

Compliance plan for NZTA BOP West DUML – 2019

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 Clause 11(1) of Schedule 15.3 From: 01-Jan-18 To: 16-Sep-19	The database data was 7.5% lower than the field data for 100% field audit. This will result in under submission of 14,030 kWh per annum. Potential impact: Medium Actual impact: Low Audit history: Once Controls: Weak Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as weak because some database updates have not occurred for more than 18 months. The impact on settlement and participants is minor; therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
TePuna RAB/ NZTA lights are still to be entered into database. Trustpower will meet with NZTA to improve connection/reporting process.		2 months
Preventative actions taken to ensure no further issues will occur		Completion date
Trustpower will promote the New Connection process currently being implemented by Tga CC/ WBOPDC		Ongoing
		Identified

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Jan-18 To: 16-Sep-19	22 additional light found in the field audit. Potential impact: High Actual impact: Low Audit history: Once Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as weak because some database updates have not occurred for more than 18 months. The impact on settlement and participants is minor; therefore the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
TePuna RAB/ NZTA lights are still to be entered into database. Trustpower will meet with NZTA to improve connection/reporting process.		2 months	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Trustpower will promote the New Connection process currently being implemented by Tga CC/ WBOPDC		Ongoing	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: unknown</p> <p>To: 28-Feb-19</p>	<p>The database data was 7.5% lower than the field data for 100% field audit.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are recorded as weak because some database updates have not occurred for more than 18 months.</p> <p>The impact is assessed to be low, because the difference between a monthly snapshot and daily recording of changes is a small percentage of the total consumption for any given month.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Will discuss new connection process with NZTA		2 months	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Will endeavour to implement new connection process as used by Tga CC.		Ongoing	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 Clause 15.2 and 15.37B(c) From: 01-Jan-18 To: 16-Sep-19	The database data was 7.5% lower than the field data for 100% field audit. This will result in under submission of 14,030 kWh per annum. Potential impact: Medium Actual impact: Low Audit history: Once Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as weak because some database updates have not occurred for more than 18 months. The impact on settlement and participants is minor; therefore the audit risk rating is low	
Actions taken to resolve the issue	Completion date	Remedial action status
This will be corrected once all lamps have been added to database.	Ongoing	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Trustpower continues to work with all parties involved to ensure timely database updates. All parties have acknowledged the urgency of the issue.	Ongoing	