Compliance plan for Taupo DC DUML – 2020

Deriving submission information	
Non-compliance	**Description**
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-May-19 To: 26-Mar-20	1 item of load with the incorrect ballast recorded resulting in an estimated over submission of 55kWh per annum (based on annual burn hours of 4,271 as detailed in the DUML database auditing tool). In absolute terms, total annual consumption is estimated to be 39,300 kWh lower than the DUML database indicates Potential impact: Medium Actual impact: Medium Audit history: Multiple times Controls: Moderate Breach risk rating: 4
Audit risk rating	**Rationale for audit risk rating**
Medium	The controls are rated as moderate because TDC has identified and resolved many discrepancies identified in the last audit. The processes for field notification still require some improvement before controls can be recorded as strong. The impact is assessed to be medium due to the potential kWh variances found.

Actions taken to resolve the issue	Completion date	Remedial action status
The incorrect ballast wattage identified will be corrected in the database	30 April 2020	Identified
Preventative actions taken to ensure no further issues will occur	**Completion date**	
We will liaise with TDC regarding field audit findings and corrections required. Some discrepancies can be attributed to timing of updates following LED roll out which should be completed by the next audit.	Ongoing	

All load recorded in database	
Non-compliance	**Description**
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-May-19 To: 26-Mar-20	All load is not recorded in the database. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2
Audit risk rating	**Rationale for audit risk rating**
Low	The controls are rated as moderate as the processes to capture change will mitigate risk most of the time. The impact is assessed to be low as the majority of the volume of additional lighting found in the sample was small.

Actions taken to resolve the issue	**Completion date**	**Remedial action status**
We will liaise with TDC regarding field audit findings and corrections required.	30 April 2020	Choose an item.
Preventative actions taken to ensure no further issues will occur	**Completion date**	
Some discrepancies can be attributed to timing of updates following LED roll out which should be completed by the next audit.	Ongoing	

Database accuracy	
Non-compliance	**Description**
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-May-19 To: 26-Mar-20	1 item of load with the incorrect ballast recorded resulting in an estimated over submission of 55kWh per annum (based on annual burn hours of 4,271 as detailed in the DUML database auditing tool). In absolute terms, total annual consumption is estimated to be 39,300 kWh lower than the DUML database indicates Potential impact: Medium Actual impact: Medium Audit history: Multiple times Controls: Moderate Breach risk rating: 4
Audit risk rating	**Rationale for audit risk rating**
Medium	The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time. The impact is assessed to be medium based on the kWh differences described above.

Actions taken to resolve the issue	Completion date	Remedial action status
The incorrect ballast wattage identified will be corrected in the database	30 April 2020	Identified
Preventative actions taken to ensure no further issues will occur	**Completion date**	
We will liaise with TDC regarding field audit findings and corrections required. Some discrepancies can be attributed to timing of updates following LED roll out which should be completed by the next audit.	Ongoing	

Volume information accuracy	
Non-compliance	**Description**
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 01-May-19 To: 26-Mar-20	1 item of load with the incorrect ballast recorded resulting in an estimated over submission of 55kWh per annum (based on annual burn hours of 4,271 as detailed in the DUML database auditing tool). In absolute terms, total annual consumption is estimated to be 39,300 kWh lower than the DUML database indicates Potential impact: Medium Actual impact: Medium Audit history: Multiple times Controls: Moderate Breach risk rating: 4
Audit risk rating	**Rationale for audit risk rating**
Medium	The controls are rated as moderate because TDC has identified and resolved many discrepancies identified in the last audit. The processes for field notification still require some improvement before controls can be recorded as strong. The impact is assessed to be medium due to the potential kWh variances found.

Actions taken to resolve the issue	Completion date	Remedial action status
The incorrect ballast wattage identified will be corrected in the database	30 April 2020	Choose an item.
Preventative actions taken to ensure no further issues will occur	**Completion date**	
We will liaise with TDC regarding field audit findings and corrections required. Some discrepancies can be attributed to timing of updates following LED roll out which should be completed by the next audit.	Ongoing	