

Compliance plan for Waipa DC DUML – 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: 01-Apr-19</p> <p>To: 31-Aug-20</p>	<p>Submission is based on a snapshot and does not consider historic adjustments.</p> <p>263 items of load with an incorrect lamp description, or wattage and ballast combination, resulting in an estimated annual under submission of 1,123 kWh per annum.</p> <p>One item of load with no lamp wattage or sufficient lamp description recorded.</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>The controls are rated as moderate, because they are sufficient to mitigate risk most of the time.</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
We will liaise with Waipa DC regarding audit findings and request the invalid lamp descriptions and wattage/ballast information be reviewed and updated	Dec 2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We will provide the standardised lamp wattage table to Waipa DC for their reference to ensure correct ballast wattages are applied going forward.	Dec 2020	

Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 With: Clause 11(2)(d) of Schedule 15.3 From: 01-Apr-19 To: 31-Aug-20	One item of load with no lamp wattage or sufficient lamp description recorded. 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 and checks in place will find most errors. The impact is assessed to be very minor as only one LED light is missing a wattage being recorded.		
Actions taken to resolve the issue		Completion date	Remedial action status
We will liaise with Waipa DC regarding audit findings and request this item of load be reviewed and updated with accurate information.		Dec 2020	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-Apr-19 To: 31-Aug-20	Eight additional items of load were found in the field. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
We will liaise with Waipa DC regarding audit findings and request the discrepancies found during the field audit are reviewed and the database corrected where required.		Dec 2020
Preventative actions taken to ensure no further issues will occur		Completion date
Remedial action status		
Identified		

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Apr-19</p> <p>To: 31-Aug-20</p>	<p>263 items of load with an incorrect lamp description, or wattage and ballast combination, resulting in an estimated annual under submission of 1,123 kWh per annum.</p> <p>One item of load with no lamp wattage or sufficient lamp description recorded.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</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>The controls are rated as moderate and checks in place will find most errors.</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
We will liaise with Waipa DC regarding audit findings and request the invalid lamp descriptions and wattage/ballast information be reviewed and updated	Dec 2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We will provide the standardised lamp wattage table to Waipa DC for their reference to ensure correct ballast wattages are applied going forward.	Dec 2020	

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-Apr-19</p> <p>To: 31-Aug-20</p>	<p>Submission is based on a snapshot and does not consider historic adjustments.</p> <p>263 items of load with an incorrect lamp description, or wattage and ballast combination, resulting in an estimated annual under submission of 1,123 kWh per annum.</p> <p>One item of load with no lamp wattage or sufficient lamp description recorded.</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>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement.</p> <p>The impact on settlement and participants is minor. Therefore, the audit risk rating is low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
We will liaise with Waipa DC regarding audit findings and request the invalid lamp descriptions and wattage/ballast information be reviewed and updated		Dec 2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We will provide the standardised lamp wattage table to Waipa DC for their reference to ensure correct ballast wattages are applied going forward.		Dec 2020	