

Compliance plan for Kiangaroo DUML – 2019

Distributed unmetered load audits		
Non-compliance	Description	
Audit Ref: 1.10 With: Clause 16A.26 and 17.295F From: 01-Jun-18 To: 28-Jan-19	Audit not complete by 01/06/18. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate because the audit was initiated as soon as a database was established. The impact on settlement is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis Energy did field audit to confirm information provided by Horizon.	01/01/2019	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis created asset database and field audit	01/01/2019	

Deriving submission information			
Non-compliance	Description		
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 06-Oct-16 To: 28-Jan-19	Over submission of approx. 11,475 kWh per annum. 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 recorded as weak because there was no database to record the items of load. This is now resolved, and a database has been created. The impact on settlement is minor; therefore, the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has previously utilized historical information populated on the registry as its kW source. The field audit and database creation has rectified this and Genesis are now utilizing this confirmed dataset for its submissions with historical revisions being corrected.		01/03/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis are maintaining the dataset on behalf of the Kaingaroa village. Genesis will be working with the administration to ascertain any asset maintenance that is completed by them.		01/03/2019	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 06-Oct-16 To: 28-Jan-19	Over submission of approx. 11,475 kWh per annum. 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 recorded as weak because there was no database to record the items of load. This is now resolved, and a database has been created. The impact on settlement is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Genesis has previously utilized historical information populated on the registry as its kW source. The field audit and database creation has rectified this and Genesis are now utilizing this confirmed dataset for its submissions with historical revisions being corrected.		01/03/2019
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis are maintaining the dataset on behalf of the Kaingaroa village. Genesis will be working with the administration to ascertain any asset maintenance that is completed by them.		01/03/2019
		Identified