

## Compliance plan for New Plymouth DC DUML - 2023

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3  From: 31-Jul-23 To: 03-Oct-23	The field audit found that the database was not accurate within $\pm 5\%$ , causing potential over submission of 66,400 kWh p.a.  130 AEC - ITALO 2 STAN1 4.5-7M are recorded with 94W but should have 88W, causing potential over submission of 3,331.4 kWh p.a.  Five items of load had incorrect ICPs recorded and were corrected during the audit.  Submissions are based on a database snapshot, and daily changes are not taken into account.  Potential impact: High  Actual impact: High  Audit history: Multiple times  Controls: Moderate  Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	Controls are rated as moderate. The field audit found that the lights installed had a wattage which was 94.6% of the database wattage, and was just outside the $\pm 5\%$ accuracy threshold.  The impact is high based on the potential kWh differences identified during the field audit. The incorrect ICP numbers had no impact on submission, because they were connected to NSPs within the same balancing area.	
Actions taken to resolve the issue	Completion date	Remedial action status
All discrepancies found will be reviewed and corrected by NPDC where necessary	31/12/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

All load recorded in database	
Non-compliance	Description
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3	Seven lights on Matai St, Inglewood were not recorded in the database.  Potential impact: Low  Actual impact: Low  Audit history: Multiple times

From: 02-Oct-23 To: 03-Oct-23	Controls: Moderate Breach risk rating: 2		
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>		
<b>Low</b>	Controls are rated as moderate. Most lights were recorded in the database, but the state highway lights on Matai St were changed but not updated. The audit risk rating is assessed to be low based on the kWh differences identified.		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	<b>Remedial action status</b>
NPDC are working on updating the LED info for these lights		31/12/2023	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>	

Database accuracy			
Non-compliance	Description		
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)  From: 31-Aug-23 To: 03-Oct-23	<p>The field audit found that the database was not accurate within <math>\pm 5\%</math>, causing potential over submission of 66,400 kWh p.a.</p> <p>130 AEC - ITALO 2 STAN1 4.5-7M are recorded with 94W but should have 88W, causing potential over submission of 3,331.4 kWh p.a.</p> <p>Five items of load had incorrect ICPs recorded and were corrected during the audit.</p> <p>Potential impact: High Actual impact: High Audit history: Multiple times</p> <p>Controls: Moderate Breach risk rating: 6</p>		
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>		
<b>High</b>	<p>Controls are rated as moderate. The field audit found that the lights installed had a wattage which was 94.6% of the database wattage, and was just outside the <math>\pm 5\%</math> accuracy threshold.</p> <p>The impact is high based on the potential kWh differences identified during the field audit. The incorrect ICP numbers had no impact on submission, because they were connected to NSPs within the same balancing area.</p>		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	<b>Remedial action status</b>
NPDC will review and correct discrepancies where necessary		31/12/2023	Identified

<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	

<b>Volume information accuracy</b>		
<b>Non-compliance</b>	<b>Description</b>	
<p>Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c)</p> <p>From: 31-Jul-23 To: 03-Oct-23</p>	<p>The field audit found that the database was not accurate within <math>\pm 5\%</math>, causing potential over submission of 66,400 kWh p.a.</p> <p>130 AEC - ITALO 2 STAN1 4.5-7M are recorded with 94W but should have 88W, causing potential over submission of 3,331.4 kWh p.a.</p> <p>Five items of load had incorrect ICPs recorded and were corrected during the audit.</p> <p>Submissions are based on a database snapshot, and daily changes are not taken into account.</p> <p>Potential impact: High Actual impact: High Audit history: Multiple times Controls: Moderate Breach risk rating: 6</p>	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>High</b>	<p>Controls are rated as moderate. The field audit found that the lights installed had a wattage which was 94.6% of the database wattage, and was just outside the <math>\pm 5\%</math> accuracy threshold.</p> <p>The impact is high based on the potential kWh differences identified during the field audit. The incorrect ICP numbers had no impact on submission, because they were connected to NSPs within the same balancing area.</p>	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
NPDC will review and correct discrepancies where necessary	31/12/2023	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	