

# Compliance plan for Carterton District Council Distributed Unmetered Load for Contact Energy Limited

| <b>Title: Deriving Submission Information</b>   |   |                               |
|---|---|-------------------------------|
| <b>Non-compliance</b>   | <b>Description</b>  |                               |
| Audit Ref: 2.1<br>With: 11(1) of Schedule 15.3<br><br>From: entire audit period   | An incorrect profile is recorded on the registry for ICP 0020903000WRADA.<br>Potential impact: Low<br>Actual impact: Low<br>Audit history: None<br>Controls: Moderate<br>Breach risk rating: 2  |                               |
| <b>Audit risk rating</b>  | <b>Rationale for audit risk rating</b>  |                               |
| <b>Low</b>  | Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.<br><br>Submissions are recorded with the correct profile, only the profile recorded on the registry is incorrect. |                               |
| <b>Actions taken to resolve the issue</b>   | <b>Completion date</b>  | <b>Remedial action status</b> |
| The incorrect profile on the registry issue is a result of a system defect – currently a fix is underway to prevent this issue from occurring. A manual work around is currently in place to update the registry where required | July 2018   | Identified                    |
| <b>Preventative actions taken to ensure no further issues will occur</b>  | <b>Completion date</b>  |                               |
| As above  | As above  |                               |

| <b>Title: Description of Load Type</b>   |   |
|--|---|
| <b>Non-compliance</b>  | <b>Description</b>  |
| Audit Ref: 2.4<br>With: 11(2)(c) & (d) of Schedule 15.3<br><br>From: July 2017 | 113 lamps have incorrect gear wattage.<br>Potential impact: Low<br>Actual impact: Low<br>Audit history: None<br>Controls: Strong<br>Breach risk rating: 1 |

| <b>Audit risk rating</b>   | <b>Rationale for audit risk rating</b>   |                        |                               |
|--|--|------------------------|-------------------------------|
| <b>Low</b>   | <p>Controls are rated as strong, as they are sufficient to mitigate the risk most of the time.</p> <p>Most gear wattages were correctly recorded. The incorrect gear wattages resulted in over reporting of 435W, approximately 1,905 kWh per annum.</p> |                        |                               |
| <b>Actions taken to resolve the issue</b>  |  | <b>Completion date</b> | <b>Remedial action status</b> |
| Carterton DC have made the required updates to gear wattages to correct these values |  | Resolved               | Identified                    |
| <b>Preventative actions taken to ensure no further issues will occur</b>             |  | <b>Completion date</b> |                               |
| As above   |  | As above               |                               |

| <b>Title: Database Accuracy</b>  |  |                        |                               |
|--|--|------------------------|-------------------------------|
| <b>Non-compliance</b>  | <b>Description</b>   |                        |                               |
| <p>Audit Ref: 3.1</p> <p>With: Clause 15.2 &amp; 15.37(b)</p> <p>From: July 2017</p> | <p>113 lamps have incorrect gear wattage.</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>   |                        |                               |
| <b>Audit risk rating</b>   | <b>Rationale for audit risk rating</b>   |                        |                               |
| <b>Low</b>   | <p>Controls are rated as strong, as they are sufficient to mitigate the risk most of the time.</p> <p>Most gear wattages were correctly recorded. The incorrect gear wattages resulted in over reporting of 435W, approximately 1,905 kWh per annum.</p> |                        |                               |
| <b>Actions taken to resolve the issue</b>  |  | <b>Completion date</b> | <b>Remedial action status</b> |
| Carterton DC have made the required updates to gear wattages to correct these values |  | Resolved               | Identified                    |
| <b>Preventative actions taken to ensure no further issues will occur</b>             |  | <b>Completion date</b> |                               |
| As above   |  | As above               |                               |