

# Compliance plan for Kapiti Retirement Trust Distributed Unmetered Load for Contact Energy Limited

<b>Title: Deriving Submission Information</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3  From: unknown To: 13-Mar-18	The database used to prepare submissions contains some inaccurate information.  Potential impact: Low  Actual impact: Low  Audit history: None  Controls: Moderate  Breach risk rating: 2	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	Controls are rated as moderate, because they are sufficient to ensure that data for most lamps is recorded correctly.  The impact is low, as the differences would result in estimated over reporting of approximately 11 W or 47 kWh per annum.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Database has been updated and Contact’s submission volumes will be reflecting the correct settlement volumes	25 May 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 and capacity of load</b>	
<b>Non-compliance</b>	<b>Description</b>
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3  From: unknown To: 13-Mar-18	Three poles with more than one lamp installed had an incorrect total wattage recorded.  Potential impact: Low  Actual impact: Low  Audit history: None  Controls: Moderate  Breach risk rating: 2

<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>		
<b>Low</b>	<p>Controls are rated as moderate, because they are sufficient to ensure that data for most lamps is recorded correctly.</p> <p>The impact is low, as the differences would result in estimated under reporting of approximately 43 W or 182 kWh per annum.</p>		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	<b>Remedial action status</b>
Database has been updated and Contact's submission volumes will be reflecting the correct settlement volumes		25 May 2018	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>	
As above		As above	

<b>Title: Audit trail</b>			
<b>Non-compliance</b>	<b>Description</b>		
<p>Audit Ref: 2.7</p> <p>With: Clause 11(4) of Schedule 15.3</p> <p>From: unknown</p> <p>To: 13-Mar-18</p>	<p>The database does not contain an audit trail.</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 and the impact as low, because all the information required to meet the audit trail requirements is available, although it is not formally recorded within the database.</p>		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	<b>Remedial action status</b>
Contact and Kapiti Retirement Trust have an agreed process whereby any changes or updates to the streetlight details results in a new version of the spreadsheet thereby we believe there is a sufficient audit trail for DUML of this size which is also static in nature.		Resolved	Disputed
<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>	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)  From: unknown To: 13-Mar-18	The database used to prepare submissions contains some inaccurate information. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	Controls are rated as moderate, because they are sufficient to ensure that data for most lamps is recorded correctly. The impact is low, as the differences would result in estimated over reporting of approximately 11 W or 47 kWh per annum.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Database has been updated and Contact's submission volumes will be reflecting the correct settlement volumes	25 May 2018	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
As above	As above	

<b>Title: Volume information accuracy</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c)  From: unknown To: 13-Mar-18	The database used to prepare submissions contains some inaccurate information. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	Controls are rated as moderate, because they are sufficient to ensure that data for most lamps is recorded correctly. The impact is low, as the differences would result in estimated over reporting of approximately 11 W or 47 kWh per annum.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>

Database has been updated and Contact's submission volumes will be reflecting the correct settlement volumes	25 May 2018	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
As above	As above	