

## Compliance plan for Mackenzie DC (CTCT) – 2018

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clauses 11(1) of Schedule 15.3  From: Unknown To: 30-Apr-18	Inaccurate information in the database used for submission calculation <ul style="list-style-type: none"> <li>• 1 lamp type and wattage error, <b>section 2.4</b>, estimated over submission of 43 kWh per annum.</li> <li>• 6 additional lamps in the field and 2 lamp wattage differences, <b>section 2.5</b>, estimated over submission of 794 kWh per annum.</li> </ul> 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 strong because there were very few incorrect lamps identified.  The impact is low; the expected wattage difference is under 900 kWh per annum.	
Actions taken to resolve the issue	Completion date	Remedial action status
Contact will work with MDC's agent Timaru DC to get the database updated with the correct values and attributes. Timaru DC have historically been very proactive in correcting issues once identified and we would expect a relatively quick resolution time	June 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clauses 11(2)(c) and (d) of Schedule 15.3 From: Unknown To: 30-Apr-18	There is one incorrect lamp type and wattage value in the database. There is one lamp affected with an estimated over submission of 4.3 kWh per annum. 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 strong because only one of the 60 lamps in the database had incorrect type and wattage information. The impact is low; the expected wattage difference is 4.3 kWh per annum.	
Actions taken to resolve the issue	Completion date	Remedial action status
Contact will work with MDC's agent Timaru DC to get the database updated with the correct values and attributes. Timaru DC have historically been very proactive in correcting issues once identified and we would expect a relatively quick resolution time	June 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: Clause 11(2A) of Schedule 15.3 From: Unknown To: 30-Apr-18	Six additional L33 LED lamps were found in the field for an estimated under submission of 794.4 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	
<b>Low</b>	The controls are rated as moderate because they mitigate risk most of the time but some errors still occur The impact is low based on the annual kWh difference	
Actions taken to resolve the issue	Completion date	Remedial action status

Contact will work with MDC's agent Timaru DC to get the database updated with the correct values and attributes. Timaru DC have historically been very proactive in correcting issues once identified and we would expect a relatively quick resolution time	June 2018	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	

Tracking of load changes		
Non-compliance	Description	
Audit Ref: 2.6 With: Clause 11(3) of Schedule 15.3  From: Unknown To: 30-Apr-18	Some lamps not recorded in the database Potential impact: Medium Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement.  The impact on settlement and participants is minor; therefore the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
Contact will work with MDC's agent Timaru DC to get the database updated with the correct values and attributes. Timaru DC have historically been very proactive in correcting issues once identified and we would expect a relatively quick resolution time	June 2018	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: Unknown To: 30-Apr-18	Database checks found one lamp with incorrect wattage information. Resulting in estimated over submission of 4.3 kWh per annum. The field audit found eight lamp type and wattage differences. The field data was 108.6% of the database data for the sample checked, resulting in estimated under submission of 794.4 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	
<b>Low</b>	The controls are rated as moderate because of the number of incorrect lamp type and wattage differences. The impact is low, as the expected nett wattage difference is less than 1,000 kWh per annum.	
Actions taken to resolve the issue	Completion date	Remedial action status
Contact will work with MDC's agent Timaru DC to get the database updated with the correct values and attributes. Timaru DC have historically been very proactive in correcting issues once identified and we would expect a relatively quick resolution time	June 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: Clauses 15.2 and 15.37B(c) From: Unknown To: 30-Apr-18	Inaccurate information in the database used for submission calculation <ul style="list-style-type: none"> <li>1 lamp type and wattage error, <b>section 2.4</b>, estimated over submission of 43 kWh per annum.</li> <li>6 additional lamps in the field and 2 lamp wattage differences, <b>section 2.5</b>, estimated over submission of 794 kWh per annum.</li> </ul> Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1

Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as strong because there were very few incorrect lamps identified.</p> <p>The impact is low; the expected wattage difference is under 900 kWh per annum.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Contact will work with MDC's agent Timaru DC to get the database updated with the correct values and attributes. Timaru DC have historically been very proactive in correcting issues once identified and we would expect a relatively quick resolution time</p>		June 2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	