

Compliance plan for Waikato DC for MERX DUML Audit 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: 13-Oct-22</p> <p>To: 06-Sep-23</p>	<p>WDC database is not up to date.</p> <p>Incorrect lamp description and wattage provided by developer for up to 172 items of load resulting in a potential under submission of 8,106 kWh per annum.</p> <p>Submission is based on a snapshot and does not consider historic changes.</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 rated as moderate overall, but there is room for improvement.</p> <p>The impact is assessed to be low, based on the field audit findings.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Database not up to date - ICP 0000011102WE267 - This is due to 77 items of load that have been passed from the Waka Kotahi RAMM database to WDC. Currently awaiting confirmation from Council to advise when they will be added to the database.</p> <p>172 items of load – WDC will conduct a field visit to confirm lamp description and wattage.</p>	<p>01/03/2024</p> <p>01/03/2024</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> <p>Odyssey have agreed to include light ID in the reports so brand-new lights can be more easily identified.</p> <p>Meridian will continue to liaise and follow up with WDC and Odyssey to have the database correct for reconciliation and submission.</p>	<p>Ongoing</p> <p>01/03/2024</p> <p>01/03/2024</p>	

All load recorded in database		
Non-compliance	Description	
<p>Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3</p> <p>From: 13-Oct-22 To: 06-Sep-23</p>	<p>Four items of load of a sample of 272 items checked in the field are missing from the database.</p> <p>Two additional lights identified in the 2022 still missing from the database.</p> <p>Potential impact: Low Actual impact: Low</p> <p>Audit history: Multiple times previously</p> <p>Controls: Moderate Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as moderate overall, but the new connection process requires improvement to move this to strong.</p> <p>The impact is assessed to be low, based on the quantity of additional lights.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Four items of load – one has been updated in RAMM. The other three are awaiting a site visit before RAMM is updated.</p> <p>2 additional lights – Investigation confirms that both lights have been removed and RAMM database has been updated.</p>	<p>01/03/2024</p> <p>Completed</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Meridian will continue to liaise and follow up with WDC and Odyssey to have the database correct for reconciliation and submission.</p>	01/03/2024	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 13-Oct-22</p> <p>To: 06-Sep-23</p>	<p>Incorrect lamp description and wattage provided by developer for up to 172 items of load resulting in a potential under submission of 8,106 kWh per annum.</p> <p>New streetlight assets are added from the date the paperwork is received which can be some months post the assets being vested/ electrically connected resulting in under submission.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times previously</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 there is room for improvement in the management of new streetlight connections.</p> <p>The impact is assessed to be low as the database was found to be within the accuracy threshold, but the new streetlight process will be resulting in some under submission.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
172 items of load – WDC will conduct a field visit to confirm lamp description and wattage.	01/03/2024	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Meridian will continue to liaise and follow up with WDC and Odyssey to have the database correct for reconciliation and submission.</p> <p>Meridian is currently reviewing the DUMML new connection process to ensure that all parties involved are informed throughout the complete process to ensure that databases are updated as soon as possible.</p>	<p>01/03/2024</p> <p>01/03/2024</p>	

Volume information accuracy			
Non-compliance		Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 13-Oct-22 To: 06-Sep-23		Incorrect lamp description and wattage provided by developer for up to 172 items of load resulting in a potential under submission of 8,106 kWh per annum. Submission is based on a snapshot and does not consider historic changes. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2	
Audit risk rating		Rationale for audit risk rating	
Low		The controls are rated as moderate overall, but there is room for improvement. The impact is assessed to be low, based on the field audit findings.	
Actions taken to resolve the issue			Completion date
172 items of load – WDC will conduct a field visit to confirm lamp description and wattage.			01/03/2024
Preventative actions taken to ensure no further issues will occur			Completion date
Meridian will continue to liaise and follow up with WDC and Odyssey to have the database correct for reconciliation and submission. 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. Odyssey have agreed to include light ID in the reports so brand-new lights can be more easily identified.			01/03/2024 Ongoing 01/03/2024
			Identified