

Compliance plan for Hurunui DUML – 2018

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	12 lamps with incomplete address information Potential impact: Low Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	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	Remedial action status
Database address information has been updated for the 12 lamps identified	Complete	Cleared
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	

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	
Low	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 content will result in over reporting of submission information by 10,900 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 database has been updated where required. Mainpower's review found that 3 of the 6 lights not found in the field audit did exist.	Complete	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	Additional information is provided above clarifying the field audit findings
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 97.30% indicating over submission of 10,900 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	
Low	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement. Accuracy ratio is 97.30% indicating over submission of 10,900 kWh per annum, which is considered minor therefore the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
The database has been updated where required. Mainpower's review found that 3 of the 6 lights not found in the field audit did exist.	Complete	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	Additional information is provided in Section 2.5 clarifying the field audit findings
Existing controls are considered sufficient to mitigate the risk most of the time	Ongoing	