

## Compliance plan for Hauraki DC DUML – 2019

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Jun-17 To: 30-Apr-18</p>	<p>In absolute terms, total annual consumption is estimated to be 21,800 kWh lower than the DUML database indicates.</p> <p>Submission is based on a snapshot and does not consider historic adjustments</p> <p>The ballasts are not recorded correctly in the RAMM database.</p> <p>Submission is incorrectly allocated across the 2 ICPs.</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, because they are sufficient to ensure that changes to the database are correctly recorded most of the time.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>	
Actions taken to resolve the issue		Completion date
All discrepancies and issues identified in this report have been raised with HDC for resolution. Meridian will work with HDC to ensure corrections are made to the database where identified.		31 Dec 2019
Preventative actions taken to ensure no further issues will occur		Completion date
Remedial action status		
Identified		

ICP identifier and items of load		
Non-compliance	Description	
Audit Ref: 2.2 With: Clause 11(2)(a) and (aa) of Schedule 15.3 From: 01-Jul-19 To: 11-Oct-19	One item of load without an ICP identifier Potential impact: Low 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 recorded as strong because they mitigate risk to an acceptable level. There is no impact on settlement; therefore the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
We have requested HDC add the ICP to this item single item of load	31 Dec 2019	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: Clause 11(2A) of Schedule 15.3 From: 01-Jul-19 To: 11-Oct-19	One additional item of load found in the field audit. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time. The impact is assessed to be low as only one additional item of load was found in the field audit.		
Actions taken to resolve the issue		Completion date	Remedial action status
We have requested that HDC correct the database for all discrepancies found during the field audit including additional and missing lights and incorrect wattages.		31 Dec 2019	
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: 01-Jul-19</p> <p>To: 11-Oct-19</p>	<p>In absolute terms, total annual consumption is estimated to be 21,800 kWh lower than the DUML database indicates.</p> <p>The ballasts are not recorded correctly in the RAMM database.</p> <p>One item of load does not have the ICP recorded</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, because they are sufficient to ensure that changes to the database are correctly recorded most of the time.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>We have requested that HDC correct the database for all discrepancies found during the field audit including additional and missing lights and incorrect wattages.</p> <p>We have requested that HDC include the correct ballasts in the RAMM database rather than add these outside the database.</p> <p>We have asked for the ICP to be added for the single item of load where this was missing.</p>		Dec 2019	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: 01-Jul-19</p> <p>To: 11-Oct-19</p>	<p>In absolute terms, total annual consumption is estimated to be 21,800 kWh lower than the DUML database indicates.</p> <p>Submission is based on a snapshot and does not consider historic adjustments</p> <p>The ballasts are not recorded correctly in the RAMM database.</p> <p>Submission is incorrectly allocated across the 2 ICPS.</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, because they are sufficient to ensure that changes to the database are correctly recorded most of the time.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
All discrepancies and issues identified in this report have been raised with HDC for resolution. Meridian will work with HDC to ensure corrections are made to the database where identified.		31 Dec 2019	Choose an item.
Preventative actions taken to ensure no further issues will occur		Completion date	