

Compliance plan for Waitomo DC DUML Meridian 2022

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 16-Dec-21 To: 05-Sep-22</p>	<p>The festive light consumption was not submitted for December 2021 and January 2022 season resulting in a very minor under submission of 4.21 kWh.</p> <p>One item of load incorrectly recorded as private resulting in a very minor estimated under submission of 83 kWh per annum.</p> <p>The database accuracy is outside the allowable +/-5% threshold. There is a 95% level of confidence that the annual consumption is between 14,300 kWh p.a. lower and 4,100 kWh p.a. higher than the 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: Medium Actual impact: Low</p> <p>Audit history: Three times previously Controls: Moderate Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<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 assessed to be low based on the kWh difference.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>We have obtained information of festive lights and confirmed when these were operating for 21/22. Submissions will be revised for Dec 21 and Jan 22 at the next opportunity.</p> <p>Horizon will add the correct council ICP to the one item of load currently recorded as private.</p> <p>Discrepancies identified during the field audit have been provided to Horizon for resolution.</p>		<p>31 March 2023 30 Nov 2022 30 Nov 2022</p>	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>We have agreed with Horizon that going forward they will include the festive lights in data extracts when these are operating.</p> <p>We will continue to follow up to ensure correct light and wattage information is confirmed and corrected in the database where needed.</p> <p>We have assessed our processes and tools to account for historic lamp installations and changes to the database at a daily level. There are checks in place comparing month to month data to identify any material changes and confirm details for these. These are accounted for in monthly submission.</p>		<p>Ongoing Ongoing Ongoing</p>	

ICP Identifier		
Non-compliance	Description	
Audit Ref: 2.2 With: Clause 11(2)(a) and (aa) of Schedule 15.3 From: 16-Dec-21 To: 05-Sep-22	One item of load incorrectly recorded as private resulting in a very minor estimated under submission of 83 kWh per annum. 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 estimated to be low based on the kWh difference.	
Actions taken to resolve the issue	Completion date	Remedial action status
Horizon will add the correct council ICP to the one item of load currently recorded as private.	30 Nov 2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
No comment provided		

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 17-Dec-21 To: 05-Sep-22	14 additional lights identified. Potential impact: Medium Actual impact: Low Audit history: Twice previously 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
Discrepancies identified during the field audit have been provided to Horizon for resolution.	30 Nov 2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We will continue to follow up to ensure additional lights identified are added to the database.	30 Nov 2022	

Database Accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 16-Dec-21</p> <p>To: 05-Sep-22</p>	<p>The database accuracy is outside the allowable +/-5% threshold. There is a 95% level of confidence that the annual consumption is between 14,300 kWh p.a. lower and 4,100 kWh p.a. higher than the database indicates.</p> <p>One item of load incorrectly recorded as private resulting in a very minor estimated under submission of 83 kWh per annum.</p> <p>The festive light consumption was not submitted for December 2021 and January 2022 season resulting in a very minor under submission of 4.21 kWh.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<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 low based on the kWh difference.</p>	
Actions taken to resolve the issue		Completion date
<p>We have obtained information of festive lights and confirmed when these were operating for 21/22. Submissions will be revised for Dec 21 and Jan 22 at the next opportunity.</p> <p>Horizon will add the correct council ICP to the one item of load currently recorded as private.</p> <p>Discrepancies identified during the field audit have been provided to Horizon for resolution.</p>		<p>31 March 2023</p> <p>30 Nov 2022</p> <p>30 Nov 2022</p>
Preventative actions taken to ensure no further issues will occur		Completion date
<p>We have agreed with Horizon that going forward they will include the festive lights in data extracts when these are operating.</p> <p>We will continue to follow up to ensure correct light and wattage information is confirmed and corrected in the database where needed.</p>		<p>Ongoing</p> <p>Ongoing</p>
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: 16-Dec-21</p> <p>To: 05-Sep-22</p>	<p>The festive light consumption was not submitted for December 2021 and January 2022 season resulting in a very minor under submission of 4.21 kWh.</p> <p>One item of load incorrectly recorded as private resulting in a very minor estimated under submission of 83 kWh per annum.</p> <p>The database accuracy is outside the allowable +/-5% threshold. There is a 95% level of confidence that the annual consumption is between 14,300 kWh p.a. lower and 4,100 kWh p.a. higher than the 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: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Three times previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<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 low based on the kWh difference.</p>	
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