

Compliance plan for Upper Hutt CC DUML Audit – 2024

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of schedule 15.3</p> <p>From: 05-Aug-24</p> <p>To: 22-Aug-24</p>	<p>The best available estimate is not precise enough to conclude that the database is accurate within $\pm 5.0\%$ which could result in under submission of 15,600 kWh p.a.</p> <p>Five lamp models had some lamps with a wattage inconsistent with their description, and have been checked and had their wattages and/or descriptions updated during the audit. The lights with confirmed incorrect wattages resulted in potential over submission of 401.5 kWh per annum until they were corrected.</p> <p>The monthly database extract provided 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: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are moderate because the best available estimate is not precise enough to conclude that the database is accurate within $\pm 5.0\%$.</p> <p>The audit risk rating is medium based on kWh variances. UHCC intends to investigate and resolve all the discrepancies.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
UHCC is in the process of investigating discrepancies identified during the audit.	15/10/2024	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Fulton Hogan carry out field audits to identify mismatches in the field, during the night and resolve these through updating the database.		

All load recorded in database		
Non-compliance	Description	
<p>Audit Ref: 2.5</p> <p>With: Clause 11(2A) of schedule 15.3</p> <p>From: 20-Aug-24</p> <p>To: 22-Aug-24</p>	<p>Two additional lights found in the field.</p> <p>Nine new subdivision lights are not recorded in the database.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as moderate as the processes in place will ensure that the data is recorded correctly most of the time.</p> <p>The impact is low due to the small number of additional lights found in the field in relation to the overall count of the items of load.</p>	
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Preventative actions taken to ensure no further issues will occur	Completion date	
Fulton Hogan carry out field audits to identify mismatches in the field, during the night and resolve these through updating the database.		

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 05-Aug-24</p> <p>To: 22-Aug-24</p>	<p>The best available estimate is not precise enough to conclude that the database is accurate within $\pm 5.0\%$ which could result in under submission of 15,600 kWh p.a.</p> <p>Five lamp models had some lamps with a wattage inconsistent with their description, and have been checked and had their wattages and/or descriptions updated during the audit. The lights with confirmed incorrect wattages resulted in potential over submission of 401.5 kWh per annum until they were corrected.</p> <p>13 lights had incorrect road names but correct GPS coordinates.</p> <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are moderate because the best available estimate is not precise enough to conclude that the database is accurate within $\pm 5.0\%$.</p> <p>The audit risk rating is medium based on kWh variances. UHCC intends to investigate and resolve all the discrepancies.</p>	
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Preventative actions taken to ensure no further issues will occur	Completion date	
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Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 05-Aug-24</p> <p>To: 22-Aug-24</p>	<p>The best available estimate is not precise enough to conclude that the database is accurate within $\pm 5.0\%$ which could result in under submission of 15,600 kWh p.a.</p> <p>Five lamp models had some lamps with a wattage inconsistent with their description, and have been checked and had their wattages and/or descriptions updated during the audit. The lights with confirmed incorrect wattages resulted in potential over submission of 401.5 kWh per annum until they were corrected.</p> <p>The monthly database extract provided 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: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are moderate because the best available estimate is not precise enough to conclude that the database is accurate within $\pm 5.0\%$.</p> <p>The audit risk rating is medium based on kWh variances. UHCC intends to investigate and resolve all the discrepancies.</p>	
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