

Compliance plan for Kaikoura DC DUML – 2019

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: 16-Oct-19</p>	<p>19 items of permanent load have the incorrect ballast applied indicating an estimated over submission of 602 kWh per annum.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Low</p> <p>Actual impact: Unknown</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be low due to the impact on submission.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
The ballast discrepancies will be provided to Mainpower to review and correct if necessary.		31 Dec 2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Existing controls are considered adequate to maintain the accuracy of the database.			

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Jun-18 To: 16-Oct-19	Two additional lights found in the field. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate due to the volume of additional lights found in the field. The impact is assessed to be low due to the low number of differences found in the field and total estimated kWh difference detailed in section 3.1 .	
Actions taken to resolve the issue	Completion date	Remedial action status
Minor discrepancies identified during the field audit will be provided to Mainpower to update the database.	31 Dec 2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Existing controls are considered adequate to maintain the accuracy of the database.		

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Jun-18 To: 16-Oct-19	19 items of permanent load have the incorrect ballast applied indicating an estimated over submission of 602 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement. The impact is assessed to be low due to the impact on submission.	
Actions taken to resolve the issue		Completion date
The ballast discrepancies will be provided to Mainpower to review and correct if necessary.		31 Dec 2019
Preventative actions taken to ensure no further issues will occur		Completion date
Existing controls are considered adequate to maintain the accuracy of the database.		
		Remedial action status
		Identified

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 01-Jun-18 To: 16-Oct-19	19 items of permanent load have the incorrect ballast applied indicating an estimated over submission of 602.211 kWh per annum. The data used for submission does not track changes at a daily basis and is provided as a snapshot. 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 they are sufficient to mitigate the risk most of the time but there is room for improvement. The impact is assessed to be low due to the impact on submission.	
Actions taken to resolve the issue	Completion date	Remedial action status
The ballast discrepancies will be provided to Mainpower to review and correct if necessary.	31 Dec 2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Existing controls are considered adequate to maintain the accuracy of the database.		