

Compliance plan for Waitomo 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: 16-Dec-21 To: 15-Oct-23</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>29 of 36 discrepancies from the previous audit not corrected.</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: Multiple 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 assessed to be low based on the kWh difference.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Horizon advise they are in the process of resolving database discrepancies identified in 2022 and 2023 field audits as follows;</p> <p>Lights not found in the field have been removed from the database.</p> <p>Additional lights found in the field will be added to the database.</p> <p>Lights found with wattage not matching the field have been investigated and found database information is accurate and the incorrect asset stickers were supplied. New asset stickers have been ordered for these lights. (x 9). There is no impact on settlement.</p>	<p>Complete</p> <p>30 Nov 2023</p> <p>28 Feb 2024</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We'll follow up with Horizon regularly to ensure all discrepancies are resolved.	Ongoing	

ICP identifier and items of load		
Non-compliance	Description	
Audit Ref: 2.2 With: Clause 11(2)(a) and (aa) of Schedule 15.3 From: 16-Dec-21 To: 15-Oct-23	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: Once 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
This issue has been raised again with Horizon for update.		30 Nov 2023
Preventative actions taken to ensure no further issues will occur		Completion date
We'll follow up with Horizon regularly to ensure all discrepancies are resolved.		Ongoing
Remedial action status		
Identified		

All load recorded in database		
Non-compliance	Description	
<p>Audit Ref: 2.5</p> <p>With: Clause 11(2A) of Schedule 15.3</p> <p>From: 17-Dec-21</p> <p>To: 15-Oct-23</p>	<p>One additional light identified in the field.</p> <p>13 additional lights recorded in the previous audit not corrected.</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 minor; therefore, the audit risk rating is low.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Horizon advise they are in the process of resolving database discrepancies identified in 2022 and 2023 field audits as follows;</p> <p>Lights not found in the field have been removed from the database.</p> <p>Additional lights found in the field will be added to the database.</p> <p>Lights found with wattage not matching the field have been investigated and found database information is accurate and the incorrect asset stickers were supplied. New asset stickers have been ordered for these lights. (x 9). There is no impact on settlement.</p>	<p>Complete</p> <p>30 Nov 2023</p> <p>28 Feb 2024</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We'll follow up with Horizon regularly to ensure all discrepancies are resolved.	Ongoing	

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: 15-Oct-23</p>	<p>29 of 36 discrepancies from the previous audit not corrected.</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>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>Horizon advise they are in the process of resolving database discrepancies identified in 2022 and 2023 field audits as follows;</p> <p>Lights not found in the field have been removed from the database.</p> <p>Additional lights found in the field will be added to the database.</p> <p>Lights found with wattage not matching the field have been investigated and found database information is accurate and the incorrect asset stickers were supplied. New asset stickers have been ordered for these lights. (x 9). There is no impact on settlement.</p>		<p>Complete</p> <p>30 Nov 2023</p> <p>28 Feb 2024</p>
Preventative actions taken to ensure no further issues will occur		Completion date
<p>We'll follow up with Horizon regularly to ensure all discrepancies are resolved.</p>		<p>Ongoing</p>

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: 15-Oct-23</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>29 of 36 discrepancies from the previous audit not corrected.</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: Multiple 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 assessed to be low based on the kWh difference.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Horizon advise they are in the process of resolving database discrepancies identified in 2022 and 2023 field audits as follows;</p> <p>Lights not found in the field have been removed from the database.</p> <p>Additional lights found in the field will be added to the database.</p> <p>Lights found with wattage not matching the field have been investigated and found database information is accurate and the incorrect asset stickers were supplied. New asset stickers have been ordered for these lights. (x 9). There is no impact on settlement.</p>	<p>Complete</p> <p>30 Nov 2023</p> <p>28 Feb 2024</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We'll follow up with Horizon regularly to ensure all discrepancies are resolved.	Ongoing	