

Compliance plan for Waimate DC DUML – 2019

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Jan-19 To: 08-Sep-19</p>	<p>Estimated over submission of 1,542 kWh p.a. due to use of the registry daily kWh field instead of the database total kW.</p> <p>The field audit results indicate the total annual consumption is estimated to be 3,400 kWh higher than the DUML database indicates.</p> <p>4 incorrect ballasts.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Festive lighting is connected but the volume is not recorded.</p> <p>Potential impact: Medium</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	
Low	<p>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The daily kWh figure from the registry is based on the database output and was updated recently, but there is a slight difference.</p> <p>The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p>	
Actions taken to resolve the issue		Completion date
Genesis has requested monthly asset extractions to assist with the validation of asset information and daily reconciliation for any given period.		01/03/2020
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis will be able to assist WDC with database accuracy once monthly database reporting is established.		01/03/2020
		Investigating

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Jan-19 To: 08-Sep-19	1 additional light in the field not recorded in the database. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as strong because they mitigate risk to an acceptable level. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Genesis has requested the assets to be verified and added/removed from the database.		01/03/2020
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis has requested monthly asset extractions to assist with the validation of asset information and daily reconciliation for any given period.		01/03/2020
		Investigating

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Dec-18</p> <p>To: 08-Sep-19</p>	<p>In absolute terms, total annual consumption is estimated to be 3,400 kWh higher than the DUMML database indicates.</p> <p>4 incorrect ballasts.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</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: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement.</p> <p>The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has requested monthly asset extractions to assist with the validation of asset information and daily reconciliation for any given period.		01/03/2020	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis will be able to assist WDC with database accuracy once monthly database reporting is established.		01/03/2020	

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-May-18</p> <p>To: 23-Oct-18</p>	<p>Estimated over submission of 1,542 kWh p.a. due to use of the registry daily kWh field instead of the database total kW.</p> <p>The field audit results indicate the total annual consumption is estimated to be 3,400 kWh higher than the DUML database indicates.</p> <p>4 incorrect ballasts.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Festive lighting is connected but the volume is not recorded.</p> <p>Potential impact: Medium</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		
Low	<p>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The daily kWh figure from the registry is based on the database output and was updated recently, but there is a slight difference.</p> <p>The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has requested monthly asset extractions to assist with the validation of asset information and daily reconciliation for any given period.		01/03/2020	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis will be able to assist WDC with database accuracy once monthly database reporting is established.		01/03/2020	