

Compliance plan for Horowhenua District Council DUML – 2021

Distributed unmetered load audits		
Non-compliance	Description	
Audit Ref: 1.10 With: Clause 16A.26 From: 18-Sep-21 To: 05-Nov-21	Audit not completed within the required timeframe. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong, as Contact are reliant on the database provider to supply the data and in this case the delay caused this report to be late. The impact is assessed to be low, as this has no direct impact on reconciliation.	
Actions taken to resolve the issue	Completion date	Remedial action status
NB: Large part of the delay was caused by the Horowhenua DC requiring staff to work from home during COVID level 2 and staff being unable to run a complete dataset via their remote login to RAMM to send to Veritek by the required timeline.		Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Dec-19 To: 20-Oct-21	The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement. The impact is assessed to be low, based on the low number of changes which occur in the database.	
Actions taken to resolve the issue		Completion date
Preventative actions taken to ensure no further issues will occur		Completion date
Horowhenua DC will now actively advise on changes to their asset schedule during the month along with their monthly snapshot. Combined with the previous months snapshot this will enable us to submit a daily capacity value.		30/11/2021
		Identified

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 01-Dec-19 To: 20-Oct-21	The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement. The impact is assessed to be low, based on the low number of changes which occur in the database.	
Actions taken to resolve the issue		Completion date
Preventative actions taken to ensure no further issues will occur		Completion date
Horowhenua DC will now actively advise on changes to their asset schedule during the month along with their monthly snapshot. Combined with the previous months snapshot this will enable us to submit a daily capacity value.		30/11/2021
Identified		