

Compliance plan for Gisborne DC DUML – 2020]

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 26-Nov-19</p> <p>To: 31-Aug-20</p>	<p>Parks and amenity lighting and under verandah and decorative lighting not recorded in the database and are not being reconciled.</p> <p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 17,900 kWh per annum.</p> <p>Estimated under submission of 5,093.73 per annum due to incorrect wattages and ballasts applied.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: High</p> <p>Actual impact: Unknown</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 being provided on an intermittent basis from GDC and not all load is captured.</p> <p>The impact is assessed to be high, as the quantity of missing lights is unknown.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Meridian has been in ongoing discussion with GDC and Eastland regarding the requirement for an accurate DUML database. Progress to use GDC's RAMM database has been stalled by the inability to gain agreement from Eastland regarding consolidation of the numerous ICPs associated with streetlights on their network.</p> <p>Agreement of all parties has now been reached on this point and Eastland will be creating one ICP per GXP per owner (GDC & NZTA).</p> <p>The new GDC ICP will be populated against assets in the GDC RAMM database and database reporting will be provided by GDC moving forward.</p> <p>The new NZTA ICP will be populated in the NZTA RAMM database and database reporting will be provided by NZTA moving forward</p> <p>A contractor has been engaged to undertake a full audit of GDC owned lighting to ensure the RAMM database is complete.</p>	<p>November 2020</p> <p>Jan 2021</p> <p>Jan 2021</p> <p>March 2021</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Description and capacity			
Non-compliance	Description		
Audit Ref: 2.4 With: Clause 11(2)(c) of Schedule 15.3 From: 22-Nov-19 To: 31-Aug-20	Gear wattage is not recorded in the database. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as weak as the gear wattage is added outside of the database. The impact on settlement is low as the database submission inaccuracies are recorded as small.		
Actions taken to resolve the issue		Completion date	Remedial action status
As the Eastland database will no longer be used for submission gear wattages will continue to be applied outside the database in the interim		N/A	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We will ensure correct gear wattages are included in GDC's RAMM database.		Jan 2021	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 26-Nov-19 To: 31-Aug-20	Parks and amenity lighting and under verandah and decorative lighting not recorded in the database and are not being reconciled. 11 additional lights were identified in the field audit. Potential impact: High Actual impact: Unknown Audit history: None Controls: Weak Breach risk rating: 9	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as weak, because updates to the database are being provided on an intermittent basis from GDC and not all load is captured. The impact is assessed to be high, as the quantity of missing lights is unknown.	
Actions taken to resolve the issue	Completion date	Remedial action status
We intend to use the GDC RAMM database for submission, which is expected to be more accurate than the current database. A contractor has been engaged to undertake a full audit of GDC owned lighting to ensure the RAMM database complete.	Jan 2021 March 2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
As above		

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 26-Nov-19</p> <p>To: 31-Aug-20</p>	<p>Parks and amenity lighting and under verandah and decorative lighting not recorded in the database and are not being reconciled.</p> <p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 17,900 kWh per annum.</p> <p>The incorrect wattage and ballasts will be resulting in an estimated under submission of 5,093.17 kWh per annum.</p> <p>Potential impact: High</p> <p>Actual impact: Unknown</p> <p>Audit history: Three times</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, as the quantity of missing lights is unknown.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Meridian has been in ongoing discussion with GDC and Eastland regarding the requirement for an accurate DUMML database. Progress to use GDC's RAMM database has been stalled by the inability to gain agreement from Eastland regarding consolidation of the numerous ICPs associated with streetlights on their network.</p> <p>Agreement of all parties has now been reached on this point and Eastland will be creating one ICP per GXP per owner (GDC & NZTA).</p> <p>The new GDC ICP will be populated against assets in the GDC RAMM database and database reporting will be provided by GDC moving forward.</p> <p>The new NZTA ICP will be populated in the NZTA RAMM database and database reporting will be provided by NZTA moving forward</p> <p>A contractor has been engaged to undertake a full audit of GDC owned lighting to ensure the RAMM database is complete.</p>		<p>November 2020</p> <p>Jan 2021</p> <p>Jan 2021</p> <p>March 2021</p>	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: 26-Nov-19</p> <p>To: 31-Aug-20</p>	<p>Parks and amenity lighting and under verandah and decorative lighting not recorded in the database and are not being reconciled.</p> <p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 17,900 kWh per annum.</p> <p>Estimated under submission of 5,093.73 per annum due to incorrect wattages applied in the monthly wattage report.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: High</p> <p>Actual impact: Unknown</p> <p>Audit history: Three times</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 being provided on an intermittent basis from GDC and not all load is captured.</p> <p>The impact is assessed to be high, as the quantity of missing lights is unknown.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Meridian has been in ongoing discussion with GDC and Eastland regarding the requirement for an accurate DUMML database. Progress to use GDC's RAMM database has been stalled by the inability to gain agreement from Eastland regarding consolidation of the numerous ICPs associated with streetlights on their network.</p> <p>Agreement of all parties has now been reached on this point and Eastland will be creating one ICP per GXP per owner (GDC & NZTA).</p> <p>The new GDC ICP will be populated against assets in the GDC RAMM database and database reporting will be provided by GDC moving forward.</p> <p>The new NZTA ICP will be populated in the NZTA RAMM database and database reporting will be provided by NZTA moving forward</p> <p>A contractor has been engaged to undertake a full audit of GDC owned lighting to ensure the RAMM database is complete.</p>		<p>November 2020</p> <p>Jan 2021</p> <p>Jan 2021</p> <p>March 2021</p>	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	