

# Compliance plan for Auckland Airport DUML Vector Network – 2019

Distributed unmetered load audits			
Non-compliance	Description		
Audit Ref: 1.10 With: Clause 16A.26 (1)(a) From: 01-Jun-18 To: 31-Mar-19	DUML audit not completed within the required timeframe. Potential impact: None Actual impact: None 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 as Contact has robust controls in place to ensure audits are carried out but in this case, Contact had to liaise with the customer to get a database created. The impact is assessed to be none as the audit has now been completed.		
Actions taken to resolve the issue		Completion date	Remedial action status
Audit was requested once I learned of this ICP and found it's actual owner		31/05/2019	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
N/A		N/A	

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1</p> <p>With: Clause 11.1 of schedule 15.3</p> <p>From: 01-Jun-18</p> <p>To: 31-Mar-19</p>	<p>Database vs registry light volume difference resulting in an estimated annual over submission of 25,659.2 kWh.</p> <p>1x incorrect wattage recorded in the database resulting in an estimated very minor over submission of 758 kWh per annum.</p> <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		
<b>Medium</b>	<p>The controls are rated as moderate as they will mitigate risk most of the time for a very small number of lights.</p> <p>The impact is assessed to be medium due to the estimated annual over submission of volume due to 22 extra lights being recorded on the registry than are present in the field.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
The corrections are being backdated and resubmission will be completed back to November 2018 to correct this oversubmission		31/05/2019	
Preventative actions taken to ensure no further issues will occur		Completion date	
Going forward these lights will be removed from this ICP and moved into AIAL Residual load – once this occurs – in 2 -3 years, we will decommission this ICP		31/05/2019	Identified

<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b))  From: 01-Jun-18 To: 31-Mar-19	1x incorrect wattage recorded in the database resulting in an estimated very minor over submission of 758 kWh per annum.  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>	The controls are rated as moderate as AIAL will manage any changes made in the field to the small number of lights.  The impact is assessed to be low as the volume of over submission is very minor.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
This has been corrected	31/05/2019	Cleared
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
N/A	31/05/2019	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 &amp; 15.37B(c)</p> <p>From: 01-Jun-18</p> <p>To: 31-Mar-19</p>	<p>Database vs registry light volume difference resulting in an estimated annual over submission of 25,659.2 kWh.</p> <p>1x incorrect wattage recorded in the database resulting in an estimated very minor over submission of 758 kWh per annum.</p> <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		
<b>Medium</b>	<p>The controls are rated as moderate as they will mitigate risk most of the time for a very small number of lights.</p> <p>The impact is assessed to be medium due to the estimated annual over submission of volume due to 22 extra lights being recorded on the registry than are present in the field.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
This is being updated and corrected		31/05/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
N/A		31/05/2019	