

## Compliance plan for Waipa DC Genesis DUML 2023

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of schedule 15.3</p> <p>From: 01-Aug-22 To: 27-Feb-23</p>	<p>The database is outside of the allowable +/-5% threshold. There is a 95% level of confidence that the annual consumption is between 4,900 kWh p.a. lower to 166,300 kWh p.a. higher than the database indicates.</p> <p>Potential impact: High Actual impact: High Audit history: Multiple times</p> <p>Controls: Weak Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as weak as the processes in relation to submission are strong but there are no controls in place to ensure the database is accurate, so the overall rating is assessed to be weak.</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 highlighted the importance of accuracy in database and relies on WDC to accurately maintain its database. Genesis has also suggested a full field will improve the database accuracy drastically	Continuous Improvement	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the council to increase accuracy levels in their database.	Continuous Improvement	

<b>All load recorded in database</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Aug-22 To: 27-Feb-23	Three additional items of load were found in the field. Potential impact: Low Actual impact: Low Audit history: Three times previously Controls: Weak Breach risk rating: 3	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	The controls are rated as weak as there are no quality control processes in place to ensure data quality in the field. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>
Genesis has brought this to the attention of WDC with the intent that WDC takes every effort to update their database		01/07/2023
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>
Genesis continues to work with the council to increase accuracy levels in their database.		Continuous Improvement
		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-Aug-22</p> <p>To: 27-Feb-23</p>	<p>The database is outside of the allowable +/-5% threshold. There is a 95% level of confidence that the annual consumption is between 4,900 kWh p.a. lower to 166,300 kWh p.a. higher than the database indicates.</p> <p>One light recorded with the incorrect light type.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Three times previously</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 as the processes in place to track changes requires improvement.</p> <p>The impact is assessed to be high, based on the estimated kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has highlighted the importance of accuracy in database and relies on WDC to accurately maintain its database. Genesis has also suggested a full field will improve the database accuracy drastically		Continuous Improvement	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis continues to work with the council to increase accuracy levels in their database.		Continuous Improvement	

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-Aug-22</p> <p>To: 27-Feb-23</p>	<p>The database is outside of the allowable +/-5% threshold. There is a 95% level of confidence that the annual consumption is between 4,900 kWh p.a. lower to 166,300 kWh p.a. higher than the database indicates.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple 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 as the processes in relation to submission are strong but there are no controls in place to ensure the database is accurate, so the overall rating is assessed to be weak.</p> <p>The impact is assessed to be high, based on the kWh differences described above.</p>	
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