

Compliance plan for NZTA Hawkes Bay and Genesis Energy – 2021

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-May-20</p> <p>To: 08-Feb-21</p>	<p>Under submission occurred by 1,646 kWh for December 2020 due to incorrect data.</p> <p>The current monthly report does not include asset removal dates, so if a light is removed during the month, it does not appear for the entire month.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are recorded as moderate because whilst the deleted lamps were identified, they were not notified to Genesis. Controls are rated as moderate to strong with regard to the processing by Genesis.</p> <p>The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has made the adjustments to include the extra lamps not notified to Genesis, which will ensure the volume is accounted for in the Dec-20 revision.	22/02/2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has implemented asset count reporting to monitor streetlighting total assets	01/03/2021	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-May-20 To: 08-Feb-21	Three additional items of load identified by the field audit. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Genesis has advised the NZTA of its additional field assets and NZTA are reviewing the database and will make the necessary adjustments.		01/03/2021
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis has notified the NZTA of the asset discrepancies. Genesis relies on the NZTA to accurately maintain its database.		
		Investigating

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-May-20</p> <p>To: 08-Feb-21</p>	<p>56 items of load have the incorrect ballast applied.</p> <p>Delays in updating the database for new connections.</p> <p>23 items of load missing from the database for December 2020 due to a centreline being deleted.</p> <p>43 errors identified by the field audit.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are recorded as weak because many of these discrepancies were present during previous audits when this load was included in Council databases.</p> <p>The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has been advised that the asset gear wattage anomalies have been corrected, Genesis will review the report once received early March for Feb-2021 processing. Genesis will also review to ensure the deleted assets have been reinstated.		22/02/2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis review the data set prior to settlement procedures and advises the NZTA of the asset's discrepancies. Asset count reporting has been implemented to monitor monthly asset movement.		22/02/2021	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-May-20</p> <p>To: 08-Feb-21</p>	<p>Under submission occurred by 1,646 kWh for December 2020 due to incorrect data.</p> <p>The current monthly report does not include asset removal dates, so if a light is removed during the month, it does not appear for the entire month.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are recorded as moderate because whilst the deleted lamps were identified, they were not notified to Genesis. Controls are rated as moderate to strong with regard to the processing by Genesis.</p> <p>The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p>	
Actions taken to resolve the issue		Completion date
Genesis reviews the asset reporting provided and adjusts as required and notifies the NZTA of any corrective actions within their database.		
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis has communicated to the NZTA the tracking of change requirements. As Genesis has not been able to ascertain whether there has been any upgrades or removals as there is no light/lamp removal date within the reporting to Genesis. Genesis has requested to be notified of new/removed assets in accordance of the DUML regime requirements.		19/02/2021
		Investigating