

Compliance plan for Kaipara DC DUML audit – 2018

| Deriving submission information | | |
|--|--|------------------------|
| Non-compliance | Description | |
| Audit Ref: 2.1 With: 11.1 of schedule 15.3 From: entire audit period | 1,397 items of load have the incorrect ballast applied indicating over submission of 60,649.91 kWh per annum. Potential impact: High Actual impact: High Audit history: Once Controls: None Breach risk rating: 12 | |
| Audit risk rating | Rationale for audit risk rating | |
| High | Controls are rated as none, as the database being used for submission is not intended to be used for submission and there is no process to update changes made in the field. The audit risk rating is medium as there are ballast errors present on a significant number of lights in the database. | |
| Actions taken to resolve the issue | Completion date | Remedial action status |
| Genesis Energy are currently opening communication channels with the Kaipara DC commercial and property advisor in order to ascertain whether there is another complete source of data | 10/2018 | Investigating |
| Preventative actions taken to ensure no further issues will occur | Completion date | |
| Genesis are engaging in conversation that could change its data source. | 10/2018 | |

| Tracking of Load Changes | | |
|--|--|------------------------|
| Non-compliance | Description | |
| <p>Audit Ref: 2.6</p> <p>With: Clause 11(3) of Schedule 15.3</p> <p>From: Entire audit period</p> | <p>Tracking of load change not carried out, there is no direct mechanism for updates to be recorded.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: None</p> <p>Breach risk rating: 5</p> | |
| Audit risk rating | Rationale for audit risk rating | |
| Low | <p>Controls are rated none as there is no systematic process to manage the tracking of load change.</p> <p>The field audit did not identify any discrepancies relating to load changes therefore the audit risk rating of low.</p> | |
| Actions taken to resolve the issue | Completion date | Remedial action status |
| Genesis Energy are currently opening communication channels with the Kaipara DC commercial and property advisor in order to ascertain whether there is another complete source of data | 10/2018 | Investigating |
| Preventative actions taken to ensure no further issues will occur | Completion date | |
| Genesis are engaging in conversation that could change its data source. | 10/2018 | |

| Database Accuracy | | |
|---|---|------------------------|
| Non-compliance | Description | |
| <p>Audit Ref: 3.1 With: 15.2 & 15.37(b)</p> <p>From: entire audit period</p> | <p>1,397 items of permanent load have the incorrect ballast applied indicating over submission of 60,649.91 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: None</p> <p>Breach risk rating: 12</p> | |
| Audit risk rating | Rationale for audit risk rating | |
| High | <p>Controls are rated as none, as the database being used for submission is not intended to be used for submission and there is no process to update changes made in the field.</p> <p>The audit risk rating is high as the errors are present on a significant number of light and this is resulting in a significant volume of over submission.</p> | |
| Actions taken to resolve the issue | Completion date | Remedial action status |
| Audit 2017 identified these issues. Contact was made with the network, who indicated that the wattage table held by Veritek/EA was inaccurate and that North Power had based it off manufacturers specifications. | 10/2018 | Investigating |
| Preventative actions taken to ensure no further issues will occur | Completion date | |
| Genesis Energy are currently opening communication channels with the Kaipara DC commercial and property advisor in order to ascertain whether there is another complete source of data | 10/2018 | |

| Volume Information Accurac | | |
|--|--|------------------------|
| Non-compliance | Description | |
| <p>Audit Ref: 3.2 With: 15.2 & 15.37(c)</p> <p>From: entire audit period</p> | <p>1,397 items of permanent load have the incorrect ballast applied indicating over submission of 60,649.91 kWh per annum.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: None</p> <p>Controls: None</p> <p>Breach risk rating: 12</p> | |
| Audit risk rating | Rationale for audit risk rating | |
| High | <p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</p> <p>The audit risk rating is high as the errors are present on a significant number of light and this is resulting in a significant volume of over submission.</p> | |
| Actions taken to resolve the issue | Completion date | Remedial action status |
| Genesis Energy are currently opening communication channels with the Kaipara DC commercial and property advisor in order to ascertain whether there is another complete source of data | 10/2018 | Investigating |
| Preventative actions taken to ensure no further issues will occur | Completion date | |
| Genesis are engaging in conversation that could change its data source. | 10/2018 | |