

Compliance plan for NZTA Rotorua 2024

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of schedule 15.3 From: 01-Apr-24 To: 31-Jul-24	The database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 100,900 kWh per annum. HHR profile used without an exemption. Potential impact: High Actual impact: High Audit history: None Controls: Weak Breach risk rating: 9	
Audit risk rating	Rationale for audit risk rating	
High	The controls are recorded as weak because they do not ensure the database is updated with changes made in the field. The audit risk rating is high because of the impact on annual kWh.	
Actions taken to resolve the issue	Completion date	Remedial action status
We will discuss the audit results with the customer and recommend that they carry out a full audit of the database to improve the accuracy.	August 2024	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
As above.	N/A	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) and (d) of Schedule 15.3 From: 01-Apr-24 To: 31-Jul-24	Three additional items of load found in the field. Potential impact: High Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as weak because they do not ensure the database is updated with changes made in the field. The audit risk rating is low because of the small impact on annual kWh.	
Actions taken to resolve the issue	Completion date	Remedial action status
We will discuss with the customer and recommend that the necessary fixes to the database are made (potentially coinciding with a full audit of the database).	August 2024	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
As above	N/A	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Apr-24 To: 31-Jul-24	The database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 100,900 kWh per annum. Potential impact: High Actual impact: High Audit history: None Controls: Weak Breach risk rating: 9	
Audit risk rating	Rationale for audit risk rating	
High	The controls are recorded as weak because they do not ensure the database is updated with changes made in the field. The audit risk rating is high because of the impact on annual kWh.	
Actions taken to resolve the issue	Completion date	Remedial action status
We will discuss the audit results with the customer and recommend that they carry out a full audit of the database to improve the accuracy.	August 2024	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
As above	N/A	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-Apr-24</p> <p>To: 31-Jul-24</p>	<p>The database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 100,900 kWh per annum.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: None</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are recorded as weak because they do not ensure the database is updated with changes made in the field.</p> <p>The audit risk rating is high because of the impact on annual kWh.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
We will discuss the audit results with the customer and recommend that they carry out a full audit of the database to improve the accuracy.	August 2024	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
As above	N/A	