

# Compliance Plan Hurunui DC DUMML 2022

| Deriving submission information  |  |                                  |                        |
|--|--|----------------------------------|------------------------|
| Non-compliance   | Description  |                                  |                        |
| <p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 23-Apr-21</p> <p>To: 31-Mar-22</p>   | <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>One item of load has the incorrect wattage applied in the DUMML database which would result in the minor under submission of 4.27 kWh per annum.</p> <p>Two items of load do not have wattage recorded which would result in an estimated under submission of 282 kWh per annum.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p> |                                  |                        |
| Audit risk rating  | Rationale for audit risk rating  |                                  |                        |
| <b>Low</b>   | <p>Controls are rated as strong, the small number of exceptions indicated that controls are sufficient to ensure that all lamps are recorded in the database most of the time.</p> <p>The impact is assessed to be low as there are very few changes made to this database.</p>  |                                  |                        |
| Actions taken to resolve the issue   |  | Completion date                  | Remedial action status |
| <p>We are considering how we can redesign our processes to incorporate the calculation of volumes at a daily level rather than a monthly snapshot.</p> <p>Meridian has advised Hurunui District Council of the inaccuracies and have requested for them to be corrected.</p> |  | <p>Ongoing</p> <p>28/07/2022</p> | Identified             |
| Preventative actions taken to ensure no further issues will occur  |  | Completion date                  |                        |
| <p>Meridian will continue to follow up with Hurunui District Council to complete the required corrections and to maintain the install updates and changes to the database.</p>   |  | 28/07/2022                       |                        |

| 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: 18- Mar -20</p> <p>To: 24-Mar-22</p>   | <p>Lamp make and model is not recorded for two lamps.</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  |                 |                        |
| <b>Low</b>  | <p>Controls are rated as strong, the small number of exceptions indicated that controls are sufficient to ensure that all lamps are recorded in the database most of the time.</p> <p>The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p> |                 |                        |
| Actions taken to resolve the issue  |  | Completion date | Remedial action status |
| Meridian has advised Hurunui District Council of the inaccuracies and have requested for them to be corrected.  |  | 28/07/2022      | Identified             |
| Preventative actions taken to ensure no further issues will occur   |  | Completion date |                        |
| Meridian will continue to follow up with Hurunui District Council to complete the required corrections and to maintain the install updates and changes to the database. |  | 28/07/2022      |                        |

| All load recorded in database   |   |                        |
|---|---|------------------------|
| Non-compliance  | Description   |                        |
| Audit Ref: 2.5<br>With: Clause 11(2A) of Schedule 15.3<br>From: 23-Apr-21<br>To: 31-Mar-22  | Two additional lights found in the field.<br>Potential impact: Low<br>Actual impact: Low<br>Audit history: Multiple times previously<br>Controls: Moderate<br>Breach risk rating: 2   |                        |
| Audit risk rating   | Rationale for audit risk rating   |                        |
| <b>Low</b>  | The controls are rated as moderate as the processes in place will ensure that the data is recorded correctly most of the time.<br>The impact is assessed to be low due to the small number of additional lights found in the field in relation to the overall count of the items of load. |                        |
| Actions taken to resolve the issue  | Completion date   | Remedial action status |
| Meridian has advised Hurunui District Council of the inaccuracies and have requested for them to be corrected.  | 28/07/2022  | Identified             |
| Preventative actions taken to ensure no further issues will occur   | Completion date   |                        |
| Meridian will continue to follow up with Hurunui District Council to complete the required corrections and to maintain the install updates and changes to the database. | 28/07/2022  |                        |

| Database accuracy   |   |                 |
|---|---|-----------------|
| Non-compliance  | Description   |                 |
| <p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 23-Apr-21</p> <p>To: 31-Mar-22</p>  | <p>One item of load has the incorrect wattage applied in the DUMML database which would result in the minor under submission of 4.27 kWh per annum.</p> <p>Two items of load do not have wattage recorded which would result in an estimated under submission of 282 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Once</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 recorded as strong because they mitigate risk to an acceptable level.</p> <p>The impact is assessed to be low, based on the kWh differences described above.</p>  |                 |
| Actions taken to resolve the issue  |   | Completion date |
| Meridian has advised Hurunui District Council of the inaccuracies and have requested for them to be corrected.  |   | 28/07/2022      |
| Preventative actions taken to ensure no further issues will occur   |   | Completion date |
| Meridian will continue to follow up with Hurunui District Council to complete the required corrections and to maintain the install updates and changes to the database. |   | 28/07/2022      |
| 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: 23-Apr-21</p> <p>To: 31-Mar-22</p>   | <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>One item of load has the incorrect wattage applied in the DUML database which would result in the minor under submission of 4.27 kWh per annum.</p> <p>Two items of load do not have wattage recorded which would result in an estimated under submission of 282 kWh per annum.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p> |                                  |
| Audit risk rating  | Rationale for audit risk rating   |                                  |
| <b>Low</b>   | <p>Controls are rated as strong, the small number of exceptions indicated that controls are sufficient to ensure that all lamps are recorded in the database most of the time.</p> <p>The impact is assessed to be low as there are very few changes made to this database.</p>   |                                  |
| Actions taken to resolve the issue   |   | Completion date                  |
| <p>We are considering how we can redesign our processes to incorporate the calculation of volumes at a daily level rather than a monthly snapshot.</p> <p>Meridian has advised Hurunui District Council of the inaccuracies and have requested for them to be corrected.</p> |   | <p>Ongoing</p> <p>28/07/2022</p> |
| Preventative actions taken to ensure no further issues will occur  |   | Completion date                  |
| <p>Meridian will continue to follow up with Hurunui District Council to complete the required corrections and to maintain the install updates and changes to the database.</p>   |   | <p>28/07/2022</p>                |
| Identified   |   |                                  |