

Compliance plan for Opotiki DC DUML GENE 2023

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 31-Jan-22</p> <p>To: 05-Jan-23</p>	<p>The burn hours used to calculate submission are on a different network and will not reflect the correct burn hours.</p> <p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated under submission of 11,800 kWh per annum.</p> <p>503 lights recorded as 19W but are labelled as 19.9W in the field. Analysis indicates that this is potentially resulting in 1,934 kWh of under submission 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: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Multiple times previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as weak as changes made in the field are not being updated in the database in a timely manner and the burn hours are not being determined accurately.</p> <p>The impact is assessed to be medium based on based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis has initiated discussions with Horizon and ODC and is exploring available options regarding loggers.</p> <p>Genesis has reviewed the auditors finding and have advised ODC of the discrepancy with the intent that ODC makes every effort to ensure the exceptions are rectified.</p> <p>Genesis has reviewed the auditors finding and have advised ODC of requirement of visibility of tracking of change within their data base and are working with ODC to incorporate this in the dataset</p>	27/02/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
ODC has been notified of the asset discrepancies. Genesis relies on ODC to accurately maintain its database.	27/02/2023	

Description and capacity of load			
Non-compliance	Description		
<p>Audit Ref: 2.4</p> <p>With: Clause 11(2)(c) and (d) of Schedule 15.3</p> <p>From: 31-Jan-22</p> <p>To: 05-Jan-23</p>	<p>37 LED lights have make/model as "LED". Make and model information is also required.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times previously</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 this information is expected to be captured as part of management of the RAMM database and these are historical.</p> <p>The impact is assessed to be low as this represents a small number of lights.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has reviewed the auditors finding and have advised ODC of the discrepancy with the intent that ODC makes every effort to ensure the exceptions are rectified.		27/02/2023	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
ODC has been notified of the asset discrepancies. Genesis relies on ODC to accurately maintain its database.		27/02/2023	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 31-Jan-22 To: 05-Jan-23	18 additional lights found of a sample of 144 lights sampled (12.5% error rate). Potential impact: Medium Actual impact: Low Audit history: Twice previously Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as weak as changes made in the field are not being updated in the database in a timely manner. The impact of the missing lights is assessed to be low.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has reviewed the auditors finding and have advised ODC of the discrepancy with the intent that ODC makes every effort to ensure the exceptions are rectified.	27/02/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
ODC has been notified of the asset discrepancies. Genesis relies on ODC to accurately maintain its database.	27/02/2023	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 31-Jan-22</p> <p>To: 05-Jan-23</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated under submission of 11,800 kWh per annum.</p> <p>37 LED lights have make/model as "LED". Make and model information is also required.</p> <p>503 lights recorded as 19W but are labelled as 19.9W in the field. Analysis indicates that this is potentially resulting in 1,934 kWh of under submission per annum.</p> <p>New connections not added to the RAMM database.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Three times previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as weak as changes made in the field are not being updated in the database in a timely manner.</p> <p>The impact is assessed to be low based on based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has reviewed the auditors finding and have advised ODC of the discrepancy with the intent that ODC makes every effort to ensure the exceptions are rectified.	27/02/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
ODC has been notified of the asset discrepancies. Genesis relies on ODC to accurately maintain its database.	27/02/2023	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 31-Jan-22</p> <p>To: 05-Jan-23</p>	<p>The burn hours used to calculate submission are on a different network and will not reflect the correct burn hours.</p> <p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated under submission of 11,800 kWh per annum.</p> <p>503 lights recorded as 19W but are labelled as 19.9W in the field. Analysis indicates that this is potentially resulting in 1,934 kWh of under submission 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: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Multiple times previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are rated as weak as changes made in the field are not being updated in the database in a timely manner and the burn hours are not being determined accurately.</p> <p>The impact is assessed to be medium based on based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis has initiated discussions with Horizon and ODC and is exploring available options regarding loggers.</p> <p>Genesis has reviewed the auditors finding and have advised ODC of the discrepancy with the intent that ODC makes every effort to ensure the exceptions are rectified.</p> <p>Genesis has reviewed the auditors finding and have advised ODC of requirement of visibility of tracking of change within their data base and are working with ODC to incorporate this in the dataset</p>		27/02/2023	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>ODC has been notified of the asset discrepancies. Genesis relies on ODC to accurately maintain its database.</p>		27/02/2023	