

Compliance plan for Kapiti Coast DC DUML –2021

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Oct-20 To: 21-May-21</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 of the change if they are not processed in RAMM at the time that the change occurs.</p> <p>One item of load does not have the wattage recorded.</p> <p>Potential impact: Low Actual impact: Low Audit history: Twice Controls: Strong Breach risk rating: 1</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are recorded as strong because they mitigate risk to an acceptable level.</p> <p>The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Kapiti DC will be reviewing the fields and functionality of RAMM to allow for livening dates to be entered and reported as at effective livening date, rather than entered or certification date.</p> <p>The item of load with no wattage has been resolved.</p>		<p>31/8/2021</p> <p>Complete</p>	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>The missed item of load was due to project run by NZTA and divested. Reporting has subsequently been built to allow for any blank field to be identified – this is run monthly prior to submitting the database.</p>		Complete	

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-Oct-20</p> <p>To: 21-May-21</p>	<p>One item of load with blank model and wattage.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are recorded as strong because they mitigate risk to an acceptable level.</p> <p>The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Wattage has been added to the item of load.	Complete	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
The missed item of load was due to project run by NZTA and divested. Reporting has subsequently been built to allow for any blank field to be identified – this is run monthly prior to submitting the database.	Complete	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Oct-19</p> <p>To: 21-May-21</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 of the change if they are not processed in RAMM at the time that the change occurs.</p> <p>One item of load with zero wattage and no lamp model.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are recorded as strong because they mitigate risk to an acceptable level.</p> <p>The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Kapiti DC will be reviewing the fields and functionality of RAMM to allow for livening dates to be entered and reported as at effective livening date, rather than entered or certification date.</p> <p>The item of load with no wattage has been resolved.</p>		<p>31/8/2021</p> <p>Complete</p>	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>The missed item of load was due to project run by NZTA and divested. Reporting has subsequently been built to allow for any blank field to be identified – this is run monthly prior to submitting the database.</p>		Complete	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-Oct-20</p> <p>To: 21-May-21</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 of the change if they are not processed in RAMM at the time that the change occurs.</p> <p>One item of load does not have the wattage recorded.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are recorded as strong because they mitigate risk to an acceptable level.</p> <p>The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Kapiti DC will be reviewing the fields and functionality of RAMM to allow for livening dates to be entered and reported as at effective livening date, rather than entered or certification date.</p> <p>The item of load with no wattage has been resolved.</p>		<p>31/8/2021</p> <p>Complete</p>	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>The missed item of load was due to project run by NZTA and divested. Reporting has subsequently been built to allow for any blank field to be identified – this is run monthly prior to submitting the database.</p>		Complete	