

Compliance plan for Meridian Waka Kotahi Wairoa Gisborne 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-Jul-22</p> <p>To: 05-Jun-23</p>	<p>Six items of load have the incorrect wattage applied resulting in a very minor estimated under submission of 299 kWh per annum.</p> <p>The current monthly report is provided as a snapshot and is non-compliant. The report contains a lamp install date, but this is not used to re-calculate historic submissions.</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 recorded as moderate overall and will move to strong once processes are in place to track changes in the Wairoa area.</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
NZTA has advised that the six items of load with the incorrect wattage have now been corrected.		23/8/2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
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: 01-Jul-22 To: 05-Jun-23	Three additional items of load identified by the field audit. Potential impact: Low Actual impact: Low Audit history: Once previously Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact on settlement and participants is expected to be minor as the overs and unders balance the impact out.	
Actions taken to resolve the issue	Completion date	Remedial action status
NZTA has advised that the three additional items of load have now been added.	23/8/23	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Jun-22</p> <p>To: 05-Jun-23</p>	<p>Six items of load have the incorrect wattage applied resulting in a very minor estimated under submission of 299 kWh per annum.</p> <p>Changes in the Wairoa area not being updated in the RAMM database.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three 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 recorded as moderate overall and will move to strong once processes are in place to track changes in the Wairoa area.</p> <p>The audit risk rating is assessed to be low as the discrepancies found have been passed to NZ Streetlighting and are expected to be corrected.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>NZTA has advised that the six items of load with the incorrect wattage have now been corrected.</p> <p>NZTA advises that all changes for Wairoa are now up to date in the RAMM database.</p>		23/8/23	Identified
		23/8/23	
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(b)</p> <p>From: 01-Jul-22</p> <p>To: 05-Jun-23</p>	<p>Six items of load have the incorrect wattage applied resulting in a very minor estimated under submission of 299 kWh per annum.</p> <p>The current monthly report is provided as a snapshot and is non-compliant. The report contains a lamp install date, but this is not used to re-calculate historic submissions.</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 recorded as moderate overall and will move to strong once processes are in place to track changes in the Wairoa area.</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
NZTA has advised that the six items of load with the incorrect wattage have now been corrected.	23/8/23	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
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	