# Value Add or Self Preservation Society

How do you engage people when it comes to compliance ?

## A Case Study

Share some of our experiences from our Legal and Regulatory Compliance Project

• What we did. . .

• How we engaged the business. . .

• More importantly - what went well and what we would do differently. . .

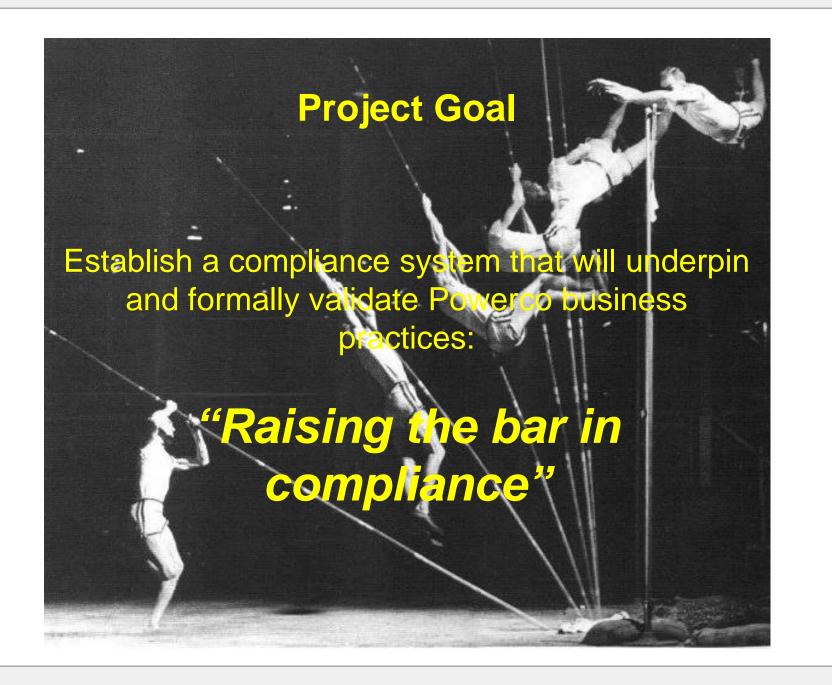
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#### Some Background....

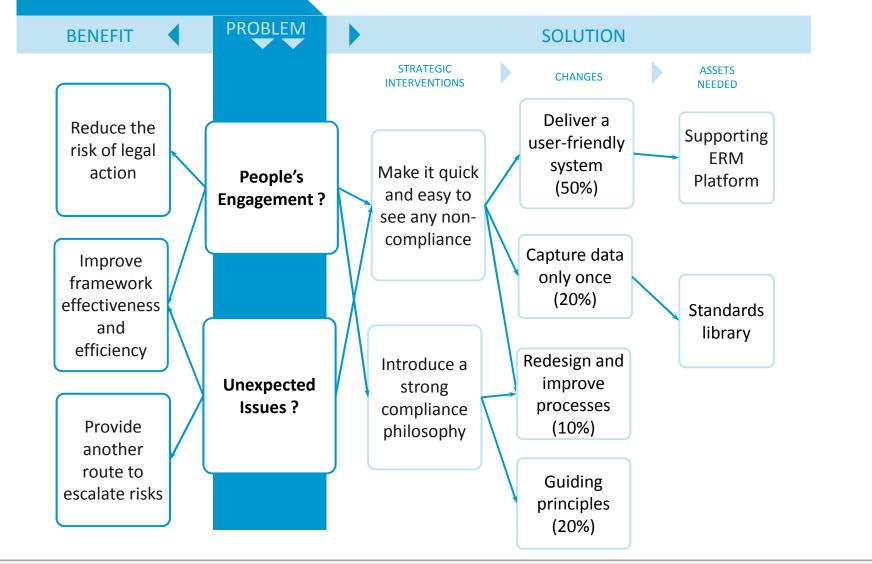
We had a traditional Compliance Register, but....

- It was written by Lawyers
- It was overly complicated
- It used an online system that forced you to complete the assessment in one go
- And worse it did not meet the needs of the business
- So you can guess how successful it was....





