

## Compliance plan for Hutt City Council DUML 2019

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-Oct-19</p> <p>To: 31-Oct-19</p>	<p>The database is not confirmed as accurate with a 95% level of confidence as recorded in <b>section 3.1</b>.</p> <p>23 items of load do not have model or wattage information recorded.</p> <p>14 items of load have inaccurate wattages recorded.</p> <p>47 items of load do not have ICP numbers recorded in the database.</p> <p>Six items of load had incorrect ICP numbers recorded in the database and were corrected during the audit.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Livening dates are not recorded for new connections, and change dates may not reflect the date the change is made.</p> <p>Potential impact: High</p> <p>Actual impact: Unknown</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
<p><b>High</b></p>	<p>The controls over the database are rated as weak.</p> <p>Based on the field audit findings there appear to be delays in entering updated light information (e.g. SON lights in the database when LEDs were present on the street), and some issues with information accuracy (e.g. different LED lights recorded in the database to in the field).</p> <p>The update process will not necessarily ensure that the correct change date is recorded where an existing light is changed.</p> <p>The audit risk rating is high based on kWh variances discussed in <b>section 3.1</b>.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Contact will work with HCC to update their database to ensure accuracy of model/wattage and correct ICP number</p> <p>Contact will work with the customer to ensure that they are setup to deliver their data for any given time, as required by the EA</p> <p>Contact will work with HCC to ensure that their process for New Connections reflects actual usage.</p>	<p>Ongoing</p>	<p>Identified</p>

Preventative actions taken to ensure no further issues will occur	Completion date
Contact will complete quarterly database checks to ensure the accuracy of HCC's database	Ongoing

ICP identifier and items of load		
Non-compliance	Description	
Audit Ref: 2.2 With: Clause 11(2)(a) and (aa) of Schedule 15.3 From: 01-Oct-19 To: 31-Oct-19	46 unmetered items of load do not have an ICP number assigned. Potential impact: Medium Actual impact: Medium Audit history: None Controls: Moderate Breach risk rating: 4	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	The controls over the database are rated as moderate. The missing ICP for object ID 14238 occurred due to an oversight, and invalid ICP numbers for Properties UrbanPlus related to a specific group of lights and did not affect the wider database. The impact is assessed to be medium. The total wattage not recorded against an ICP number is 2709 W or 11,570 kWh per annum based on 4,271 burn hours.	
Actions taken to resolve the issue	Completion date	Remedial action status
Contact will work with HCC to ensure that they have the correct ICP added for each item of unmetered load	Ongoing	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Contact will complete quarterly database checks to ensure the accuracy of HCC's database	Ongoing	

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-Oct-19 To: 31-Oct-19	23 items of load do not have model or wattage information recorded. Potential impact: Low Actual impact: None Audit history: Once Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time. The impact is assessed to be low, because a small 23 lamps are affected, and the wattage is expected to be low.	
Actions taken to resolve the issue	Completion date	Remedial action status
Contact will work with HCC to ensure their data is accurate	Ongoing	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Contact will complete quarterly database checks to ensure the accuracy of HCC's database	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-Oct-19</p> <p>To: 31-Oct-19</p>	<p>The database is not confirmed as accurate with a 95% level of confidence.</p> <p>23 items of load do not have model or wattage information recorded.</p> <p>14 items of load have inaccurate wattages recorded.</p> <p>47 items of load do not have ICP numbers recorded in the database.</p> <p>Six items of load had incorrect ICP numbers recorded in the database and were corrected during the audit.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Livening dates are not recorded for new connections, and change dates may not reflect the date the change is made.</p> <p>Potential impact: High</p> <p>Actual impact: Unknown</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>		
Audit risk rating	Rationale for audit risk rating		
High	<p>The controls over the database are rated as weak.</p> <p>Based on the field audit findings there appear to be delays in entering updated light information (e.g. SON lights in the database when LEDs were present on the street), and some issues with information accuracy (e.g. different LED lights recorded in the database to in the field).</p> <p>The update process will not necessarily ensure that the correct change date is recorded where an existing light is changed.</p> <p>The audit risk rating is high based on the potential kWh variances identified during the field audit. A small amount of database information was found to be incomplete or inaccurate.</p>		
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Preventative actions taken to ensure no further issues will occur		Completion date	
Contact will complete quarterly database checks to ensure the accuracy of HCC's database		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-Oct-19</p> <p>To: 31-Oct-19</p>	<p>The database is not confirmed as accurate with a 95% level of confidence as recorded in <b>section 3.1</b>.</p> <p>23 items of load do not have model or wattage information recorded.</p> <p>14 items of load have inaccurate wattages recorded.</p> <p>47 items of load do not have ICP numbers recorded in the database.</p> <p>Six items of load had incorrect ICP numbers recorded in the database and were corrected during the audit.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Livening dates are not recorded for new connections, and change dates may not reflect the date the change is made.</p> <p>Potential impact: High</p> <p>Actual impact: Unknown</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
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