

Compliance plan for Hauraki DC GENE, DUML 2023

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Oct-21 To: 31-Aug-23	The database is just outside of the allowable +/-5% threshold resulting in an estimated under submission of 3,900 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Three times previously Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong as they will mitigate risk to an acceptable level. The impact is assessed to be low as the database is relatively static so the volume of changes will have a minimal effect on submission.	
Actions taken to resolve the issue	Completion date	Remedial action status
Field audit findings have been used to update the database and ensure accuracy.	1/10/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Internal investigation to take place to determine how this took place and identify controls to put in place.	1/11/2023	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Oct-21 To: 31-Aug-23	In absolute terms, total annual consumption is estimated to be 3,900 kWh higher than the DUML database indicates. Potential impact: Low Actual impact: Low Audit history: Three times previously Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong as they will mitigate risk to an acceptable level. The impact is assessed to be low, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Field audit findings have been used to update the database and ensure accuracy.	1/10/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Internal investigation to take place to determine how this took place and identify controls to put in place.	1/11/2023	

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-Oct-21</p> <p>To: 31-Aug-23</p>	<p>The database is just outside of the allowable +/-5% threshold resulting in an estimated under submission of 3,900 kWh per annum.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times previously</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as strong as they will mitigate risk to an acceptable level.</p> <p>The impact is assessed to be low as the database is relatively static so the volume of changes will have a minimal effect on submission.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Field audit findings have been used to update the database and ensure accuracy.	1/10/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Internal investigation to take place to determine how this took place and identify controls to put in place.	1/11/2023	