

Compliance plan for Hauraki 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	The database accuracy is assessed to be 97.9% indicating an estimated over submission of 11,100 kWh per annum (excluding ballast). The ballasts are not recorded correctly in the RAMM database. 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 ensure that changes to the database are correctly recorded most of the time. 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
Genesis will advise HDC of the issues outlined in this Audit.	10/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Where possible Genesis will help HDC assign the ballast correct values enabling reporting accuracies to meet requirements.	10/2018	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Jun-17 To: 30-Apr-18	One additional item of load found in the field audit. 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, because they are sufficient to ensure that lamp information is correctly recorded most of the time. The impact is assessed to be low as only one additional item of load was found in the field audit.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will advise HDC of the issues outlined in this Audit.	10/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Where possible Genesis will help HDC assign the ballast correct values enabling reporting accuracies to meet requirements.	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	The database accuracy is assessed to be 97.9% indicating an estimated over submission of 11,100 kWh per annum (excluding ballast). The ballasts are not recorded correctly in the RAMM database. 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 ensure that changes to the database are correctly recorded most of the time. 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
Genesis will advise HDC of the issues outlined in this Audit.	10/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Where possible Genesis will help HDC assign the ballast correct values enabling reporting accuracies to meet requirements.	10/2018	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 01-Jun-17 To: 30-Apr-18	The database accuracy is assessed to be 97.9% indicating an estimated over submission of 11,100 kWh per annum (excluding ballast). The ballasts are not recorded correctly in the RAMM database. 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 ensure that changes to the database are correctly recorded most of the time. 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
Genesis will advise HDC of the issues outlined in this Audit.	10/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Where possible Genesis will help HDC assign the ballast correct values enabling reporting accuracies to meet requirements.	10/2018	