

Compliance plan for Meridian Gore DC – 2020

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Sep-18 To: 31-Dec-19</p>	<p>The database accuracy is assessed to be 90.2% of the database for the sample checked indicating a potential over submission of approximately 28,300 kWh per annum.</p> <p>Estimated potential minor over submission of 214 kWh per annum due to incorrect ballasts being used.</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 Actual impact: Medium Audit history: Multiple times</p> <p>Controls: Moderate Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as moderate. The processes in place are robust for the calculation of submission. Powernet send through changes to GDC to load into the database, but errors can sometimes still occur.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
We will pass on database discrepancies identified during the audit to GDC to resolve.	31 March 2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Despite the recent completion of the LED roll out it appears all changes may not have not been correctly processed in the database.</p> <p>We will recommend GDC undertake a full field audit to identify and correct any remaining inaccuracies.</p>	TBC	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) of Schedule 15.3 From: 02-Apr-19 To: 31-Dec-19	Seven items of load with an “unknown” light description recorded. 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 rated as strong as the process in place ensures that light types are captured. These seven items are exceptions. The impact is assessed to be low as this has no direct impact on reconciliation.	
Actions taken to resolve the issue	Completion date	Remedial action status
These items of load will be provided to Gore DC to review and update with the correct information.	31 March 2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Controls are reported as strong		

All load recorded in the database		
Non-compliance	Description	
<p>Audit Ref: 2.5</p> <p>With: Clause 11(2A) of Schedule 15.3</p> <p>From: 01-Apr-19</p> <p>To: 31-Dec-19</p>	<p>One additional light found in the field.</p> <p>Potential impact: Low</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 rated as moderate as there are good controls in place to ensure that the database is kept up to date and accurate, but errors can still occur.</p> <p>The impact is assessed to be low as the volume of additional lights found in the field as a percentage of the overall sample checked is small and the database is relatively static.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
We will pass on the discrepancies found during the field audit to GDC to resolve.	31 March 2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Despite the recent completion of the LED roll out it appears all changes may not have not been correctly processed in the database.</p> <p>We will recommend GDC undertake a full field audit to identify and correct any remaining inaccuracies.</p>	TBC	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Sep-18</p> <p>To: 31-Dec-19</p>	<p>The database accuracy is assessed to be 90.2% of the database for the sample checked indicating a potential over submission of approximately 28,300 kWh per annum.</p> <p>Estimated potential minor over submission of 214 kWh per annum due to incorrect ballasts being used.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Three times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are rated as moderate Powernet send through changes to GDC to load into the database, but errors can sometimes still occur.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Small number of ballast discrepancies will be passed to GDC to resolve in the database.		31 March 2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Despite the recent completion of the LED roll out it appears all changes may not have not been correctly processed in the database.</p> <p>We will recommend GDC undertake a full field audit to identify and correct any remaining inaccuracies.</p>		TBC	

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-Sep-18</p> <p>To: 31-Dec-19</p>	<p>The database accuracy is assessed to be 90.2% of the database for the sample checked indicating a potential over submission of approximately 28,300 kWh per annum.</p> <p>Estimated potential minor over submission of 214 kWh per annum due to incorrect ballasts being used.</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: Medium</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as moderate. The processes in place are robust for the calculation of submission. Powernet send through changes to GDC to load into the database, but errors can sometimes still occur.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Small number of ballast discrepancies will be passed to GDC to resolve in the database.	31 March 2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Despite the recent completion of the LED roll out it appears all changes may not have not been correctly processed in the database.</p> <p>We will recommend GDC undertake a full field audit to identify and correct any remaining inaccuracies.</p>	TBC	