

Compliance plan for Hutt City Council DUML– 2020

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 31-Oct-19 To: 31-May-20</p>	<p>The database is not confirmed as accurate with a 95% level of confidence resulting in an estimated annual over submission of 420,100 kWh as recorded in section 3.1.</p> <p>LED make and model details are not recorded in the database.</p> <p>Lamp wattage is recorded outside of the database.</p> <p>Ten items of load with no lamp type resulting in an estimated annual under submission of 4,429 kWh.</p> <p>46 items of load have inaccurate wattages recorded resulting in an estimated annual under submission of 1,666 kWh.</p> <p>Seven items of load do not have ICP numbers recorded in the database.</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 Actual impact: Unknown Audit history: Twice Controls: Weak Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls over the database are rated as weak as the data quality is poor and incomplete. This is reflected by the field audit results.</p> <p>The audit risk rating is high based on kWh variances discussed in section 3.1.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Contact is continuing to engage with HCC to ensure they update their database to maintain accuracy of model/wattage and correct ICP number</p> <p>Contact is continuing to 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>	Ongoing	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Contact will continue to attempt to perform quarterly checks on the database to find any possible issues to ensure these are resolved in a timely fashion	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	Seven unmetered items of load do not have an ICP number assigned. 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 over the database are rated as moderate. Once the data is moved to RAMM I would expect the controls to move to strong. The impact is assessed to be low due to the small number of lights involved.	
Actions taken to resolve the issue	Completion date	Remedial action status
Contact is continuing to engage 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 continue to attempt to perform quarterly checks on the database to find any possible issues to ensure these are resolved in a timely fashion	Ongoing	

Description and capacity of load			
Non-compliance	Description		
<p>Audit Ref: 2.4</p> <p>With: Clause 11(2)(c) and (d) of Schedule 15.3</p> <p>From: 31-Oct-19</p> <p>To: 31-May-20</p>	<p>LED make and model details are not recorded in the database.</p> <p>Lamp wattage is recorded outside of the database.</p> <p>Ten items of load with no lamp description recorded.</p> <p>Potential impact: Unknown</p> <p>Actual impact: Medium</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are rated as weak as the database does not record the wattage, and there are no LED lamp make and models recorded.</p> <p>The impact is assessed to be medium as the database does not have LED make and model recorded and the field audit indicates that the data is not accurate.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Contact is continuing to engage with HCC to ensure their data is accurate		Ongoing	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Contact will continue to attempt to perform quarterly checks on the database to find any possible issues to ensure these are resolved in a timely fashion		Ongoing	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 31-Oct-19</p> <p>To: 31-May-20</p>	<p>The database is not confirmed as accurate with a 95% level of confidence resulting in an estimated annual over submission of 420,100 kWh.</p> <p>LED make and model details are not recorded in the database.</p> <p>Lamp wattage is recorded outside of the database.</p> <p>Ten items of load with no lamp type resulting in an estimated annual under submission of 4,429 kWh.</p> <p>46 items of load have inaccurate wattages recorded resulting in an estimated annual under submission of 1,666 kWh.</p> <p>Seven items of load do not have ICP numbers recorded in the database.</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: Twice</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 as the data quality is poor and incomplete. This is reflected by the field audit results.</p> <p>The audit risk rating is high based on kWh variances.</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>	Ongoing	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Contact will continue to attempt to perform quarterly checks on the database to find any possible issues to ensure these are resolved in a timely fashion	Ongoing	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c)</p> <p>From: 31-Oct-19 To: 31-May-20</p>	<p>The database is not confirmed as accurate with a 95% level of confidence resulting in an estimated annual over submission of 420,100 kWh as recorded in section 3.1.</p> <p>LED make and model details are not recorded in the database.</p> <p>Lamp wattage is recorded outside of the database.</p> <p>Ten items of load with no lamp type resulting in an estimated annual under submission of 4,429 kWh.</p> <p>46 items of load have inaccurate wattages recorded resulting in an estimated annual under submission of 1,666 kWh.</p> <p>Seven items of load do not have ICP numbers recorded in the database.</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 Actual impact: Unknown Audit history: Twice Controls: Weak Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls over the database are rated as weak as the data quality is poor and incomplete. This is reflected by the field audit results.</p> <p>The audit risk rating is high based on kWh variances discussed in section 3.1.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Contact will continue to work with the customer to ensure that they have systems and processes to deliver their data to an acceptable level of accuracy as required by the code	Ongoing	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	