

Compliance plan for Gisborne DC DUML – October 2019

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-May-18 To: 30-Sep-18</p>	<p>Estimated under submission of 1,922 kWh due to missing lamp wattages in the database.</p> <p>Estimated over submission of 1,708 kWh due to incorrect wattage recorded for one 400W MV lamp in the database.</p> <p>Estimated under submission of 3,288.5 kWh per annum due to incorrect gear wattages applied in the monthly wattage report.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as weak, because updates to the database are only occurring due to “local knowledge” by Eastland staff, not through a formal update process.</p> <p>The impact is assessed to be low, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
We are following up with Eastland regarding correction of the missing and incorrect information identified in this audit.		31 Dec 2018	
Preventative actions taken to ensure no further issues will occur		Completion date	
We will be working with both GDC and Eastland Network to ensure a robust process is put in place for notification of changes.		31 Mar 2019	

ICP Identifier and items of load			
Non-compliance	Description		
<p>Audit Ref: 2.2</p> <p>With: Clause 11(2)(a) and (aa) of Schedule 15.3</p> <p>From: 01-May-18</p> <p>To: 30-Sep-18</p>	<p>One item of load (Sponge Bay Road 81 - JG_ENL41456374850001) does not have an ICP recorded.</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, only one item (Sponge Bay Road 81 - JG_ENL41456374850001) does not have an ICP recorded.</p> <p>The impact is assessed to be low, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
We are following up with Eastland regarding correction of the missing and incorrect information identified in this audit.		31 Dec 2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We will be working with both GDC and Eastland Network to ensure a robust process is put in place for notification of changes.		31 Mar 2019	

Description and capacity			
Non-compliance	Description		
<p>Audit Ref: 2.4</p> <p>With: Clause 11(2)(c) of Schedule 15.3</p> <p>From: 01-Apr-18</p> <p>To: 25-Sep-18</p>	<p>25 items of load have no lamp model or type recorded.</p> <p>Gear wattage is not recorded in the database.</p> <p>3 lights have no wattage recorded.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are recorded as moderate because the majority of items in the database have the lamp model, type and wattage recorded.</p> <p>The impact on settlement is low because under submission has occurred by approximately 1,922 kWh per annum overall.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
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Preventative actions taken to ensure no further issues will occur		Completion date	
We will be working with both GDC and Eastland Network to ensure a robust process is put in place for notification of changes.		31 Mar 2019	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-May-18</p> <p>To: 30-Sep-18</p>	<p>Estimated under submission of 1,922 kWh due to missing lamp wattages in the database.</p> <p>Estimated over submission of 1,708 kWh due to incorrect wattage recorded in the database for one 400W MV lamp.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as weak, because updates to the database are only occurring due to "local knowledge" by Eastland staff, not through a formal update process.</p> <p>The impact is assessed to be low, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
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Preventative actions taken to ensure no further issues will occur		Completion date	
We will be working with both GDC and Eastland Network to ensure a robust process is put in place for notification of changes.		31 Mar 2019	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-May-18</p> <p>To: 30-Sep-18</p>	<p>Estimated under submission of 1,922 kWh due to missing lamp wattages in the database.</p> <p>Estimated over submission of 1,708 kWh due to incorrect wattage recorded for one 400W MV lamp in the database.</p> <p>Estimated under submission of 3,288.5 kWh per annum due to incorrect gear wattages applied in the monthly wattage report.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as weak, because updates to the database are only occurring due to "local knowledge" by Eastland staff, not through a formal update process.</p> <p>The impact is assessed to be low, based on the kWh differences described above.</p>	
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