

Compliance plan for Waimakariri DC– 2018

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Apr-17 To: 30-Apr-18	The database accuracy is assessed to be 95.9% indicating an estimated over submission of 106,900 kWh per annum Potential impact: Medium Actual impact: Medium Audit history: Once 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 lamp information is correctly recorded most of the time but there are still some errors. 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 energy has spoken with Joel Hung (MainPower) Joel is looking into the issues outlined in this audit.	10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis Energy are working with contracted parties to ensure accuracy and completeness.	10/2018	

Location of each item of load	
Non-compliance	Description
Audit Ref: 2.3 With: Clause 11(2)(b) of Schedule 15.3 From: 01-Apr-17 To: 30-Apr-18	Some inadequate location information Potential impact: Low Actual impact: Low Audit history: Once Controls: Strong Breach risk rating:
Audit risk rating	Rationale for audit risk rating

Low	<p>The controls are recorded as strong because they mitigate risk most of the time and the number of issues is low.</p> <p>The impact is a lack of clarity when conducting the field audit. The audit risk rating is low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis energy has spoken with Joel Hung (MainPower) Joel is looking into the issues outlined in this audit.		10/2018	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis Energy are working with contracted parties to ensure accuracy and completeness.		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: 01-Apr-17</p> <p>To: 30-Apr-18</p>	<p>All load is not recorded in the database (4 lamps missing from field audit)</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time.</p> <p>The impact is assessed to be low, based on the number of differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis energy has spoken with Joel Hung (MainPower) Joel is looking into the issues outlined in this audit.		10/2018	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis Energy are working with contracted parties to ensure accuracy and completeness.		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 95.9% indicating an estimated over submission of 106,900 kWh per annum Potential impact: Medium Actual impact: Medium Audit history: Once 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, but there are still some errors. 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 energy has spoken with Joel Hung (MainPower) Joel is looking into the issues outlined in this audit.	10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis Energy are working with contracted parties to ensure accuracy and completeness.	10/2018	

Volume information accuracy	
Non-compliance	Description
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Apr-17 To: 30-Apr-18	The database accuracy is assessed to be 95.9% indicating an estimated over submission of 106,900 kWh per annum Potential impact: Medium Actual impact: Medium Audit history: Twice Controls: Moderate Breach risk rating: 4
Audit risk rating	Rationale for audit risk rating

Medium	<p>The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time but there are still some errors.</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
Genesis energy has spoken with Joel Hung (MainPower) Joel is looking into the issues outlined in this audit.	10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis Energy are working with contracted parties to ensure accuracy and completeness.	10/2018	