

Compliance plan for Porirua City Council DUML January 2023

Deriving Submission Information	
Non-compliance	Description
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Jul-22 To: 30-Nov-22</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated under submission of 192,300 kWh p.a.</p> <p>Eight items of load are not readily locatable.</p> <p>20 items of load without an ICP being assigned and therefore the load associated with these lights is not being included in the monthly capacities report to EMS resulting in an annual under submission of approximately 2,075 kWh.</p> <p>Three lights recorded in the database as zero watts capacity were confirmed during the field audit as being 20W LED lights, resulting in an estimated under submission of 256 kWh.</p> <p>One item of load with the incorrect ballast applied resulting in an estimated under submission of 8.542 kWh.</p> <p>Some Italo 35.5W lamps are incorrectly recorded in the database as 36W.</p> <p>Some Italo 19.5W lamps are incorrectly recorded in the database as 20W.</p> <p>Livening dates not recorded for new connections.</p> <p>Under submission of 58,460 kWh due to inaccurate park lighting records in RAMM.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: High Actual impact: High Audit history: Multiple times Controls: Weak Breach risk rating: 9</p>
Audit risk rating	Rationale for audit risk rating
High	<p>The controls are rated as weak due to:</p> <ul style="list-style-type: none"> poor database accuracy found in the field audit, exceptions identified in the previous audit remain unresolved, and the recent field activity of light installations and changes does not appear to have been reflected in the database since the last audit. <p>The audit risk rating is high based on kWh variances.</p>

ICP identifier and items of load		
Non-compliance	Description	
<p>Audit Ref: 2.2</p> <p>With: Clause 11(2)(a) and (aa) of Schedule 15.3</p> <p>From: 01-Jul-22</p> <p>To: 30-Nov-22</p>	<p>20 items of load without an ICP being assigned and therefore the load associated with these lights is not being included in the monthly capacities report to EMS resulting in an annual under submission of approximately 2,075 kWh.</p> <p>Seven items of load are incorrectly assigned to GWRC but should be associated with ICP 0001256873UNFA3 resulting in an annual under submission of approximately 1,249 kWh.</p> <p>ICP assignment is not correct for all items of load resulting in incorrect allocation of submission volumes to the respective NSP.</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 are recorded as moderate as most lights are assigned an ICP on entry to the database.</p> <p>The impact is rated as low as the volume impacted is small.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Meridian has advised PCC of the inaccuracies identified. There had been several staff changes at the council that have impacted progress on remedial work to the RAMM database. A new resource was assigned in November to start looking after the database and working on the corrections required.</p> <p>Meridian will be arranging a meeting with PCC and Veritek for early February to discuss the audit findings and recommendations.</p>	<p>30/06/2023</p> <p>15/02/2023</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Meridian will continue to work with PCC on resolving the inaccuracies and ongoing issues that have been identified.</p> <p>We have also strongly recommended a full field audit be completed to fully resolve all existing inaccuracies.</p>	Ongoing	

Location of each item of load			
Non-compliance	Description		
<p>Audit Ref: 2.3</p> <p>With: Clause 11(2)(b) of Schedule 15.3</p> <p>From: 01-Jul-22</p> <p>To: 30-Nov-22</p>	<p>Eight items of load do not have sufficient location information to enable them to be readily locatable.</p> <p>Potential impact: Low</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 recorded as moderate as while no new lights have been added without sufficient location information being provided, there has been no progress to resolve the exceptions identified from previous audits.</p> <p>The impact is rated as low as there are only eight items of load that are not readily locatable.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Meridian has advised PCC of the inaccuracies identified. There had been several staff changes at the council that have impacted progress on remedial work to the RAMM database. A new resource was assigned in November to start looking after the database and working on the corrections required.</p> <p>Meridian will be arranging a meeting with PCC and Veritek for early February to discuss the audit findings and recommendations</p>		<p>30/06/2023</p> <p>15/02/2023</p>	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Meridian will continue to work with PCC on resolving the inaccuracies and ongoing issues that have been identified.</p> <p>We have also strongly recommended a full field audit be completed to fully resolve all existing inaccuracies.</p>		Ongoing	

Description and capacity of load		
Non-compliance	Description	
<p>Audit Ref: 2.4</p> <p>With: Clause 11(2)(c) and (d) of Schedule 15.3</p> <p>From: 01-Jul-22</p> <p>To: 30-Nov-22</p>	<p>Three lights recorded in the database as zero watts capacity were confirmed during the field audit as being 20W LED lights, resulting in an estimated under submission of 256 kWh.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are recorded as strong as most lights are assigned an appropriate capacity on entry to the database.</p> <p>The impact is rated as low as the volume impacted is small.</p>	
Actions taken to resolve the issue		Completion date
<p>Meridian has advised PCC of the inaccuracies identified. There had been several staff changes at the council that have impacted progress on remedial work to the RAMM database. A new resource was assigned in November to start looking after the database and working on the corrections required.</p> <p>Meridian will be arranging a meeting with PCC and Veritek for early February to discuss the audit findings and recommendations.</p>		<p>30/06/2023</p> <p>15/02/2023</p>
Preventative actions taken to ensure no further issues will occur		Completion date
<p>Meridian will continue to work with PCC on resolving the inaccuracies and ongoing issues that have been identified.</p> <p>We have also strongly recommended a full field audit be completed to fully resolve all existing inaccuracies.</p>		Ongoing
Remedial action status		
Identified		

