

Compliance plan for Hurunui District Council DUML– 2019

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Jun-18 To: 16-Oct-19</p>	<p>No ICP for NSP ASY0111 resulting in an estimated under submission of 1,571.73 kWh per annum.</p> <p>Database is not confirmed as accurate with a 95% level of confidence.</p> <p>34 items of load have the incorrect wattage applied in the DUML database which would result in under submission of 205 kWh per annum.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: None Controls: Moderate Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be medium based on the estimated database errors found.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>We are following up with urgency the creation of an ICP for the lights now connected to ASY0111 so these can be included in submissions. We will request this be backdated to when the change in NSP occurred.</p> <p>Field audit and wattage discrepancies will be provided to Mainpower for correction.</p>	31 Dec 2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Existing controls are considered sufficient to mitigate the risk most of the time.		

ICP Identifier			
Non-compliance	Description		
Audit Ref: 2.2 With: Clause 11(2) (a) & (aa) of Schedule 15.3 From: 01-Jun-18 To: 16-Oct-19	No ICP lights associated with NSP ASY0111 resulting in an estimated under submission of 1,571.73 kWh per annum. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as weak as there no process to identify if an ICP is associated for each NSP when network reconfiguration occurs, such as has happened in this instance. The impact is assessed to be low based on the estimated impact on reconciliation.		
Actions taken to resolve the issue		Completion date	Remedial action status
We are following up with urgency the creation of an ICP for the lights now connected to ASY0111 so these can be included in submissions. We will request this be backdated to when the change in NSP occurred.		31 Dec 2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Jun-18 To: 16-Oct-19	Six additional lights found in the field. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate due to the volume of additional lights found in the field. The impact is assessed to be low due to the small number of additional lights found in the field in relation to the overall count of the items of load.	
Actions taken to resolve the issue	Completion date	Remedial action status
Results of the field audit will be provided to Mainpower to add the additional lights to the database.	Complete	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Existing controls are considered sufficient to mitigate the risk most of the time.		

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Jun-18</p> <p>To: 16-Oct-19</p>	<p>Database is not confirmed as accurate with a 95% level of confidence.</p> <p>34 items of load have the incorrect wattage applied in the DUMML database which would result in under submission of 205 kWh per annum.</p> <p>No ICP for lights associated with NSP ASY0111 resulting in an estimated under submission of 1,571.73 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be medium based on the estimated database errors found.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>We are following up with urgency the creation of an ICP for the lights now connected to ASY0111 so these can be included in submissions. We will request this be backdated to when the change in NSP occurred.</p> <p>Field audit and wattage discrepancies will be provided to Mainpower to correct the database.</p>	31 Dec 2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Existing controls are considered sufficient to mitigate the risk most of the time.		

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-Jun-18 To: 16-Oct-19</p>	<p>No ICP for NSP ASY0111 resulting in an estimated under submission of 1,571.73 kWh per annum.</p> <p>Database is not confirmed as accurate with a 95% level of confidence.</p> <p>34 items of load have the incorrect wattage applied in the DUMML database which would result in under submission of 205 kWh per annum.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: None Controls: Moderate Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be medium based on the estimated database errors found.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>We are following up with urgency the creation of an ICP for the lights now connected to ASY0111 so these can be included in submissions. We will request this be backdated to when the change in NSP occurred.</p> <p>Field audit and wattage discrepancies will be provided to Mainpower to correct the database.</p>		31 Dec 2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Existing controls are considered sufficient to mitigate the risk most of the time.			