

## Compliance plan for Gore District Council -Meridian – November 2018

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 20-Mar-18</p> <p>To: 31-Aug-18</p>	<p>The database used to prepare submissions contains some inaccurate information. Under submission of 56,804 kWh per annum has occurred due to the exclusion of under verandah lights.</p> <p>The volume of under submission for parks and amenity lighting is unknown.</p> <p>The database accuracy is assessed to be 27.6% of the database for the sample checked indicating a potential over submission of approximately 540,100 kWh per annum.</p> <p>Potential impact: High</p> <p>Actual impact: Unknown</p> <p>Audit history: Multiple times</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	<p>The controls are rated as weak, because they are not sufficient to ensure that lamp details are correct and not all load is reconciled.</p> <p>The impact is assessed to be high, based on the kWh differences described above and the unknown volume of amenity lighting.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
We continue to work with Gore DC to ensure the validation and update of their RAMM database is completed as soon as possible to resolve the reported inaccuracies – this is taking much longer than anticipated.	31 Dec 18	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
As above		

Location of each item of load			
Non-compliance	Description		
Audit Ref: 2.3 With: Clause 11(2)(b) of Schedule 15.3 From: 01-May-18 To: 31-Aug-18	18 items of load do not have a street address recorded. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	Controls are rated as moderate as they are sufficient to ensure that most items of load have address information recorded. The impact is rated as low because 18 ICPs (1.2%) have missing address information.		
Actions taken to resolve the issue		Completion date	Remedial action status
We continue to work with Gore DC to ensure the validation and update of their RAMM database is completed as soon as possible to resolve the reported inaccuracies – this is taking much longer than anticipated.		31 Dec 18	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
As above			

All load recorded in the database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-May-18 To: 31-Aug-18	Park, amenity, and under verandah lights are excluded from the database. Potential impact: Medium Actual impact: Unknown Audit history: Multiple times Controls: Weak Breach risk rating: 9	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	The controls are rated as weak, as they are not sufficient to ensure that park, amenity, and under verandah lights are included in the database. The impact is assessed to be high as due to the under verandah lighting not being submitted resulting in an estimated 56,804 kWh per annum of under submission and the unknown volume of under submission for parks and amenity lighting.	
Actions taken to resolve the issue	Completion date	Remedial action status
We continue to work with Gore DC to ensure the validation and update of their RAMM database is completed as soon as possible to resolve the reported inaccuracies – this is taking much longer than anticipated.	31 Dec 18	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 20-Mar-18</p> <p>To: 31-Aug-18</p>	<p>The database accuracy is assessed to be 27.6% of the database for the sample checked indicating a potential over submission of approximately 540,100 kWh per annum.</p> <p>Under submission of 56,804 kWh per annum has occurred due to the exclusion of under verandah lights. The volume of under submission for parks and amenity lighting is unknown.</p> <p>Potential impact: High</p> <p>Actual impact: Unknown</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as weak, because they are not sufficient to ensure that changes to the database are correctly recorded.</p> <p>The impact is assessed to be high, based on the kWh differences described above and the unknown volume of amenity lighting.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
We continue to work with Gore DC to ensure the validation and update of their RAMM database is completed as soon as possible to resolve the reported inaccuracies – this is taking much longer than anticipated.	31 Dec 18	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 20-Mar-18</p> <p>To: 31-Aug-18</p>	<p>The database accuracy is assessed to be 27.6% of the database for the sample checked indicating a potential over submission of approximately 540,100 kWh per annum.</p> <p>Under submission of 56,804 kWh per annum has occurred due to the exclusion of under verandah lights.</p> <p>The volume of under submission for parks and amenity lighting is unknown.</p> <p>Potential impact: High</p> <p>Actual impact: Unknown</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	<p>The controls are rated as weak, because they are not sufficient to ensure that changes to the database are correctly recorded.</p> <p>The impact is assessed to be high, based on the kWh differences described above and the unknown volume of amenity lighting.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>We continue to work with Gore DC to ensure the validation and update of their RAMM database is completed as soon as possible to resolve the reported inaccuracies – this is taking much longer than anticipated.</p> <p>Corrections to historic market submissions will be undertaken as required.</p>	<p>31 Dec 18</p> <p>TBC</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	