

Compliance plan for Whakapapa 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
	01/01/2019	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
	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: 30-Nov-18	Under submission of approx. 7,900 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 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 derived submissions based off historical information populated on the registry. Genesis field visit located and documented all streetlighting assets belonging to the Whakapapa DoC village.		01/01/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis and DoC have been in communication and have provided asset database to Doc who maintain the lighting in the village.		01/01/2019	

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	Under submission of approx. 7,900 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 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 are Utilising the asset database newly created for submission purposes, this will also include any revisions.	01/01/2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will continue to use the newly created asset database for billing/settlement purposes.	01/01/2019	