

Compliance Plan for NZTA Northland DUML OCT 2022

Distributed unmetered load audits		
Non-compliance	Description	
Audit Ref: 1.10 Clause 17.295F of part 17 From: 15-Apr-22 To: 26-Sep-22	Audit not completed within the required timeframe. Potential impact: Low Actual impact: Low Audit history: Three times Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong, as Genesis are reliant on the database provider to supply the data and in this case the delay caused this report to be late. The impact is assessed to be low, as this has no direct impact on reconciliation.	
Actions taken to resolve the issue		Completion date
Genesis has appointed a Data and Stakeholder Lead to have the audits performed in a timely manner and brought upto speed.		21/10/2022
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis has appointed a Data and Stakeholder Lead to have the audits performed in a timely manner and brought upto speed.		21/10/2022
Remedial action status		
Cleared		

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: unknown</p> <p>To: 16-Sep-22</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: Multiple times</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.</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 has brought this to the Relationship Managers attention and work with NZTA to have the database updated and maintained.	01/01/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
NZTA will be notified of the auditor's findings. Genesis relies on NZTA to accurately maintain its database.	01/01/2023	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: unknown To: 16-Sep-22	Nine additional lights were found in the field. Potential impact: High Actual impact: Low Audit history: Once Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as weak as the database has not been updated to reflect the field information. The impact is assessed to be low due to the kWh volumes.	
Actions taken to resolve the issue		Completion date
Genesis has brought this to the Relationship Managers attention and work with NZTA to have the database updated and maintained.		01/01/2023
Preventative actions taken to ensure no further issues will occur		Completion date
NZTA will be notified of the auditor's findings. Genesis relies on NZTA to accurately maintain its database.		01/01/2023
		Investigating

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: unknown To: 16-Sep-22	Database is not confirmed as accurate with a 95% level of confidence. Potential impact: High Actual impact: High Audit history: Multiple times Controls: Weak Breach risk rating: 9	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as weak as the database has not been updated to reflect the field information. The impact is assessed to be high due to the kWh volumes.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has brought this to the Relationship Managers attention and work with NZTA to have the database updated and maintained.	01/01/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
NZTA will be notified of the auditor's findings. Genesis relies on NZTA to accurately maintain its database.	01/01/2023	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: unknown To: 31-Jul-20	Database is not confirmed as accurate with a 95% level of confidence as recorded in section 3.1. The data used for submission does not track changes at a daily basis and is provided as a snapshot. Potential impact: High Actual impact: High Audit history: Multiple times Controls: Weak Breach risk rating: 9	
Audit risk rating	Rationale for audit risk rating	
High	Controls are rated as weak as the database has a high level of inaccuracy indicating controls are weak, and there are no processes to update changes from the field. The impact is assessed to be high due to the kWh volumes.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has brought this to the Relationship Managers attention and work with NZTA to have the database updated and maintained.	01/01/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
NZTA will be notified of the auditor's findings. Genesis relies on NZTA to accurately maintain its database.	01/01/2023	