

Compliance plan for Hurunui DC DUML Audit– 2020

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 17-Oct-19 To: 31-Jul-20</p>	<p>Monthly wattage report variance with RAMM database resulting in potential under submission of 19,705.4 kWh per annum.</p> <p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated under submission of 1,900 kWh per annum.</p> <p>Nine items of load with no lamp wattage assigned, resulting in an estimated under submission of 846 kWh per annum.</p> <p>15 items of load have the incorrect wattage applied in the DUML database which would result in an estimated under submission of 136.67 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</p> <p>Audit history: Once Controls: Weak Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>Controls are rated as weak as the monthly report is not being directly generated from the RAMM database.</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We have requested Hurunui DC supply a full database extract going forward rather than continuing with the out of date summary report. We will assess the historic difference in volumes and revise submissions where required.</p> <p>Items of load with no lamp wattage are under investigation to determine ownership.</p> <p>Other minor discrepancies are in the process of being corrected in the database.</p>	<p>October 2020</p> <p>31 October 2020</p> <p>31 October 2020</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Receipt of a monthly report from the database will address the biggest risk identified.		

ICP Identifier			
Non-compliance	Description		
<p>Audit Ref: 2.2</p> <p>With: Clause 11(2) (a) & (aa) of Schedule 15.3</p> <p>From: 17-Oct-19</p> <p>To: 31-Jul-20</p>	<p>One item of load with no ICP allocated.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>Controls are rated as moderate. HDC have only recently started using their RAMM database for the reconciliation of streetlights and are understand the requirements of ICP allocation and will be checking for items of load with no ICP allocated.</p> <p>The impact is assessed to be low to none as only one item of load with no ICP allocated was found and has been corrected.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
As reported an ICP has now been assigned to the one item of load identified.		Complete	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
Receipt of a full database extract monthly will enable any future items of load with no ICP recorded to be identified and followed up.		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: 17-Oct-19 To: 31-Jul-20	Nine items of load with no wattage value recorded resulting in an estimated minor under submission of 846 kWh. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as moderate as HDC are now aware of the use of ICPs in the database and are putting validation in place to ensure that the correct ICP is recorded against each item of load. The impact is assessed to be low due to the small number of lights affected.		
Actions taken to resolve the issue		Completion date	Remedial action status
Ownership of lights is being investigated by HDC and database information will be updated when ownership has been established.		31 October 2020	Investigating
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: 17-Oct-19 To: 31-Jul-20	Two additional lights found in the field. Potential impact: Low Actual impact: Low Audit history: Twice previously Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as moderate as the processes in place will ensure that the data is recorded correctly most of the time. 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
The 2 additional lights found will be confirmed and added to the database.		31 October 2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 17-Oct-19</p> <p>To: 31-Jul-20</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated under submission of 1,900 kWh per annum.</p> <p>15 items of load have the incorrect wattage applied in the DUMML database which would result in under submission of 136.67 kWh per annum.</p> <p>Nine items of load with no wattage value recorded resulting in an estimated minor under submission of 846 kWh.</p> <p>HDC ICPs incorrectly assigned to the NZTA items of load. These are reconciled to the NZTA ICPs in a separate database so there is no impact on reconciliation.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<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 based on the estimated database errors found.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>We have requested Hurunui DC supply a full database extract going forward rather than continuing with the out of date summary report. We will assess the historic difference in volumes and revise submissions where required.</p> <p>Items of load with no lamp wattage are under investigation to determine ownership.</p> <p>Other minor discrepancies are in the process of being corrected in the database.</p>	<p>October 2020</p> <p>31 October 2020</p> <p>31 October 2020</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Receipt of a monthly report from the database will address the biggest risk identified.		

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 17-Oct-19</p> <p>To: 31-Jul-20</p>	<p>Monthly wattage report variance with RAMM database resulting in potential under submission of 19,705.4 kWh per annum.</p> <p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated under submission of 1,900 kWh per annum.</p> <p>Nine items of load with no lamp wattage assigned, resulting in an estimated under submission of 846 kWh per annum.</p> <p>15 items of load have the incorrect wattage applied in the DUML database which would result in an estimated under submission of 136.67 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</p> <p>Actual impact: Medium</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>Controls are rated as weak as the monthly report is not being directly generated from the RAMM database.</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
<p>We have requested Hurunui DC supply a full database extract going forward rather than continuing with the out of date summary report. We will assess the historic difference in volumes and revise submissions where required.</p> <p>Items of load with no lamp wattage are under investigation to determine ownership.</p> <p>Other minor discrepancies are in the process of being corrected in the database.</p>		<p>October 2020</p> <p>31 October 2020</p> <p>31 October 2020</p>
Preventative actions taken to ensure no further issues will occur		Completion date
<p>Receipt of a monthly report from the database will address the biggest risk identified.</p>		
Remedial action status		
Identified		