

## Compliance plan for NZTA BOP West DUML – 2019]

Distributed unmetered load audits		
Non-compliance	Description	
Audit Ref: 3.2 Clause 17.295F of part 17  From: 01-Jun-18 To: 28-Feb-19	Audit not completed within 12 months of Part 16A coming into effect.  Potential impact: Low Actual impact: Low Audit history: None 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 audit has been undertaken nine months late.  The impact is assessed to be low, as this has no direct impact on reconciliation.	
Actions taken to resolve the issue	Completion date	Remedial action status
Database was being validated hence delay in audit.	22 March 19	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Cooperation with NZTA to be instigated	ASAP	

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 Clause 11(1) of Schedule 15.3  From: unknown To: 28-Feb-19	The database accuracy is assessed to be 94.5% indicating an estimated over submission of 14,400 kWh per annum. Two items of load with no ICP recorded. Three items of load with zero wattage recorded. Potential impact: High Actual impact: Medium Audit history: None Controls: Weak Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	The controls are rated as weak as the 16% error rate indicates that tracking of load change management processes are weak. The impact is assessed to be medium, based on the high level of inaccuracy found in the field audit.	
Actions taken to resolve the issue		Completion date
Two items with no ICP are supplied by Genesis and not applicable to this audit. Clearly identified in database.		
Preventative actions taken to ensure no further issues will occur		Completion date
Will request WestLink remove from Database		31 May 19
		Unknown

ICP Identifier			
Non-compliance	Description		
Audit Ref: 2.2 Clause 11(2)(a) & (aa) of schedule 15.3  From: unknown To: 28-Feb-19	Two items of load with no ICP recorded.  Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	The controls are rated as strong, as all but two items of load had an ICP recorded and it is likely these lights no longer exist.  The impact is assessed to be low, as this will have a very minor effect on reconciliation if in fact these lights exist.		
Actions taken to resolve the issue		Completion date	Remedial action status
These two lamps are not part of the Audit. Database clearly identifies them as supplied by Genesis.			Disputed
Preventative actions taken to ensure no further issues will occur		Completion date	
Will request WestLink remove from Database		31 May 19	

Location of each item of load		
Non-compliance	Description	
Audit Ref: 2.3 Clause 11(2)(b) of schedule 15.3  From: unknown To: 28-Feb-19	Ten items of load with insufficient location details.  Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as moderate and will mitigate risk most of the time. The impact is assessed to be low, as this will have a very minor effect on reconciliation.	
Actions taken to resolve the issue		Completion date
Will have WESTLINK update locations accordingly.		31 May19
Preventative actions taken to ensure no further issues will occur		Completion date
Will monitor database updates		Ongoing
		Identified

Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 Clause 11(2)(c) & (d) of schedule 15.3  From: unknown To: 28-Feb-19	Three items of load with zero wattage recorded.  Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	The controls are rated as strong, as all but three items of load had a valid wattage value recorded.  The impact is assessed to be low, as this will have a very minor effect on reconciliation.		
Actions taken to resolve the issue		Completion date	Remedial action status
Two items as described in Section 2.2 belong to Genesis and should not be part of this audit. The third item is solar powered and is not included in the reconciliation.			Disputed
Preventative actions taken to ensure no further issues will occur		Completion date	
All three items will be removed from Database		31 May 19	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: unknown To: 28-Feb-19	14 additional light found in the field audit. Potential impact: High Actual impact: Medium Audit history: None Controls: Weak Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	The controls are rated as weak as the 16% error rate indicates that tracking of load change management processes are weak. The impact is assessed to be medium as the error rate indicates a high level of inaccuracy in the database content.	
Actions taken to resolve the issue	Completion date	Remedial action status
Trustpower to work with NZTA to assist in updating database in a timely manner.	Ongoing	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)  From: unknown To: 28-Feb-19	The database accuracy is assessed to be 94.5% indicating an estimated over submission of 14,400 kWh per annum. Two items of load with no ICP recorded. Three items of load with zero wattage recorded. Potential impact: High Actual impact: Medium Audit history: None Controls: Weak Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	The controls are rated as weak as the 16% error rate indicates that tracking of load change management processes are weak. The impact is assessed to be medium, based on the high level of inaccuracy found in the field audit.	
Actions taken to resolve the issue		Completion date
Two lamps are supplied by Genesis and not part of this audit. One lamp is solar powered and is not part of the reconciliation process.		
Preventative actions taken to ensure no further issues will occur		Completion date
All three lamps will be removed from database.		31 May19
		Disputed

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 Clause 15.2 and 15.37B(c)  From: unknown To: 28-Feb-19	The database accuracy is assessed to be 94.5% indicating an estimated over submission of 14,400 kWh per annum.  Two items of load with no ICP recorded.  Three items of load with zero wattage recorded.  Potential impact: High Actual impact: Medium  Audit history: None Controls: Weak  Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	The controls are rated as weak as the 16% error rate indicates that tracking of load change management processes are weak.  The impact is assessed to be medium, based on the high level of inaccuracy found in the field audit.	
Actions taken to resolve the issue	Completion date	Remedial action status
Two lamps are supplied by Genesis and not part of this audit. One lamp is solar powered and is not part of the reconciliation process.		Disputed
Preventative actions taken to ensure no further issues will occur	Completion date	
All three lamps will be removed from database.	31 May 19	