All load recorded in database		
Non-compliance	Description	
<p>Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 02-Dec-21 To: 31-May-22</p>	<p>64 additional lamps (15%) in the field were not recorded in the database from a sample of 431 items of load. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as moderate as the recent field activity of light installations and changes does not appear to have been reflected in the database since the last audit The audit risk rating is low based on the small volume of lights affected in relation to the sample examined.</p>	
Actions taken to resolve the issue		Completion date
<p>Meridian has advised PCC of the inaccuracies identified. There had been several staff changes at the council that have impacted progress on remedial work to the RAMM database. A new resource was assigned in November to start looking after the database and working on the corrections required. Meridian will be arranging a meeting with PCC and Veritek for early February to discuss the audit findings and recommendations.</p>		<p>30/06/2023 15/02/2023</p>
Preventative actions taken to ensure no further issues will occur		Completion date
<p>Meridian will continue to work with PCC on resolving the inaccuracies and ongoing issues that have been identified. We have also strongly recommended a full field audit be completed to fully resolve all existing inaccuracies.</p>		Ongoing
Remedial action status		
Identified		

Database Accuracy	
Non-compliance	Description
<p>Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Jul-22 To: 30-Nov-22</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated under submission of 192,300 kWh p.a.</p> <p>Eight items of load are not readily locatable.</p> <p>20 items of load without an ICP being assigned and therefore the load associated with these lights is not being included in the monthly capacities report to EMS resulting in an annual under submission of approximately 2,075 kWh.</p> <p>Seven items of load are incorrectly assigned to GWRC but should be associated with the ICP 0001256873UNFA3 resulting in an annual under submission of approximately 1,249 kWh.</p> <p>ICP assignment is not correct for all items of load resulting in incorrect allocation of submission volumes to the respective NSP.</p> <p>Three lights recorded in the database as zero watts capacity were confirmed during the field audit as being 20W LED lights, resulting in an estimated under submission of 256 kWh.</p> <p>Some Italo 35.5W lamps are incorrectly recorded in the database as 36W.</p> <p>Some Italo 19.5W lamps are incorrectly recorded in the database as 20W.</p> <p>One item of load with the incorrect ballast applied resulting in an estimated under submission of 8.542 kWh.</p> <p>Livening dates not recorded for new connections.</p> <p>Under submission of 58,460 kWh due to missing park lighting records in RAMM.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: High Actual impact: High Audit history: Multiple times Controls: Weak Breach risk rating: 9</p>
Audit risk rating	Rationale for audit risk rating
High	<p>The controls are rated as weak due to:</p> <ul style="list-style-type: none"> • poor database accuracy found in the field audit, • exceptions identified in the previous audit remain unresolved, and • the recent field activity of light installations and changes does not appear to have been reflected in the database since the last audit. <p>The audit risk rating is high based on kWh variances.</p>

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-Jul-22 To: 30-Nov-22</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated under submission of 192,300 kWh p.a.</p> <p>Eight items of load are not readily locatable.</p> <p>20 items of load without an ICP being assigned and therefore the load associated with these lights is not being included in the monthly capacities report to EMS resulting in an annual under submission of approximately 2,075 kWh.</p> <p>Three lights recorded in the database as zero watts capacity were confirmed during the field audit as being 20W LED lights, resulting in an estimated under submission of 256 kWh.</p> <p>One item of load with the incorrect ballast applied resulting in an estimated under submission of 8.542 kWh.</p> <p>Livening dates not recorded for new connections.</p> <p>Under submission of 58,460 kWh due to missing park lighting records in RAMM.</p> <p>Potential impact: High Actual impact: High Audit history: Multiple times Controls: Weak Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as weak due to:</p> <ul style="list-style-type: none"> • poor database accuracy found in the field audit, • exceptions identified in the previous audit remain unresolved, and • the recent field activity of light installations and changes does not appear to have been reflected in the database since the last audit. <p>The audit risk rating is high based on kWh variances.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Meridian has advised PCC of the inaccuracies identified. There had been several staff changes at the council that have impacted progress on remedial work to the RAMM database. A new resource was assigned in November to start looking after the database and working on the corrections required.</p> <p>Meridian will be arranging a meeting with PCC and Veritek for early February to discuss the audit findings and recommendations.</p>	<p>30/06/2023</p> <p>15/02/2023</p>	<p>Identified</p>

Preventative actions taken to ensure no further issues will occur	Completion date	
Meridian will continue to work with PCC on resolving the inaccuracies and ongoing issues that have been identified. We have also strongly recommended a full field audit be completed to fully resolve all existing inaccuracies.	Ongoing	