

## Compliance plan for Waikato DC DUML Audit 2018

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-Apr-17</p> <p>To: 30-Apr-18</p>	<p>The submission for ICP 0000011102WE267 was found to be incorrect and resulting in an estimated over submission of 47,300 kWh per annum.</p> <p>The database accuracy is assessed to be 90.9% indicating an estimated over submission of 153,900 kWh per annum.</p> <p>Analysis of the ballasts applied indicate a minor under submission of 508.25 kWh.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: None</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are rated as weak as the processes in place to capture change will not mitigate risk and remove errors especially in relation to new connections.</p> <p>The impact is assessed to be high, based on the kWh differences.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has yet to liaise with WDC in regards to this report due to its timing. Genesis do plan to ensure WDC have a copy of this report to investigate remedial actions.	12/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will be working with WDC continuing our support in the administration of WDC duml database	12/2018	

<b>All load recorded in database</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3  From: 01-Apr-17 To: 30-Apr-18	16 items of load are missing from the database. Potential impact: High Actual impact: High Audit history: None Controls: Weak Breach risk rating: 9	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>High</b>	The controls are rated as weak as the processes in place to capture change will not mitigate risk and remove errors especially in relation to new connections. The impact is assessed to be high, based on the kWh differences as detailed in section 3.1.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Genesis has yet to liaise with WDC in regards to this report due to its timing. Genesis do plan to ensure WDC have a copy of this report to investigate remedial actions.	12/2018	Investigating
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Genesis will be working with WDC continuing our support in the administration of WDC duml database	12/2018	

Tracking of load changes		
Non-compliance	Description	
Audit Ref: 2.6 With: 11(3) of Schedule 15.3 From: 01-Apr-17 To: 30-Apr-18	Tracking of load change not always capturing changes correctly. Potential impact: High Actual impact: High Audit history: Once Controls: Weak Breach risk rating: 9	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	The controls are rated as weak as the processes in place to capture change will not mitigate risk and remove errors especially in relation to new connections. The impact is assessed to be high, based on the kWh differences as detailed in <b>section 3.1</b> .	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has yet to liaise with WDC in regards to this report due to its timing. Genesis do plan to ensure WDC have a copy of this report to investigate remedial actions.	12/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will be working with WDC continuing our support in the administration of WDC duml database	12/2018	

<b>Database accuracy</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)  From: 01-Apr-17 To: 30-Apr-18	The database accuracy is assessed to be 90.9% indicating an estimated over submission of 153,900 kWh per annum. Analysis of the ballasts applied indicate a minor under submission of 508.25 kWh.  Potential impact: High Actual impact: High Audit history: None Controls: Weak Breach risk rating: 9	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>High</b>	The controls are rated as weak as the processes in place to capture change will not mitigate risk and remove errors especially in relation to new connections. The impact is assessed to be high, based on the kWh differences.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Genesis has yet to liaise with WDC in regards to this report due to its timing. Genesis do plan to ensure WDC have a copy of this report to investigate remedial actions.	12/2018	Investigating
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Genesis will be working with WDC continuing our support in the administration of WDC duml database	12/2018	

<b>Volume information accuracy</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c)  From: 01-Apr-17 To: 30-Apr-18	The submission for ICP 0000011102WE267 was found to be incorrect and resulting in an estimated over submission of 47,300 kWh per annum. The database accuracy is assessed to be 90.9% indicating an estimated over submission of 153,900 kWh per annum. Analysis of the ballasts applied indicate a minor under submission of 508.25 kWh.  Potential impact: High  Actual impact: High  Audit history: None  Controls: Weak  Breach risk rating: 9	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>High</b>	The controls are rated as weak as the processes in place to capture change will not mitigate risk and remove errors especially in relation to new connections. The impact is assessed to be high, based on the kWh differences.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Genesis has yet to liaise with WDC in regards to this report due to its timing. Genesis do plan to ensure WDC have a copy of this report to investigate remedial actions.	12/2018	Investigating
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Genesis will be working with WDC continuing our support in the administration of WDC duml database	12/2018	