

Compliance plan for Waka Kotahi Lower North Island 2022

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Oct-21 To: 30-Jun-22</p>	<p>Under submission of 9,262 kWh for June 2022 due to the incorrect burn hours being used.</p> <p>Database assessed as having poor precision therefore the potential error is greater than 5.0% resulting in an estimated over submission of 29,100 kWh per annum.</p> <p>Database discrepancies are as follows:</p> <ul style="list-style-type: none"> • 13 incorrect gear wattages, • Four items have invalid combinations of lamp and gear wattages where either could be incorrect, and • 90 incorrect or missing light model descriptions. <p>Potential impact: High Actual impact: Medium Audit history: Once previously Controls: Weak Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are recorded as weak because the database requires a 100% field audit in order to ensure accuracy.</p> <p>The impact on settlement and participants is moderate based on the kWh error; therefore, the audit risk rating is medium.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis has reviewed auditor's findings with regards to incorrect bur hours and have revised submission and attached a copy of the latest volumes submitted.</p> <p>Genesis has been working with NZTA and resolved the discrepancies regarding incorrect gear, invalid combinations of lamp and gear wattages & incorrect or missing light model descriptions. NZTA have updated majority of the highlighted discrepancies. The latest dataset has been attached for you reference. NZTA have confirmed they do look for any blanks in the light model descriptions and update it as the earliest.</p>		15/11/2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis will continue to work with NZTA and keep improving data accuracy as and when possible		Continuous Improvement	

Description and capacity of load		
Non-compliance	Description	
<p>Audit Ref: 2.4</p> <p>With: Clause 11(2)(c) and (d) of Schedule 15.3</p> <p>From: 01-Oct-21</p> <p>To: 30-Jun-22</p>	<p>84 items of load have a blank or unknown light model description.</p> <p>Six items have incorrect light make and model</p> <p>Four items have invalid combinations of lamp and gear wattages where either could be incorrect</p> <p>Nine items of load have incorrect gear wattages</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once previously</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 the database requires a 100% field audit in order to ensure accuracy.</p> <p>The impact is assessed to be low based on the kWh impact.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>NZTA have confirmed they do look for any blanks and unknown in the light model descriptions and update it as soon as information is available.</p> <p>2 out of 6 lamps incorrect light make and model have been corrected. NZTA are waiting for the as built to be provided and have the lamp make corrected.</p> <p>Genesis has been working with NZTA and resolved the highlighted discrepancies regarding invalid combinations of lamp and gear wattages & incorrect gear wattages.</p> <p>NZTA have confirmed they do look for any blanks and unknown in the light model descriptions and update it as soon as information is available.</p>	15/02/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will continue to work with NZTA and keep improving data accuracy as and when possible	Continuous Improvement	

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Oct-21 To: 30-Jun-22	40 items of load in the field not recorded in the database. This discrepancy is included in the total field audit discrepancy recorded in section 3.1 . Potential impact: Medium Actual impact: Low Audit history: Once previously Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as weak because the database requires a 100% field audit in order to ensure accuracy. The impact on settlement and participants is minor; therefore, the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has reviewed the auditors finding and have advised NZTA of the discrepancy. NZTA have made updates on RAMM as and where required. Out of the 40 items NZTA have identified 14 which are STD UML metered. Genesis has updated UNM details on the registry to reflect the same		13/12/2022	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis continues to work with the council to increase accuracy levels in their database.		Continuous improvement	

Non-compliance	Description		
<p>Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Oct-21 To: 30-Jun-22</p>	<p>Database assessed as having poor precision therefore the potential error is greater than 5.0% resulting in an estimated over submission of 35,600 kWh per annum.</p> <p>Database discrepancies are as follows:</p> <ul style="list-style-type: none"> • 13 incorrect gear wattages, • Four items have invalid combinations of lamp and gear wattages where either could be incorrect, and • 90 incorrect or missing light model descriptions. <p>Potential impact: High Actual impact: Medium Audit history: Once previously Controls: Weak Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
<p>Medium</p>	<p>The controls are recorded as weak because the database requires a 100% field audit in order to ensure accuracy.</p> <p>The impact on settlement and participants is moderate based on the kWh error; therefore, the audit risk rating is medium.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis has been working with NZTA and resolved the highlighted discrepancies regarding incorrect gear wattages & items having invalid combinations of lamp and gear wattages.</p> <p>NZTA have confirmed they do look for any blanks and unknown in the light model descriptions and update it as soon as information is available.</p>		<p>28/11/2022</p>	<p>Identified</p>
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis continues to work with the council to increase accuracy levels in their database.</p>		<p>Continuous Improvement</p>	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-Oct-21</p> <p>To: 30-Jun-22</p>	<p>Under submission of 9,262 kWh for June 2022 due to the incorrect burn hours being used.</p> <p>Database assessed as having poor precision therefore the potential error is greater than 5.0% resulting in an estimated over submission of 35,600 kWh per annum.</p> <p>Database discrepancies are as follows:</p> <ul style="list-style-type: none"> • 13 incorrect gear wattages, • Four items have invalid combinations of lamp and gear wattages where either could be incorrect, and • 90 incorrect or missing light model descriptions. <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: Once previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are recorded as weak because the database requires a 100% field audit in order to ensure accuracy.</p> <p>The impact on settlement and participants is moderate based on the kWh error; therefore, the audit risk rating is medium.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis has revised submission and attached a copy of the latest volumes submitted.</p> <p>Genesis has been working with NZTA and resolved the highlighted discrepancies regarding incorrect gear wattages & items having invalid combinations of lamp and gear wattages.</p> <p>NZTA have confirmed they do look for any blanks and unknown in the light model descriptions and update it as soon as information is available.</p>	28/11/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the council to increase accuracy levels in their database.	Continuous Improvement	