

Compliance plan for Whangarei DC DUML 2022

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Nov-21</p> <p>To: 05-Aug-22</p>	<p>Database is not confirmed as accurate with a 95% level of confidence as recorded in section 3.1.</p> <p>Five items of load have the incorrect wattage applied in the DUML database which would result in over submission of 170.84 kWh per annum.</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: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as moderate as RAMM is being used for submission purposes, but the inaccuracies found indicate that the database is not as up to date as was expected.</p> <p>The impact is assessed to be low due to the estimated kWh volume variances.</p>	
Actions taken to resolve the issue		Completion date
<p>WDC has been advised of the inaccuracies and it has been requested for them to be corrected.</p> <p>We have assessed our processes and tools to account for historic lamp installations and changes to the database at a daily level. There are checks in place comparing month to month data to identify any changes. These are accounted for in monthly submission. Meridian will continue to work with WDC to request that monthly data extracts include the detail of changes.</p>		<p>01/04/2023</p> <p>01/04/2023</p>
Preventative actions taken to ensure no further issues will occur		Completion date
<p>Meridian will continue to follow up with WDC to complete the required corrections and to maintain the install updates and changes to the database.</p>		01/12/2022
Remedial action status		
Identified		

ICP identifier and items of load		
Non-compliance	Description	
Audit Ref: 2.2 With: Clause 11(2)(a) and (aa) of Schedule 15.3 From: unknown To: 05-Aug-22	64 items of load in the database with no ICP recorded. Potential impact: High Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate due to the volume of lights with no ICP recorded. The impact is assessed to be low due to the potential impact on submission.	
Actions taken to resolve the issue	Completion date	Remedial action status
WDC has been advised of the inaccuracies and it has been requested for them to be corrected.	01/04/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Meridian will continue to follow up with WDC to complete the required corrections and to maintain the install updates and changes to the database.	01/12/2022	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: unknown To: 05-Aug-22	113 items of load with no lamp wattage recorded in the database. Potential impact: High Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate due to the volume of lights with no lamp wattage recorded. The impact is assessed to be low due to the impact on submission.	
Actions taken to resolve the issue	Completion date	Remedial action status
WDC has been advised of the inaccuracies and it has been requested for them to be corrected.	01/04/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Meridian will continue to follow up with WDC to complete the required corrections and to maintain the install updates and changes to the database.	01/12/2022	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) and (d) of Schedule 15.3 From: unknown To: 21-Aug-22	21 additional items of load found in the field sample. Potential impact: High Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate due to the volume of additional lights found in the field. The impact is assessed to be low due to the low number of differences found in the field and total estimated kWh difference detailed in section 3.1 .	
Actions taken to resolve the issue	Completion date	Remedial action status
WDC has been advised of the inaccuracies and it has been requested for them to be corrected.	01/04/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Meridian will continue to follow up with WDC to complete the required corrections and to maintain the install updates and changes to the database.	01/12/2022	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Nov-21 To: 05-Aug-22	Database is not confirmed as accurate with a 95% level of confidence. Five items of load have the incorrect wattage applied in the DUML database which would result in over submission of 170.84 kWh per annum. Potential impact: Medium Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement. The impact is assessed to be low due to the estimated kWh volume variances.	
Actions taken to resolve the issue	Completion date	Remedial action status
WDC has been advised of the inaccuracies and it has been requested for them to be corrected.	01/04/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Meridian will continue to follow up with WDC to complete the required corrections and to maintain the install updates and changes to the database.	01/12/2022	

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-Nov-21</p> <p>To: 05-Aug-22</p>	<p>Database is not confirmed as accurate with a 95% level of confidence as recorded in section 3.1.</p> <p>Five items of load have the incorrect wattage applied in the DUMML database which would result in over submission of 170.84 kWh per annum.</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: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as moderate as RAMM is being used for submission purposes, but the inaccuracies found indicate that the database is not as up to date as expected.</p> <p>The impact is assessed to be low due to the estimated kWh volume variances.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>WDC has been advised of the inaccuracies and it has been requested for them to be corrected.</p> <p>We have assessed our processes and tools to account for historic lamp installations and changes to the database at a daily level. There are checks in place comparing month to month data to identify any changes. These are accounted for in monthly submission. Meridian will continue to work with WDC to request that monthly data extracts include the detail of changes.</p>	<p>01/04/2023</p> <p>01/04/2023</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Meridian will continue to follow up with WDC to complete the required corrections and to maintain the install updates and changes to the database.</p>	01/12/2022	