

Compliance plan for Gisborne DC – 2018

| Deriving submission information | | |
|--|--|------------------------|
| Non-compliance | Description | |
| <p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Apr-17 To: 30-Apr-18</p> | <p>The database accuracy is assessed to be 96.6% indicating an estimated over submission of 44,900 kWh per annum</p> <p>Under submission of approx. 5,500 kWh per annum has occurred due to a ballast wattage difference.</p> <p>Potential impact: High Actual impact: Medium Audit history: Once Controls: Weak Breach risk rating: 6</p> | |
| Audit risk rating | Rationale for audit risk rating | |
| Medium | <p>The controls are rated as weak, because updates to the database are only occurring due to “local knowledge” by Eastland staff, not through a formal update process.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p> | |
| Actions taken to resolve the issue | Completion date | Remedial action status |
| <p>We are currently assessing whether GDC’s RAMM database is a more accurate source of DUML information and whether reporting is available for calculation of DUML volumes.</p> <p>Depending on the outcome of this we will either work with GDC to ensure their database contains all information required by the Code (ICP etc) and use this database for calculation of DUML volumes or work with both GDC and Eastland Network to ensure Eastland’s database is up to date and a robust process is in place for notification of changes.</p> | <p>31 July 2018</p> <p>01 Feb 2019</p> | Identified |
| Preventative actions taken to ensure no further issues will occur | Completion date | |
| As above | | |

| Description and capacity of load | | | |
|---|--|-----------------|------------------------|
| Non-compliance | Description | | |
| Audit Ref: 2.4 With: Clause 11(2)(c) of Schedule 15.3 From: 01-Apr-17 To: 30-Apr-18 | 70 watt SON lamp should have ballast of 13 watts not 12 watts Potential impact: Medium Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1 | | |
| Audit risk rating | Rationale for audit risk rating | | |
| Low | The controls are recorded as strong because there was no published schedule previously and some published information contains 12 watts for 70SON ballasts. The impact on settlement is low because under submission has occurred by approximately 5,500 kWh per annum. | | |
| Actions taken to resolve the issue | | Completion date | Remedial action status |
| We will ask Eastland to amend the ballast they are adding for this light type to 13W as per the published schedule. | | 15 June 2018 | Identified |
| Preventative actions taken to ensure no further issues will occur | | Completion date | |
| We will provide the published schedule of wattages to both GDC and Eastland. | | 30 June 2018 | |

| All load recorded in database | | | |
|--|---|-----------------|------------------------|
| Non-compliance | Description | | |
| Audit Ref: 2.5 With: Clause 11(2)(c) of Schedule 15.3 From: 01-Apr-17 To: 30-Apr-18 | One light not recorded in the database. Potential impact: Medium Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1 | | |
| Audit risk rating | Rationale for audit risk rating | | |
| Low | The controls are recorded as strong because all new connections are metered; this appears to be an historic issue. The impact on settlement is low because under submission has occurred by approximately 427 kWh per annum. | | |
| Actions taken to resolve the issue | | Completion date | Remedial action status |

| | | |
|---|---------------------------------|------------|
| We will pass the details of the missing light on to Eastland to validate and add to their database. | 30 June 2018 | Identified |
| Preventative actions taken to ensure no further issues will occur | Completion date | |
| We are currently assessing whether GDC's RAMM database is a more accurate source of DUML information and whether reporting is available for calculation of DUML volumes. Depending on the outcome of this we will either work with GDC to ensure their database contains all information required by the Code (ICP etc) and use this database for calculation of DUML volumes or work with both GDC and Eastland Network to ensure Eastland's database is up to date and a robust process is in place for notification of changes. | 31 July 2018 01 Feb 2019 | |

| Tracking of load changes | | |
|---|---|------------------------|
| Non-compliance | Description | |
| Audit Ref: 2.4 With: Clause 11(3) of Schedule 15.3 From: 01-Apr-17 To: 30-Apr-18 | Process not in place to track all load changes Potential impact: High Actual impact: Medium Audit history: None Controls: Weak Breach risk rating: 6 | |
| Audit risk rating | Rationale for audit risk rating | |
| Medium | The controls are rated as weak, because updates to the database are only occurring due to "local knowledge" by Eastland staff, not through a formal update process. The impact is assessed to be medium, based on the kWh differences described in Section 2.1 | |
| Actions taken to resolve the issue | Completion date | Remedial action status |
| We are currently assessing whether GDC's RAMM database is a more accurate source of DUML information and whether reporting is available for calculation of DUML volumes. Depending on the outcome of this we will either work with GDC to ensure their database contains all information required by the Code (ICP etc) and use this database for calculation of DUML volumes or work with both GDC and Eastland Network to ensure Eastland's database is up to date and a robust process is in place for notification of changes. | 31 July 2018 01 Feb 2019 | Identified |

| Preventative actions taken to ensure no further issues will occur | Completion date |
|--|------------------------|
| As above | |

| Database accuracy | | |
|---|---|-------------------------------|
| Non-compliance | Description | |
| Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Apr-17 To: 30-Apr-18 | The database accuracy is assessed to be 96.6% indicating an estimated over submission of 44,900 kWh per annum Under submission of approx. 5,500 kWh per annum has occurred due to a ballast Potential impact: High Actual impact: Medium Audit history: None Controls: Weak Breach risk rating: 6 | |
| Audit risk rating | Rationale for audit risk rating | |
| Medium | The controls are rated as weak, because updates to the database are only occurring due to "local knowledge" by Eastland staff, not through a formal update process. The impact is assessed to be medium, based on the kWh differences described above. | |
| Actions taken to resolve the issue | Completion date | Remedial action status |
| We are currently assessing whether GDC's RAMM database is a more accurate source of DUML information and whether reporting is available for calculation of DUML volumes. Depending on the outcome of this we will either work with GDC to ensure their database contains all information required by the Code (ICP etc) and use this database for calculation of DUML volumes or work with both GDC and Eastland Network to ensure Eastland's database is up to date and a robust process is in place for notification of changes. | 31 July 2018 01 Feb 2019 | Identified |
| Preventative actions taken to ensure no further issues will occur | Completion date | |
| As above | | |

| Volume information accuracy | | |
|---|--|------------------------|
| Non-compliance | Description | |
| <p>Audit Ref: 2.1</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-Apr-17</p> <p>To: 30-Apr-18</p> | <p>The database accuracy is assessed to be 96.6% indicating an estimated over submission of 44,900 kWh per annum</p> <p>Under submission of approx. 5,500 kWh per annum has occurred due to a ballast wattage difference.</p> <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p> | |
| Audit risk rating | Rationale for audit risk rating | |
| Medium | <p>The controls are rated as weak, because updates to the database are only occurring due to "local knowledge" by Eastland staff, not through a formal update process.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p> | |
| Actions taken to resolve the issue | Completion date | Remedial action status |
| <p>We are currently assessing whether GDC's RAMM database is a more accurate source of DUML information and whether reporting is available for calculation of DUML volumes.</p> <p>Depending on the outcome of this we will either work with GDC to ensure their database contains all information required by the Code (ICP etc) and use this database for calculation of DUML volumes or work with both GDC and Eastland Network to ensure Eastland's database is up to date and a robust process is in place for notification of changes.</p> <p>Revisions of historic submission information will be conducted where more accurate data is available.</p> | <p>31 July 2018</p> <p>01 Feb 2019</p> <p>28 Feb 2019</p> | Identified |
| Preventative actions taken to ensure no further issues will occur | Completion date | |
| As above | | |