

Compliance plan for Waimea Village DUML Audit

Deriving Submission Information		
Non-compliance	Description	
Audit Ref: 2.1 With: 11(1) of Schedule 15.3 From: entire audit period	No database in place. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as weak, as there is no database. The volume of lights is low therefore the impact on reconciliation is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
While the distributor has an accurate representation of the DUML load at this ICP we appreciate their concerns at being considered a DUML database owner for what is considered private lights. Contact has initiated an exercise to develop a DUML database in conjunction with Waimea Village We do not believe the absence of a formal DUML database has resulted in any material submission inaccuracy	July 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

ICP Identifier		
Non-compliance	Description	
Audit Ref: 2.2 With: 11(2)(a) of Schedule 15.3 From: entire audit period	No database in place. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as weak, as there is no database. The volume of lights is low therefore the impact on reconciliation is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
While the distributor has an accurate representation of the DUML load at this ICP we appreciate their concerns at being considered a DUML database owner for what is considered private lights. Contact has initiated an exercise to develop a DUML database in conjunction with Waimea Village We do not believe the absence of a formal DUML database has resulted in any material submission inaccuracy	July 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Location of Each Item of Load		
Non-compliance	Description	
Audit Ref: 2.3 With: 11(2)(b) of Schedule 15.3 From: entire audit period	No database in place. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as weak, as there is no database. The volume of lights is low therefore the impact on reconciliation is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
While the distributor has an accurate representation of the DUML load including schematics identifying where each light is located at this ICP we appreciate their concerns at being considered a DUML database owner for what is considered private lights. Contact has initiated an exercise to develop a DUML database in conjunction with Waimea Village We do not believe the absence of a formal DUML database has resulted in any material submission inaccuracy	July 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Description of Load Type		
Non-compliance	Description	
Audit Ref: 2.4 With: 11(2)(c)&(d) of Schedule 15.3 From: entire audit period	No database in place. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as weak, as there is no database. The volume of lights is low therefore the impact on reconciliation is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
While the distributor has an accurate representation of the DUML load including schematics identifying where each light is located at this ICP we appreciate their concerns at being considered a DUML database owner for what is considered private lights. Contact has initiated an exercise to develop a DUML database in conjunction with Waimea Village We do not believe the absence of a formal DUML database has resulted in any material submission inaccuracy	July 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: 11(2A) of Schedule 15.3 From: entire audit period	No database in place. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as weak, as there is no database. The volume of lights is low therefore the impact on reconciliation is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
While the distributor has an accurate representation of the DUML load including schematics identifying where each light is located at this ICP we appreciate their concerns at being considered a DUML database owner for what is considered private lights. Contact has initiated an exercise to develop a DUML database in conjunction with Waimea Village We do not believe the absence of a formal DUML database has resulted in any material submission inaccuracy	July 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Tracking of Load Change		
Non-compliance	Description	
Audit Ref: 2.6 With: 11(3) of Schedule 15.3 From: entire audit period	No database in place. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as weak, as there is no database. The volume of lights is low therefore the impact on reconciliation is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
While the distributor has an accurate representation of the DUML load including schematics identifying where each light is located at this ICP we appreciate their concerns at being considered a DUML database owner for what is considered private lights. Contact has initiated an exercise to develop a DUML database in conjunction with Waimea Village We do not believe the absence of a formal DUML database has resulted in any material submission inaccuracy. The streetlight load is quite static resulting in a very small number of changes of the previous lifetime of this site.	July 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Audit Trail		
Non-compliance	Description	
Audit Ref: 2.7 With: 11(4) of Schedule 15.3 From: entire audit period	No database in place. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as weak, as there is no database. The volume of lights is low therefore the impact on reconciliation is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
While the distributor has an accurate representation of the DUML load including schematics identifying where each light is located at this ICP we appreciate their concerns at being considered a DUML database owner for what is considered private lights. Contact has initiated an exercise to develop a DUML database in conjunction with Waimea Village We do not believe the absence of a formal DUML database has resulted in any material submission inaccuracy. The streetlight load is quite static resulting in a very small number of changes of the previous lifetime of this site.	July 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Database Accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: 15.2 & 15.37B(b) From: entire audit period	No database in place. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as weak, as there is no database. The volume of lights is low therefore the impact on reconciliation is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
While the distributor has an accurate representation of the DUML load including schematics identifying where each light is located at this ICP we appreciate their concerns at being considered a DUML database owner for what is considered private lights. Contact has initiated an exercise to develop a DUML database in conjunction with Waimea Village We do not believe the absence of a formal DUML database has resulted in any material submission inaccuracy. The streetlight load is quite static resulting in a very small number of changes of the previous lifetime of this site.	July 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Volume Information Accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: 15.2 & 15.37B(c) From: entire audit period	Light volume discrepancy and therefore an estimated over submission of 1,981 kWh per annum. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as weak, as this is not managed via a database and the field audit found a different number of lights than being submitted for. The volume of lights is low therefore the impact on reconciliation is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
As part of developing a formal DUML database we will confirm with the customer the correct number and type of lights	July 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	