

Compliance plan for Upper Hutt CC DUML – 2019

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: unknown To: 24-Aug-19	The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot. Livening dates not recorded for new connections. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate, because they are sufficient to ensure that submission information has a high level of accuracy. The impact is assessed to be low, because the difference between a monthly snapshot and daily recording of changes is a small percentage of the total consumption for any given month.	
Actions taken to resolve the issue	Completion date	Remedial action status
Customer will be advised to implement daily updates of SL on database.	15/12/2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
While Trustpower has no authority to make a customer comply, we will endeavour to check the daily changes on the monthly updates and advise the customer each time that this is not compliant.	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-Jul-19 To: 24-Aug-19	Two records with a blank ICP. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as strong because they mitigate risk to an acceptable level. The impact on settlement and participants is minor; therefore the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
Will ask Customer to input correct ICP number for these two items.	15/12/2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Trustpower will check database to ensure this has been done.	15/12/2019	

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-May-18 To: 24-Aug-19	Four items of load not recorded in the database. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as strong because they mitigate risk to an acceptable level. The impact on settlement and participants is minor; therefore the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Will ask Customer to investigate these lamps and enter into the database.		15/12/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Trustpower will check the database and monthly update report to ensure this has been done.		Ongoing	

Database accuracy			
Non-compliance	Description		
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: unknown To: 24-Aug-19	The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot. Liveness dates not recorded for new connections. 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, because they are sufficient to ensure that submission information has a high level of accuracy. The impact is assessed to be low, because the difference between a monthly snapshot and daily recording of changes is a small percentage of the total consumption for any given month.		
Actions taken to resolve the issue		Completion date	Remedial action status
Customer will be advised to implement daily updates of SL on database.		15/12/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
While Trustpower has no authority to make a customer comply, we will endeavour to check the daily changes on the monthly updates and advise the customer each time that this is not compliant.		Ongoing	

Volume information accuracy			
Non-compliance	Description		
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: unknown To: 24-Aug-19	The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot. Liveness dates not recorded for new connections. 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, because they are sufficient to ensure that submission information has a high level of accuracy. The impact is assessed to be low, because the difference between a monthly snapshot and daily recording of changes is a small percentage of the total consumption for any given month.		
Actions taken to resolve the issue		Completion date	Remedial action status
Customer will be advised to implement daily updates of SL on database.		15/12/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
While Trustpower has no authority to make a customer comply, we will endeavour to check the daily changes on the monthly updates and advise the customer each time that this is not compliant.		Ongoing	