

Compliance plan for NZTA Northland DUML – 2019

| Deriving submission information | | |
|--|---|------------------------|
| Non-compliance | Description | |
| <p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 15-Dec-18 To: 30-Aug-19</p> | <p>Database not used for submission resulting in a potential under submission of 82,043.55 kWh per annum.</p> <p>164 items of load have the no recorded wattage recorded in the DUML database which would result in under submission of 117,675 kWh per annum if used for submission.</p> <p>422 items of load have the incorrect ballast recorded in the DUML database which would result in under submission of 7,218 kWh per annum if used for submission.</p> <p>Database is not confirmed as accurate with a 95% level of confidence as recorded in section 3.1.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: High Actual impact: High Audit history: Twice Controls: Weak Breach risk rating: 9</p> | |
| Audit risk rating | Rationale for audit risk rating | |
| High | <p>Controls are rated as weak as the database has a high level of inaccuracy indicating controls are weak, and it is not used for submission purposes.</p> <p>The impact is assessed to be high due to the kWh volumes.</p> | |
| Actions taken to resolve the issue | Completion date | Remedial action status |
| Genesis have reviewed a NZTA RAMM dataset and have identified key issues. NZTA Northland have committed to complete a 100% field audit by 31/12/2019. Genesis will be changing to NZTA data. | 01/02/2020 | Identified |
| Preventative actions taken to ensure no further issues will occur | Completion date | |
| Genesis has been working with NZTA Northland and will continue building the relationship and reviewing their dataset for exception identification. | 01/02/2020 | |

| Description and capacity of load | | | |
|--|---|-----------------|------------------------|
| Non-compliance | Description | | |
| Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: 15-Dec-18 To: 30-Aug-19 | 164 lights with no input wattage being recorded resulting in under submission of an estimated 117,675 kWh if the database were used for submission. Potential impact: High Actual impact: High Audit history: Twice Controls: Weak Breach risk rating: 9 | | |
| Audit risk rating | Rationale for audit risk rating | | |
| High | Controls are rated as weak as the database has not been updated to reflect the field information. The risk is high due to the impact on submission. | | |
| Actions taken to resolve the issue | | Completion date | Remedial action status |
| Genesis have reviewed a NZTA RAMM dataset and have identified key issues. NZTA Northland have committed to complete a 100% field audit by 31/12/2019. Genesis will be changing to NZTA data. | | 01/02/2020 | Identified |
| Preventative actions taken to ensure no further issues will occur | | Completion date | |
| Genesis has been working with NZTA Northland and will continue building the relationship and reviewing their dataset for exception identification. | | 01/02/2020 | |

| Database accuracy | | |
|--|---|-------------------------------|
| Non-compliance | Description | |
| <p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 15-Dec-18</p> <p>To: 30-Aug-19</p> | <p>Database is not confirmed as accurate with a 95% level of confidence.</p> <p>422 items of permanent load have the incorrect ballast applied indicating over submission of 7,218 kWh per annum if it were used for submission.</p> <p>164 lights with no input wattage being recorded resulting in under submission of an estimated 117,675 kWh if the database were used for submission.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Three times</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p> | |
| Audit risk rating | Rationale for audit risk rating | |
| High | <p>The controls are rated as weak as the database has not been updated to reflect the field information.</p> <p>The impact is assessed to be high due to the kWh volumes.</p> | |
| Actions taken to resolve the issue | | Completion date |
| Genesis have reviewed a NZTA RAMM dataset and have identified key issues. NZTA Northland have committed to complete a 100% field audit by 31/12/2019. Genesis will be changing to NZTA data. | | 01/02/2020 |
| Preventative actions taken to ensure no further issues will occur | | Completion date |
| Genesis has been working with NZTA Northland and will continue building the relationship and reviewing their dataset for exception identification. | | 01/02/2020 |
| | | Remedial action status |
| | | Identified |

| Volume information accuracy | | |
|--|---|-----------------|
| Non-compliance | Description | |
| <p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 15-Dec-18</p> <p>To: 30-Aug-19</p> | <p>Database not used for submission resulting in a potential under submission of 82,043.55 kWh per annum.</p> <p>164 items of load have the no recorded wattage recorded in the DUMML database which would result in under submission of 117,675 kWh per annum if used for submission.</p> <p>422 items of load have the incorrect ballast recorded in the DUMML database which would result in under submission of 7,218 kWh per annum if used for submission.</p> <p>Database is not confirmed as accurate with a 95% level of confidence as recorded in section 3.1.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p> | |
| Audit risk rating | Rationale for audit risk rating | |
| High | <p>Controls are rated as weak as the database has a high level of inaccuracy indicating controls are weak and it is not used for submission purposes.</p> <p>The impact is assessed to be high due to the kWh volumes.</p> | |
| Actions taken to resolve the issue | | Completion date |
| Genesis have reviewed a NZTA RAMM dataset and have identified key issues. NZTA Northland have committed to complete a 100% field audit by 31/12/2019. Genesis will be changing to NZTA data. | | 01/02/2020 |
| Preventative actions taken to ensure no further issues will occur | | Completion date |
| Genesis has been working with NZTA Northland and will continue building the relationship and reviewing their dataset for exception identification. | | 01/02/2020 |
| Remedial action status | | |
| Identified | | |