

Compliance plan for Waikato DC DUML December 2021

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Jun-21 To: 15-Dec-21	In absolute terms, total annual consumption is estimated to be 13,000 kWh higher than the DUML database indicates. Submission is based on a snapshot and does not consider historic changes. Potential impact: High Actual impact: Medium Audit history: Three times Controls: Moderate Breach risk rating: 4	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are rated as moderate as the processes in place to manage change are sufficient to mitigate risk most of the time. The impact is assessed to be medium, based on the kWh differences.	
Actions taken to resolve the issue	Completion date	Remedial action status
The inaccuracies identified have been provided to Odyssey Energy to resolve.	Dec 2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We will monitor to ensure corrections from this audit and those outstanding from the last audit are resolved. We are considering the impact provision and use of database changes at a daily level will have on our processes and tools.	28 Feb 2021 Ongoing	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Jun-21 To: 15-Dec-21	Eight items of load are missing from the database. Potential impact: Medium Actual impact: Low Audit history: Multiple times previously Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate as the processes in place to manage change are sufficient to mitigate risk most of the time. The impact is assessed to be low, based on the quantity of additional lights.	
Actions taken to resolve the issue	Completion date	Remedial action status
The inaccuracies identified have been provided to Odyssey Energy to resolve.	Dec 2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We will monitor to ensure corrections from this audit and those outstanding from the last audit are resolved.	28 Feb 2021	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Jun-21 To: 15-Dec-21	In absolute terms, total annual consumption is estimated to be 13,000 kWh higher than the DUMML database indicates. Potential impact: High Actual impact: Medium Audit history: Multiple times previously Controls: Moderate Breach risk rating: 4	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are rated as moderate as the processes in place to manage change are sufficient to mitigate risk most of the time. The impact is assessed to be medium, based on the kWh value above.	
Actions taken to resolve the issue	Completion date	Remedial action status
The inaccuracies identified have been provided to Odyssey Energy to resolve.	Dec 2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We will monitor to ensure corrections from this audit and those outstanding from the last audit are resolved. We are considering the impact provision and use of database changes at a daily level will have on our processes and tools.	28 Feb 2021 Ongoing	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 01-Jun-21 To: 15-Dec-21	In absolute terms, total annual consumption is estimated to be 13,000 kWh higher than the DUML database indicates. Submission is based on a snapshot and does not consider historic changes. Potential impact: High Actual impact: Medium Audit history: Three times Controls: Moderate Breach risk rating: 4	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are rated as moderate as the processes in place to manage change are sufficient to mitigate risk most of the time. The impact is assessed to be medium, based on the kWh differences.	
Actions taken to resolve the issue	Completion date	Remedial action status
The inaccuracies identified have been provided to Odyssey Energy to resolve.	Dec 2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We will monitor to ensure corrections from this audit and those outstanding from the last audit are resolved. We are considering the impact provision and use of database changes at a daily level will have on our processes and tools.	28 Feb 2021 Ongoing	