

## Compliance plan for NZTA Porirua (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-Oct-19</p> <p>To: 31-Dec-20</p>	<p><b>ICPs 1001102038UN6D0 and 1001102039UNA95</b></p> <p>The database is not confirmed as accurate with a 95% level of confidence.</p> <p>Gear wattages for pole IDs 46426 and 15935 are blank, but should have zero recorded.</p> <p>Pole ID 55991 was temporarily recorded against 1001102039UN-A95 (PNI0331) instead of 1001102038UN-6D0 (TKR0331), and was corrected during the audit.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p><b>ICP 1001101874UN586</b></p> <p>ICP 1001101874UN586 is not recorded in RAMM, and settlement is not based on database information.</p> <p>Potential impact: High</p> <p>Actual impact: Unknown</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
<p><b>Medium</b></p>	<p>The controls are rated as weak, because NZTA's RAMM information is only used for settlement of two of the three ICPs.</p> <p>The overall impact is unknown because the correct wattage for ICP 1001101874UN586 was unable to be determined. Based on the assumption that the registry data applied for submission is a reasonable estimate of the load, the impact is assessed to be a maximum of medium.</p> <p>The incorrect ICP number and blank gear wattages have no impact on reconciliation results.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis continues to work with the NZTA and Capital Journey's to gain accuracy levels. Genesis are aware that there is a continuous gradual improvement in the asset information from where it began.</p> <p>Genesis will be working with the contractor reiterate the necessity of change reporting.</p>	<p>continuous improvements being conducted</p>	<p>Investigating</p>

Preventative actions taken to ensure no further issues will occur	Completion date
Genesis has requested the assets for ICP 1001101874UN586 be audited under the DUML due to its load. Genesis and NZTA are currently investigating these connections and whether they are able to be metered.	unknown

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(b) of Schedule 15.3  From: 03-Dec-20 To: 03-Dec-20	Gear wattages for pole IDs 46426 and 15935 are blank, but should have zero recorded.  Potential impact: Medium  Actual impact: Low  Audit history: Once  Controls: Moderate  Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are moderate because lamp description, lamp wattages and gear wattages are recorded for almost all lamps.  The audit risk rating is low because the two blank gear wattages should be recorded as zero, and Capital Journeys intends to update the database.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has requested the asset gear wattages be populated	01/04/2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the NZTA and Capital Journey's to gain accuracy levels. Genesis are aware that there is a continuous gradual improvement in the asset information from where it began.	continuous improvements being conducted	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 03-Dec-20</p> <p>To: 03-Dec-20</p>	<p><b>ICPs 1001102038UN6D0 and 1001102039UNA95</b></p> <p>The database is not confirmed as accurate with a 95% level of confidence.</p> <p>Gear wattages for pole IDs 46426 and 15935 are blank, but should have zero recorded.</p> <p>Pole ID 55991 was temporarily recorded against 1001102039UN-A95 (PNI0331) instead of 1001102038UN-6D0 (TKR0331), and was corrected during the audit.</p> <p>Potential impact: High</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis continues to work with the NZTA and Capital Journey's to gain accuracy levels. Genesis are aware that there is a continuous gradual improvement in the asset information from where it began.</p> <p>Genesis will be working with the contractor reiterate the necessity of change reporting.</p>	continuous improvements being conducted	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has requested the assets for ICP 1001101874UN586 confirmed in previous conversations. Genesis will raise its concerns again.	unknown	

Volume information accuracy	
Non-compliance	Description
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p>	<p><b>ICPs 1001102038UN6D0 and 1001102039UNA95</b></p> <p>The database is not confirmed as accurate with a 95% level of confidence.</p> <p>Gear wattages for pole IDs 46426 and 15935 are blank, but should have zero recorded.</p>

<p>From: 01-Oct-19 To: 31-Dec-20</p>	<p>Pole ID 55991 was temporarily recorded against 1001102039UN-A95 (PNI0331) instead of 1001102038UN-6D0 (TKR0331), and was corrected during the audit.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p><b>ICP 1001101874UN586</b></p> <p>ICP 1001101874UN586 is not recorded in RAMM, and settlement is not based on database information.</p> <p>UNM profile is recorded on the registry, but UML profile is correctly applied for submission.</p> <p>Potential impact: High</p> <p>Actual impact: Unknown</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
<p><b>Medium</b></p>	<p>The controls are rated as weak, because NZTA's RAMM information is only used for settlement of two of the three ICPs.</p> <p>The overall impact is unknown because the correct wattage for ICP 1001101874UN586 was unable to be determined. Based on the assumption that the registry data applied for submission is a reasonable estimate of the load, the impact is assessed to be a maximum of medium.</p> <p>The incorrect ICP number and blank gear wattages have no impact on reconciliation results.</p>	
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<p>Genesis continues to work with the NZTA and Capital Journey's to gain accuracy levels. Genesis are aware that there is a continuous gradual improvement in the asset information from where it began.</p> <p>Genesis will be working with the contractor reiterate the necessity of change reporting.</p>	<p>continuous improvements being conducted</p>	<p>Investigating</p>
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Genesis has requested the assets for ICP 1001101874UN586 to be confirmed in previous conversations. Genesis has raised its concerns again and the NZTA are currently investigating the possibility of metering the connection.</p>	<p>unknown</p>	