

Compliance Plan Buller DC RAMM 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-Nov-22</p> <p>To: 02-Nov-23</p>	<p>The field audit found the database was not accurate within $\pm 5\%$ resulting in estimated over submission of 3,152 kWh p.a.</p> <p>Submission information for ICP 0003970474BUE6B has been calculated on November 2022 wattages since November 2022, resulting in potential over submission of 3,029.5 kWh per annum based on the reported database wattages.</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: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as weak because some items of load had incorrect ICP numbers recorded, the database was not accurate within $\pm 5\%$, and submissions were not consistently calculated based on the database extract information.</p> <p>The impact is assessed to be low based on the estimated volume over submitted.</p>	
Actions taken to resolve the issue		Completion date
<p>Buller DC was advised of the inaccuracies and has since corrected all of them.</p> <p>Meridian will review data where possible to see if any corrections to submission can be made.</p>		<p>Completed</p> <p>31/01/2024</p>
Preventative actions taken to ensure no further issues will occur		Completion date
<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>Ongoing</p>
Remedial action status		
<p>Identified</p>		

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Nov-23 To: 02-Nov-23	One additional item of load found in the field of 70 items of load. Potential impact: Low Actual impact: Low Audit history: Twice previously Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate because they ensure most information is accurate. The impact is assessed to be low because one additional item of load was found.	
Actions taken to resolve the issue		Completion date
Buller DC was advised of the inaccuracies and has since corrected all of them.		Completed
Preventative actions taken to ensure no further issues will occur		Completion date
Remedial action status		
Identified		

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Nov-23 To: 02-Nov-23	The field audit found the database was not accurate within $\pm 5\%$ resulting in estimated over submission of 3,152 kWh p.a. Potential impact: Low Actual impact: Low Audit history: Three times Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as weak because some items of load had incorrect ICP numbers recorded, and the database was not accurate within $\pm 5\%$. The impact is assessed to be low based on the estimated volume over submitted.	
Actions taken to resolve the issue		Completion date
Buller DC was advised of the inaccuracies and has since corrected all of them.		Completed
Meridian will review data where possible to see if any corrections to submission can be made.		31/01/2024
Remedial action status		
Identified		

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

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-22</p> <p>To: 02-Nov-23</p>	<p>The field audit found the database was not accurate within $\pm 5\%$ resulting in estimated over submission of 3,152 kWh p.a.</p> <p>Submission information for ICP 0003970474BUE6B has been calculated on November 2022 wattages since November 2022, resulting in potential over submission of 3,029.5 kWh per annum based on the reported database wattages.</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: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as weak because some items of load had incorrect ICP numbers recorded, the database was not accurate within $\pm 5\%$, and submissions were not consistently calculated based on the database extract information.</p> <p>The impact is assessed to be low based on the estimated volume over submitted.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Buller DC was advised of the inaccuracies and has since corrected all of them.</p> <p>Meridian will review data where possible to see if any corrections to submission can be made.</p>	<p>Completed</p> <p>31/01/2024</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<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>	Ongoing	