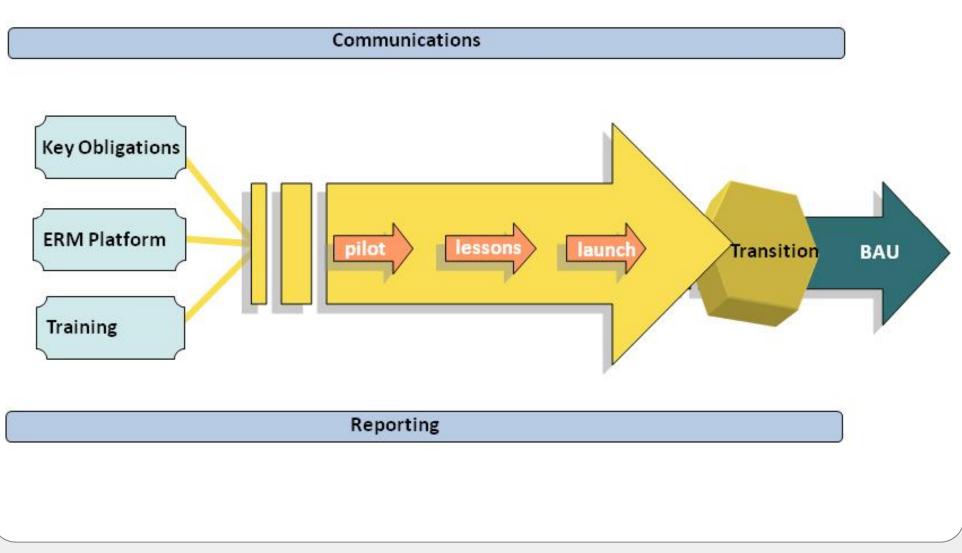
### **Investment Logic Map:** *"Raising the bar in Compliance"*



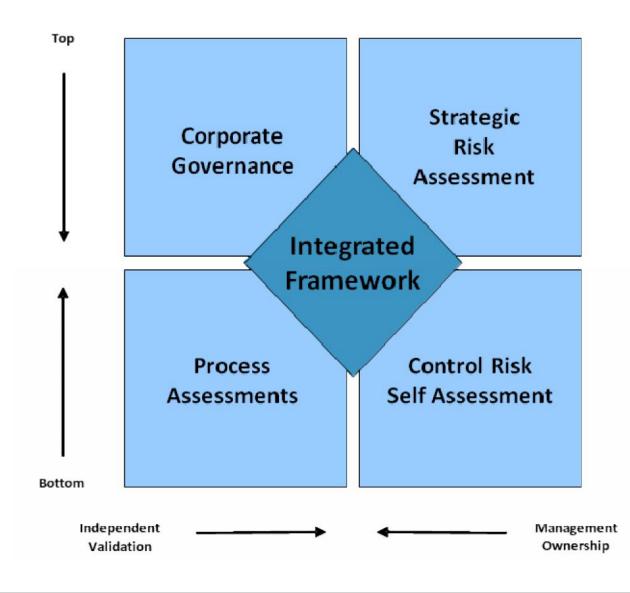
## We listened to the Business

#### General theme of the Rule clarity responses 5.0 Severity of sanction Cost/Benefit 4.0 Keep it simple ۲ Be precise and concise 2.0 • Risk of sanction Acceptance of rule purpose 0.1 Don't overload people • Risk of being inspected Respect for authority Integrate the compliance ۲ project with other work so it doesn't float off alone Risk of being reported Peer pressure Pow erco Focus on awareness and $\bullet$ training

## We started with a simple pilot – Primary Obligations



# And we set the context



### **Embedded in the Business**

- Full registers are in place, but we have not used our ERM platform
- Split into Primary and Secondary Obligations – *People View!*
- Each Section has been risk assessed, simple matrix by business unit
- Accountable for and Impacted by
- Identified the in-house experts across the company

