

Compliance plan for Tauranga NZTA – 2018

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: 11(1) of Schedule 15.3 From: 20-May-16 To: 30-Apr-18	Submission totals different to database totals indicating under submission of 190,000 kWh per annum. Potential impact: High Actual impact: High Audit history: Once Controls: None Breach risk rating: 12	
Audit risk rating	Rationale for audit risk rating	
High	There don't appear to be any controls in place to ensure the database figures are used for submission. The impact is rated as high because the impact on settlement is approx. 190,000 kWh per annum.	
Actions taken to resolve the issue	Completion date	Remedial action status
TRUS will work with Tauranga City Council to review and validate this database and ensure updated information is used for submission data calculation	Ongoing	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Database, maintenance and validation processes to be reviewed and implemented where needed.	Ongoing	

ICP identifier and items of load	
Non-compliance	Description
Audit Ref: 2.2 With: 11(2)(a) and (aa) From: 20-May-16 To: 30-Apr-18	ICP identifier not contained in the database Potential impact: Medium Actual impact: Low Audit history: Once Controls: None Breach risk rating: 5
Audit risk rating	Rationale for audit risk rating

Low	There don't appear to be any controls in place to ensure the ICP is populated The impact is rated as low because there is a minor impact of not being able to confirm if the database contains the correct information.		
Actions taken to resolve the issue		Completion date	Remedial action status
TRUS to work with Tauranga City Council to ensure ICPS are added to the database for each item of load		31/7/18	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Database, maintenance and validation processes to be reviewed and implemented 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: 20-May-16 To: 30-Apr-18	11 records without coordinates Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as moderate because they mitigate risk most of the time. The impact on settlement and participants is minor; therefore the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
TRUS will work with Tauranga City Council to ensure location information is added to the database for each item of load		31/7/18	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Database, maintenance and validation processes to be reviewed and implemented 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: 20-May-16 To: 30-Apr-18	Gear wattage not recorded in the database 2 blank lamp descriptions Potential impact: Medium Actual impact: Low Audit history: Once Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as weak because the gear wattage data is not present at all 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 includes ballast in submission data as standard practice, but will work with Tauranga City Council to include ballast in their database.	31/7/18	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Database, maintenance and validation processes to be reviewed and implemented 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 one lamp which was not recorded in the database. Potential impact: Medium Actual impact: Low Audit history: Once Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong, as they are sufficient to ensure that most database information is recorded correctly. The impact is rated as low because the impact on settlement is minor for one light	
Actions taken to resolve the issue	Completion date	Remedial action status

TRUS will work with Tauranga City Council to ensure the database is up to date	Ongoing	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Database, maintenance and validation processes to be reviewed and implemented where needed.	Ongoing	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: unknown To: 30-Apr-18	Database accuracy is 99.3% compared to the field. There are 52 duplicate records (not considered in the 99.3% calculation because they were not part of the statistical sample) Potential impact: Medium Actual impact: Low Audit history: Once Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as weak, because they are not sufficient to ensure that lamp details are correct most of the time The impact is rated as low because the database does not appear to be used for submission.	
Actions taken to resolve the issue	Completion date	Remedial action status
TRUS will work with Tauranga City Council to ensure the database is up to date	Ongoing	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Database, maintenance and validation processes to be reviewed and implemented where needed.	Ongoing	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 2.1 With: 15.2 and 15.37B(c) From: 20-May-16 To: 30-Apr-18	Submission totals different to database totals indicating under submission of 190,000 kWh per annum. Potential impact: High Actual impact: High Audit history: Once Controls: None Breach risk rating: 12	
Audit risk rating	Rationale for audit risk rating	
High	There don't appear to be any controls in place to ensure the database figures are used for submission. The impact is rated as high because the impact on settlement is approx. 190,000 kWh per annum.	
Actions taken to resolve the issue	Completion date	Remedial action status
TRUS will work with Tauranga City Council to review and validate this database and ensure updated information is used for submission data calculation	31/7/18	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Database, maintenance and validation processes to be reviewed and implemented where needed.	Ongoing	