

Compliance plan for Clutha DC – 2019

Distributed unmetered load audits		
Non-compliance	Description	
Audit Ref: 1.10 With: Clause 16A.26 and 17.295F From: 01-Jun-18 To: 08-Sep-19	Audit conducted late. Potential impact: Medium Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate because Meridian was actively working with CDC to obtain a database. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
Meridian began trading this DUML in April 19 and had the audit conducted as soon as the database was available.	Aug 2019	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Jun-18</p> <p>To: 09-Sep-19</p>	<p>In absolute terms, total annual consumption is estimated to be 16,800 kWh higher than the DUML database indicates.</p> <p>Submission is based on a snapshot and does not consider historic adjustments.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<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 moderate; therefore, the audit risk rating is medium.</p>	
Actions taken to resolve the issue		Completion date
<p>Once the updated RAMM data has been received by CDC from McKay Ltd who is carrying out the LED retrofit, most of the anomalies identified relating to SoN's vs LED's should be rectified.</p> <p>CDC also plans to conduct a full field inspection on completion of the roll out to ensure database accuracy.</p>		March 2020
Preventative actions taken to ensure no further issues will occur		Completion date
Remedial action status		
Identified		

Location of each item of load			
Non-compliance	Description		
Audit Ref: 2.3 With: Clause 11(2)(b) of Schedule 15.3 From: 01-Jun-18 To: 08-Sep-19	2 items of load with insufficient location details. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as strong because a complete field audit was conducted recently to populate the database, and this is a minor error. The impact on settlement and participants is minor; therefore, the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
CDC are following up with their contractor regarding correction of the missing location information		31 Dec 2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	

Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: 01-Jun-18 To: 08-Sep-19	22 items of load with blank lamp wattage, gear wattage and description of load. Potential impact: Medium Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as weak because monitoring is not in place for database discrepancies. The impact on settlement and participants is minor; therefore, the audit risk rating is low. If the lights are assumed to be 24W LED, the under submission will be 2,255 kWh p.a.		
Actions taken to resolve the issue		Completion date	Remedial action status
CDC are following up with their contractor regarding correction of the missing information for these items of load.		31 Dec 2019	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 From: 01-Jun-18 To: 08-Sep-19	2 lights in the field not recorded in the database. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate. A complete field audit was conducted and there were only two discrepancies found. The impact is low because only two examples were found.	
Actions taken to resolve the issue		Completion date
CDC are following up with their contractor regarding the missing lamps.		31 Dec 2019
Preventative actions taken to ensure no further issues will occur		Completion date
Remedial action status		
Identified		

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Jun-18 To: 09-Sep-19</p>	<p>In absolute terms, total annual consumption is estimated to be 16,800 kWh higher than the DUML database indicates.</p> <p>The database contains incorrect ballast wattage, but these are corrected prior to submission.</p> <p>22 items of load do not have make, model, lamp wattage or gear wattage recorded</p> <p>Two items of load do not have GPS coordinates and there is insufficient detail in the address field to locate them.</p> <p>Potential impact: High Actual impact: Medium</p> <p>Audit history: None Controls: Moderate Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<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 moderate; therefore, the audit risk rating is medium.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Once the updated RAMM data has been received by CDC from McKay Ltd who is carrying out the LED retrofit, most of the anomalies identified relating to SoN's vs LED's should be rectified.</p> <p>CDC also plans to conduct a full field inspection on completion of the roll out to ensure database accuracy.</p> <p>Missing location and capacity information is being followed up for correction.</p> <p>CDC are investigating options for adding the NZTA lighting to the RAMM database with their contractor and NZTA.</p>	<p>Mar 2020</p> <p>31 Dec 2019</p> <p>June 2020</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 2.1</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-Jun-18</p> <p>To: 09-Sep-19</p>	<p>In absolute terms, total annual consumption is estimated to be 16,800 kWh higher than the DUML database indicates.</p> <p>Submission is based on a snapshot and does not consider historic adjustments.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<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 moderate; therefore, the audit risk rating is medium.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Once the updated RAMM data has been received by CDC from McKay Ltd who is carrying out the LED retrofit, most of the anomalies identified relating to SoN's vs LED's should be rectified.</p> <p>CDC also plans to conduct a full field inspection on completion of the roll out to ensure database accuracy.</p>		March 2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	