

Compliance plan for Clutha DC DUML – 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-19 To: 04-Aug-20</p> | <p>In absolute terms, total annual consumption is estimated to be 29,900 kWh higher than the DUML database indicates.</p> <p>Submission is based on a snapshot and does not consider historic adjustments.</p> <p>The database contains incorrect ballast wattage leading to under submission of 2,300 kWh per annum.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: Once 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>CDC are checking lights for the last round of LED upgrades completed to confirm the correct information and will amend the database. Meridian will liaise with CDC so that these corrections are accounted for in revision of submission information.</p> <p>Incorrect ballasts identified are attributable to the NZTA lights recently added to the database and will be corrected.</p> | | <p>31 Dec 2020</p> <p>30 Sept 2020</p> | Identified |
| Preventative actions taken to ensure no further issues will occur | | Completion date | |
| <p>Processes for ongoing maintenance of lights and update of the database will be reviewed once the LED roll out is completed.</p> | | July 2021 | |

| 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-19</p> <p>To: 04-Aug-20</p> | <p>In absolute terms, total annual consumption is estimated to be 29,900 kWh higher than the DUML database indicates.</p> <p>The database contains incorrect ballast wattage leading to under submission of 2,300 kWh per annum.</p> <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: Once</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>CDC are checking lights for the last round of LED upgrades completed to confirm the correct information and will amend the database. Meridian will liaise with CDC so that these corrections are accounted for in revision of submission information.</p> <p>Incorrect ballasts identified are attributable to the NZTA lights recently added to the database and will be corrected.</p> | | <p>31 Dec 2020</p> <p>30 Sept 2020</p> | Identified |
| Preventative actions taken to ensure no further issues will occur | | Completion date | |
| <p>Processes for ongoing maintenance of lights and update of the database will be reviewed once the LED roll out is completed.</p> | | July 2021 | |

| 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-19</p> <p>To: 04-Aug-20</p> | <p>In absolute terms, total annual consumption is estimated to be 29,900 kWh higher than the DUMML database indicates.</p> <p>Submission is based on a snapshot and does not consider historic adjustments.</p> <p>The database contains incorrect ballast wattage leading to under submission of 2,300 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Once</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>CDC are checking lights for the last round of LED upgrades completed to confirm the correct information and will amend the database. Meridian will liaise with CDC so that these corrections are accounted for in revision of submission information.</p> <p>Incorrect ballasts identified are attributable to the NZTA lights recently added to the database and will be corrected.</p> | <p>31 Dec 2020</p> <p>30 Sept 2020</p> | Identified |
| Preventative actions taken to ensure no further issues will occur | Completion date | |
| Processes for ongoing maintenance of lights and update of the database will be reviewed once the LED roll out is completed. | July 2021 | |