

Compliance Plan for Ashburton District Council DUML 2023

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-Sep-21</p> <p>To: 14-Aug-23</p>	<p>Database is not confirmed as accurate with a 95% level of confidence as recorded in section 3.1.</p> <p>One item of load with the incorrect ballast recorded resulting in an estimated minor under submission of 4.27 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>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>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</p> <p>The impact on settlement and participants is low; therefore, the audit risk rating is low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Ashburton District Council has been advised of the discrepancies identified. Ashburton District Council has advised, they will be investigated and corrected where required.		29/08/2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Meridan will continue to follow up with Ashburton District Council to have the inaccuracies corrected.		30/09/2023	
Ashburton District Council advise the EA standardized wattage format is to be adopted.		30/09/2023	
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.		Ongoing	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: Unknown To: 14-Aug-23	One additional light found in the field audit sample. Potential impact: Low Actual impact: Low Audit history: Once Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong overall as there are robust processes in place ensure that the database is kept up to date. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
Ashburton District Council has been advised of the discrepancies identified. Ashburton District Council has advised, they will be investigated and corrected where required.	30/08/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Meridan will continue to follow up with Ashburton District Council to have the inaccuracies corrected.	30/09/2023	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Sep-21</p> <p>To: 14-Aug-23</p>	<p>Database is not confirmed as accurate with a 95% level of confidence.</p> <p>24 lights with the incorrect light description. The correct wattage is recorded so this has no impact on reconciliation.</p> <p>One item of load with the incorrect ballast recorded resulting in an estimated minor under submission of 4.27 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Twice previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</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
Ashburton District Council has been advised of the discrepancies identified. Ashburton District Council has advised, they will be investigated and corrected where required.	30/08/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Meridan will continue to follow up with Ashburton District Council to have the inaccuracies corrected.	30/09/2023	
Ashburton District Council advise the EA standardized wattage format is to be adopted.	30/09/2023	

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-Sep-21</p> <p>To: 14-Aug-23</p>	<p>Database is not confirmed as accurate with a 95% level of confidence as recorded in section 3.1.</p> <p>One item of load with the incorrect ballast recorded resulting in an estimated minor under submission of 4.27 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>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>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</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
Ashburton District Council has been advised of the discrepancies identified. Ashburton District Council has advised, they will be investigated and corrected where required.	30/08/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Meridan will continue to follow up with Ashburton District Council to have the inaccuracies corrected.</p> <p>Ashburton District Council advise the EA standardized wattage format is to be adopted.</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>	<p>30/09/2023</p> <p>30/09/2023</p> <p>Ongoing</p>	