

Compliance plan for Hurunui District Council DUML-2021

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 27-Aug-20</p> <p>To: 22-Apr-21</p>	<p>Total annual consumption is estimated to be 3,000 kWh higher than the DUML database indicates.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Two items of load have the incorrect wattage applied in the DUML database which would result in under submission of 8.54 kWh per annum.</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>Controls are rated as moderate as the processes overall are robust but the change is not tracked at a daily level.</p> <p>The impact is assessed to be low as there are very few changes made to this database.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
The minor database inaccuracies identified during this audit have been provided to Hurunui DC to update the database.		31 May 2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Overall processes for maintaining the database are reported as robust.</p> <p>Processes are in place to account for historical database corrections that have a material impact on settlement volumes.</p>		Ongoing	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 27-Aug-20 To: 22-Apr-21	Two additional lights found in the field. Potential impact: Low Actual impact: Low Audit history: Three times 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 minor database inaccuracies identified during this audit have been provided to Hurunui DC to update the database.	31 May 2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Overall processes for maintaining the database are reported as robust.	Ongoing	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 27-Aug-20</p> <p>To: 22-Apr-21</p>	<p>In absolute terms, total annual consumption is estimated to be 3,000 kWh higher than the DUML database indicates.</p> <p>Two items of load have the incorrect wattage applied in the DUML database which would result in under submission of 8.54 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Once</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 kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
The minor database inaccuracies identified during this audit have been provided to Hurunui DC to update the database.		31 May 2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Overall processes for maintaining the database are reported as robust.		Ongoing	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 27-Aug-20</p> <p>To: 22-Apr-21</p>	<p>Total annual consumption is estimated to be 3,000 kWh higher than the DUML database indicates</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Two items of load have the incorrect wattage applied in the DUML database which would result in under submission of 8.54 kWh per annum.</p> <p>Potential impact: Medium</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>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 kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
The minor database inaccuracies identified during this audit have been provided to Hurunui DC to update the database.		31 May 2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Overall processes for maintaining the database are reported as robust.</p> <p>Processes are in place to account for historical database corrections that have a material impact on settlement volumes.</p>		Ongoing	