

Compliance plan for Meridian NZTA Napier–2020

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-May-18 To: 31-May-20</p>	<p>25 items of load with the incorrect ICP recorded against them. Submission information appears correct, but it doesn't match the data base volume.</p> <p>The database accuracy is assessed to be 94.8% of the database for the sample checked indicating a potential over submission of approximately 22,200 kWh per annum.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: Twice Controls: Weak Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as weak, because they don't adequately manage the risk of future incorrect submission.</p> <p>The actual impact is assessed to be medium due to the estimated volume of over submission.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>The incorrect assigning of ICPs in the database has been raised again for resolution with NZTA and PSL.</p> <p>As reported, this does not appear to have impacted accuracy of submission which is based on reporting at light owner level however, we do understand the lack of controls in this area is of concern.</p> <p>Field audit findings and 3 incorrect ballasts have been provided to NZTA and PSL to resolve.</p>	<p>31 Oct 2020</p> <p>31 Oct 2020</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

ICP identifier and items of load		
Non-compliance	Description	
<p>Audit Ref: 2.2</p> <p>With: Clause 11(2)(a) and (aa) of Schedule 15.3</p> <p>From: 01-May-18</p> <p>To: 31-May-20</p>	<p>Items of load recorded against incorrect ICPs in the database.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Twice</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 they don't adequately manage the risk of future incorrect submission.</p> <p>The actual impact is assessed to be low, because submission appears to be accurate.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>The incorrect assigning of ICPs in the database has been raised again for resolution with NZTA and PSL.</p> <p>As reported, this does not appear to have impacted accuracy of submission which is based on reporting at light owner level however, we do understand the lack of controls in this area is of concern.</p>	31 Oct 2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Jun-19 To: 31-May-20</p>	<p>The database accuracy is assessed to be 94.8% of the database for the sample checked indicating a potential over submission of approximately 22,200 kWh per annum.</p> <p>3 items of load have with the incorrect ballast applied.</p> <p>25 items of load with the incorrect ICP recorded against them - submission is correct.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: None Controls: Weak Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as weak, because they don't adequately manage the risk of future incorrect submission.</p> <p>The impact is assessed to be medium due to the estimated volume of over submission.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>The incorrect assigning of ICPs in the database has been raised again for resolution with NZTA and PSL.</p> <p>As reported, this does not appear to have impacted accuracy of submission which is based on reporting at light owner level however, we do understand the lack of controls in this area is of concern.</p> <p>Field audit findings and 3 incorrect ballasts have been provided to NZTA and PSL to resolve.</p>	<p>31 Oct 2020</p> <p>31 Oct 2020</p>	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(b)</p> <p>From: 01-Jun-19</p> <p>To: 31-May-20</p>	<p>25 items of load with the incorrect ICP recorded against them. Submission information appears correct, but it doesn't match the data base volume.</p> <p>The database accuracy is assessed to be 94.8% of the database for the sample checked indicating a potential over submission of approximately 22,200 kWh per annum.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: None</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as weak, because they don't adequately manage the risk of future incorrect submission.</p> <p>The actual impact is assessed to be medium due to the estimated volume of over submission.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>The incorrect assigning of ICPs in the database has been raised again for resolution with NZTA and PSL.</p> <p>As reported, this does not appear to have impacted accuracy of submission which is based on reporting at light owner level however, we do understand the lack of controls in this area is of concern.</p> <p>Field audit findings and 3 incorrect ballasts have been provided to NZTA and PSL to resolve.</p>	<p>31 Oct 2020</p> <p>31 Oct 2020</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	