

## Compliance plan for Matamata Piako DC DUML Audit – 2018

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: entire audit period</p>	<p>The database accuracy is assessed to be 101.8% indicating an estimated under submission of 25,300kWh per annum.</p> <p>Incorrect profile recorded on the registry for ICP 1000510806PC47F.</p> <p>Potential impact: Low Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	<p>The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time.</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>For the incorrect profile issue, this is a known Registry/EA issue and MEEN should not be penalised for it. We have strong control and risk is low/none.</p> <p>MEEN notes that second issue is not material at a market reconciliation level.</p> <p>Mercury is working with the customer to ensure their contractor updates records accurately.</p>	NA and ongoing	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
N/A		

Description and capacity of load			
Non-compliance	Description		
<p>Audit Ref: 2.4</p> <p>With: Clause 11(2A) of Schedule 15.3</p> <p>From: entire audit period</p>	<p>15 items of load with an unknown light type recorded.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>The controls are rated as moderate as all but 15 items of load had the required information recorded.</p> <p>The impact is assessed to be low due to the number of lights involved.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Mercury is working with the customer to ensure their contractor updates records accurately.		Ongoing	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
N/A		N/A	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2A) of Schedule 15.3 From: entire audit period	15 items of load with an unknown light type recorded. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as moderate as all but 15 items of load had the required information recorded. The impact is assessed to be low due to the number of lights involved.	
Actions taken to resolve the issue	Completion date	Remedial action status
Mercury is working with the customer to ensure their contractor updates records accurately.	Ongoing	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
N/A	N/A	

<b>All load recorded in database</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3  From: entire audit period	One item of load missing from the database Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	The controls are rated as strong as only one item of load was found to be missing and controls are robust. The impact is assessed to be low, based on the kWh differences described in <b>section 3.1</b> .	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Mercury is working with the customer to ensure their contractor updates records accurately.	Ongoing	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
N/A	N/A	

<b>Database accuracy</b>			
<b>Non-compliance</b>	<b>Description</b>		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: entire audit period</p>	<p>The database accuracy is assessed to be 101.8% indicating an estimated under submission of 25,300kWh per annum.</p> <p>The database is not complete as ballasts are not recorded in the RAMM database.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>		
<b>Medium</b>	<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.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	<b>Remedial action status</b>
<p>MEEN notes that second issue is not material at a market reconciliation level.</p> <p>Mercury is working with the customer to ensure their contractor updates records accurately.</p>		Ongoing	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>	
N/A		N/A	

<b>Volume information accuracy</b>			
<b>Non-compliance</b>	<b>Description</b>		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: entire audit period</p>	<p>The database accuracy is assessed to be 101.8% indicating an estimated under submission of 25,300kWh per annum.</p> <p>Incorrect profile recorded on the registry for ICP 1000510806PC47F.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>		
<b>Medium</b>	<p>The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	<b>Remedial action status</b>
<p>Duplicate or linked effect of already identified issue</p> <p>MEEN notes that second issue is not material at a market reconciliation level.</p> <p>Mercury is working with the customer to ensure their contractor updates records accurately.</p>		Ongoing	Investigating
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>	
N/A		N/A	