

Compliance plan for Gisborne DC DUML – August 2021

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Sep-21 To: 13-Jul-23	The field audit identified annual over submission of 59,500 kWh. Potential impact: High Actual impact: High Audit history: Multiple times previously Controls: Moderate Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as moderate because there are sound processes in place to identify business as usual changes, but the LED rollout appears to be causing some database inaccuracy. The impact is assessed to be high because the impact on submission is greater than 50,000 kWh per annum.	
Actions taken to resolve the issue	Completion date	Remedial action status
Gisborne DC Database information was submitted on 17/05/2023. Since this date there have been significant improvements with a project to improve accuracy taking place in June and completed on 02/07/2023.	02/07/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Future rollouts of LED lighting will be managed to ensure these inaccuracies are considered so they do not repeat themselves. Field workers use Pocket RAMM to carry out live updates of the database, cutting out the risk of dockets and a paper trail.	Continuous Improvement	

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: 01-Sep-21</p> <p>To: 13-Jul-23</p>	<p>Two additional lights identified in the field.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as moderate because they mitigate risk most of the time.</p> <p>The impact is assessed to be low as the number of lights missing from the database is small.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
These lights have been added to the database to ensure they are properly recorded and reconciled.		01/07/2023	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
The Council carries out reviews of the database to ensure proper and accurate records of assets in the field. These will be reviewed to ensure controls are strong. Night Audits are currently carried out 6-monthly and annually for VCAT and PCAT respectively.		Continuous Improvement	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Sep-21</p> <p>To: 13-Jul-23</p>	<p>Inaccurate database leading to over submission of approx. 59,500 kWh per annum.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as moderate because there are sound processes in place to identify business as usual changes, but the LED rollout appears to be causing some database inaccuracy.</p> <p>The impact is assessed to be high because the impact on submission is greater than 50,000 kWh per annum.</p>	
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Future rollouts of LED lighting will be managed to ensure these inaccuracies are considered so they do not repeat themselves. Field workers use Pocket RAMM to carry out live updates of the database, cutting out the risk of dockets and a paper trail.	Continuous Improvement	

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-Sep-21</p> <p>To: 13-Jul-23</p>	<p>The field audit identified annual over submission of 59,500 kWh.</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: 6</p>		
Audit risk rating	Rationale for audit risk rating		
High	<p>The controls are rated as moderate because there are sound processes in place to identify business as usual changes, but the LED rollout appears to be causing some database inaccuracy.</p> <p>The impact is assessed to be high because the impact on submission is greater than 50,000 kWh per annum.</p>		
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Preventative actions taken to ensure no further issues will occur		Completion date	
Future rollouts of LED lighting will be managed to ensure these inaccuracies are considered so they do not repeat themselves. Field workers use Pocket RAMM to carry out live updates of the database, cutting out the risk of docketing and a paper trail.		Continuous Improvement	