

## Compliance plan for Kaikoura DUML - 2017

Location of Each Item of Load		
Non-compliance	Description	
Audit Ref: 2.3 With: Clause 11(2)(b) of Schedule 15.3  From: 01-Oct-16 To: 30-Sep-17	16 lamps with an incorrect street address.  Potential impact: Low Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.  The incorrect street addresses will only have a minor impact, therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Database address information has been updated		Complete
Preventative actions taken to ensure no further issues will occur		Completion date
Existing controls are considered sufficient to mitigate the risk most of the time. The address information does not impact settlement volumes.		Ongoing
Remedial action status		
Cleared		

Description of Load Type		
Non-compliance	Description	
Audit Ref: 2.4 With: 11(2)(c) & (d) of Schedule 15.3  From: 01-Oct-16 To: 30-Sep-17	One lamp has the incorrect wattage  Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.  The incorrect wattage will result in incorrect submission information by 175 kWh per annum, which is minor; therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Preventative actions taken to ensure no further issues will occur		Completion date
Remedial action status		
Cleared		

The incorrect wattage identified has been corrected.	Complete	Cleared
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Existing controls are considered sufficient to mitigate the risk most of the time.	Ongoing	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3  From: 01-Oct-16 To: 30-Sep-17	Not all load is correctly recorded in the database Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.  The incorrect database will result in under reporting of submission information by 773 kWh per annum, which is minor; therefore the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
The discrepancies identified during the field audit have been corrected in the database.	Complete	Cleared
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Existing controls are considered sufficient to mitigate the risk most of the time	Ongoing	

Database Accuracy	
Non-compliance	Description
Audit Ref: 3.1 With: 15.2 & 15.37(b)  From: 01-Oct-16 To: 30-Sep-17	Accuracy ratio is 100.46% indicating under submission of 773 kWh per annum Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2
Audit risk rating	Rationale for audit risk rating

<p><b>Low</b></p>	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</p> <p>Accuracy ratio is 100.46% indicating under submission of 773 kWh per annum, which is considered minor therefore the audit risk rating is low.</p>		
<p><b>Actions taken to resolve the issue</b></p>		<p><b>Completion date</b></p>	<p><b>Remedial action status</b></p>
<p>The discrepancies identified during the field audit have been corrected in the database.</p>		<p>Complete</p>	<p>Identified</p>
<p><b>Preventative actions taken to ensure no further issues will occur</b></p>		<p><b>Completion date</b></p>	
<p>Existing controls are considered sufficient to mitigate the risk most of the time</p>		<p>Ongoing</p>	