

# Compliance Plan South Wairarapa DC DUML 2023

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 07-Jul-23 To: 12-Sep-23</p>	<p>The database is not confirmed as accurate with a 95% level of confidence resulting in an estimated annual over submission of 7,700 kWh.</p> <p>Pole ID 1879 has a 50W mercury vapour light installed with the gear wattage recorded as zero when 9W is expected resulting in estimated under submission of 9W or 38 kWh p.a.</p> <p>38 lights have a missing gear model and gear wattage. Assuming that the lights are LEDs there will be no wattage difference.</p> <p>39 lights have a missing light model and light wattage. Assuming that the lights are 28W Vizulo Mini Martin lights (the most common light type) the estimated under submission is 1,092W or 4,664 kWh p.a.</p> <p>Potential impact: Low Actual impact: Low Audit history: Three times Controls: Weak Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are assessed to be weak because 39 (4.6%) of the 833 lights recorded in the database have missing light model and wattage information, and the field audit found that the database was not accurate with a 95% confidence level.</p> <p>The impact on settlement is low based on the kWh differences identified.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
South Wairarapa DC are aware of the required fixes to make the database accurate.	Septe	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
South Wairarapa DC are aware of the importance of maintaining an accurate database.	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: 07-Jul-23</p> <p>To: 07-Jul-23</p>	<p>Pole ID 1879 has a 50W mercury vapour light installed with the gear wattage recorded as zero when 9W is expected resulting in estimated under submission of 9W or 38 kWh p.a.</p> <p>38 lights have a missing gear model and gear wattage. Assuming that the lights are LEDs there will be no wattage difference.</p> <p>39 lights have a missing light model and light wattage. Assuming that the lights are 28W Vizulo Mini Martin lights (the most common light type) the estimated under submission is 1,092W or 4,664 kWh p.a.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are assessed to be weak because 39 (4.6%) of the 833 lights recorded in the database have missing light model and wattage information.</p> <p>The impact on settlement is low based on the kWh differences identified.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
South Wairarapa DC are aware of the required fixes to make the database accurate.	September 2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
South Wairarapa DC are aware of the importance of maintaining an accurate database.	Ongoing	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3  From: 01-Sep-23 To: 01-Sep-23	Four additional lights found in the field of the sample of 157 items of load (2.5% error rate). Potential impact: Low Actual impact: Low Audit history: Multiple times previously Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<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.	
Actions taken to resolve the issue	Completion date	Remedial action status
South Wairarapa DC are aware of the required fixes to make the database accurate.	September 2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
South Wairarapa DC are aware of the importance of maintaining an accurate database.	Ongoing	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)</p> <p>From: 07-Jul-23 To: 12-Sep-23</p>	<p>The database is not confirmed as accurate with a 95% level of confidence resulting in an estimated annual over submission of 7,700 kWh.</p> <p>Pole ID 1879 has a 50W mercury vapour light installed with the gear wattage recorded as zero when 9W is expected resulting in estimated under submission of 9W or 38 kWh p.a.</p> <p>38 lights have a missing gear model and gear wattage. Assuming that the lights are LEDs there will be no wattage difference.</p> <p>39 lights have a missing light model and light wattage. Assuming that the lights are 28W Vizulo Mini Martin lights (the most common light type) the estimated under submission is 1,092W or 4,664 kWh p.a.</p> <p>33 items of load have transposed GPS coordinates.</p> <p>Five items of load on Tuscan Lane have incorrect street names recorded.</p> <p>Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Weak Breach risk rating: 3</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>The controls are assessed to be weak because 39 (4.6%) of the 833 lights recorded in the database have missing light model and wattage information, and the field audit found that the database was not accurate with a 95% confidence level.</p> <p>The impact on settlement is low based on the kWh differences identified.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
South Wairarapa DC are aware of the required fixes to make the database accurate.		September 2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
South Wairarapa DC are aware of the importance of maintaining an accurate database.		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: 07-Jul-23</p> <p>To: 12-Sep-23</p>	<p>The database is not confirmed as accurate with a 95% level of confidence resulting in an estimated annual over submission of 7,700 kWh.</p> <p>Pole ID 1879 has a 50W mercury vapour light installed with the gear wattage recorded as zero when 9W is expected resulting in estimated under submission of 9W or 38 kWh p.a.</p> <p>38 lights have a missing gear model and gear wattage. Assuming that the lights are LEDs there will be no wattage difference.</p> <p>39 lights have a missing light model and light wattage. Assuming that the lights are 28W Vizulo Mini Martin lights (the most common light type) the estimated under submission is 1,092W or 4,664 kWh p.a.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are assessed to be weak because 39 (4.6%) of the 833 lights recorded in the database have missing light model and wattage information, and the field audit found that the database was not accurate with a 95% confidence level.</p> <p>The impact on settlement is low based on the kWh differences identified.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
South Wairarapa DC are aware of the required fixes to make the database accurate.	September 2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
South Wairarapa DC are aware of the importance of maintaining an accurate database.	Ongoing	