

## Compliance plan for New Plymouth DC DUML– 2020

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: 01-Aug-20</p>	<p>Four lights recorded against the incorrect NSP.</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 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 RAMM at the time that the change occurs.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls over the database are rated as moderate, as the processes to manage change will ensure accuracy most of the time.</p> <p>The audit risk rating is assessed to be low as the database accuracy was found to be high with only a minor number of discrepancies.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Contact will work with NPDC to update the existing data to be the correct NSP.</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 NPDC to ensure that their process for New Connections reflects actual usage</p>	Ongoing	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>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</p>	Ongoing	

<b>All load recorded in database</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3  From: 01-Oct-19 To: 31-Aug-20	For the sample of lights checked, there were three additional lights found in the field.  Potential impact: Low  Actual impact: Low  Audit history: Once previously  Controls: Moderate  Breach risk rating: 2	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	Controls are rated as moderate, the process in place has sufficient controls to ensure that all items of load are recorded in the database most of the time.  The audit risk rating is assessed to be low as the overall database accuracy is within the acceptable range.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Contact will work with NPDC and their agent to get the database updated with the correct values and attributes. Contact will also back date this correction and also adjust our submission volumes to ensure all consumption volume is accounted for since the previous audit.	31/12/2020	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	

<b>Database accuracy</b>			
<b>Non-compliance</b>	<b>Description</b>		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Oct-19</p> <p>To: 04-Sep-20</p>	<p>Four lights recorded against the incorrect ICP.</p> <p>Livening 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 RAMM at the time that the change occurs.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>		
<b>Low</b>	<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 low as the overall database accuracy is high and the volume of errors found was low.</p>		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	<b>Remedial action status</b>
Contact will work with NPDC to update the existing data to be the correct ICP.		31/12/2020	Investigating
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>	

<b>Volume information accuracy</b>		
<b>Non-compliance</b>	<b>Description</b>	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-Oct-19</p> <p>To: 01-Aug-20</p>	<p>An incorrect profile is recorded on the registry for 0008807417WMB53.</p> <p>Four lights recorded against the incorrect NSP.</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 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 RAMM at the time that the change occurs.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	<p>The controls over the database are rated as moderate, as the processes to manage change will ensure accuracy most of the time.</p> <p>The audit risk rating is assessed to be low as the database accuracy was found to be high with only a minor number of discrepancies.</p>	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
<p>Contact will correct the profile recorded against 0008807417WMB53.</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 NPDC to ensure that their process for New Connections reflects actual usage.</p>	Ongoing	Investigating
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	