

# Compliance plan for South Waikato DC DUML– 2021

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Nov-19 To: 27-May-21	Submission is based on a snapshot and does not consider historic adjustments. Potential impact: Low Actual impact: Low Audit history: Multiple times previously Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as strong because they mitigate risk to an acceptable level. The impact is assessed to be low, based on the small impact on settlement.	
Actions taken to resolve the issue	Completion date	Remedial action status
		Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Processes are in place to account for historical database corrections that have a material impact on settlement volumes.		

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)  From: 01-Nov-19 To: 27-May-21	1,303 LED items of load have insufficient detail in the description to confirm the accuracy of the wattage Potential impact: Low Actual impact: Low Audit history: Twice 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, because the wattages appear correct.	
Actions taken to resolve the issue	Completion date	Remedial action status
We will request that additional detail be added to the database to validate wattages are accurate.	30 June 2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 01-Nov-19 To: 27-May-21	Submission is based on a snapshot and does not consider historic adjustments. Potential impact: Low Actual impact: Low Audit history: Multiple times previously Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as strong because they mitigate risk to an acceptable level. The impact is assessed to be low, based on the small impact on settlement.	
Actions taken to resolve the issue		Completion date
Preventative actions taken to ensure no further issues will occur		Completion date
Processes are in place to account for historical database corrections that have a material impact on settlement volumes.		
		Identified