

Compliance plan for Wairoa DC – 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 database accuracy is assessed to be 94.1% indicating an estimated over submission of 20,000 kWh per annum</p> <p>Under submission of 824 kWh per annum due to two records not having an ICP</p> <p>Under submission of approx. 2,400 kWh per annum has occurred due to a ballast wattage difference.</p> <p>Process for deriving submission information does not comply with schedule 15.5.</p> <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: Once</p> <p>Controls: None</p> <p>Breach risk rating: 8</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as none, because updates to the database are not occurring when lamps are changed or added in the field.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Due to the timing of the report, Genesis has yet to communicate the identified anomalies in the Audit.</p> <p>Genesis reviewed the deriving of submission process and agree this does not comply with 15.5, however Genesis use the NST profile on/off times with the intension of accuracy. Albeit there may be a very small discrepancy in the on & off interval we feel that the average annual burn hours (4240) presents bigger issues with under and over submissions during seasonality's and is far less accurate. Genesis would prefer the network to provide actual monthly burn hours/logger data.</p>	10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis, will be communicating the issues with the database to have these rectified.	10/2018	

ICP identifier and items of load			
Non-compliance	Description		
Audit Ref: 2.2 With: Clause 11(2)(a) of Schedule 15.3 From: 01-Apr-17 To: 30-Apr-18	Two records with blank ICP Potential impact: Medium Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as moderate because they achieve compliance most of the time but there is room for improvement. The impact on settlement and participants is minor; therefore the audit risk rating is low. Under submission of 824 kWh per annum occurs due to blank ICPs		
Actions taken to resolve the issue		Completion date	Remedial action status
Due to the timing of the report, Genesis has yet to communicate the identified anomalies in the Audit.		10/2018	Unknown
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis, will be communicating the issues with the database to have these rectified.		10/2018	

Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 With: Clause 11(2)(c) of Schedule 15.3 From: 01-Apr-17 To: 30-Apr-18	70 watt SON lamp should have ballast of 13 watts not 12 watts Potential impact: Medium Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as strong because there was no published schedule previously and some published information contains 12 watts for 70SON ballasts. The impact on settlement is low because under submission has occurred by approximately 2,400 kWh per annum.		
Actions taken to resolve the issue		Completion date	Remedial action status

Due to the timing of the report, Genesis has yet to communicate the identified anomalies in the Audit.	10/2018	Unknown
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis, will be communicating the issues with the database to have these rectified.	10/2018	

Tracking of load changes		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(3) of Schedule 15.3 From: 01-Apr-17 To: 30-Apr-18	Process not in place to track load changes Potential impact: High Actual impact: Medium Audit history: None Controls: None Breach risk rating: 8	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are rated as none, because updates to the database are not occurring when lamps are changed or added in the field. The impact is assessed to be medium, based on an estimated over submission of 20,000 kWh per annum	
Actions taken to resolve the issue	Completion date	Remedial action status
Due to the timing of the report, Genesis has yet to communicate the identified anomalies in the Audit.	10/2018	Unknown
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis, will be communicating the issues with the database to have these rectified.	10/2018	

Database accuracy		
Non-compliance	Description	
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 94.1% indicating an estimated over submission of 20,000 kWh per annum Under submission of 824 kWh per annum due to two records not having an ICP Under submission of approx. 2,400 kWh per annum has occurred due to a ballast wattage difference. Potential impact: High Actual impact: Medium Audit history: None Controls: None Breach risk rating: 8	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are rated as none, because updates to the database are not occurring when lamps are changed or added in the field. The impact is assessed to be medium, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Due to the timing of the report, Genesis has yet to communicate the identified anomalies in the Audit.	10/2018	Unknown
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis, will be communicating the issues with the database to have these rectified.	10/2018	

Volume information accuracy	
Non-compliance	Description
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 01-Apr-17 To: 30-Apr-18	The database accuracy is assessed to be 94.1% indicating an estimated over submission of 20,000 kWh per annum Under submission of 824 kWh per annum due to two records not having an ICP Under submission of approx. 2,400 kWh per annum has occurred due to a ballast wattage difference. Potential impact: High Actual impact: Medium Audit history: Once Controls: None Breach risk rating: 8

Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are rated as none, because updates to the database are not occurring when lamps are changed or added in the field.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Due to the timing of the report, Genesis has yet to communicate the identified anomalies in the Audit.		10/2018	Unknown
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis, will be communicating the issues with the database to have these rectified.		10/2018	