

## Compliance plan for Taupo DC DUML – October 2018

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-May-18 To: 31-Oct-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 131,074 kWh per annum, if the database is correct.</p> <p>The September wattage report has been applied to the month of October and is not expected to be replaced through the revision process.</p> <p>Incorrect ballasts recorded in RAMM.</p> <p>ICP not recorded against 32 items of load in the database resulting in an estimated 14,179 kWh of under submission per annum.</p> <p>Potential impact: High Actual impact: High Audit history: Once previously Controls: Moderate Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	<p>The controls have been improved during the audit period and are therefore rated as moderate.</p> <p>The impact is assessed to be high due to the potential kWh variances found.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Trustpower will work closely with TDC to ensure that their processes for capturing and recording correct ballasts in RAMM are understood by the Council and their contactors.	Ongoing	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Trustpower will work monitor the data closely, starting with the December 2018 data.	Ongoing	

ICP Identifier		
Non-compliance	Description	
Audit Ref: 2.2 With: Clause 11(2)(a) and (aa) of Schedule 15.3 From: 01-May-18 To: 31-Oct-18	ICP not recorded against 32 items of load in the database resulting in an estimated 11,344 kWh of under submission per annum. Potential impact: Medium Actual impact: Medium Audit history: Once Controls: Moderate Breach risk rating: 4	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	The controls are rated as moderate as all but 40 items of load have an ICP recorded. The impact is assessed to moderate based on the estimated volume of under submission.	
Actions taken to resolve the issue	Completion date	Remedial action status
Trustpower will work with TDC to rectify these the ICP discrepancy.	Feb 2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Trustpower will monitor the data on a monthly basis, commencing December 2018.	Feb 2019	

Description and capacity of each item of load			
Non-compliance	Description		
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: 01-May-18 To: 31-Oct-18	230 items of load with incomplete lamp details. Potential impact: Medium Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	The controls have been strengthened during the audit period and are rated as moderate. The impact is assessed to be low, as the impact of the incorrect ballasts (detailed in <b>section 3.2</b> ) is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Trustpower visited the customer and determined that there was work to be done between the customer and the contractor.		30/11/18	
Preventative actions taken to ensure no further issues will occur		Completion date	
Trustpower will monitor the data being submitted each month and guide the customer in effective practices.		Feb 2018	

All load recorded in the database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-May-18 To: 31-Oct-18	All load is not recorded in the database. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</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 low, based on the estimated database accuracy recorded in <b>section 3.1</b> .	
Actions taken to resolve the issue	Completion date	Remedial action status
Trustpower met with the customer determine why the load is not being recorded in the database	November 2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Trustpower will monitor the data being received each month and provide guidance to ensure that the database is updated effectively	Feb 2019	

<b>Database accuracy</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-May-18 To: 19-Nov-18	230 items of load with incomplete lamp details. Incorrect ballasts recorded in RAMM. Potential impact: High Actual impact: Unknown Audit history: Once previously Controls: Moderate Breach risk rating: 6	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>High</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 high due to the unknown impact the incorrect ballasts being applied are.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Trustpower will work closely with TDC to ensure that their processes for capturing and recording correct ballasts in RAMM are understood by the Council and their contactors.	Ongoing	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Trustpower will work monitor the data closely, starting with the December 2018 data.	Ongoing	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-May-18</p> <p>To: 31-Oct-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 131,074 kWh per annum if the database is correct.</p> <p>The September wattage report has been applied to the month of October and will not be replaced through the revision process.</p> <p>Incorrect ballasts recorded in RAMM.</p> <p>ICP not recorded against 32 items of load in the database resulting in an estimated 14,179 kWh of under submission per annum.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Once previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
High	<p>The controls have been improved during the audit period and are therefore rated as moderate.</p> <p>The impact is assessed to be high due to the kWh variances found.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Trustpower will work closely with TDC to ensure that their processes for capturing and recording correct ballasts in RAMM are understood by the Council and their contactors.		Ongoing	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Trustpower will work with TDC to rectify these issues		Ongoing	