

## Compliance plan for Taupo DC DUML Audit 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 variance between the database extract and the monthly report used by Trustpower for submission is potentially resulting in an estimated over submission of 283,709 kWh per annum if the database is correct. The database accuracy is assessed to be 101.2% indicating an estimated under submission of 22,400 kWh per annum. Incorrect ballasts recorded in RAMM.  Potential impact: High Actual impact: High Audit history: None Controls: Weak Breach risk rating: 9	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	The controls are rated as weak as the database is not up to date, and it is unclear as to which volumes are correct for submission. The impact is assessed to be high due to the potential kWh variances found.	
Actions taken to resolve the issue	Completion date	Remedial action status
TRUS will work with the customer to implement new reporting so that we are receiving the raw data from RAMM rather than the adjusted data outside of RAMM Ballasts to be reviewed and updated where applicable	31/07/18  31/07/18	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
New reporting structure to be implemented	31/07/18	

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	ICP not recorded against 201 items of load in the database. Potential impact: High Actual impact: Unknown Audit history: None Controls: Weak Breach risk rating: 9	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	The controls are rated as weak not all items of load have an ICP recorded. The impact is assessed to be potential kWh volume difference if the items of load with no ICP are confirmed to be associated with these ICPs which cannot be assumed.	
Actions taken to resolve the issue	Completion date	Remedial action status
TRUS will work with the customer to ensure all items of load are allocated to their correct ICP	31/07/18	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Maintenance processes to be reviewed to ensure all required information for an item is recorded	31/07/18	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: unknown To: 30-Apr-18	315 items of load with incomplete details lamp. Ballast wattage is not recorded in the database. 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>	The controls are rated as weak as the database is incomplete. The impact is assessed to be low, as the impact of the incorrect ballasts (detailed in <b>section 3.1</b> ) is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
TRUS will work with the customer to correct the database anomalies	31/7/18	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Maintenance processes to be reviewed to ensure all required information for an item is recorded	31/07/18	

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	All load is not recorded in the database. Potential impact: Low Actual impact: Medium Audit history: None Controls: Moderate Breach risk rating: 4	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	The controls are rated as moderate as the processes to capture change will mitigate risk most of the time. The impact is assessed to be medium, based on the kWh differences described in <b>section 3.1</b> .	
Actions taken to resolve the issue	Completion date	Remedial action status
Taupo DC to investigate the extra lights in the field and update where necessary	31/07/18	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Maintenance processes to be reviewed to ensure all required information for an item is recorded	31/07/18	

<b>Database accuracy</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)  From: unknown To: 30-Apr-18	The database accuracy is assessed to be 101.2% indicating an estimated under submission of 22,400 kWh per annum. Incorrect ballasts recorded in RAMM.  Potential impact: Medium Actual impact: Medium  Audit history: None Controls: Moderate Breach risk rating: 4	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Medium</b>	The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time. The impact is assessed to be medium due to the kWh volumes.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
TRUS will work with Taupo DC to update the ballasts within the RAMM database, as well as review ballasts used in the submission process	31/07/18	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Maintenance processes to be reviewed to ensure all required information for an item is recorded	31/07/18	

<b>Volume information accuracy</b>		
<b>Non-compliance</b>	<b>Description</b>	
<p>Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c)</p> <p>From: unknown To: 30-Apr-18</p>	<p>The variance between the database extract and the monthly report used by Trustpower for submission is potentially resulting in an estimated over submission of 283,709 kWh per annum if the database is correct. The database accuracy is assessed to be 101.2% indicating an estimated under submission of 22,400 kWh per annum. Incorrect ballasts used for submission resulting in an estimated under submission of 1,506.81 per annum.</p> <p>Potential impact: High Actual impact: High Audit history: None Controls: Weak Breach risk rating: 9</p>	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>High</b>	<p>The controls are rated as weak as the database is not up to date, and it is unclear as to which volumes are correct for submission. The impact is assessed to be high due to the kWh variances found.</p>	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
TRUS will work with Taupo DC to update the ballasts within the RAMM database, as well as review ballasts used in the submission process	31/07/18	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Maintenance processes to be reviewed to ensure all required information for an item is recorded	31/07/18	