

Compliance plan for NZTA Hawkes Bay DUML 2022

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-Mar-21</p> <p>To: 31-Jan-22</p>	<p>Under submission occurred by 1,392 kWh per annum due to minor database errors.</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: Once</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 most issues are identified and addressed within a reasonable timeframe.</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 reviewed the auditors finding and have advised NZTA Hawkes Bay of requirement of visibility of tracking of change within there data base and have recommend that install date/removal date be included in their data extract.	01/07/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Mar-21 To: 31-Jan-21	One additional item of load identified by the field audit. Potential impact: Low Actual impact: Low Audit history: Once Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as strong. Lighting designs and as-built plans are reviewed to ensure the database is accurate. This one error does not indicate a systemic issue. 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 Hawkes Bay of the discrepancy with the intent that the NZTA Hawkes Bay makes every effort to ensure the exceptions are rectified.		01/07/2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis continues to work with NZTA Hawkes Bay to provide exceptions and reporting refinements back to NZTA.		Continuous Improvement	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Mar-21</p> <p>To: 31-Jan-22</p>	<p>43 items of load have the incorrect ballast applied.</p> <p>Delays in updating the database for new connections.</p> <p>Four errors identified by the field audit.</p> <p>Luminaire make and model information is insufficient to identify the specific items of load.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Once</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 most issues are identified and addressed within a reasonable timeframe.</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
<p>Genesis has reviewed the auditors finding and have advised NZTA Hawkes Bay of the discrepancy with the intent that the NZTA Hawkes Bay makes every effort to ensure the exceptions are rectified.</p> <p>In reference to the new connection process within the Hawkes Bay region, Genesis will look to review this process with the NZTA with the aim that new roads are been added within a timely manner.</p>		Continuous Improvement	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis continues to work with NZTA Hawkes Bay to provide exceptions and reporting refinements back to NZTA.</p>		Continuous Improvement	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2 With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Mar-21 To: 31-Jan-22</p>	<p>Under submission occurred by 1,392 kWh per annum due to minor database errors.</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: Once</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 most issues are identified and addressed within a reasonable timeframe.</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 reviewed the auditors finding and have advised NZTA Hawkes Bay of requirement of visibility of tracking of change within their data base and have recommend that install date/removal date be included in their data extract.	01/07/2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	