

## Compliance plan for NZTA Taupo 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	Database extract used for submission is not up to date resulting in an estimated under submission of 5,452.25 kWh per annum. The field audit found one wattage discrepancy resulting in an estimated over submission of 358.76 kWh.  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 they are unlikely to mitigate risk and remove errors. The impact is assessed to be low, based on the kWh differences.	
Actions taken to resolve the issue	Completion date	Remedial action status
TRUS will work with Opus to review and correct the database Monthly reporting to TRUS to be set up	31/10/18 31/10/18	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Maintenance and validation processes to be reviewed.	31/10/18	

Tracking of load changes			
Non-compliance	Description		
Audit Ref: 2.6 With: Clause 11(3) of Schedule 15.3  From: unknown To: 30-Apr-18	Monthly reports not provided regularly. Tracking of load changes not provided by the existing contractor 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 changes are not well tracked, and regular monthly reports are not provided, but I note that this is expected to be rectified with the appointment of a new field contractor. The impact is assessed to be low, as the volume lights associated with this load is small.		
Actions taken to resolve the issue		Completion date	Remedial action status
TRUS will follow up with Opus to ensure all updates are provided monthly		31/10/18	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Opus have a new contractor and expect that updates will be entered into RAMM going forward		Ongoing	

<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 field audit found one wattage discrepancy resulting in an estimated over submission of 358.76 kWh. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	The controls are rated as weak as they are unlikely to mitigate risk and remove errors. The impact is assessed to be low, based on the kWh differences described above.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
TRUS will work with Opus to correct any database anomalies	31/10/18	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Opus have a new contractor and expect that updates will be entered into RAMM going forward	Ongoing	

<b>Volume information accuracy</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c)  From: unknown To: 30-Apr-18	Database extract used for submission is not up to date resulting in an estimated under submission of 5,452.25 kWh per annum. The field audit found one wattage discrepancy resulting in an estimated over submission of 358.76 kWh.  Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	The controls are rated as weak as they are unlikely to mitigate risk and remove errors. The impact is assessed to be low, based on the kWh differences.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
TRUS will follow up with Opus to ensure all updates are provided monthly	31/10/18	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Opus have a new contractor and expect that updates will be entered into RAMM going forward	Ongoing	