

Compliance plan for Matamata Piako Council Distributed Unmetered Load for Genesis Energy

Deriving Submission Information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Jul-22 To: 11-Oct-22</p>	<p>Some load reconciled to the incorrect ICP due to errors in the monthly report. The overall volume is correct and the ICPs are all in the same balancing area, so the impact is minimal.</p> <p>Five private lights recorded in the database and confirmed as not being reconciled elsewhere resulting in an estimated minor under submission of 1,657 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 Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as moderate, with the provision of monthly reporting that tracks change at a daily level it will move to strong.</p> <p>The impact is assessed to be low as there is not a large amount of change occurring during a month so the lack of daily tracking of changes will have a very minor effect on submission.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis has discussed the discrepancy of some load being reconciled to incorrect ICP due to errors in the monthly report with PSL and received revised dataset for the period of July-22 to November-22. Genesis has revised their submissions for that period based on the new datasets provided.</p> <p>Genesis has discussed the issue around the five private lights with PSL who are going to have meeting with the MPDC to confirm if MPDC is happy to take ownership of these lights and which ICP's will they be allocated to.</p> <p>Genesis has discussed the importance of tracking of change with PSL. PSL have agreed to add tab's (Lamp Install date & Lamp Replacement Date) to the monthly datasets they send to enable Genesis to manage tracking of change. Dataset received for December has the above columns and tracking of change is now been done (December dataset attached for your reference)</p>	20/02/2023	Identified

Preventative actions taken to ensure no further issues will occur	Completion date
Genesis has visited PSL who provide the monthly datasets for MPDC and have discussed the above discrepancies and have put a plan in place to have these resolved.	20/02/2023

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Jul-22 To: 11-Oct-22	One additional light found in the field of a sample of 271 lights checked. 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 the field contractors use pocket RAMM, and updates are made directly. The small number of errors found are due to human error. The impact is assessed to be low as only two additional lights were found of the sample checked.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has advised PSL of the missing lamp in the dataset. PSL have confirmed this has now been updated in RAMM.	20/12/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
PSL has been notified of the missing asset. Genesis relies on PSL to accurately maintain its database.	20/12/2022	

Database accuracy	
Non-compliance	Description
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Jul-22 To: 11-Oct-22	Five private lights recorded in the database and confirmed as not being reconciled elsewhere resulting in an estimated minor under submission of 1,657 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Strong Breach risk rating: 1

Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as strong, as the processes to manage the database are robust and mitigate risk to an acceptable level.</p> <p>The impact is assessed to be low as the unsubmitted volume associated with the private lights is very small. .</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has discussed the issue around the five private lights with PSL who are going to have meeting with the MPDC to confirm if MPDC is happy to take ownership of these lights and which ICP's will they be allocated to.		20/02/2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis will continue to work with PSL to improve database accuracy		20/02/2022	

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-Jul-22</p> <p>To: 11-Oct-22</p>	<p>Some load reconciled to the incorrect ICP due to errors in the monthly report. The overall volume is correct and the ICPs are all in the same balancing area, so the impact is minimal.</p> <p>Five private lights recorded in the database and confirmed as not being reconciled elsewhere resulting in an estimated minor under submission of 1,657 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: Multiple times</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, with the provision of monthly reporting that tracks change at a daily level it will move to strong.</p> <p>The impact is assessed to be low as there is not a large amount of change occurring during a month so the lack of daily tracking of changes will have a very minor effect on submission.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has discussed the discrepancy of some load being reconciled to incorrect ICP due to errors in the monthly report with PSL and received revised dataset for the period of July-22 to November-22. Genesis has revised their submissions for that		20/02/2023	Identified

<p>period based on the new datasets provided.</p> <p>Genesis has discussed the issue around the five private lights with PSL who are going to have meeting with the MPDC to confirm if MPDC is happy to take ownership of these lights and which ICP's will they be allocated to.</p> <p>Genesis has discussed the importance of tracking of change with PSL. PSL have agreed to add tab's (Lamp Install date & Lamp Replacement Date) to the monthly datasets they send to enable Genesis to manage tracking of change. Dataset received for December has the above columns and tracking of change is now been done (December dataset attached for your reference)</p>		
<p>Preventative actions taken to ensure no further issues will occur</p>	<p>Completion date</p>	
<p>Genesis has visited PSL who provide the monthly datasets for MPDC and have discussed the above discrepancies and have put a plan in place to have these resolved.</p>	<p>20/02/2023</p>	