

Compliance plan for Selwyn DC – 2018

Deriving submission information			
Non-compliance	Description		
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Apr-17 To: 30-Apr-18	Over submission by approximately 14,871 kWh per annum Potential impact: High Actual impact: Medium Audit history: Once Controls: Moderate Breach risk rating: 4		
Audit risk rating	Rationale for audit risk rating		
Medium	The controls are recorded as Moderate because they mitigate risk most of the time The impact on settlement and participants is moderate; therefore the audit risk rating is medium.		
Actions taken to resolve the issue		Completion date	Remedial action status
All inaccuracies identified in this audit have been corrected in the database. We will liaise with our agent to determine confirm whether information is available that would enable historic submissions to be revised.		28/05/2018 30/06/2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
The standardised wattage table has been provided to Orion to ensure all lamp types have the correct wattage applied going forward. The relatively small number of errors identified in a database of this size indicates existing controls are sufficient to mitigate risk to an acceptable level.		28/05/2018 Ongoing	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clauses 11(2)(c) and (d) of Schedule 15.3 From: unknown To: 23-Apr-18	Four lamp types have incorrect lamp wattage recorded. 261 lamps affected with expected under reporting of 1,768 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate because four lamp types in the database had incorrect wattage information. The impact is low, the expected wattage under reporting of 1,768 kWh per annum.	
Actions taken to resolve the issue	Completion date	Remedial action status
The wattages for the identified lamp types have been updated in the database.	28/05/2018	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
The standardised wattage table has been provided to Orion to ensure all lamp types have the correct wattage applied going forward.	28/05/2018	

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 99.3% indicating an estimated over submission of 16,639 kWh per annum Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 4
Audit risk rating	Rationale for audit risk rating

Medium	<p>The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time, but there are still some errors.</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
All inaccuracies identified in this audit have been corrected in the database.		28/05/2018	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
The relatively small number of errors identified in a database of this size indicates existing controls are sufficient to mitigate risk to an acceptable level.		Ongoing	

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>Over submission by approximately 14,871 kWh per annum</p> <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: Once</p> <p>Controls: Strong</p> <p>Breach risk rating:</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are recorded as strong because they mitigate risk to an acceptable level.</p> <p>The impact on settlement and participants is moderate; therefore the audit risk rating is medium.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
All inaccuracies identified in this audit have been corrected in the database.		28/05/2018	Identified
We will liaise with our agent to determine confirm whether information is available that would enable historic submissions to be revised.		30/06/2018	
Preventative actions taken to ensure no further issues will occur		Completion date	

The standardised wattage table has been provided to Orion to ensure all lamp types have the correct wattage applied going forward.

The relatively small number of errors identified in a database of this size indicates existing controls are sufficient to mitigate risk to an acceptable level.

28/05/2018

Ongoing