

Compliance plan for Ashburton DC DUML – 2021

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 23-Jun-20 To: 09-Jul-21	The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot. Potential impact: Low Actual impact: Low Audit history: Three times previously Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong overall as there are robust processes in place ensure that the database is kept up to date. The impact on settlement and participants is low; therefore, the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
		Disputed
Preventative actions taken to ensure no further issues will occur	Completion date	**Whilst Meridian will revise volumes if changes are made, ADC indicated that the monthly reporting provided to Meridian does not track change at a daily level and reporting changes are needed to provide this
Processes are in place to account for historical database corrections that have a material impact on settlement volumes.		

All load recorded in the database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 23-Jun-20 To: 09-Jul-21	Four additional lights found in the field of the sample audited. 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 overall as there are robust processes in place ensure that the database is kept up to date. 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
The database discrepancies identified during this audit have been provided to Ashburton DC to investigate and the database has been updated where required.		31 Oct 2021	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Overall processes for maintaining the database are reported as robust with strong controls.			

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 23-Jun-20</p> <p>To: 09-Jul-21</p>	<p>20 lights with the incorrect light description. The correct wattage is recorded so this has no impact on reconciliation.</p> <p>One light with the incorrect ballast recorded. The impact on submission is negligible.</p> <p>Potential impact: Low</p> <p>Actual impact: None</p> <p>Audit history: Once</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as strong as they are sufficient to ensure most of the database information is accurate.</p> <p>The impact on settlement and participants is none but low is the only option.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>The database discrepancies identified during this audit have been provided to Ashburton DC to investigate and update the database where required.</p> <p>The incorrect light descriptions noted were updated during the audit</p>		<p>31 Oct 2021</p> <p>August 2021</p>	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Overall processes for maintaining the database are reported as robust with strong controls.</p>			

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 23-Jun-20 To: 09-Jul-21	The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot. Potential impact: Low Actual impact: Low Audit history: Three times previously Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong overall as the processes in place ensure that the database is kept up to date. The impact on settlement and participants is low; therefore, the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
		Disputed
Preventative actions taken to ensure no further issues will occur	Completion date	**Whilst Meridian will revise volumes if changes are made, ADC indicated that the monthly reporting provided to Meridian does not track change at a daily level and reporting changes are needed to provide this
Processes are in place to account for historical database corrections that have a material impact on settlement volumes		