

## Compliance plan for Waipa DC DUML 2021

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-Sep-20</p> <p>To: 15-Dec-21</p>	<p>The field audit indicated that in absolute terms, total annual consumption is estimated to be 28,100 kWh lower than the DUML database indicates.</p> <p>Submission is based on a snapshot and does not consider historic adjustments.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</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, because they are sufficient to mitigate risk most of the time.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>All the issues identified in this audit have been shared with Waipa DC for resolution.</p> <p>We are considering the impact provision and use of database changes at a daily level will have on our processes and tools.</p>	<p>Complete</p> <p>June 2022</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We will follow up with Waipa regarding the inaccuracies, corrections, and improvement of maintenance processes	31 March 2022	

Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 With: Clause 11(2)(d) of Schedule 15.3 From: 01-Sep-20 To: 15-Dec-21	LED lamp descriptions are not adequate to identify whether the wattages are correct. 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 recorded as moderate because they mitigate risk most of the time but there is room for improvement. There's no evidence the wattages are incorrect, so the impact is considered low.		
Actions taken to resolve the issue		Completion date	Remedial action status
This issue has been raised with Waipa DC and a resolution requested.		Complete	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We will follow up to ensure descriptions are updated.		31 March 2022	

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Sep-20 To: 15-Dec-21	One additional item of load was found in the field. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	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
This issue has been raised with Waipa DC and a resolution requested.		Complete	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We will follow up to ensure the database is corrected		31 March 2022	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Sep-20</p> <p>To: 15-Dec-21</p>	<p>The field audit identified over submission of 28,100 kWh per annum.</p> <p>Two items of load had incorrect GPS coordinates.</p> <p>LED descriptions are not sufficient to confirm wattages are correct.</p> <p>Electrical connection dates may be incorrect for new subdivisions.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Medium</b>	<p>The controls are rated as moderate and checks in place will find most errors.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>All the issues identified in this audit have been shared with Waipa DC for resolution.</p> <p>We are considering the impact provision and use of database changes at a daily level will have on our processes and tools.</p>		<p>Complete</p> <p>June 2022</p>	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>We will follow up with Waipa regarding the inaccuracies, corrections, and improvement of maintenance processes</p>		31 March 2022	

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-Sep-20</p> <p>To: 15-Dec-21</p>	<p>The field audit indicated that in absolute terms, total annual consumption is estimated to be 28,100 kWh lower than the DUML database indicates.</p> <p>Submission is based on a snapshot and does not consider historic adjustments.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</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	
<b>Medium</b>	<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 medium, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>All the issues identified in this audit have been shared with Waipa DC for resolution.</p> <p>We are considering the impact provision and use of database changes at a daily level will have on our processes and tools.</p>	<p>Complete</p> <p>June 2022</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>We will follow up with Waipa regarding the inaccuracies, corrections, and improvement of maintenance processes</p>	<p>31 March 2022</p>	