

Compliance plan for Hutt CC DUML – 2021

Participant to give access		
Non-compliance	Description	
Audit Ref: 1.11 With: Clause 16A.4 From: 11-Jan-21 To: 07-Apr-21	Submission information not provided within 15 business days of being requested. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as weak as the provision of information is slow and requires multiple requests. The audit risk rating is low as the information was eventually provided.	
Actions taken to resolve the issue	Completion date	Remedial action status
Submission information was provided	7/4/2021	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	

Actions taken to resolve the issue	Completion date	Remedial action status
<p>The Council has committed to undertake two major projects to address the majority of these non-compliances:</p> <ol style="list-style-type: none"> 1. A 100% field audit; 2. Transitioning the streetlight records to a RAMM database with the results from the field audit (and any additional changes that occur during the field audit). <p>The RAMM database will ensure all information is captured in a single place and will have better controls and audit records. The Field Audit will ensure all required information about each light is captured and the database starts off with an accurate and complete dataset.</p> <p>Festive Lights will be added as a new record each year within the database when connected and end dated when disconnected.</p> <p>Contractors, Fulton Hogan, now have a 48 hour timeline with which to enter any changes in the field into the streetlight database.</p> <p>Property UrbanPlus are being engaged to have the lights allocated to their own ICP(s).</p>	1/11/2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

ICP identifier and items of load		
Non-compliance	Description	
<p>Audit Ref: 2.2</p> <p>With: Clause 11(2)(a) and (aa) of Schedule 15.3</p> <p>From: 01-Oct-20</p> <p>To: 31-Dec-20</p>	<p>Four unmetered items of load do not have an ICP number assigned resulting in an estimated under submission of 2,870 kWh per annum.</p> <p>46 items of load recorded with "Property Plus" in the ICP column not reconciled resulting in an estimated under submission of 11,472 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Twice previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>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.</p> <p>The impact is assessed to be medium due to the volume of the unsubmitted kWh detailed above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>The four unmetered lights listed against NZTA will be moved off Hutt City Councils database and onto a respective NZTA ICP's database.</p> <p>Property UrbanPlus are being engaged to have the lights allocated to their own ICP(s).</p>	30/6/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	

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: 01-Jan-20</p> <p>To: 31-Dec-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>16 items of load with no lamp description recorded.</p> <p>Potential impact: Unknown</p> <p>Actual impact: Medium</p> <p>Audit history: Three times previously</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 makes 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
<p>The Council has committed to undertake two major projects to address the majority of these non-compliances:</p> <ol style="list-style-type: none"> 1. A 100% field audit; 2. Transitioning the streetlight records to a RAMM database with the results from the field audit (and any additional changes that occur during the field audit). <p>The RAMM database will ensure all information is captured in a single place and will have better controls and audit records. The Field Audit will ensure all required information about each light is captured and the database starts off with an accurate and complete dataset.</p>		1/11/2021	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(2)(c) and (d) of Schedule 15.3 From: 01-Jan-20 To: 31-Dec-20	One additional light found in the field. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as weak as process to track changes is not capturing all changes made in the field. The impact is assessed to be low as there was only one additional lamp found of the sample checked.	
Actions taken to resolve the issue	Completion date	Remedial action status
The 100% Field Audit will ensure all lights are captured and recorded	1/11/2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

