

Compliance plan for Hauraki DC DUML for Meridian 2021

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Sep-20 To: 30-Sep-21	Seven 20W fluorescent lamps with no ballast recorded resulting in a very minor estimated under submission of 269 kWh per annum. Submission is based on a snapshot and does not consider historic adjustments. Potential impact: Low Actual impact: Low Audit history: Twice previously Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate because there is room for improvement. The impact is assessed to be low as the database is relatively static so the volume of changes will have a minimal effect on submission.	
Actions taken to resolve the issue		Completion date
The inaccuracies were advised during a meeting with the council, and they have advised that it has now been corrected. We are considering the impact provision and use of database changes at a daily level will have on our processes and tools.		Completed June 2022
Preventative actions taken to ensure no further issues will occur		Completion date
No further comments provided		

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(d) of Schedule 15.3 From: 01-Sep-20 To: 30-Sep-21	Seven 20W fluorescent lamps with no ballast recorded resulting in a very minor estimated under submission of 269 kWh per annum. 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 processes in place mitigate risk to an acceptable level. 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
The inaccuracies were advised during a meeting with the council, and they have advised that it has now been corrected	Completed	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
No further comments provided		

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Sep-20 To: 30-Sep-21	Seven 20W fluorescent lamps with no ballast recorded resulting in a very minor estimated under submission of 269 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Twice previously Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong as they will mitigate risk to an acceptable level. 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
The inaccuracies were advised during a meeting with the council, and they have advised that it has now been corrected	Completed	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
No further comments provided		

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 01-Sep-20 To: 30-Sep-21	Seven 20W fluorescent lamps with no ballast recorded resulting in a very minor estimated under submission of 269 kWh per annum. Submission is based on a snapshot and does not consider historic adjustments. Potential impact: Low Actual impact: Low Audit history: Twice previously Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate because there is room for improvement. The impact is assessed to be low as the database is relatively static so the volume of changes will have a minimal effect on submission.	
Actions taken to resolve the issue	Completion date	Remedial action status
The inaccuracies were advised during a meeting with the council, and they have advised that it has now been corrected We are considering the impact provision and use of database changes at a daily level will have on our processes and tools.	Completed June 2022	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
No further comments provided		