Memo

To	Reconciliation Participants
Copies	Approved Auditors
From	Jonathon Staite
Date	21 December 2017
Subject	Submission of Distributed Unmetered Load (DUML) audits

DUML audits due by 1 June 2018

Clause 17.295F requires reconciliation participants to submit distributed unmetered load audits for each DUML ICP they are responsible for by **1 June 2018.**

We are aware many reconciliation participants have been working hard to ensure their distributed unmetered load are audited and submitted prior to this deadline.

DUML next audit dates will be no earlier than 1 September 2018

The current 1 June 2018 deadline creates an incentive for retailers to submit audits at the last possible minute in order to ensure the next audit date will be at least 1 October 2018.

To encourage reconciliation participants to submit DUML audits earlier, the Authority commits to setting next audit dates of no earlier than 1 October 2018, regardless of the audit finding. This can enable proactive participants who submit early more time to arrange remedial actions and plan subsequent audits to demonstrate compliance with the Code.

Authority audit portal has been updated to accept DUML audits

The portal has been updated to enable any reconciliation participant to submit an audit for a DUML database. However, before submitting an audit for a new DUML database, the name and ICPs associated with the DUML database will need to be setup in our system.

In order to submit an audit for the first time reconciliation participants need to follow the steps below.

Step 1: Notify Authority of DUML database name and ICPs associated with DUML database

Prior to submitting a DUML audit for the first time, please contact the Authority to notify us of the DUML database name, and the ICPs associated with the database. This can be done by e-mailing the information to marketoperations@ea.govt.nz.

Each ICP can only be associated with one database.

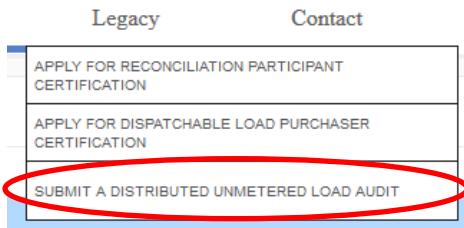Authority staff will use this information to update the list of selectable DUML databases.

Step 2: Submit DUML audit

Login to the audit portal (https://audit.ea.govt.nz)

Under "Legacy" select the "Submit a Distributed Unmetered Load Audit"

This will present the following screen:

Submission type: This will be initial (first audit). Future audits will either be renewal (subsequent audit) or material change (material change audit).

Lead auditor: The name of the approved auditor that created the audit

Audit report completion date: The date the audit report was finalised for submission

Auditor's recommendation of next audit date: The date the auditor recommends the next audit is completed by

Database name: Drop down box of known DUML databases. The ICPs associated with the database will be displayed in the ICPs box.[1]

Attachment 1: Functionality to allow the participant to attach a copy of the audit report

Attachment 2 (onwards): Functionality to allow the participant to attach a copy of the compliance plan (if required) and other supporting information such as agent audit reports.

Clicking the **Submit** button will submit the audit report to the Authority.

Authority staff have identified likely DUML ICPs
Authority staff have developed a list of likely DUML ICPs. This will be used to monitor audit submissions.

Jonathon Staite

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[1] If the ICPs associated with the database have changes, please e-mail marketoperations@ea.govt.nz with the required changes.