

## Compliance plan for Waitomo 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-Nov-20</p> <p>To: 15-Dec-21</p>	<p>In absolute terms, total annual consumption is estimated to be 12,100 kWh lower than the DUML database indicates.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: Twice</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 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 medium based on the kWh difference.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>We have advised Horizon Network of the inaccuracies and requested them to be corrected.</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>Completed</p> <p>30/06/2022</p>	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>We will follow up with Horizon Network regarding the inaccuracies, corrections, and improvement of maintenance processes</p>		31/03/2022	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Jan-20 To: 16-Dec-21	One additional light identified. Potential impact: Medium 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
We have advised Horizon Network of the inaccuracies and requested them to be corrected.		Completed
Preventative actions taken to ensure no further issues will occur		Completion date
We will follow up with Horizon Network regarding the inaccuracies, corrections, and improvement of maintenance processes		31/03/2022
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-Nov-20</p> <p>To: 15-Dec-21</p>	<p>In absolute terms, total annual consumption is estimated to be 12,100 kWh lower than the DUML database indicates.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: High</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	
<b>Medium</b>	<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 medium based on the kWh difference.</p>	
Actions taken to resolve the issue		Completion date
<p>We have advised Horizon Network of the inaccuracies and requested them to be corrected.</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>Completed</p> <p>30/06/ 2022</p>
Preventative actions taken to ensure no further issues will occur		Completion date
<p>We will follow up with Horizon Network regarding the inaccuracies, corrections, and improvement of maintenance processes</p>		<p>31/03/2022</p>
		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: 01-Nov-20</p> <p>To: 15-Dec-21</p>	<p>In absolute terms, total annual consumption is estimated to be 12,100 kWh lower than the DUML database indicates.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: Twice</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 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 medium based on the kWh difference.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>We have advised Horizon Network of the inaccuracies and requested them to be corrected.</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>Completed</p> <p>30/06 2022</p>	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>We will follow up with Horizon Network regarding the inaccuracies, corrections, and improvement of maintenance processes</p>		31/03/2022	