

Compliance plan for Gisborne DC DUML – 2019

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Oct-18 To: 25-Nov-19</p>	<p>Estimated over submission of 1,708 kWh due to incorrect wattage recorded for one 400W MV lamp in the database.</p> <p>Estimated under submission of 7,534 kWh per annum due to incorrect gear wattages applied in the monthly wattage report.</p> <p>In absolute terms, total annual consumption is estimated to be 160,200 kWh lower than the DUML database indicates.</p> <p>Potential impact: High Actual impact: High Audit history: Twice Controls: Weak Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as weak, because updates to the database are only occurring due to “local knowledge” by Eastland staff, not through a formal update process.</p> <p>The impact is assessed to be high, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Since the audit GDC has provided Eastland Networks with changes to lamp information that have been made to date and Eastland is in the process of validating and updating their database accordingly.</p> <p>Meridian will revise historic submission information once updates have been confirmed as complete.</p> <p>Smaller discrepancies identified will be raised with Eastland for resolution.</p>	<p>31 Dec 2019</p> <p>31 Jan 2020</p> <p>31 Jan 2020</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>We have arranged to meet with GDC ad Eastland networks in January to confirm a process for exchange of streetlight information between the parties so that the Eastland database can be kept up to date.</p>	31 Jan 2020	

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: 01-Oct-18 To: 25-Nov-19	Three items of load do not have an ICP identifier recorded. Potential impact: Low Actual impact: Low Audit history: Once Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as strong, only three items of load do not have an ICP recorded. One is the same as recorded in the last audit. The impact is assessed to be low, based on the kWh differences described above.		
Actions taken to resolve the issue		Completion date	Remedial action status
This will be raised with Eastland for resolution		31 Jan 2020	
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) of Schedule 15.3 From: 01-Oct-18 To: 21-Nov-19	25 items of load have no lamp model or type recorded. Gear wattage is not recorded in the database. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as weak because these issues were raised during the previous audit for the same lamps. The impact on settlement is low because submission is still accurate.	
Actions taken to resolve the issue	Completion date	Remedial action status
These issues will be raised with Eastland for resolution	31 Jan 2020	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-Oct-18 To: 25-Nov-19	Eight additional lights were identified in the field Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as weak, because updates to the database are only occurring due to "local knowledge" by Eastland staff, not through a formal update process. 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
Since the audit GDC has provided Eastland Networks with changes to lamp information that have been made to date and Eastland is in the process of validating and updating their database accordingly.		31 Dec 2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We have arranged to meet with GDC ad Eastland networks in January to confirm a process for exchange of streetlight information between the parties so that the Eastland database can be kept up to date.		31 Jan 2020	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Oct-18</p> <p>To: 25-Nov-19</p>	<p>In absolute terms, total annual consumption is estimated to be 160,200 kWh lower than the DUML database indicates.</p> <p>The lamp model is blank for 25 items of load.</p> <p>Three items of load do not have an ICP identifier recorded.</p> <p>Estimated over submission of 1,708 kWh due to incorrect wattage recorded in the database for one 400W MV lamp.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as weak, because updates to the database are only occurring due to "local knowledge" by Eastland staff, not through a formal update process.</p> <p>The impact is assessed to be high, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Since the audit GDC has provided Eastland Networks with changes to lamp information that have been made to date and Eastland is in the process of validating and updating their database accordingly.</p> <p>Meridian will revise historic submission information once updates have been confirmed as complete.</p> <p>Smaller discrepancies identified will be raised with Eastland for resolution.</p>	<p>31 Dec 2019</p> <p>31 Jan 2020</p> <p>31 Jan 2020</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>We have arranged to meet with GDC ad Eastland networks in January to confirm a process for exchange of streetlight information between the parties so that the Eastland database can be kept up to date.</p>	31 Jan 2020	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-Oct-18</p> <p>To: 25-Nov-19</p>	<p>Estimated over submission of 1,708 kWh due to incorrect wattage recorded for one 400W MV lamp in the database.</p> <p>Estimated under submission of 7,534 kWh per annum due to incorrect gear wattages applied in the monthly wattage report.</p> <p>In absolute terms, total annual consumption is estimated to be 160,200 kWh lower than the DUML database indicates.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as weak, because updates to the database are only occurring due to "local knowledge" by Eastland staff, not through a formal update process.</p> <p>The impact is assessed to be high, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Since the audit GDC has provided Eastland Networks with changes to lamp information that have been made to date and Eastland is in the process of validating and updating their database accordingly.</p> <p>Meridian will revise historic submission information once updates have been confirmed as complete.</p> <p>Smaller discrepancies identified will be raised with Eastland for resolution.</p>	<p>31 Dec 2019</p> <p>31 Jan 2020</p> <p>31 Jan 2020</p>	Identified
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