

## Compliance plan for NZTA Ashburton (Trustpower) – 2019

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: unknown To: 09-Apr-19</p>	<p>One lamp had an incorrect gear wattage recorded, and was corrected during the audit. The error resulted in under submission of 3W or 13 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUML database auditing tool).</p> <p>Festive and decorative lights are unmetered, but are not recorded in RAMM.</p> <p>An incorrect kW value was applied for the April 2019 submission for ICP0000033382EA3C1 resulting in under reporting of 21.59 kWh.</p> <p>Potential impact: Low Actual impact: Unknown Audit history: Once Controls: Weak Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are rated as weak, because they are not sufficient to ensure that database wattage is accurate.</p> <p>The impact is assessed to be low based on the wattage differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Have discussed with ADC about this issue	29 <sup>th</sup> May	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: unknown To: 09-Apr-19	Festive and decorative lights are not recorded in the database. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	Controls are rated as weak, because festive lights are currently excluded from the database. The impact is expected to be low, because only festive and decorative lights are affected.	
Actions taken to resolve the issue	Completion date	Remedial action status
Festive lights are ADC lights and not NZTA	29 <sup>th</sup> May	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
Confirmed with ADC so they will be covered by ADC ICPs	29 <sup>th</sup> May	

Database accuracy	
Non-compliance	Description
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: unknown To: 09-Apr-19	One lamp had an incorrect gear wattage recorded, and was corrected during the audit. The error resulted in under submission of 3W or 13 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUML database auditing tool). Festive and decorative lights are unmetered, but are not recorded in RAMM. Potential impact: Low Actual impact: Unknown Audit history: Once Controls: Weak Breach risk rating: 3

<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>		
<b>Low</b>	<p>The controls are rated as weak, because they are not sufficient to ensure that database wattage is accurate.</p> <p>The impact is assessed to be low based on the wattage differences described above.</p>		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	<b>Remedial action status</b>
Discussed with ADC		29 <sup>th</sup> May	Investigating
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>	

<b>Volume information accuracy</b>			
<b>Non-compliance</b>	<b>Description</b>		
<p>Audit Ref: 3.2</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: unknown</p> <p>To: 09-Apr-19</p>	<p>One lamp had an incorrect gear wattage recorded, and was corrected during the audit. The error resulted in under submission of 3W or 13 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUML database auditing tool).</p> <p>Festive and decorative lights are unmetered, but are not recorded in RAMM.</p> <p>An incorrect kW value was applied for the April 2019 submission for ICP0000033382EA3C1 resulting in under reporting of 21.59 kWh.</p> <p>Potential impact: Low</p> <p>Actual impact: Unknown</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>		
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>		
<b>Low</b>	<p>The controls are rated as weak, because they are not sufficient to ensure that database wattage is accurate.</p> <p>The impact is assessed to be low based on the wattage differences described above.</p>		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	<b>Remedial action status</b>
Discussed with ADC		29 <sup>th</sup> May	Investigating

<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	