

Compliance plan for Horowhenua DC DUML – November 2018

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Apr-18 To: 26-Nov-18	The database accuracy is assessed to be 105.1% indicating an estimated under submission of 22,000 kWh per annum. One 22W LED does not have an ICP number recorded against it, amounting to 94 kWh per annum under submission. 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. 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 has reviewed the information provided by HDC, the missing information has been rectified and now has the asset populated against the correct ICP. The identification of the potential under estimation has been fed back to HDC.	01/12/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis analysis of the data provided by the contracted party, will continue. With the intent to maintain data accuracies through feedback highlighting potential improvements.	01/12/2018	

ICP identifier and items of load		
Non-compliance	Description	
Audit Ref: 2.2 With: 11(2)(a) and (aa) of Schedule 15.3 From: 01-Apr-18 To: 26-Nov-18	One 22W LED does not have an ICP number recorded against it, amounting to 94 kWh per annum under submission. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong because only one item does not have an ICP number recorded against it. The impact is low because of the kWh as discussed above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has reviewed the information provided by HDC, the missing information has been rectified and now has the asset populated against the correct ICP.	01/12/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis analyses of the data provided by the contracted party, will continue. With the intent to maintain data accuracies through feedback highlighting potential improvements.	01/12/2018	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Apr-18</p> <p>To: 26-Nov-18</p>	<p>The database accuracy is assessed to be 105.1% indicating an estimated under submission of 22,000 kWh per annum.</p> <p>One 22W LED does not have an ICP number recorded against it, amounting to 94 kWh per annum under submission.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as moderate, because they are sufficient to ensure that the database is accurate most of the time.</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 has reviewed the information provided by HDC, the missing information has been rectified and now has the asset populated against the correct ICP. The identification of the potential under estimation has been fed back to HDC.		01/12/2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis analysis of the data provided by the contracted party, will continue. With the intent to maintain data accuracies through feedback highlighting potential improvements.		01/12/2018	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2 Clause 15.2 and 15.37B(c)</p> <p>From: 01-Apr-18 To: 26-Nov-18</p>	<p>The database accuracy is assessed to be 105.1% indicating an estimated under submission of 22,000 kWh per annum.</p> <p>One 22W LED does not have an ICP number recorded against it, amounting to 94 kWh per annum under submission.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Once</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 ensure that the database is accurate most of the time.</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 has reviewed the information provided by HDC, the missing information has been rectified and now has the asset populated against the correct ICP. The identification of the potential under estimation has been fed back to HDC.	01/12/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis analysis of the data provided by the contracted party, will continue. With the intent to maintain data accuracies through feedback highlighting potential improvements.	01/12/2018	