

Compliance plan for Network Tasman DUML – 2019

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 31-Aug-17 To: 31-Oct-19</p>	<p>Incorrect kW value calculations resulting in a combined over submission of (16,524.84 + 10,212.64) 26,737.48kWh from March 2019 - October 2019.</p> <p>Calculation methodology does not meet the code requirements.</p> <p>Database is not confirmed as accurate with a 95% level of confidence.</p> <p>Incorrect wattages for 31 items of load resulting in an estimated minor under submission of 442.5kWh per annum.</p> <p>Potential impact: High Actual impact: High</p> <p>Audit history: Twice previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>Controls are rated as weak as the expected process to calculate load is not being followed and errors in the calculation of kWh volumes have not been identified as expected.</p> <p>The audit risk rating is high based on the estimated kWh volume impact of the database inaccuracy and calculation inaccuracies are considered.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Contact will work with Tasman to ensure that their database is accurate</p> <p>Contact will work with the customer to ensure that they are setup to deliver their data for any given time, as required by the EA</p>	Ongoing	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Contact will complete quarterly database checks to ensure the accuracy of Tasman's database	Ongoing	

Location of load			
Non-compliance	Description		
Audit Ref: 2.3 With: Clause 11(2)(b) of Schedule 15.3 From: 31-Aug-17 To: 31-Oct-19	73 items of load with insufficient details to locate these. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as strong as the processes in place require all new lights to have GPS co-ordinates recorded. The audit risk rating is recorded as low due to the small number of lights that can't be readily locatable. .		
Actions taken to resolve the issue		Completion date	Remedial action status
Contact will work with Tasman to ensure that their database is accurate		Ongoing	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Contact will complete quarterly database checks to ensure the accuracy of Tasman's database		Ongoing	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c)&(d) of Schedule 15.3 From: 31-Aug-17 To: 31-Oct-19	One item of load with no light or wattage details populated. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as strong as the processes in place ensure that this detail is captured, and there was only one light that had no wattage or light type recorded. The audit risk rating is recorded as low to none as there was only one light with no wattage recorded. .	
Actions taken to resolve the issue	Completion date	Remedial action status
Contact will work with Tasman to ensure that their database is accurate	Ongoing	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Contact will complete quarterly database checks to ensure the accuracy of Tasman's database	Ongoing	

All load recorded in the database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 31-Aug-17 To: 31-Oct-19	Three additional lights found in the field. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as moderate as the Network Tasman's process requires that changes made in the field are provided ASAP but there is room for some errors to occur. The audit risk rating is recorded as low as the volume of additional lights found compared to the volume sampled suggests that the impact on reconciliation is small.		
Actions taken to resolve the issue		Completion date	Remedial action status
Contact will work with Tasman to ensure that their database is accurate		Ongoing	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Contact will complete quarterly database checks to ensure the accuracy of Tasman's database		Ongoing	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 31-Aug-17</p> <p>To: 31-Oct-19</p>	<p>Database is not confirmed as accurate with a 95% level of confidence.</p> <p>One item of load missing lamp description and wattage.</p> <p>Incorrect wattages for 31 items of load resulting in an estimated minor under submission of 442.5kWh per annum.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
High	<p>The controls are moderate. The database update processes will ensure that in most cases the change date reflects the date that the change is made but the data being provided from the field suggests that errors can occur in the data provided.</p> <p>The audit risk rating indicates that the impact of database inaccuracy is high based on the estimated kWh of over submission.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Contact will work with Tasman to ensure that their database is accurate		Ongoing	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Contact will complete quarterly database checks to ensure the accuracy of Tasman's database		Ongoing	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 31-Aug-17</p> <p>To: 31-Oct-19</p>	<p>Incorrect kW value calculations resulting in a combined over submission of (16,524.84 + 10,212.64) 26,737.48kWh from March 2019 - October 2019.</p> <p>Calculation methodology does not meet the code requirements.</p> <p>Database is not confirmed as accurate with a 95% level of confidence.</p> <p>Incorrect wattages for 31 items of load resulting in an estimated minor under submission of 442.5kWh per annum.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Twice previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>Controls are rated as weak as the expected process to calculate load is not being followed and errors in the calculation of kWh volumes have not been identified as expected.</p> <p>The audit risk rating is high based on the estimated kWh volume impact of the database inaccuracy and calculation inaccuracies are considered.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Contact will work with Tasman to ensure that their database is accurate</p> <p>Contact will work with the customer to ensure that they are setup to deliver their data for any given time, as required by the EA</p>	Ongoing	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Contact will complete quarterly database checks to ensure the accuracy of Tasman's database	Ongoing	