

Compliance plan for Masterton District Council 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: 01-Feb-20</p> <p>To: 24-Jan-22</p>	<p>The field audit concluded that in absolute terms, total annual consumption is estimated to be 49,600 kWh lower than the DUML database indicates.</p> <p>Under submission of 4,000 kWh per annum assuming wattage of 30 watts and annual burn hours of 4,271.</p> <p>Under submission of 6,700 kWh per annum. This was also discussed in the previous audit, where the light model was recorded as "Itron Zero OC6 STA" and it was stated the wattage should be 51. The description has been updated to "Itron Zero OC6 STA 3.1 100-3M" but not the wattage which for this model should be 60..</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: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<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
<p>Zero in the wattage field - Under submission of 4,000 kWh per annum assuming wattage of 30 watts and annual burn hours of 4,271.</p> <p>Masterton DC are currently conducting a full review of the DUML database. Once this is complete, we will be checking to ensure the wattages are populated for all lights.</p> <p>Incorrect wattage - Under submission of 6,700 kWh per annum.</p> <p>Itron Zero OC6 STA 3.1 100-3M wattage should be 60 not 51.</p> <p>Masterton DC are currently conducting a full review of the DUML database. Once this is complete, we will be checking to ensure the wattages for these lights have been corrected.</p>	Apr22	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Due to the decline in accuracy over the last audit period, we will be requesting Masterton DC to review their processes to identify the cause of this and address any issues appropriately to return the database to high accuracy.	Ongoing	
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Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: 01-Feb-20 To: 24-Jan-22	37 items of load have a blank light model field. 33 items of load have zero in the wattage field. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	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. The impact is assessed to be low. The missing information may have resulted in under submission by approx. 4,000 kWh per annum assuming wattage of 30 watts and annual burn hours of 4,271.		
Actions taken to resolve the issue		Completion date	Remedial action status
Masterton DC are currently conducting a full review of the DUMML database. Once this is complete, we will be checking to ensure all relevant fields are populated for each light.		Mar 22	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Due to the decline in accuracy over the last audit period, we will be requesting Masterton DC to review their processes to identify the cause of this and address any issues appropriately to return the database to high accuracy.		Ongoing	

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Feb-20 To: 24-Jan-22	1 additional light found in the field. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	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. 256 kWh per annum; therefore, the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Masterton DC are currently conducting a full review of the DUMML database. Once this is complete, we will be checking to ensure this light has been added to the database.		Apr22	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Due to the decline in accuracy over the last audit period, we will be requesting Masterton DC to review their processes to identify the cause of this and address any issues appropriately to return the database to high accuracy.		Ongoing	

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-20</p> <p>To: 24-Jan-22</p>	<p>The field audit concluded that in absolute terms, total annual consumption is estimated to be 49,600 kWh lower than the DUML database indicates.</p> <p>37 items of load have a blank light model and 33 items of load have a blank wattage, resulting in under submission of approx. 4,000 kWh per annum.</p> <p>174 incorrect LED wattages resulting in under submission of approx. 6,700 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: 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		
Medium	<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
<p>37 items of load have a blank light model and 33 items of load have a blank wattage, resulting in under submission of approx. 4,000 kWh per annum.</p> <p>Masterton DC are currently conducting a full review of the DUML database. Once this is complete, we will be checking to ensure the wattages are populated for all lights.</p> <p>174 incorrect LED wattages resulting in under submission of approx. 6,700 kWh per annum.</p> <p>Masterton DC are currently conducting a full review of the DUML database. Once this is complete, we will be checking to ensure the wattages for these lights have been corrected.</p>		Apr22	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Due to the decline in accuracy over the last audit period, we will be requesting Masterton DC to review their processes to identify the cause of this and address any issues appropriately to return the database to high accuracy.</p>		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: 01-Feb-20</p> <p>To: 24-Jan-22</p>	<p>The field audit concluded that in absolute terms, total annual consumption is estimated to be 49,600 kWh lower than the DUML database indicates.</p> <p>Under submission of 4,000 kWh per annum assuming wattage of 30 watts and annual burn hours of 4,271.</p> <p>Under submission of 6,700 kWh per annum. This was also discussed in the previous audit, where the light model was recorded as "Itron Zero OC6 STA" and it was stated the wattage should be 51. The description has been updated to "Itron Zero OC6 STA 3.1 100-3M" but not the wattage which for this model should be 60.</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: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
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