

Compliance plan for Timaru DC – 2018

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clauses 11(1) of Schedule 15.3</p> <p>From: 01-Feb-17</p> <p>To: 30-Apr-18</p>	<p>The methodology for deriving submission information is incorrect. Contact's calculation is <u>incorrectly subtracting the Festive Light kW total each month</u> from the 'Timaru – Contact' database total. Festive lights are not included in the 'Timaru – Contact' database. This calculation error results in an under submission of 13.46 kW each month outside the periods the Festive lights are active. The March 2018 period under submission is calculated to be 4,778.70 kWh. With an estimated annual under submission of 43,116 kWh.</p> <p>Inaccurate information in the database used for submission calculation</p> <ul style="list-style-type: none"> • 7 items of load without an ICP number recorded, section 2.2, estimated under submission of 2,358 kWh per annum. • 2 lamp type and wattage errors, section 2.4, estimated over submission of 324 kWh per annum. • 5 field audit errors identified, section 2.5, estimated over submission of 205 kWh per annum. <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as moderate because although the submission error impact is medium it is only one incorrect step in the calculation process.</p> <p>The impact is medium, as estimated under submission is 43,116 kWh per annum.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Settlement methodology</p> <p>This issue relates to a human error / training gap with Contacts process to translate the information provided by Timaru DC into Contacts settlement systems. The error has only occurred since Jan 2018 and will be resolved by the end of June 2018. Additional QA steps and training will be implemented as part of this fix.</p>	June 2018	Identified
<p>Database inaccuracies</p> <p>Contact will work with Timaru DC in getting these streetlight values and attributes updated within their database.</p>	July 2018	
Preventative actions taken to ensure no further issues will occur	Completion date	

--	--	--

ICP identifier and items of load		
Non-compliance	Description	
<p>Audit Ref: 2.2</p> <p>With: Clauses 1(2)(a) and (aa) of Schedule 15.3</p> <p>From/To: entire audit period</p>	<p>There are seven items of load that do not have an ICP identifier recorded against them in the database. Resulting in estimated under submission of 2,358 kWh per annum.</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	
Low	<p>The controls are rated as strong because only seven of the 4090 items of load do not have an ICP identifier recorded.</p> <p>The impact is low, as estimated under submission is 2,358 kWh per annum.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Database inaccuracies</p> <p>Contact will work with Timaru DC in getting these streetlight values and attributes updated within their database.</p>	July 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: 31-Mar-18	There are two lamp types with incorrect wattage values in the database. There are 19 lamps affected result in estimated over submission of 324 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	
Low	The controls are rated as strong because only two lamp type wattages were found to be incorrect, affecting 19 lamps. The impact is low, as estimated over submission of 324 kWh per annum.	
Actions taken to resolve the issue	Completion date	Remedial action status
Database inaccuracies Contact will work with Timaru DC in getting these streetlight values and attributes updated within their database.	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: Clauses 11(2A) of Schedule 15.3 From: unknown To: 31-Mar-18	The field audit included the majority (12 of the 15) of the lamps identified with one of the incorrect lamp type wattage value in the database. The field data was 99.9% of the database data for the sample checked, resulting in estimated over submission of 205 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	
Low	The controls are rated as strong because only one of the twelve lamp types in the field sample were affected, twelve lamps in total. The impact is low, as estimated over submission of 205 kWh per annum.	

Actions taken to resolve the issue	Completion date	Remedial action status
<p>Database inaccuracies</p> <p>Contact will work with Timaru DC in getting these streetlight values and attributes updated within their database.</p>	July 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: Unknown</p> <p>To: 31-Mar-18</p>	<p>The only database inaccuracies found stem from the two incorrect lamp type wattage values identified in the database, 19 lamps in total, estimated over submission of 324 kWh per annum.</p> <p>The field data was 99.9% of the database data for the sample checked, resulting in estimated over submission of 205 kWh per annum.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Never</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as strong because only nineteen lamps in total affected by incorrect lamp type wattages.</p> <p>The impact is low, as estimated over submission of 324 kWh per annum.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Database inaccuracies</p> <p>Contact will work with Timaru DC in getting these streetlight values and attributes updated within their database.</p>	July 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: Unknown</p> <p>To: 31-Mar-18</p>	<p>The DUMML database is largely accurate but the submission calculation is incorrectly reducing the total by Festive Lights which are not included in the database total to start with. Resulting in an estimated under submission of 43,116 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Never</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are rated as moderate because although the submission error impact is medium it is only one incorrect step in the calculation process.</p> <p>The impact is medium, as estimated under submission is 43,116 kWh per annum.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Settlement methodology</p> <p>This issue relates to a human error / training gap with Contacts process to translate the information provided by Timaru DC into Contacts settlement systems. The error has only occurred since Jan 2018 and will be resolved by the end of June 2018. Additional QA steps and training will be implemented as part of this fix.</p> <p>Database inaccuracies</p> <p>Contact will work with Timaru DC in getting these streetlight values and attributes updated within their database.</p>		<p>June 2018</p> <p>July 2018</p>	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	