

Compliance plan for Wairoa DC DUML – October 2018

| Deriving submission information | | |
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| Non-compliance | Description | |
| Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Jun-18 To: 26-Sep-18 | Under submission of approx. 2,191 kWh per annum has occurred due to incorrect wattage and ballasts applied. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2 | |
| Audit risk rating | Rationale for audit risk rating | |
| Low | The controls are rated as moderate as the processes used to calculate submission are sufficient to mitigate risk 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 Eastland and have found a formula error which is causing the 70w ballast to calculate 12 instead of 13 causing the 2076 kwh annual under submission. Genesis has contacted Eastland to have this amended. Genesis will be making amendments to the reconciliation data to cater for the historical settlement revisions Genesis has requested the 1 incorrect lamp responsible for the 115kwh annually, be corrected in the database. | 01/12/2018 | Identified |
| Preventative actions taken to ensure no further issues will occur | Completion date | |
| Genesis does analysis on data provided for streetlights and will continue to work alongside their customers to provide accurate information to the market. | 01/12/2018 | |

| Description and capacity | | | |
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| Non-compliance | Description | | |
| Audit Ref: 2.4 With: Clause 11(2)(c) of Schedule 15.3 From: 01-Jun-18 To: 26-Sep-18 | Gear wattage is not recorded in the database. Potential impact: Medium Actual impact: Low Audit history: Once Controls: Strong Breach risk rating: 1 | | |
| Audit risk rating | Rationale for audit risk rating | | |
| Low | The controls are recorded as strong because all items in the database have the lamp model and wattage recorded. The impact on settlement is low because submission has not been affected by gear wattages not being held in the database. | | |
| Actions taken to resolve the issue | | Completion date | Remedial action status |
| Genesis will liaise with Eastland to have this populated, genesis currently only receive a summary from Eastland, Genesis will request a detailed data set enabling verification of ballast amendments | | 01/03/2019 | Investigating |
| Genesis will work with Eastland to have the ballast information populated accurately. | | 01/03/2019 | |

| All load recorded in the database | | |
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| Non-compliance | Description | |
| Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Jun-18 To: 26-Sep-18 | One additional 27W LED lamp was discovered on Apatu Street. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3 | |
| Audit risk rating | Rationale for audit risk rating | |
| Low | The controls are rated as weak, because updates to the database are only occurring due to "local knowledge" by Eastland staff, not through a formal update process. The impact is assessed to be low, based on the kWh differences described above. | |
| Actions taken to resolve the issue | Completion date | Remedial action status |
| Genesis will need to speak with Eastland as to how they will progress with the tracking of changes. | 01/06/2019 | Investigating |
| Preventative actions taken to ensure no further issues will occur | Completion date | |
| Genesis will liaise with Eastland and track their progress with tracking of changes implementation. | 01/06/2019 | |

| Database accuracy | | |
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| Non-compliance | Description | |
| Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Jun-18 To: 26-Sep-18 | Under submission of approx. 151 kWh per annum has occurred due to one incorrect lamp wattage. Potential impact: Low Actual impact: Low Audit history: Once Controls: Weak Breach risk rating: 3 | |
| Audit risk rating | Rationale for audit risk rating | |
| Low | The controls are rated as weak, because updates to the database are only occurring due to "local knowledge" by Eastland staff, not through a formal update process. The impact is assessed to be low, based on the kWh differences described above. | |
| Actions taken to resolve the issue | Completion date | Remedial action status |
| Genesis have requested Eastland to review this process, Genesis have yet to have a response from Eastland. | 01/03/2019 | Investigating |
| Preventative actions taken to ensure no further issues will occur | Completion date | |
| Genesis is reliant on the network to provide accurate information. Genesis will be working to ensure that Eastland implement a process that meets compliance. | 01/03/2019 | |

| Volume information accuracy | | |
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| Non-compliance | Description | |
| Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 01-Apr-17 To: 26-Sep-18 | Under submission of approx. 2,191 kWh per annum has occurred due to incorrect wattage and ballasts applied. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2 | |
| Audit risk rating | Rationale for audit risk rating | |
| Low | The controls are rated as moderate as the processes used to calculate submission are sufficient to mitigate risk most of the time. The impact is assessed to be low, based on the kWh differences described above. | |
| Actions taken to resolve the issue | Completion date | Remedial action status |
| Genesis has informed Eastland that their calculation process for the ballast ratio is incorrect. Genesis has suggested that they change the "rounddown" function to "roundup" to avoid future reporting issues. | 01/01/2019 | Investigating |
| Preventative actions taken to ensure no further issues will occur | Completion date | |
| Genesis have request the actual detailed level information be reported alongside the summary currently being supplied. Genesis will however correct the ratio calculation if found to still be supplied in error. Genesis will also report any dataset issues once detailed level information starts to be supplied. | 01/01/2019 | |