

Compliance plan for NZTA East BOP DUML 2018

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: unknown</p> <p>To: 30-Apr-18</p>	<p>Database not used for submission. The registry UML figures are used to calculate submission. The combined variance between the registry and the RAMM database and field audit variances will be resulting in an estimated over submission of 157,665.15 kWh per annum.</p> <p>Potential impact: High</p> <p>Actual impact: Unknown</p> <p>Audit history: None</p> <p>Controls: None</p> <p>Breach risk rating: 12</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as none as none were evident.</p> <p>The audit risk rating is high as a database is not used for submission, and estimated kWh variances found between the registry figures used and the database extract, and the further variances found between the database and field audit were high.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Due to the timing of the report, Genesis has yet to communicate the identified anomalies in the Audit.	10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis, will be communicating the issues with the contracted party with the intent of gaining access/monthly database reporting to help reduce data errors.	10/2018	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: unknown To: 30-Apr-18	66 items of load had no lamp, make, model or wattage recorded. Potential impact: Low Actual impact: Low Audit history: None Controls: None Breach risk rating: 5	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as none as none were evident. The impact is assessed to be low as there are only 66 items without the correct details.	
Actions taken to resolve the issue	Completion date	Remedial action status
Due to the timing of the report, Genesis has yet to communicate the identified anomalies in the Audit.	10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis, will be communicating the issues with the contracted party with the intent of gaining access/monthly database reporting to help reduce data errors.	10/2018	

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-17 To: 30-Apr-18	12 additional items of load found in the field. Potential impact: High Actual impact: Unknown Audit history: None Controls: None Breach risk rating: 12	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as none as none were evident. The impact is assessed to be high, as I am unable to determine the actual impact as the database is not used for submission therefore I have been conservative and assessed it as high.	
Actions taken to resolve the issue	Completion date	Remedial action status
Due to the timing of the report, Genesis has yet to communicate the identified anomalies in the Audit.	10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis, will be communicating the issues with the contracted party with the intent of gaining access/monthly database reporting to help reduce data errors.	10/2018	

Tracking of load changes		
Non-compliance	Description	
Audit Ref: 2.6 With: Clause 11(3) of Schedule 15.3 From: 01-Apr-17 To: 30-Apr-18	Monthly reports not provided to Genesis for submission. Load changes not tracked in the database. Potential impact: High Actual impact: Unknown Audit history: None Controls: Weak Breach risk rating: 9	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as weak, as the field audit found a large volume of incorrect wattages. The impact is assessed to be high due to the kWh volumes.	
Actions taken to resolve the issue	Completion date	Remedial action status
Due to the timing of the report, Genesis has yet to communicate the identified anomalies in the Audit.	10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis, will be communicating the issues with the contracted party with the intent of gaining access/monthly database reporting to help reduce data errors.	10/2018	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: unknown To: 30-Apr-18	Database not used for submission. The database accuracy against the field is assessed to be 90.2 % indicating an estimated over submission of 32,000 kWh per annum if this were used for submission. Potential impact: High Actual impact: Unknown Audit history: None Controls: None Breach risk rating: 12	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as none as none were evident. The audit risk rating is high as a database is not used for submission, and estimated kWh variances found between the registry figures used and the database extract and the further variances found between the database and field audit were high.	
Actions taken to resolve the issue	Completion date	Remedial action status
Due to the timing of the report, Genesis has yet to communicate the identified anomalies in the Audit.	10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis, will be communicating the issues with the contracted party with the intent of gaining access/monthly database reporting to help reduce data errors.	10/2018	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: unknown To: 30-Apr-18	Database not used for submission. The registry UML figures are used to calculate submission. The combined variance between the registry and the RAMM database and field audit variances will be resulting in an estimated over submission of 157,665.15 kWh per annum. Potential impact: High Actual impact: Unknown Audit history: None Controls: None Breach risk rating: 12	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as weak as they are unlikely to mitigate risk and remove errors. The impact is assessed to be medium, based on the kWh differences.	
Actions taken to resolve the issue	Completion date	Remedial action status
Due to the timing of the report, Genesis has yet to communicate the identified anomalies in the Audit.	10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis, will be communicating the issues with the contracted party with the intent of gaining access/monthly database reporting to help reduce data errors.	10/2018	