

# Compliance Plan South Wairarapa DC DUML 2022

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 18-May-21</p> <p>To: 09-May-22</p>	<p>The database is not confirmed as accurate with a 95% level of confidence resulting in an estimated annual over submission of 1,200 kWh.</p> <p>One item of load does not have wattage recorded which would result in an estimated under submission of 120 kWh per annum.</p> <p>Changes are not always recorded in the database extract from the date which they became effective.</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		
<b>Low</b>	<p>The controls are rated as moderate as the processes in place will ensure that the data is recorded correctly most of the time.</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
<p>South Wairarapa DC have advised that they are making the necessary updates to the database in terms of wattage. We have recommended that they add a 'Livening Date' field to the database. We have asked that they keep us updated and we will be following up with them.</p>		June 2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>The customer is aware of the need to keep the database updated accurately and we will continue to work with them on this.</p>		Ongoing	

Description and capacity of load			
Non-compliance	Description		
<p>Audit Ref: 2.4</p> <p>With: Clause 11(2)(c) and (d) of Schedule 15.3</p> <p>From: 18-May-21</p> <p>To: 09-May-22</p>	<p>Lamp make and model and wattage is not recorded for one lamp which would result in an estimated under submission of 120 kWh per annum.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>Controls are rated as strong, with only one exception indicates that controls are sufficient to ensure that all lamps are recorded in the database most of the time.</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
<p>South Wairarapa DC have advised that they are making the necessary updates to the database for the lamp in question. We have asked that they keep us updated and we will be following up with them.</p>		June 2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>The customer is aware of the need to keep the database updated accurately and we will continue to work with them on this.</p>		Ongoing	

<b>All load recorded in database</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3  From: 18-May-21 To: 09-May-22	Eight additional lights found in the field of the sample of 132 items of load (6% error rate). Potential impact: Low Actual impact: Low Audit history: Multiple times previously Controls: Moderate Breach risk rating: 2	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	The controls are rated as moderate as the processes in place will ensure that the data is recorded correctly most of the time.  The impact is assessed to be low due to the small number of additional lights found in the field in relation to the overall count of the items of load.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
South Wairarapa DC have advised that they are making the necessary updates to the database. We have asked that they keep us updated and we will be following up with them.	June 2022	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
The customer is aware of the need to keep the database updated accurately and we will continue to work with them on this.	Ongoing	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)</p> <p>From: 18-May-21 To: 09-May-22</p>	<p>The database is not confirmed as accurate with a 95% level of confidence resulting in an estimated annual over submission of 1,200 kWh.</p> <p>One lamp does not have the wattage or model recorded, resulting in an estimated under submission of 120 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: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>The controls are rated as moderate as the processes in place will ensure that the data is recorded correctly most of the time.</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
<p>South Wairarapa DC have advised that they are making the necessary updates to the database in terms of wattage. We have recommended that they add a 'Livening Date' field to the database. We have asked that they keep us updated and we will be following up with them.</p>		June 2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>The customer is aware of the need to keep the database updated accurately and we will continue to work with them on this.</p>		Ongoing	

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: 09-May-22</p>	<p>The database is not confirmed as accurate with a 95% level of confidence resulting in an estimated annual over submission of 1,200 kWh.</p> <p>One item of load does not have wattage recorded which would result in an estimated under submission of 120 kWh per annum.</p> <p>Changes are not always recorded in the database extract from the date which they became effective.</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	
<b>Low</b>	<p>The controls are rated as moderate as the processes in place will ensure that the data is recorded correctly most of the time.</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
South Wairarapa DC have advised that they are making the necessary updates to the database in terms of wattage. We have recommended that they add a 'Livening Date' field to the database. We have asked that they keep us updated and we will be following up with them.	June 2022	Identified
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