

# Compliance plan for Matamata Piako DC – December 2020

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 12-Dec-19</p> <p>To: 31-Aug-20</p>	<p>Five items of load with missing or incorrect wattages/ballasts recorded.</p> <p>952 22W lights recorded as 20W in the database, resulting in an estimated 8,132 kWh of under submission per annum.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</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	
<b>Low</b>	<p>The controls are rated as moderate as the processes in place will mitigate risk most of the time.</p> <p>The impact is assessed to be low as the database is relatively static and the overall database accuracy was found to be high.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Correction of LED and other incorrect wattages identified is in progress and will be completed by end of December.	31 Dec 2020	Identified
Preventative actions taken to ensure no further issue will occur	Completion date	
Processes to manage the database are considered robust and a high level of accuracy is reported.		

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 12-Dec-19</p> <p>To: 31-Aug-20</p>	<p>Five items of load with missing or incorrect wattages/ballasts recorded.</p> <p>952 22W lights recorded as 20W in the database, resulting in an estimated 8,132 kWh of under submission per annum.</p> <p>MDPC ICP incorrectly recorded against the 124 NZTA Rural and 14 private items of load.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time.</p> <p>The impact is assessed to be low due to the minor impact to submission accuracy noted above. .</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Correction of LED and other incorrect wattages identified is in progress and will be completed by end of December.	31 Dec 2020	Identified
Removal of the MPDC ICP from NZTA rural and private lights has been requested.	31 Dec 2020	
Preventative actions taken to ensure no further issue will occur	Completion date	
Processes to manage the database are considered robust and a high level of accuracy is reported.		

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 12-Dec-19</p> <p>To: 31-Aug-20</p>	<p>Five items of load with missing or incorrect wattages/ballasts recorded.</p> <p>952 22W lights recorded as 20W in the database, resulting in an estimated 8,132 kWh of under submission per annum.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</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	
<b>Low</b>	<p>The controls are rated as moderate as the processes in place will mitigate risk most of the time.</p> <p>The impact is assessed to be low as the database is relatively static and the overall database accuracy was found to be high.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Correction of LED and other incorrect wattages identified is in progress and will be completed by end of December.	31 Dec 2020	Identified
Preventative actions taken to ensure no further issue will occur	Completion date	
Processes to manage the database are considered robust and a high level of accuracy is reported.		

