

## Compliance plan for Tauranga CC – 2018

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3  From: unknown To: 30-Apr-18	The database contains some incorrect and missing information. The field data was 105.1% of the database data for the sample checked, indicating the database is not up to date.  Potential impact: High  Actual impact: Low  Audit history: None  Controls: Moderate  Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	Controls are rated as moderate, because although the database is inaccurate, Trustpower is taking steps to ensure submitted volumes are more than 99% accurate.  The impact is rated as low because the impact on settlement appears to be less than 1%	
Actions taken to resolve the issue	Completion date	Remedial action status
TRUS will work with Tauranga City Council to ensure the database is reviewed and updated	31/10/18	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Maintenance and validation processes to be reviewed and updated where needed	Ongoing	

ICP identifier and items of load	
Non-compliance	Description
Audit Ref: 2.2 With: Clause 11(2)(a) and (aa) of Schedule 15.3  From: unknown To: 30-Apr-18	27 items of load do not have an ICP identifier  Potential impact: Medium  Actual impact: Low  Audit history: None  Controls: Weak  Breach risk rating: 3
Audit risk rating	Rationale for audit risk rating

<b>Low</b>	Controls are rated as weak because there does not appear to be checks conducted to identify missing data. The impact is rated as low because submission still occurs for these records.		
Actions taken to resolve the issue		Completion date	Remedial action status
TRUS will work with Tauranga City Council to ensure all items of load have ICPs		31/10/18	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Maintenance and validation processes to be reviewed and updated where needed		Ongoing	

Location of each item of load			
Non-compliance	Description		
Audit Ref: 2.3 With: Clause 11(2)(b) of Schedule 15.3  From: unknown To: 30-Apr-18	334 items of load do not have a street address or GPS coordinates recorded  Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	Controls are rated as weak because there does not appear to be checks conducted to identify missing data. The impact is rated as low because only 2.5% have insufficient address information.		
Actions taken to resolve the issue		Completion date	Remedial action status
TRUS will work with Tauranga City Council to ensure locations are included in the database for all items		31/10/18	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Maintenance and validation processes to be reviewed and updated where needed		Ongoing	

Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 With: Clause 11(2)(b) of Schedule 15.3 From: unknown To: 30-Apr-18	Discrepancies in the database as follows: <ul style="list-style-type: none"> <li>• Blank or zero wattage – 16</li> <li>• Blank lamp description – 5</li> <li>• Blank gear wattage – all records</li> <li>• Unknown lamp make and model - 14</li> </ul> Potential impact: Medium Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	Controls are rated as weak because there does not appear to be checks conducted to identify missing data. The impact is rated as low because of the low numbers and because Trustpower adds the ballast wattage to ensure submission is correct.		
Actions taken to resolve the issue		Completion date	Remedial action status
TRUS will work with Tauranga City Council to ensure the database is reviewed and updated		31/10/18	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Maintenance and validation processes to be reviewed and updated where needed		Ongoing	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: unknown To: 30-Apr-18	The field audit identified 73 lamps which were not recorded in the database. A further 174 lamps on new streets were not recorded in the database. Potential impact: High Actual impact: Low Audit history: Once previously Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	

<b>Low</b>	<p>The controls are rated as weak, as they are not sufficient to ensure that most database information is recorded correctly.</p> <p>The impact is rated as low because Trustpower's data used for submission appears to be more accurate than the database and although the error is not known, it appears to be less than 1%.</p>	
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>
TRUS will work with Tauranga City Council to ensure the database is reviewed and updated		31/10/18
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>
Maintenance and validation processes to be reviewed and updated where needed		Ongoing
<b>Remedial action status</b>		
Identified		

<b>Tracking of load changes</b>	
<b>Non-compliance</b>	<b>Description</b>
<p>Audit Ref: 2.6</p> <p>With: Clause 11(3) of schedule 15.3</p> <p>From: unknown</p> <p>To: 30-Apr-18</p>	<p>The tracking of load changes is not occurring in a timely manner for new connections.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>
<b>Low</b>	<p>The controls are rated as weak, because additional lights are not being recorded in a timely manner.</p> <p>The impact is rated as low because the impact on settlement of the late updates is estimated to be a low percentage of the overall kWh total</p>
<b>Actions taken to resolve the issue</b>	
TRUS will work with Tauranga City Council to ensure the database is reviewed and updated	
<b>Preventative actions taken to ensure no further issues will occur</b>	
Maintenance and validation processes to be reviewed and updated where needed	
<b>Completion date</b>	
31/10/18	
<b>Remedial action status</b>	
Identified	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)  From: unknown To: 30-Apr-18	The database contains some incorrect and missing information. The field data was 105.1% of the database data for the sample checked, indicating the database is not up to date.  Potential impact: High  Actual impact: Low  Audit history: Once  Controls: Weak  Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	Controls are rated as weak, because the database has a high level of inaccuracy, specifically related to new lights.  The impact is rated as low because Trustpower's data used for submission appears to be more accurate than the database and although the error is not known, it appears to be less than 1%.	
Actions taken to resolve the issue	Completion date	Remedial action status
TRUS will work with Tauranga City Council to ensure the database is reviewed and updated	31/10/18	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Maintenance and validation processes to be reviewed and updated where needed	Ongoing	

Volume information accuracy	
Non-compliance	Description
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3  From: unknown To: 30-Apr-18	The database contains some incorrect and missing information. The field data was 105.1% of the database data for the sample checked, indicating a potential estimated under submission of 215,600 kWh per annum.  Potential impact: High  Actual impact: High  Audit history: None  Controls: Moderate  Breach risk rating: 2
Audit risk rating	Rationale for audit risk rating

<b>Low</b>	<p>Controls are rated as moderate, because although the database is inaccurate, Trustpower is taking steps to ensure submitted volumes are more than 99% accurate.</p> <p>The impact is rated as low because the impact on settlement appears to be less than 1%</p>		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	<b>Remedial action status</b>
TRUS will work with Tauranga City Council to ensure the database is reviewed and updated		31/10/18	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>	
Maintenance and validation processes to be reviewed and updated where needed		Ongoing	