

## Compliance plan for Wairoa DC DUML – 2019

| 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-Oct-18</p> <p>To: 25-Nov-19</p>   | <p>Incorrect use of NST profile</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot</p> <p>In absolute terms, the total annual consumption is estimated to be 17,000 kWh lower than the DUML database indicates</p> <p>Under submission of approx. 115 kWh per annum has occurred due to incorrect wattage applied.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p> |                 |                        |
| Audit risk rating  | Rationale for audit risk rating  |                 |                        |
| <b>Medium</b>  | <p>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.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>   |                 |                        |
| Actions taken to resolve the issue   |  | Completion date | Remedial action status |
| <p>Source and utilise logger as one of the inputs into kWh calculation. Source WDC RAMM information as the wattage input.</p> <p>Genesis has verified that there is a logger available for the regions burn hours, which Genesis have sourced from EMS. Genesis is in the process of correcting all its “Profile night hours” to meet DUML requirements. Genesis will be changing burn time sources as @ 12/2019</p> <p>Genesis have approached the council and data has been supplied, Genesis will continue to utilise the Eastland dataset until the WDC agree to supply monthly extractions and update any exceptions found once analysed.</p> |  | 01/04/2020      | Identified             |
| Preventative actions taken to ensure no further issues will occur  |  | Completion date |                        |
| Utilise logger information within the region, Genesis to use RAMM extraction from WDC once validated.  |  | 01/04/2020      |                        |

| Description and capacity of load   |  |                 |                        |
|--|--|-----------------|------------------------|
| Non-compliance   | Description  |                 |                        |
| Audit Ref: 2.4<br>With: Clause 11(2)(c) of Schedule 15.3<br>From: 01-Oct-18<br>To: 21-Nov-19   | Gear wattage is not recorded in the database.<br>Potential impact: Medium<br>Actual impact: Low<br>Audit history: Twice<br>Controls: Strong<br>Breach risk rating: 1   |                 |                        |
| Audit risk rating  | Rationale for audit risk rating  |                 |                        |
| <b>Low</b>   | The controls are recorded as strong because all items in the database have the lamp model and wattage recorded.<br>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 |
| Eastland have not made any corrections in the way they "calculate" the gear wattage. The spreadsheet they use uses a round down function within EXCEL, which incorrectly applies gear wattage values. Genesis makes efforts to manually correct this each month using a round up function, where Genesis believe Eastland a incorrectly reporting. These corrections flow into settlements and customer billing.<br>Eastland needs to change its process to correct this issue. And make updates within their database to apply the correct gear wattages. |  | unknown         | Identified             |
| Preventative actions taken to ensure no further issues will occur  |  | Completion date |                        |
| Source asset data directly from the council, Genesis are currently reviewing a dataset provided.   |  | unknown         |                        |

| Database accuracy   |  |                 |                        |
|---|--|-----------------|------------------------|
| Non-compliance  | Description  |                 |                        |
| <p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Oct-18</p> <p>To: 21-Nov-19</p>  | <p>In absolute terms, total annual consumption is estimated to be 17,000 kWh lower than the DUML database indicates.</p> <p>Ballast wattage is added outside the database.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p> |                 |                        |
| Audit risk rating   | Rationale for audit risk rating  |                 |                        |
| <b>Medium</b>   | <p>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.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>   |                 |                        |
| Actions taken to resolve the issue  |  | Completion date | Remedial action status |
| <p>Source and utilise logger as one of the inputs into kWh calculation. Source WDC RAMM information as the wattage input.</p> <p>Genesis have approached the council and data has been supplied, Genesis will continue to utilise the Eastland dataset until the WDC agree to supply monthly extractions and update any exceptions found once analysed.</p> |  | 01/04/2020      | Identified             |
| Preventative actions taken to ensure no further issues will occur   |  | Completion date |                        |
| <p>Utilise logger information within the region, Genesis to use RAMM extraction from WDC once validated.</p>  |  | 01/04/2020      |                        |

| 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-Oct-18</p> <p>To: 25-Nov-19</p>   | <p>Incorrect use of NST profile</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot</p> <p>In absolute terms, the total annual consumption is estimated to be 17,000 kWh lower than the DUML database indicates</p> <p>Under submission of approx. 115 kWh per annum has occurred due to incorrect wattage and ballasts applied.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p> |                 |                        |
| Audit risk rating  | Rationale for audit risk rating   |                 |                        |
| <b>Medium</b>  | <p>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.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>  |                 |                        |
| Actions taken to resolve the issue   |   | Completion date | Remedial action status |
| <p>Source and utilise logger as one of the inputs into kWh calculation. Source WDC RAMM information as the wattage input.</p> <p>Genesis has verified that there is a logger available for the regions burn hours, which Genesis have sourced from EMS. Genesis is in the process of correcting all its "Profile night hours" to meet DUML requirements. Genesis will be changing burn time sources as @ 12/2019</p> <p>Genesis have approached the council and data has been supplied, Genesis will continue to utilise the Eastland dataset until the WDC agree to supply monthly extractions and update any exceptions found once analysed.</p> |   | 01/04/2020      | Identified             |
| Preventative actions taken to ensure no further issues will occur  |   | Completion date |                        |
| Utilise logger information within the region, Genesis to use RAMM extraction from WDC once validated.  |   | 01/04/2020      |                        |