

Compliance plan for Waipa DC DUML Audit – 2018

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of schedule 15.3 From: 01-Jun-17 To: 30-Apr-18	Inaccurate data from the monthly report used to calculate submission resulting in an estimated annual over submission of 12,599.45 kWh. Analysis of the ballasts applied indicate a minor under submission of 1,960.39 kWh. Potential impact: Medium Actual impact: Medium Audit history: None Controls: Moderate Breach risk rating: 4	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are rated as moderate, because they are sufficient to mitigate risk most of the time. The impact is assessed to be low, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will advise Waipa DC of the exception found and work with them to rectify.	10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will continue to work with Waipa DC to uphold database accuracy	10/2018	

All load recorded in database		
Non-compliance	Description	
<p>Audit Ref: 2.5</p> <p>With: Clause 11(2A) of Schedule 15.3</p> <p>From: entire audit period</p>	<p>One additional item of load found in the field.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as strong, as they mitigate risk to an acceptable level.</p> <p>The impact is assessed to be low, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will advise Waipa DC of the exception found and work with them to rectify.	10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will continue to work with Waipa DC to uphold database accuracy	10/2018	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Jun-17 To: 30-Apr-18	Analysis of the ballasts applied indicate a minor under submission of 1,960.39 kWh. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time. The impact is assessed to be low, based on the kWh differences described above.	
Actions taken to resolve the issue		Completion date
Genesis will advise Waipa DC of the exception found and work with them to rectify.		10/2018
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis will continue to work with Waipa DC to uphold database accuracy		10/2018
		Investigating

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: entire audit period</p>	<p>Inaccurate data from the monthly report used to calculate submission resulting in an estimated annual over submission of 12,599.45 kWh.</p> <p>Analysis of the ballasts applied indicate a minor under submission of 1,960.39 kWh.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as moderate, because they are sufficient to mitigate risk most of the time.</p> <p>The impact is assessed to be low, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will advise Waipa DC of the exception found and work with them to rectify.	10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will continue to work with Waipa DC to uphold database accuracy	10/2018	