

Compliance Plan Tararua 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: 01-Sep-22</p> <p>To: 31-Dec-22</p> | <p>Database assessed as having poor accuracy therefore the potential error is greater than 5.0% resulting in an estimated under submission of 9,700 kWh per annum.</p> <p>Festive lighting in Woodville and Dannevirke not recorded in the database.</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: Low</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 is assessed to be low based on small volume impact to submission.</p> | |
| Actions taken to resolve the issue | Completion date | Remedial action status |
| We will advise Tararua DC of the required fixes identified in the audit and follow up to get updates on progress. | March 2023 | Identified |
| Preventative actions taken to ensure no further issues will occur | Completion date | |
| Tararua DC are aware of the need to maintain database accuracy and the positive outcomes for both billing and compliance. | Ongoing. | |

| All load recorded in database | | |
|--|--|------------------------|
| Non-compliance | Description | |
| Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Sep-22 To: 31-Dec-22 | Three additional lights in the field of the 166 items of load sampled. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1 | |
| Audit risk rating | Rationale for audit risk rating | |
| Low | The controls are rated as strong 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. | |
| Actions taken to resolve the issue | Completion date | Remedial action status |
| We will advise Tararua DC to update the database for the three lights. We will follow up with Tararua DC to confirm how the investigation into the under-verandah lights is progressing. | March 2023 | Identified |
| Preventative actions taken to ensure no further issues will occur | Completion date | |
| Tararua DC are aware of the need to maintain database accuracy and the positive outcomes for both billing and compliance. | Ongoing. | |

| Database accuracy | | |
|---|--|-------------------------------|
| Non-compliance | Description | |
| Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Sep-22 To: 31-Dec-22 | Database assessed as having poor accuracy therefore the potential error is greater than 5.0% resulting in an estimated under submission of 9,700 kWh per annum. Festive lighting in Woodville and Dannevirke are not recorded in the database. Potential impact: Low Actual impact: Low Audit history: Multiple times 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 is assessed to be low based on small volume impact to submission. | |
| Actions taken to resolve the issue | Completion date | Remedial action status |
| We will advise Tararua DC of the required fixes identified in the audit and follow up to get updates on progress. | March 2023 | Identified |
| Preventative actions taken to ensure no further issues will occur | Completion date | |
| Tararua DC are aware of the need to maintain database accuracy and the positive outcomes for both billing and compliance. | Ongoing | |

| Volume information accuracy | | |
|---|--|------------------------|
| Non-compliance | Description | |
| <p>Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-Sep-22 To: 31-Dec-22</p> | <p>Database assessed as having poor accuracy therefore the potential error is greater than 5.0% resulting in an estimated under submission of 9,700 kWh per annum.</p> <p>Festive lighting in Woodville, Eketahuna and Dannevirke not recorded in the database.</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: Low Actual impact: Low Audit history: Multiple times 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 is assessed to be low based on small volume impact to submission.</p> | |
| Actions taken to resolve the issue | Completion date | Remedial action status |
| We will advise Tararua DC of the required fixes identified in the audit and follow up to get updates on progress. | March 2023 | Identified |
| Preventative actions taken to ensure no further issues will occur | Completion date | |
| Tararua DC are aware of the need to maintain database accuracy and the positive outcomes for both billing and compliance. | Ongoing | |