

Compliance Plan Christchurch City Council - Mainpower DUML 2021

Distributed Unmetered Load audit		
Non-compliance	Description	
Audit Ref: 1.10 With: Clause 16A.26 From: 26-Feb-20 To: 03-May-21	Submission data was not provided within the required time frame. 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 recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
		Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
The timely provision of information was impacted by the various other compliance related requests at that time. Since May 2021 significant additional resource has been added to the wider team and audits since this time have not been affected.	Completed late 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: 26-Feb-20</p> <p>To: 03-May-21</p>	<p>Variance in light volumes reported to Simply Energy vs what is recorded in the database is likely to be resulting in an estimated 2,368 kWh per annum of under submission.</p> <p>The database accuracy is assessed to be 48% less than is recorded in the database. Resulting in an estimated over submission of 10,699 kWh per annum (based on 4,271 annually</p> <p>The monthly database extract 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: Three times previously</p> <p>Controls: None</p> <p>Breach risk rating: 8</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>Controls are rated as none as this database is no longer being maintained.</p> <p>The impact is assessed to be medium, based on the potential kWh variances detailed above but this will increase until an alternative database is found to manage this load.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
We will use the findings from the (complete) field audit completed in May 2021 for all submissions from 1/5/2021 until such time as we get better information from an additional field audit, or the Council providing a database extract again.	31/1/2022	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
The Council discontinued their database management service with Mainpower in early 2021 and despite numerous requests we have not been able to find anyone within Council who can answer our questions. We will continue to make enquiries and push for resolution to this unfortunate scenario.	Unknown	

Database Accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 26-Feb-20</p> <p>To: 03-May-21</p>	<p>The database accuracy is assessed to be 48% less than is recorded in the database. Resulting in an estimated over submission of 10,699 kWh per annum (based on 4,271 annual burn hours).</p> <p>Load changes no longer tracked in the Mainpower database.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Three times previously</p> <p>Controls: None</p> <p>Breach risk rating: 8</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>Controls are rated as none as this database is no longer being maintained.</p> <p>The impact is assessed to be medium, based on the potential kWh variances detailed above but this will increase until an alternative database is found to manage this load.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
We will use the findings from the (complete) field audit completed in May 2021 for all submissions from 1/5/2021 until such time as we get better information from an additional field audit, or the Council providing a database extract again.		31/1/2022	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
The Council discontinued their database management service with Mainpower in early 2021 and despite numerous requests we have not been able to find anyone within Council who can answer our questions. We will continue to make enquiries and push for resolution to this unfortunate scenario.		Unknown	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 26-Feb-20</p> <p>To: 03-May-21</p>	<p>Variance in light volumes reported to Simply Energy vs what is recorded in the database is likely to be resulting in an estimated 2,368 kWh per annum of under submission.</p> <p>The database accuracy is assessed to be 48% less than is recorded in the database. Resulting in an estimated over submission of 10,699 kWh per annum (based on 4,271 annually</p> <p>The monthly database extract 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: Three times previously</p> <p>Controls: None</p> <p>Breach risk rating: 8</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>Controls are rated as none as this database is no longer being maintained.</p> <p>The impact is assessed to be medium, based on the potential kWh variances detailed above but this will increase until an alternative database is found to manage this load.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
We will use the findings from the (complete) field audit completed in May 2021 for all submissions from 1/5/2021 until such time as we get better information from an additional field audit, or the Council providing a database extract again.		31/1/2022	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
The Council discontinued their database management service with Mainpower in early 2021 and despite numerous requests we have not been able to find anyone within Council who can answer our questions. We will continue to make enquiries and push for resolution to this unfortunate scenario.		Unknown	