

## Compliance plan for NZTA Taupo DUML Audit – November 2018

Deriving submission information			
Non-compliance	Description		
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3  From: 01-May-18 To: 31-Oct-18	Database extract used for submission is not up to date resulting in a potential estimated under submission of 151,398 kWh per annum.  Potential impact: High Actual impact: Unknown Audit history: Once Controls: None Breach risk rating: 12		
Audit risk rating	Rationale for audit risk rating		
High	The controls are rated as none as the database is not being maintained.  The impact is assessed to be high due to the potential under submission if the load is unmetered.		
Actions taken to resolve the issue		Completion date	Remedial action status
Trustpower will work with NZTA/Opus Taupo in getting all values and attributes updated within their database.		Feb 19	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Trustpower has no control over the client's lack of action but we recognise the importance of finding a way forwards. We will continue to work proactively with the customer towards reconciling this issue.		Ongoing	

ICP identifier		
Non-compliance	Description	
Audit Ref: 2.2 With: Clause 11(2)(a) &(aa) of Schedule 15.3  From: 01-May-18 To: 31-Oct-18	The ICP is not recorded in the database extract provided.  Potential impact: High Actual impact: Unknown Audit history: None Controls: None Breach risk rating: 12	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as none as the database is not being maintained. The impact is assessed to be unknown therefore the impact is recorded as high.	
Actions taken to resolve the issue	Completion date	Remedial action status
Trustpower will work with NZTA/Opus Taupo in getting all values and attributes updated within their database.	Feb 19	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Trustpower has no control over the client's lack of action but we recognise the importance of finding a way forwards. We will continue to work proactively with the customer towards reconciling this issue.	Ongoing	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) &(d) of Schedule 15.3 From: 01-May-18 To: 31-Oct-18	Ballast not recorded in the database extract provided. Wattage was recorded as zero or blank for 229 items of load. 54 items of load with no lamp description. Potential impact: High Actual impact: Unknown Audit history: None Controls: None Breach risk rating: 12	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as none as the database is not being maintained. The impact is assessed to be high due to the potential under submission if the load is unmetered.	
Actions taken to resolve the issue	Completion date	Remedial action status
Trustpower will work with NZTA/Opus Taupo in getting all values and attributes updated within their database.	Feb19	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Trustpower has no control over the client's lack of action but we recognise the importance of finding a way forwards. We will continue to work proactively with the customer towards reconciling this issue.	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: 01-May-18 To: 31-Oct-18	The database is not being maintained. Potentially there is an estimated under submission of 151,398 kWh per annum.  Potential impact: High Actual impact: Unknown Audit history: Once Controls: None Breach risk rating: 12	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>High</b>	The controls are rated as none as the database is not being maintained.  The impact is assessed to be high due to the potential under submission if the load is unmetered.	
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>
Trustpower will work with NZTA/Opus Taupo in getting all values and attributes updated within their database.		Feb19
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>
Trustpower has no control over the client's lack of action but we recognise the importance of finding a way forwards. We will continue to work proactively with the customer towards reconciling this issue.		Ongoing
		Identified

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c)  From: 01-May-18 To: 31-Oct-18	Database extract used for submission is not up to date resulting in a potential estimated under submission of 151,398 kWh per annum.  Potential impact: High Actual impact: Unknown Audit history: Once Controls: None Breach risk rating: 12	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	The controls are rated as none as the database is not being maintained. The impact is assessed to be high due to the potential under submission if the load is unmetered.	
Actions taken to resolve the issue		Completion date
Trustpower will work with NZTA/Opus Taupo in getting all values and attributes updated within their database.		Feb19
Preventative actions taken to ensure no further issues will occur		Completion date
Trustpower has no control over the client's lack of action but we recognise the importance of finding a way forwards. We will continue to work proactively with the customer towards reconciling this issue.		Ongoing
		Identified