

Compliance plan for Waimate DC – 2018

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: 11(1) of Schedule 15.3 From: 01-Jan-16 To: 30-Apr-18</p>	<p>Unmetered load held on the Registry, being used to calculate monthly submissions, is a historic value. The difference between the submission made based on Registry information and the outcome based on WDC's database is calculated to be an under submission 2,782.1 kWh for March period.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: None Controls: Weak Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as weak because Waimate District Council's database is not being used for submissions and Registry information has not been updated</p> <p>The impact is rated as medium, based on the potential calculated kWh difference.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has not been able to obtain the relevant detailed information to validate volumes being reported. Genesis are still actively seeking this information.	10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will liaise with contracted party to open communication channels and monthly reporting.	10/2018	

ICP identifier and items of load		
Non-compliance	Description	
Audit Ref: 2.2 With: Clause 11(2)(a) and (aa) of Schedule 15.3 From/to: entire audit period	Not all items of load have an ICP identifier recorded against them. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate, majority of items of load have an ICP number recorded against them. The impact is rated as low due to the estimated relatively small kWh per annum.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has not been able to obtain the relevant detailed information to validate volumes being reported. Genesis are still actively seeking this information.	10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will liaise with contracted party to open communication channels and monthly reporting.	10/2018	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clauses 11(2)(c) and (d) of Schedule 15.3 From/to: entire audit period	Six of the seven lamp type wattages were not correct, affecting 456 lamps with an overall wattage difference of 1,157 kW per annum. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as weak because 456 of the 621 items of load in the database have the incorrect wattage information. The impact is rated as low, because of the relatively small kW involved.	
Actions taken to resolve the issue	Completion date	Remedial action status

Genesis has not been able to obtain the relevant detailed information to validate volumes being reported. Genesis are still actively seeking this information.	10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will liaise with contracted party to open communication channels and monthly reporting.	10/2018	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From/to: entire audit period	<p>All load is not recorded in the database. One additional 'PHIL (70N, 70 watts)' lamp was located on Pitman Place during the sample check. Will result in estimated under submission of 354.5 kWh per annum</p> <p>Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as moderate because only one additional item of load was located.</p> <p>The impact is rated as low, because of the relatively small kW involved.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has not been able to obtain the relevant detailed information to validate volumes being reported. Genesis are still actively seeking this information.	10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will liaise with contracted party to open communication channels and monthly reporting.	10/2018	

Tracking of load changes		
Non-compliance	Description	
<p>Audit Ref: 2.6</p> <p>With: 11(3) of Schedule 15.3</p> <p>From/to: entire audit period</p>	<p>Changes to load are not always notified by NetCon in a timely manner. No adjustment is made to the database for Festive light load.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as moderate because when advised RAMM is updated in a timely manner.</p> <p>The impact is rated as low, because of the relatively small kW involved.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has not been able to obtain the relevant detailed information to validate volumes being reported. Genesis are still actively seeking this information.	10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will liaise with contracted party to open communication channels and monthly reporting.	10/2018	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: 15.2 and 15.37B(b)</p> <p>From/to: entire audit period</p>	<p>The database was found to contain some inaccuracies.</p> <ul style="list-style-type: none"> • The database check found six of the seven lamp type and wattages were not correct, affecting 456 lamps with an overall wattage difference of 1,157 kW per annum. • The field audit found one additional lamp and one lamp type and wattage difference. Resulting in estimated under submission of 367 kWh per annum. • The field data was 100.6% of the database data for the sample checked. The total wattage recorded in the database for the sample was 14,647 watts. The total wattage found in the field for the sample checked was 14,733 watts, a difference of 86 watts. This will result in estimated under submission of 367 kWh per annum. <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 rated as weak because of the amount of incorrect information in the database.</p> <p>The impact is rated as low, because of the relatively small kW involved.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has not been able to obtain the relevant detailed information to validate volumes being reported. Genesis are still actively seeking this information.	10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will liaise with contracted party to open communication channels and monthly reporting.	10/2018	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: 15.2 and 15.37B(c)</p> <p>From/to: entire audit period</p>	<p>Unmetered load held on the Registry, being used to calculate monthly submissions, is a historic value. The difference between the submission made based on Registry information and the outcome based on WDC's database is calculated to be an under submission 2,782.1 kWh for March period.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: None</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as weak because Waimate District Council's database is not being used for submissions and Registry information has not been updated</p> <p>The impact is rated as medium, based on the potential calculated kWh difference.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
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