

Compliance plan for Porirua NZTA DUMML – 2020

Distributed unmetered load audits		
Non-compliance	Description	
Audit Ref: 1.10 With: Clause 16A.26 and 17.295F From: 01-Aug-19 To: 20-Feb-20	Database not audited within 3 months. Potential impact: Medium Actual impact: Medium Audit history: None Controls: Moderate Breach risk rating: 4	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are rated as moderate. Genesis worked reasonably quickly to identify a database and have an audit once it was identified that PCC was not responsible. The audit risk rating is medium, because an earlier audit may have identified the submission inaccuracy sooner.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis have worked with NZTA to progress the information required to meet the DUMML guidelines. For this to be achieved Genesis had to separate the assets from the PCC dataset and establish the relationship with the NZTA. The settlement process will be revised upon NZTA accepting that the monthly kWh's will be increasing due to PCC's data being out dated.	01/04/2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has established the provision of monthly information from NZTA Porirua's RAMM database.	01/04/2020	

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Aug-19</p> <p>To: 19-Feb-20</p>	<p>Under submission of 206,454 kWh per annum due to the use of an inaccurate database.</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 rated as weak because the most current database is not being used, and the most current database is not yet completely populated.</p> <p>The audit risk rating is high based on kWh variances detailed above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis have worked with NZTA to progress the information required to meet the DUML guidelines. For this to be achieved Genesis had to separate the assets from the PCC dataset and establish the relationship with the NZTA. The settlement process will be revised upon NZTA accepting that the monthly kWh's will be increasing based off the information held within RAMM.</p>	01/06/2020	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Genesis has established the provision of monthly information from NZTA Porirua's RAMM database. Genesis will be reviewing the information provided and report exceptions back to Capital Journey's for corrections to be made.</p> <p>Genesis has discussed that the new connection process should be reviewed and the Distributor, should not be allowing any new asset connections without the trader's acceptance.</p>	01/06/2020	

ICP identifier and items of load		
Non-compliance	Description	
Audit Ref: 2.2 With: Clause 11(2)(a) and (aa) of Schedule 15.3 From: 01-Aug-19 To: 19-Feb-20	Nine items of load with a blank ICP. Potential impact: Low Actual impact: Low Audit history: None Controls: None Breach risk rating: 5	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are not in place to identify this type of discrepancy. The audit risk rating is low based on the small number of discrepancies.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will request all asset ICP information to be updated	01/06/2020	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has established the provision of monthly information from NZTA Porirua's RAMM database. Genesis will be reviewing the information provided and report exceptions back to Capital Journey's for corrections to be made.	01/06/2020	

Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 With: Clause 11(2)(b) of Schedule 15.3 From: 01-Aug-19 To: 19-Feb-20	14 records do not have a lamp make and model. 340 records have an unknown make and model but have sufficient information to determine wattage. 221 lamp wattages are blank 348 gear wattages are blank 8 gear wattages are incorrect Potential impact: High Actual impact: Low Audit history: None Controls: None Breach risk rating: 5		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are not in place to identify this type of discrepancy. The audit risk rating is low because this data is not used for submission. If this data was used for submission, the error would be high.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis will request all asset ICP information to be updated		01/06/2020	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis has established the provision of monthly information from NZTA Porirua's RAMM database. Genesis will be reviewing the information provided and report exceptions back to Capital Journey's for corrections to be made.		01/06/2020	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Aug-19 To: 20-Feb-20	A large number of discrepancies exist in the database. Potential impact: High Actual impact: Low Audit history: None Controls: None Breach risk rating: 5	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are not in place to identify this type of discrepancy. The audit risk rating is low because this data is not used for submission. If this data was used for submission, the error would be high.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will request all asset ICP information to be updated	01/06/2020	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has established the provision of monthly information from NZTA Porirua's RAMM database. Genesis will be reviewing the information provided and report exceptions back to Capital Journey's for corrections to be made.	01/06/2020	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 01-Aug-19 To: 20-Feb-20	Under submission of 206,454 kWh per annum due to the use of an inaccurate database. 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 rated as weak because the most current database is not being used. The audit risk rating is high based on kWh variances detailed above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis have worked with NZTA to progress the information required to meet the DUML guidelines. For this to be achieved Genesis had to separate the assets from the PCC dataset and establish the relationship with the NZTA. The settlement process will be revised upon NZTA accepting that the monthly kWh's will be increasing based off the information held within RAMM.	01/06/2020	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has established the provision of monthly information from NZTA Porirua's RAMM database. Genesis will be reviewing the information provided and report exceptions back to Capital Journey's for corrections to be made. Genesis has discussed that the new connection process should be reviewed and the Distributor, should not be allowing any new asset connections without the trader's acceptance.	01/06/2020	