a snapshot.</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: Low</p> <p>Audit history: Three times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are moderate because they mitigate risk most of the time but there is room for improvement in database accuracy.</p> <p>The impact on settlement is assessed to be low, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Masterton DC have been made aware of the audit findings and are taking actions to ensure that the database is accurate.	May 2023	Identified

<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
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