

## Compliance plan for Wairoa DC DUML – 2020

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Dec-19 To: 16-Nov-20</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 64,500 kWh lower than the DUML database indicates.</p> <p>Under submission of approx. 2,118 kWh per annum has occurred due to incorrect wattage applied.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Three times</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	<p>The controls are rated as weak, because updates to the database are not occurring on a regular basis.</p> <p>The impact is assessed to be high, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has raised the issues with the council. Genesis have been requesting the information reporting from the council to alleviate the issues that are being experienced by having to use the network supplied data. By receiving monthly reporting from the council asset management Genesis should be able to achieve better outcomes.	01/03/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Requested monthly reporting from the council and to stop utilising the data summary supplied by the network.	ASAP	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) of Schedule 15.3 From: 01-Dec-19 To: 16-Nov-20	Gear wattage is not recorded in the database. Some lamp wattage errors Potential impact: Medium Actual impact: Low Audit history: Three times Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are recorded as strong because the monthly report contains correct information. 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
Genesis were aware of the issues with the gear wattage as the network uses a round down function in its calculation of the ratio to determine the gear wattage value. This was raised with the network who has ignored our findings.	01/03/2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis are discussing the reporting opportunities with the council to mitigate these exceptions.		

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Dec-19 To: 16-Nov-20	Two additional lights found in the field. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as weak, because updates to the database are not occurring on a regular basis. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Genesis will be requesting the missing assets to be added to the database.		01/02/2021
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis will be raising the field exceptions with the council with the expectation that a revision of assets is conducted to ensure database accuracy.		TBA
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-Oct-18</p> <p>To: 21-Nov-19</p>	<p>In absolute terms, total annual consumption is estimated to be 64,500 kWh lower than the DUML database indicates.</p> <p>Ballast wattage is added outside the database.</p> <p>There are several lamp wattage errors.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Three times</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	<p>The controls are rated as weak, because updates to the database are not occurring on a regular basis.</p> <p>The impact is assessed to be high, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will be requesting the wattages be confirmed for these assets and the database updated as necessary.	01/02/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Genesis will be raising the field exceptions with the council with the expectation that a revision of assets is conducted to ensure database accuracy.</p> <p>Genesis will be raising the tracking of change requirements with the council</p>	TBA	

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-Dec-19</p> <p>To: 16-Nov-20</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 64,500 kWh lower than the DUML database indicates.</p> <p>Under submission of approx. 2,118 kWh per annum has occurred due to incorrect wattage applied.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Three times</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	<p>The controls are rated as weak, because updates to the database are not occurring on a regular basis.</p> <p>The impact is assessed to be high, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will be requesting the wattages be confirmed for these assets and the database updated as necessary.	01/02/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Genesis will be raising the field exceptions with the council with the expectation that a revision of assets is conducted to ensure database accuracy.</p> <p>Genesis will be raising the tracking of change requirements with the council</p>	TBA	