

Compliance Plan for Hurunui District Council DUML 2023

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Apr-22 To: 17-Aug-23	One item of load has the incorrect wattage applied in the DUML database which would result in the minor under submission of 4.27 kWh per annum. Potential impact: Low Actual impact: Low Audit history: three times previously Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as strong, the small number of exceptions indicated that controls are sufficient to ensure that all lamps are recorded in the database most of the time. The impact on settlement and participants is low; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Hurunui District Council were advised of the inaccuracies during a meeting. Hurunui District Council have confirmed the inaccuracies have since been corrected.		29/08/23
Preventative actions taken to ensure no further issues will occur		Completion date
		Cleared

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: Unknown To: 17-Aug-23	One additional light was found in the field. Potential impact: Low Actual impact: Low Audit history: Multiple times previously Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong overall as there are robust processes in place ensure that the database is kept up to date. The impact is assessed to be low as only one additional light was found in the field.	
Actions taken to resolve the issue	Completion date	Remedial action status
Hurunui District Council were advised of the inaccuracies during a meeting. Hurunui District Council have confirmed the inaccuracies have since been corrected.	29/08/2023	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Apr-22 To: 17-Aug-23	One item of load has the incorrect wattage applied in the DUML database which would result in the minor under submission of 4.27 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Twice previously Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as strong because they mitigate risk to an acceptable level. The impact is assessed to be low, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Hurunui District Council were advised of the inaccuracies during a meeting. Hurunui District Council have confirmed the inaccuracies have since been corrected.	29/08/2023	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 01-Apr-22 To: 17-Aug-23	One item of load has the incorrect wattage applied in the DUML database which would result in the minor under submission of 4.27 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Three times previously Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as strong because they mitigate risk to an acceptable level. The impact on settlement and participants is low; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Hurunui District Council were advised of the inaccuracies during a meeting. Hurunui District Council have confirmed the inaccuracies have since been corrected.		29/08/2023
Preventative actions taken to ensure no further issues will occur		Completion date
		Cleared