

Compliance plan for Ruapehu DC DUML audit for Meridian Energy– 2021

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 17-Aug-20</p> <p>To: 30-Nov-21</p>	<p>A small number of festive lights are not recorded in the RAMM database resulting in a small amount of under submission.</p> <p>16 items of load with no ICP or wattage recorded resulting in an estimated minor under submission of 656 kWh per annum.</p> <p>28 lights with the incorrect wattage recorded resulting in an estimated over submission of 282 kWh per annum.</p> <p>158 lights with the incorrect ballast wattage recorded resulting in an estimated under submission of 1,145.27 kWh per annum.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>The livening date of new streetlights is not captured in the database.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls over the database are rated as moderate. Processes in place to manage changes are generally robust but there is room for improvement in relation to the recording of new streetlights.</p> <p>The audit risk rating is low based on the volume differences identified.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Wattage discrepancies identified have been provided to Alf Downs for correction in the database.</p> <p>RDC have been asked to confirm connection status for the 16 lights with no ICP recorded and the decorative lights that are not recorded – relevant details will be added to the database for any lights that are connected and operational.</p> <p>We are considering the impact provision and use of database changes at a daily level will have on our processes and tools.</p> <p>We will review the streetlight new connection process with the Lines Company to ensure that the livening date for new streetlights is communicated to Alf Downs and captured in RAMM.</p>	<p>28 Feb 2021</p> <p>31 March 2021</p> <p>30 June 2021</p> <p>30 June 2021</p>	<p>Investigating</p>

Preventative actions taken to ensure no further issues will occur	Completion date
No comments provided	

ICP Identifier		
Non-compliance	Description	
Audit Ref: 2.2 With: Clause 11(2)(a) and (aa) of Schedule 15.3 From: 17-Aug-20 To: 30-Nov-21	16 items of load with no ICP or wattage recorded resulting in an estimated minor under submission of 656 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate. Processes in place to manage changes are generally robust but there is room for improvement in relation to the recording of new streetlights. The audit risk rating is low based on the volume differences identified.	
Actions taken to resolve the issue	Completion date	Remedial action status
RDC have been asked to confirm connection status for the 16 lights with no ICP recorded – relevant details will be added to the database for any lights that are connected and operational.	31 March 2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
No comments provided		

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: 17-Aug-20 To: 30-Nov-21	16 items of load with no ICP or wattage recorded resulting in an estimated minor under submission of 656 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate. Processes in place to manage changes are generally robust but there is room for improvement in relation to the recording of new streetlights. The audit risk rating is low based on the volume differences identified.	
Actions taken to resolve the issue		Completion date
RDC have been asked to confirm connection status for the 16 lights with no ICP recorded – relevant details will be added to the database for any lights that are connected and operational.		31 March 2021
Preventative actions taken to ensure no further issues will occur		Completion date
No comments provided		
Investigating		

All load recorded in the database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 17-Aug-20 To: 30-Nov-21	Two additional items of load identified in the field from a sample of 237 lights examined. 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 the change process is managed well and the database accuracy was confirmed to be within the +/-5% threshold. The audit risk rating is low as the overall database accuracy is confirmed to be compliant.	
Actions taken to resolve the issue	Completion date	Remedial action status
Field audit discrepancies identified have been provided to Alf Downs for correction in the database.	28 Feb 2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
No comments provided		

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 17-Aug-20</p> <p>To: 30-Nov-21</p>	<p>16 items of load with no ICP or wattage recorded resulting in an estimated minor under submission of 656 kWh per annum.</p> <p>28 lights with the incorrect wattage recorded resulting in an estimated over submission of 282 kWh per annum.</p> <p>158 lights with the incorrect ballast wattage recorded resulting in an estimated under submission of 1,145.27 kWh per annum.</p> <p>A small number of festive lights are not recorded in the RAMM database resulting in a small amount of under submission.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls over the database are rated as moderate. Most of the field audit accuracy issues related to one light location, and a small number of database accuracy issues were identified.</p> <p>The audit risk rating is low based on the volume differences identified.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Wattage discrepancies identified have been provided to Alf Downs for correction in the database.</p> <p>RDC have been asked to confirm connection status for the 16 lights with no ICP recorded and the decorative lights that are not recorded – relevant details will be added to the database for any lights that are connected and operational.</p> <p>We are considering the impact provision and use of database changes at a daily level will have on our processes and tools.</p> <p>We will review the streetlight new connection process with the Lines Company to ensure that the livening date for new streetlights is communicated to Alf Downs and captured in RAMM.</p>	<p>28 Feb 2021</p> <p>31 March 2021</p> <p>30 June 2021</p> <p>30 June 2021</p>	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
No comments provided		

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 17-Aug-20</p> <p>To: 30-Nov-21</p>	<p>A small number of festive lights are not recorded in the RAMM database resulting in a small amount of under submission.</p> <p>16 items of load with no ICP or wattage recorded resulting in an estimated minor under submission of 656 kWh per annum.</p> <p>28 lights with the incorrect wattage recorded resulting in an estimated over submission of 282 kWh per annum.</p> <p>158 lights with the incorrect ballast wattage recorded resulting in an estimated under submission of 1,145.27 kWh per annum.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>The livening date of new streetlights is not captured in the database.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls over the database are rated as moderate. Processes in place to manage changes are generally robust but there is room for improvement in relation to the recording of new streetlights.</p> <p>The audit risk rating is low based on the volume differences identified.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
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