

## Compliance plan for Waimate DC DUML – December 2018

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3  From: 01-May-18 To: 23-Oct-18	Historic unmetered load value held on the Registry is being used to calculate monthly submissions. The difference calculated to be an under submission of 2,696 kWh for the September period. Approx. 32,352 kWh per annum.  Festive lighting is connected but the volume is not recorded.  Potential impact: High Actual impact: Medium  Audit history: Once Controls: Weak Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	The controls are rated as weak, because Waimate District Council's database is not being used for submissions and Registry information has not been updated.  The impact is rated as medium, based on the potential kWh difference.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has been in communication with Waimate DC, Waimate has made a great improvement in their data base and have started to provide Genesis with their Ramm report. Genesis plan to have this data utilised and correct any information on the registry asap.	01/02/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will continue to analyse the Waimate data extraction and use for billing and settlements.	01/02/2019	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) & (d) of Schedule 15.3  From: 01-May-18 To: 23-Oct-18	One item of load recorded with no model and zero wattage, estimated to be 717.5 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	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 the database values are not currently used for submission.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will feed back any issues found with the data provided. Genesis has reviewed the data provided by Waimate Dc and can concur with the auditor's findings. There are a small number of variances in ballast and lamp wattages.	01/02/2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will continue to analyse the Waimate data extraction and use for billing and settlements. And feed back to Waimate DC any anomalies found within the dataset.	01/02/2019	

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: 23-Oct-18</p>	<p>The database accuracy is assessed to be 80.4% indicating potential over submission of 62,200 kWh per annum if the database were used for submission.</p> <p>One item of load recorded with no model and zero wattage, estimated to be 717.5 kWh per annum if the current database had been used for submission.</p> <p>Festive lighting is connected but the volume is not recorded.</p> <p>Potential impact: High</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		
<b>Low</b>	<p>The controls are rated as moderate, as the processes in place to manage change will mitigate risk most of the time.</p> <p>The impact is assessed to be low as the database is not being used for reconciliation.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has analysed the dataset provided for Nov-18. Genesis confirms the auditor's findings as the dataset only hold 601 load items not 622. Genesis will feed this back to Waimate and request verification of missing lamps		01/02/2019	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis will confirm status of missing items, and will rely on the compliant tracking of load items to capture new/replaced or removed items.		01/02/2019	

<b>Volume information accuracy</b>		
<b>Non-compliance</b>	<b>Description</b>	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-May-18</p> <p>To: 23-Oct-18</p>	<p>Historic unmetered load value held on the Registry is being used to calculate monthly submissions. The difference calculated to be an under submission of 2,696 kWh for the September period. Approx. 32,352 kWh per annum.</p> <p>Festive lighting is connected but the volume is not recorded.</p> <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Medium</b>	<p>The controls are rated as weak, because Waimate District Council's database is not being used for submissions and Registry information has not been updated.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>	
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>
<p>Genesis has been in communication with Waimate DC, Waimate has made a great improvement in their data base and have started to provide Genesis with their Ramm report. Genesis plan to have this data utilised and correct any information on the registry asap.</p>		01/02/2018
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>
<p>Genesis will continue to analyse the Waimate data extraction and use for billing and settlements. Genesis will continue to use the average burn hours unless logger information can be provided for the region (Alpine network).</p>		01/02/2019
		Identified