

Compliance plan for NZTA Tauranga – Dec 2018

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: 11(1) of Schedule 15.3 From: 01-Jun-18 To: 27-Nov-18	Submission totals different to database totals indicating over submission of 116,385 kWh per annum. Potential impact: High Actual impact: High Audit history: Twice Controls: Moderate Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
High	TCC has recently updated the database and the updated data will be used for November 2018 submissions, therefore I have recorded the controls as moderate at the time of the audit. Although controls have been improved, the submissions have been incorrect, and the impact is high until revisions have been conducted.	
Actions taken to resolve the issue		Completion date
Submission data will be calculated on audit figures, commencing with the next submission		December 2018
Preventative actions taken to ensure no further issues will occur		Completion date
Maintain regular inspections of database against monthly updates, commencing with the next submission		December 2018
		Identified

ICP identifier and items of load		
Non-compliance	Description	
Audit Ref: 2.2 With: 11(2)(a) and (aa) From: 01-Jun-18 To: 27-Nov-18	ICP identifiers incorrect in the database. Potential impact: Medium Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	There is now a process to ensure ICPs are populated, except that the incorrect ICPs were used. The controls are rated as moderate. 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
Trustpower will advise NZTA of correct ICP's to be added into database.	December 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Inspect Database periodically, commencing early 2019	January 2019	

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Jun-18 To: 27-Nov-18	The field audit identified two lamps which were not recorded in the database. Potential impact: Medium Actual impact: Low Audit history: Twice 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 two lights.		
Actions taken to resolve the issue		Completion date	Remedial action status
Nil. Database already updated		Cleared	
Preventative actions taken to ensure no further issues will occur		Completion date	
Nil		NA	

Volume information accuracy			
Non-compliance	Description		
Audit Ref: 2.1 With: 11(1) of Schedule 15.3 From: 01-Jun-18 To: 27-Nov-18	Submission totals different to database totals indicating over submission of 116,385 kWh per annum. Potential impact: High Actual impact: High Audit history: Twice Controls: Moderate Breach risk rating: 6		
Audit risk rating	Rationale for audit risk rating		
High	TCC has recently updated the database and the updated data will be used for November 2018 submissions, therefore I have recorded the controls as moderate at the time of the audit. Although controls have been improved, the submissions have been incorrect, and the impact is high until revisions have been conducted.		
Actions taken to resolve the issue		Completion date	Remedial action status
Nil: Database has been updated . November submission will use database totals .		Completed	
Preventative actions taken to ensure no further issues will occur		Completion date	
Database will be checked following monthly updates, commencing December 2018		December 2018	