

Compliance plan for Kaipara DC DUML – 2018

DUML Audit		
Non-compliance	Description	
Audit Ref: 1.10 Clause 17.295F of part 17 From: 01-Dec-18 To: 12-Dec-18	Audit not completed within the required timeframe. 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, as Genesis are reliant on the database provider to supply the data and in this case the delay caused this report to be late. The impact is assessed to be low, as this has no direct impact on reconciliation.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis engaged to ensure the audit was completed	01/09/2018	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis DUML auditor has been notified to conduct the audits as required.	01/09/2018	

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-May-18</p> <p>To: 30-Nov-18</p>	<p>The database accuracy is assessed to be 93.2% indicating potential over submission of 39,600 kWh per annum.</p> <p>643 items of load have the incorrect ballast applied in the DUML database which would result in over submission of 33,236.49 kWh per annum if used for submission.</p> <p>Total kW values are calculated outside of the database.</p> <p>Out of date kW report used to calculate submission resulting in a potential 83,867.59 kWh of over submission per annum.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Once previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as weak as the submission is not calculated from an up to date monthly wattage report, and ballast is not recorded in the database.</p> <p>The impact is assessed to be high due to the kWh volumes.</p>	
Actions taken to resolve the issue		Completion date
<p>Genesis will be utilising the KDC dataset once the data has been analyse and assessed for accuracy. Genesis will continue to work with the council on any anomalies that have been identified.</p> <p>NPOW data will no longer be used and Genesis has informed KDC that their information needs to be provided to the distributor for transparency.</p>		01/04/2019
Preventative actions taken to ensure no further issues will occur		Completion date
<p>Genesis has engaged with Kaipara DC and have been able to secure monthly report from the council of their database.</p>		01/04/2019
Remedial action status		
Identified		

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-May-18</p> <p>To: 30-Nov-18</p>	<p>The database accuracy is assessed to be 93.2% indicating potential over submission of 39,600 kWh per annum.</p> <p>643 items of permanent load have the incorrect ballast applied indicating over submission of 33,236.49 kWh per annum if used for submission.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as weak as the submission is not calculated from an up to date monthly wattage report, and incorrect ballasts recorded in the database.</p> <p>The impact is assessed to be high due to the kWh volumes.</p>	
Actions taken to resolve the issue		Completion date
<p>Genesis will be utilising the KDC dataset once the data has been analyse and assessed for accuracy. Genesis will continue to work with the council on any anomalies that have been identified.</p> <p>NPOW data will no longer be used and Genesis has informed KDC that their information needs to be provided to the distributor for transparency.</p>		01/04/2019
Preventative actions taken to ensure no further issues will occur		Completion date
<p>Genesis has engaged with Kaipara DC and have been able to secure monthly report from the council of their database.</p>		01/04/2019
Remedial action status		
Identified		

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-May-18</p> <p>To: 30-Nov-18</p>	<p>Incorrect submission figures submitted for the month of November resulting 3,422kWh of over submission.</p> <p>The database accuracy is assessed to be 93.2% indicating potential over submission of 39,600 kWh per annum.</p> <p>643 items of load have the incorrect ballast applied in the DUMML database which would result in over submission of 33,236.49 kWh per annum if used for submission.</p> <p>Total kW values are calculated outside of the database.</p> <p>Out of date kW report used to calculate submission resulting in a potential 83,867.59 kWh of over submission per annum.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Once previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as weak as the submission is not calculated from an up to date monthly wattage report, and ballast is not calculated from the database.</p> <p>The impact is assessed to be high due to the kWh volumes.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis will be utilising the KDC dataset once the data has been analyse and assessed for accuracy. Genesis will continue to work with the council on any anomalies that have been identified.</p> <p>NPOW data will no longer be used and Genesis has informed KDC that their information needs to be provided to the distributor for transparency.</p>	01/04/2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has engaged with Kaipara DC and have been able to secure monthly report from the council of their database.	01/04/2019	