

## Compliance plan for NZTA Tauranga DUML – 2019

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: 11(1) of Schedule 15.3 From: 01-Dec-18 To: 25-Nov-19	In absolute terms, total annual consumption is estimated to be 35,500 kWh lower than the DUML database indicates. Potential impact: Medium Actual impact: Medium Audit history: Three times Controls: Moderate Breach risk rating: 4	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact on settlement is moderate; therefore the audit risk rating is medium.	
Actions taken to resolve the issue	Completion date	Remedial action status
Trustpower & NZTA will schedule a meeting to discuss the process for new connections and removals. Major construction is the main cause of this non-compliance.	Meeting before Christmas.	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Trustpower will work with NZTA to formulate a process plan to ensure timely entries into the RAMM database by all contractors.	End of March	

ICP identifier and items of load		
Non-compliance	Description	
Audit Ref: 2.2 With: 11(2)(a) and (aa) From: 01-Dec-18 To: 25-Nov-19	20 metered items of load are recorded against the unmetered ICPs. Potential impact: Medium Actual impact: Low Audit history: Three times Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	There is now a process to ensure ICPs are populated, however 20 items of load have the incorrect ICP. The impact is rated as low because there is a minor impact of not being able to confirm if the database contains the correct information.	
Actions taken to resolve the issue	Completion date	Remedial action status
The lights in question will be allocated to the correct ICP and will be marked within the database as "Metered" by Tga City Council.	15 December	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
The Contractors will be advised of their error and instructed on correct procedure by Tga CC.	15 December	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)  From: 01-Dec-18 To: 25-Nov-19	In absolute terms, total annual consumption is estimated to be 35,500 kWh lower than the DUML database indicates. 20 items of load have the incorrect ICP. Potential impact: Medium Actual impact: Medium Audit history: None Controls: Moderate Breach risk rating: 4	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact on settlement is moderate; therefore the audit risk rating is medium.	
Actions taken to resolve the issue		Completion date
The lights in question will be allocated to the correct ICP and will be marked within the database as "Metered" by Tga City Council.		15 December
Preventative actions taken to ensure no further issues will occur		Completion date
The Contractors will be advised of their error and instructed on correct procedure by Tga CC.		15 December
		Identified

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 2.1 With: 11(1) of Schedule 15.3 From: 01-Dec-18 To: 25-Nov-19	In absolute terms, total annual consumption is estimated to be 35,500 kWh lower than the DUMML database indicates. Potential impact: Medium Actual impact: Medium Audit history: Three times Controls: Moderate Breach risk rating: 4	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact on settlement is moderate; therefore the audit risk rating is medium.	
Actions taken to resolve the issue	Completion date	Remedial action status
Trustpower & NZTA will schedule a meeting to discuss the process for new connections and removals. Major construction is the main cause of this non-compliance.	Meeting before Christmas	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Trustpower will work with NZTA to formulate a process plan to ensure timely entries into the RAMM database by all contractors.	31 March	