

Compliance plan for Manawatu DC DUML Audit– 2020]

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 17-Apr-19</p> <p>To: 31-Jul-20</p>	<p>Variance found between the monthly wattage report provided to Contact and the database extract provided for this audit resulting in an estimated annualised under submission of 9,881.58 kWh.</p> <p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 7,900 kWh per annum.</p> <p>Nine lamps had incorrect lamp or ballast wattage applied in the DUML database which would result in a very minor estimated under submission of 188 kWh per annum.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice</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, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Contact will investigate this discrepancy between the DUML database and the monthly wattage report by undertaking its own comparison of an extract of the DUML DB to the monthly wattage report.</p> <p>Once the discrepancy is identified and resolved we will undertake any required market wash ups.</p>		Dec 2020	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Contact will continue to attempt to perform quarterly checks on the database to find any possible issues to ensure these are resolved in a timely fashion</p>		Ongoing	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 17-Apr-19</p> <p>To: 31-Jul-20</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 7,900 kWh per annum.</p> <p>Nine lamps had incorrect lamp or ballast wattage applied in the DUML database which would result in a very minor estimated under submission of 188 kWh per annum.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<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, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Contact will continue to engage with the customer to ensure that their database is accurate		Ongoing	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Contact will continue to attempt to perform quarterly checks on the database to find any possible issues to ensure these are resolved in a timely fashion		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: 17-Apr-19</p> <p>To: 31-Jul-20</p>	<p>Variance found between the monthly wattage report provided to Contact and the database extract provided for this audit resulting in an estimated annualised under submission of 9,881.58 kWh.</p> <p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 7,900 kWh per annum.</p> <p>Nine lamps had incorrect lamp or ballast wattage applied in the DUML database which would result in a very minor estimated under submission of 188 kWh per annum.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice</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, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Contact will continue to engage with the customer to ensure that their database is accurate	Ongoing	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Contact will continue to attempt to perform quarterly checks on the database to find any possible issues to ensure these are resolved in a timely fashion	Ongoing	