

# Compliance Plan Waimakariri DC DUML 2023

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 28-Jul-22 To: 21-Feb-23</p>	<p>Nine items of load do not have lamp wattage or lamp model details recorded; this could result in an estimated under submission of 3,190 kWh per annum.</p> <p>33 items of load have the incorrect wattage applied which could result in an estimated annual over submission of 508 kWh per annum.</p> <p>19 items of load do not have the ballast applied which could result in an estimated annual under submission of 768 kWh per annum.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: Multiple times previously Controls: Moderate Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>Controls are rated as moderate. The volume of errors occurring has shown an improvement, but there is still further work to be done.</p> <p>The impact is assessed to be low based on the submission values detailed above.</p>	
Actions taken to resolve the issue		Completion date
All identified database record discrepancies will be reviewed and corrected where necessary.		30/6/2023
Preventative actions taken to ensure no further issues will occur		Completion date
Waimakariri will review whether certain database fields can be made mandatory.		31/12/2023
Identified		

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) & (d) of Schedule 15.3  From: 28-Jul-22 To: 21-Feb-23	Nine lights with no lamp description or total wattage recorded resulting in an estimated under submission of 3,190 kWh per annum.  Potential impact: Medium  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 recorded as moderate because they mitigate risk most of the time but there is room for further improvement.  The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
All identified database record discrepancies will be reviewed and corrected where necessary.		30/6/2023
Preventative actions taken to ensure no further issues will occur		Completion date
Waimakariri will review whether certain database fields can be made mandatory.		31/12/2023
		Identified

All load recorded in database		
Non-compliance	Description	
<p>Audit Ref: 2.5</p> <p>With: Clause 11(2A) of Schedule 15.3</p> <p>From: 28-Jul-22</p> <p>To: 21-Feb-23</p>	<p>Six additional lights were found in the field from the 383 items of load sampled.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</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. The volume of errors occurring has shown a slight improvement.</p> <p>The impact is assessed to be low due to the number of additional lights found in the field.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>All field service discrepancies identified will be reviewed in the field and corrected where necessary.</p> <p>NB: The four lights identified on Tom Ayers Drive have not yet been divested to Council and are therefore outside the scope of this audit. We have had previous communications with the Authority regarding the status of lights that are installed by developers within Council boundaries but not yet divested to Council – Until the Council accepts ownership of the lights, we believe this should be the responsibility of the Developer and Network to ensure they are reconciled.</p>	30/6/2023	Identified

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: 15.2 and 15.37B(b)</p> <p>From: 28-Jul-22</p> <p>To: 21-Feb-23</p>	<p>Nine lights with no lamp description or total wattage recorded, this could result in an estimated under submission of 3,190 kWh per annum.</p> <p>119 items have the incorrect wattage applied indicating an estimated over submission of 508 kWh per annum.</p> <p>19 items of load do not have the ballast recorded; this could result in an estimated under submission of 768 kWh per annum.</p> <p>Ten items of load with an incorrect ballast of one recorded.</p> <p>11 private lights recorded in the database are not included in monthly reporting to Contact.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times previously</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. The volume of errors occurring has shown an improvement, but there is still further work to be done.</p> <p>The impact is assessed to be low based on the submission values detailed above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
All identified database record discrepancies will be reviewed and corrected where necessary.		30/6/2023	Identified
Private lights will be included in future reporting/submission		30/4/2023	
Preventative actions taken to ensure no further issues will occur		Completion date	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: 15.2 and 15.37B(c)</p> <p>From: 30-Nov-21</p> <p>To: 27-Jul-22</p>	<p>Nine items of load do not have lamp wattage or lamp model details recorded; this could result in an estimated under submission of 3,190 kWh per annum.</p> <p>33 items of load have the incorrect wattage applied which could result in an estimated annual over submission of 508 kWh per annum.</p> <p>19 items of load do not have the ballast applied which could result in an estimated annual under submission of 768 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>Low</b>	<p>Controls are rated as moderate. The volume of errors occurring has shown an improvement, but there is still further work to be done.</p> <p>The impact is assessed to be low based on the submission values detailed above.</p>	
Actions taken to resolve the issue		Completion date
All identified database record discrepancies will be reviewed and corrected where necessary.		30/6/2023
Preventative actions taken to ensure no further issues will occur		Completion date
Remedial action status		
Identified		