

Compliance plan for Waka Kotahi Gisborne and Wairoa 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: 01-Mar-21</p> <p>To: 30-Jun-22</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>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 52,200 kWh p.a.</p> <p>Six items of load with the incorrect ballast applied resulting in an estimated under submission of 51.25 kWh.</p> <p>Livening dates not recorded for new connections</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three 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 recorded as moderate because they mitigate risk most of the time but there is room for improvement.</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
<p>NZTA has been advised of the inaccuracies and it has been requested for them to be corrected.</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 changes. These are accounted for in monthly submission. Meridian will continue to work with NZTA to request that monthly data extracts include the detail of changes.</p>		<p>30/08/2022</p> <p>30/04/2023</p>	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Meridian will continue to follow up with The NZTA to complete the required corrections and to maintain the install updates and changes to the database.</p>		30/11/2022	

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: 01-Mar-21</p> <p>To: 30-Jun-22</p>	<p>Four XSP1 3M model lamps are incorrectly recorded in the database as 116W.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</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 because they mitigate risk most of the time but there is room for improvement.</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 been advised of the inaccuracies and it has been requested for them to be corrected.		30/08/2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Meridian will continue to follow up with The NZTA to complete the required corrections and to maintain the install updates and changes to the database.		30/11/2022	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Mar-21 To: 30-Jun-22	Three additional items of load identified by the field audit. Potential impact: Low Actual impact: Low Audit history: None 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 minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
NZTA has been advised of the inaccuracies and it has been requested for them to be corrected.		30/08/2022
Preventative actions taken to ensure no further issues will occur		Completion date
Meridian will continue to follow up with The NZTA to complete the required corrections and to maintain the install updates and changes to the database.		30/11/2022
		Identified

Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Mar-21</p> <p>To: 30-Jun-22</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 52,200 kWh p.a.</p> <p>Livening dates not recorded for new connections.</p> <p>6 items of load have the incorrect ballast applied.</p> <p>Delays in updating the database for new connections.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
<p>High</p>	<p>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement.</p> <p>The audit risk rating is high based on kWh variances</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>NZTA has been advised of the inaccuracies and it has been requested for them to be corrected.</p>		<p>30/08/2022</p>	<p>Identified</p>
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Meridian will continue to follow up with The NZTA to complete the required corrections and to maintain the install updates and changes to the database.</p>		<p>30/11/2022</p>	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2 With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Mar-21 To: 30-Jun-22</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 52,200 kWh p.a.</p> <p>Six items of load with the incorrect ballast applied resulting in an estimated under submission of 51.25 kWh.</p> <p>Livening dates not recorded for new connections.</p> <p>Potential impact: High Actual impact: High</p> <p>Audit history: Multiple times Controls: Moderate Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement.</p> <p>The audit risk rating is high based on kWh variances</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
NZTA has been advised of the inaccuracies and it has been requested for them to be corrected.	30/08/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Meridian will continue to follow up with The NZTA to complete the required corrections and to maintain the install updates and changes to the database.	30/11/2022	