

Compliance plan for NZTA Wairarapa Distributed Unmetered Load for Genesis Energy Limited

Title: Deriving Submission Information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: unknown To: 09-Mar-18</p>	<p>Submissions for ICP 0666002555PC35F are not based on an unmetered load database. In February 2018, the submission to the reconciliation manager was based on incorrect information.</p> <p>November and December 2017 submissions for ICP 0020909000WR49A were based upon incorrect data.</p> <p>Potential impact: Low Actual impact: None Audit history: Once previously Controls: Moderate Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>Controls are rated as moderate and the risk as low because:</p> <ul style="list-style-type: none"> the unmetered load on the registry for ICP 0666002555PC35F is believed to be correct, resulting in no impact on submission accuracy. Incorrect submission data for November 2017, December 2017 and February 2018 will be corrected and washed up. 	
Actions taken to resolve the issue	Completion date	Remedial action status
Submissions are based on the database information (ICP 0020909000WR49A) and registry information for (ICP 0666002555PC35F) the information being provided by the contracted party is correct. The fact that the mistake was made by internal trader processes is an auditable requirement under the participant audit. As Stated (executive summary) the information provided was 100% accurate. These issues were cleared immediately upon being advised and the revision process will correct the 30 kWh error.	01/04/2018	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
Have spoken with GENE MABT to ensure if an error has occurred that rebilling and data correction is required within the correct period.	01/04/2018	

Title: Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c))</p> <p>From: unknown</p> <p>To: 09-Mar-18</p>	<p>Submissions for ICP 0666002555PC35F are not based on an unmetered load database. In February 2018, the submission to the reconciliation manager was based on incorrect information.</p> <p>November and December 2017 submissions for ICP 0020909000WR49A were based upon incorrect data.</p> <p>Potential impact: Low</p> <p>Actual impact: None</p> <p>Audit history: Once previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>Controls are rated as moderate and the risk as low because:</p> <ul style="list-style-type: none"> the unmetered load on the registry for ICP 0666002555PC35F is believed to be correct, resulting in no impact on submission accuracy. Incorrect submission data for November 2017, December 2017 and February 2018 will be corrected and washed up. 	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis found that the submission process for the UML had errored and duplicated information for this site. It has since been corrected in which the revision process will cater for the correction is submission information. This is not a DUML database error.	01/04/2018	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
Validation processes amended to look for any potential erroneous uml read data getting into the NHH reconciliation tool.	01/04/2018	