

Compliance plan for Kaipara DC DUML –2019

DUML Audit		
Non-compliance	Description	
Audit Ref: 1.10 Clause 16A.26(1)(b) of Part 16A From: 01-Oct-19 To: 22-Nov-19	Audit not completed within the required timeframe. 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 rated as strong, as Genesis are reliant on the database provider to supply the data and in this case their delay caused this report to be late. The impact is assessed to be low, as this has no direct impact on reconciliation.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will be requesting full extraction information, removing the risk of lateness due to the customer.	01/12/2019	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
Request that full data extractions are provided monthly.	01/12/2019	

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-Feb-19</p> <p>To: 11-Oct-19</p>	<p>18 items of permanent load have the incorrect ballast applied indicating a minor under submission of 768.78 kWh per annum.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as moderate as they will mitigate risk most of the time but there is room for errors to occur.</p> <p>The impact is assessed to be low due to the kWh volumes.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will request KDC to make the 18 necessary corrections to ballast/Gear wattage information in RAMM.	01/12/2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis receives from KDC the changes in dataset within the period. Genesis will request that a full set of data is also provided or for KDC to provide a summary of lamp/gear wattage combinations for review.	01/12/2019	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Feb-19 To: 11-Oct-19	One additional lamp found in the field. 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 due to the volume of additional lights found in the field. The impact is assessed to be low and the database is assessed in section 3.1 to be within the acceptable database accuracy thresholds.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will request KDC to make the 18 necessary corrections to ballast/Gear wattage information in RAMM.	01/12/2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis receives from KDC the changes in dataset within the period. Genesis will request that a full set of data is also provided or for KDC to provide a summary of lamp/gear wattage combinations for review.	01/12/2019	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Feb-19 To: 11-Oct-19	18 items of permanent load have the incorrect ballast applied indicating under submission of 768.78 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement. The impact is assessed to be low due to the impact on submission.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will request KDC to make the 18 necessary corrections to ballast/Gear wattage information in RAMM.	01/12/2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis receives from KDC the changes in dataset within the period. Genesis will request that a full set of data is also provided or for KDC to provide a summary of lamp/gear wattage combinations for review.	01/12/2019	

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-Feb-19</p> <p>To: 11-Oct-19</p>	<p>18 items of permanent load have the incorrect ballast applied indicating under submission of 768.78 kWh per annum.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Low</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 rated as moderate as they will mitigate risk most of the time but there is room for errors to occur.</p> <p>The impact is assessed to be low due to the kWh volumes.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis will request KDC to make the 18 necessary corrections to ballast/Gear wattage information in RAMM.		01/12/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis receives from KDC the changes in dataset within the period, KDC has stated that their RAMM version is not able to manage event-based data. Genesis will discuss this with KDC to see what measures can be taken to try and adhere to the tracking of changes within the database.</p> <p>Genesis will request that a full set of data is also provided or for KDC to provide a summary of lamp/gear wattage combinations for review.</p>		01/12/2019	