

## Compliance plan for NZTA Waikato DUML 2024

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-24</p> <p>To: 07-Aug-24</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 105,300 kWh per annum.</p> <p>37 discrepancies identified in the 2023 audit have not been corrected, 76 of 87 discrepancies identified in the last audit have not been corrected, and Two items of load with zero wattage recorded.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times previously.</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>		
Audit risk rating	Rationale for audit risk rating		
<b>High</b>	<p>The controls are recorded to be weak because they don't ensure the database is accurate and the issues recorded in previous audits have not been remedied.</p> <p>The impact is assessed to be high due to the estimated kWh impact.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis continues to notify and provide NZTA with the audit findings and discrepancies identified and has continued to strongly recommend these are investigated and updated in their system.		Continuous Improvement	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
1000522354PCD90 profile has been changed to GSL		02/09/2024	

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-May-24</p> <p>To: 07-Aug-24</p>	<p>Two items of load with zero wattage recorded.</p> <p>Nine items of load with unknown light make.</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		
<b>Low</b>	<p>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement.</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 continues to notify and provide NZTA with the audit findings and discrepancies identified and has continued to strongly recommend these are investigated and updated in their system.		Continuous Improvement	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis continues to notify and provide NZTA with the audit findings and discrepancies identified and has continued to strongly recommend these are investigated and updated in their system.		Continuous Improvement	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-May-24 To: 07-Aug-24	14 additional items of load identified by the field audit. Potential impact: High Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are recorded as weak because they are not sufficient to ensure the database is accurate 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 continues to notify and provide NZTA with the audit findings and discrepancies identified and has continued to strongly recommend these are investigated and updated in their system.	Continuous Improvement	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to notify and provide NZTA with the audit findings and discrepancies identified and has continued to strongly recommend these are investigated and updated in their system.	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-May-24</p> <p>To: 07-Aug-24</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated under submission of 105,300 kWh per annum.</p> <p>37 discrepancies identified in the 2023 audit have not been corrected, 76 of 87 discrepancies identified in the last audit have not been corrected, and Two items of load with zero wattage recorded.</p> <p>Nine items of load with unknown light make.</p> <p>Submission is based on a snapshot and does not consider changes during the month.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>		
Audit risk rating	Rationale for audit risk rating		
High	<p>The controls are recorded to be weak because they don't ensure the database is accurate and the issues recorded in previous audits have not been remedied.</p> <p>The impact is assessed to be high due to the estimated kWh impact.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis and the auditors have continued to recommend a full audit be carried out. NZTA have advised there is no funding for a full field audit to be carried out and due to NZTA going under a new maintenance model change with an expected live date of March 2026, this is very unlikely to take place before then.</p> <p>Genesis continues to notify and provide NZTA with the audit findings and discrepancies identified and has continued to strongly recommend these are investigated and updated in their system.</p>		Continuous Improvement	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis and the auditors have continued to recommend a full audit be carried out. NZTA have advised there is no funding for a full field audit to be carried out and due to NZTA going under a new maintenance model change with an expected live date of March 2026, this is very unlikely to take place before then.</p> <p>Genesis continues to notify and provide NZTA with the audit findings and discrepancies identified and has continued to strongly recommend these are investigated and updated in their system.</p>		Continuous Improvement	



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-May-24</p> <p>To: 07-Aug-24</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 105,300 kWh per annum.</p> <p>37 discrepancies identified in the 2023 audit have not been corrected, 76 of 87 discrepancies identified in the last audit have not been corrected, and Two items of load with zero wattage recorded.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times previously.</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are recorded to be weak because they don't ensure the database is accurate and the issues recorded in previous audits have not been remedied.</p> <p>The impact is assessed to be high due to the estimated kWh impact.</p>	
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