#	Act, Regulations and other Obligations (including amendments)	Relevant Sections	RISK Impact
	Accountable For		
.01	Electricity Act 1992	Part 4 - Electrical codes of practice	Major
		Part 6 - Miscellaneous provisons relating to supply of electricity	
		Part 14 - Miscellaneous provisions - S 159 - Power of entry	
	Electricity (Safety) Regulations 2010	Part 2 - General Safety requirements	Major
		Part 3 - Systems of Supply	
		Part 4 - Safety of Works	
		Part 5 - Safety of installations	
		Part 6 - Safety of Fittings and Appliances	
		Schedule 2 - Electrical Codes of Practice and official standards cited	
	Electricity (Hazard from Trees) Regulations 2003	Part 1 - Control of Trees	Moderat
		Part 3 - Miscellaneous Provisions	Modera
	Electricity (Statistics) Regulations 1996	Most of regulations, But especially SS 5 - 11 - information for statistical returns and for prescribed business relationship	Modera
_	Safety Manual - Electricity Industry (SM-EI) Parts 1, 2 and 3	Published by EEA	Major
_	Safe Practices for Low Voltage Electrical Work	Published by EEA	Major
_	Codes of Practice Under Section 36 of the Act	Schedule 2 of Electricity (Safety) Regulations 2010	Majo
_	NZECP 34:2001 Electrical Safe Distances		Major
_	Standards Created Under and Pursuant to Section 60 of the Act	Schedule 2 of Electricity (Safety) Regulations 2010	Majo
	Refer to Schedule 2 of the Electricity (Safety) Regulations - too many to list		Majo
	Industry Guides - Developed by EEA	Refer to www.eea.co.nz website for available list of published or free download guides	Majo
06	Electricity Inductry Act 2010		Marin
00	Electricity Industry Act 2010	Part 6 - Connection of Distributed Generation	- majo
	Electricity Industry Participation Code		Majo Majo
		Part 8 - Common Quality Part 9 - Security of Supply	Majo
-			Tviajo
-		Part 10 - Metering Arrangements	- Majo
-		Part 12 - Transport Part 13 - Trading Arrangements	wajo
+		Part 13 - Trading Arrangements Part 14 - Clearing and Settlement	Majo Majo
		Part 14 - Crearing and Settlement	Iviaju
12	Forest and Rural Fire Act 1997	SS 53 - Right of Recovery in Certain Cases	Main
12	Forest and Kural Fire Act 1557	Lines causing fire - 1 Insurance Claim - Rangihau fire - 2008 \$340k	Majo
		Lines causing me - 1 insurance claim - Kanginau me - 2008 3340K	
01	Government Roading Powers Act 1989	SS 53 - Poles etc on roads to be adjacent to boundaries	Modera
-	dovernment notaling rowers net 1505	SS 54 - Removal of Roadside Structures	Woderd
		SS 77 Alterations to roads, drains etc.	
-		SS 77 Alterations to roads, drains etc.	
		3578 - Restriction on poles etc. on motorways	
_		SS 6- 8 Obligations to comply with the code	Modera
57	Utilities Access Act 2010		
.57	Utilities Access Act 2010 National Code of Practice for Utility Operator's Access to Transport Coridoors		Modera
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#### **Provide on-going support**

#### We monitor changes for the business on a monthly basis:

#### Government and Industry website monitored

4 Sept 2012

Electricity and Gas Complaints Commission Electricity Authority Eletricity Networks Authority (limited information) NZ Utilities Advisory Group NZ Stock Exchange Commerce Commission

#### And provide an initial indication of what impacts the Business:

Status Information	Updated:	4 September 2012		
	Total	Relevant		
Acts released (YTD)	78	17		
Regulations released (YTD)	258	15		
TOTAL (YTD)	336	32		
<b>Relevant if Act or Regulation amends an Act or Regulation which impacts Powerco</b> (ie listed on Primary or Secondary Obligation Worksheets)				

<Footer on Slide Master>

#### We have simplified the sign off



Status - Issued Form – 140F003 Version 1 – 19 March 2012

POWERCO COMPLIANCE CERTIFICATE

Compliance Period	Period 1 January - 31 December
Department	

I have completed the reviews required by Powerco's Legal Compliance Program (attached) and confirm that for the obligations for which I am directly accountable for:

- 1. to the best of my beliefs and knowledge, and after due enquiry
- 2. all material identified obligations have been complied with for the period above except for those obligations listed below.

Obligation Reference	Description of Non Compliance	Action Plan to Rectify	Estimated Completion Date

Signature	
Name	
Title	
Date	

Authorised by: Chief Financial Officer © Powerco Limited 2012 Page 1 of 1 WARNING: DOCUMENT UNCONTROLLED WHEN PRINTED

#### **Value Protection to Creation**

