

Compliance plan for South Wairarapa DC DUML – 2021

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 18-May-21 To: 23-Sep-21</p>	<p>The database accuracy is assessed to be 93.5% of the database for the sample checked indicating a potential under submission of approximately 15,800 kWh per annum.</p> <p>11 items of load have incorrect gear wattage resulting in an estimated minor under submission of 329 kWh p.a. based on 4,271 burn hours.</p> <p>Changes are not always recorded in the database extract from the date which they became effective.</p> <p>Potential impact: Medium Actual impact: Medium</p> <p>Audit history: Three times</p> <p>Controls: Moderate Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as moderate as controls will mitigate risk most of the time, but there is room for improvement.</p> <p>The audit risk rating is assessed to be medium based on the potential submission inaccuracies.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
SWDC are aware of the audit findings and we will be following up to ensure the database is updated accordingly.	Nov21	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We will continue to work with SWDC to resolve discrepancies in a timely manner.	Ongoing	

Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: 18-May-21 To: 23-Sep-21	Two items of load with blank wattages 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	Remedial action status
SWDC are aware of the audit findings and we will be following up to ensure the database is updated accordingly.		Nov21	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We will continue to work with SWDC to resolve discrepancies in a timely manner.		Ongoing	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 18-May-21 To: 23-Sep-21	10 items of load missing from the database. 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
SWDC are aware of the audit findings and we will be following up to ensure the database is updated accordingly.		Nov21
Preventative actions taken to ensure no further issues will occur		Completion date
We will continue to work with SWDC to resolve discrepancies in a timely manner.		Ongoing
		Identified

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 18-May-21</p> <p>To: 23-Sep-21</p>	<p>The database accuracy is assessed to be 93.5% of the database for the sample checked indicating a potential over submission of approximately 15,800 kWh per annum.</p> <p>Two items of load have blank lamp wattage and 11 have incorrect gear wattage resulting in an estimated minor under submission of 329 kWh p.a. based on 4,271 burn hours.</p> <p>Changes are not always recorded in the database extract from the date which they became effective.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Three times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as moderate as controls will mitigate risk most of the time, but there is room for improvement.</p> <p>The audit risk rating is assessed to be medium based on the potential submission inaccuracies.</p>	
Actions taken to resolve the issue		Completion date
SWDC are aware of the audit findings and we will be following up to ensure the database is updated accordingly.		Nov21
Preventative actions taken to ensure no further issues will occur		Completion date
We will continue to work with SWDC to resolve discrepancies in a timely manner.		Ongoing
Remedial action status		
Identified		

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 18-May-21</p> <p>To: 23-Sep-21</p>	<p>Variance in light volumes reported to Mercury vs what is recorded in the database has resulted in under submission of 30,359 kWh for a nine-month period.</p> <p>The database accuracy is assessed to be 93.5% of the database for the sample checked indicating a potential under submission of approximately 15,800 kWh per annum.</p> <p>11 items of load have incorrect gear wattage resulting in an estimated minor under submission of 329 kWh p.a. based on 4,271 burn hours.</p> <p>Changes are not always recorded in the database extract from the date which they became effective.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Three times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are rated as moderate as controls will mitigate risk most of the time, but there is room for improvement.</p> <p>The potential impact could be low as the issue will have a minor impact on settlement.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
SWDC are aware of the audit findings and we will be following up to ensure the database is updated accordingly.		Nov21	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We will continue to work with SWDC to resolve discrepancies in a timely manner.		Ongoing	