

# Compliance plan for South Waikato DC Meridian DUML 2023

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3  From: 28-May-21 To: 28-Feb-23	One item of load with the incorrect ballast applied resulting in a very small amount of over submission.  Submission is based on a snapshot and does not consider historic adjustments.  Potential impact: Low  Actual impact: Low  Audit history: Multiple times previously  Controls: Strong  Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as strong because they mitigate risk to an acceptable level.  The impact is assessed to be low, based on the small impact on settlement.	
Actions taken to resolve the issue		Completion date
South Waikato District Council has been informed of the inaccuracy and they are awaiting on confirmation from their contractor before amending the database.		24/5/2023
Preventative actions taken to ensure no further issues will occur		Completion date
Meridian will follow up with South Waikato District Council for confirmation on the inaccuracy  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 material changes and confirm details for these. These are accounted for in monthly submission.		24/6/2023  Ongoing
		Identified

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)  From: 28-May-21 To: 28-Feb-23	One item of load with the incorrect ballast applied resulting in a very small amount of over submission. 13x 90W metered LED lights incorrectly recorded against an unmetered ICP. Potential impact: Low Actual impact: None Audit history: Three times Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as strong as they will mitigate risk to an acceptable level. The impact is assessed to be effectively none but only low is available to allocate.	
Actions taken to resolve the issue		Completion date
South Waikato District Council has been informed of the inaccuracies and they are awaiting on confirmation from their contractor before amending the database.		24/5/2023
Preventative actions taken to ensure no further issues will occur		Completion date
Meridian will follow up with South Waikato District Council for confirmation on the inaccuracies.		26/6/2023
Remedial action status		
Identified		

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 28-May-21</p> <p>To: 28-Feb-23</p>	<p>One item of load with the incorrect ballast applied resulting in a very small amount of over submission.</p> <p>Submission is based on a snapshot and does not consider historic adjustments.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times previously</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>The controls are rated as strong because they mitigate risk to an acceptable level.</p> <p>The impact is assessed to be low, based on the small impact on settlement.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>South Waikato District Council has been informed of the inaccuracy and they are awaiting on confirmation from their contractor before amending the database.</p>		24/5/2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Meridian will follow up with South Waikato District Council for confirmation on the inaccuracy</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 material changes and confirm details for these. These are accounted for in monthly submission.</p>		24/6/2023	