

# Compliance plan for Genesis Waka Kotahi Hawkes Bay DUML, 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: 01-Feb-22</p> <p>To: 30-Apr-23</p>	<p>Database assessed as having poor precision therefore the potential error is greater than 5.0% resulting in an estimated over submission of 14,700 kWh per annum.</p> <p>Monthly database snapshot being used to calculate submission, so changes made at a daily level are not tracked.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are recorded as moderate overall but there is room for improvement.</p> <p>The audit risk rating is low based on the estimated kWh impact to the market.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis and our customer will seek to identify recent-historic removal dates and input these into the database where possible.	1/11/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will work with our customer to identify a and implement a robust way to track removal dates in the future.	1/1/2024	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Feb-22 To: 30-Apr-23	Two additional items of load identified by the field audit. Potential impact: Low Actual impact: Low Audit history: Twice previously Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are recorded as strong. Lighting designs and as-built plans are reviewed to ensure the database is accurate. This one error does not indicate a systemic issue. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis and our customer will include the identified lights in the audit to the database.	1/11/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis and our customer will review our controls to identify how this non-compliance occurred, strengthening these controls if possible.	1/11/2023	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Feb-22</p> <p>To: 30-Apr-23</p>	<p>Database assessed as having poor precision therefore the potential error is greater than 5.0% resulting in an estimated over submission of 14,700 kWh per annum.</p> <p>Luminaire make and model information is insufficient to identify the specific items of load.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are rated as strong as change management processes are robust.</p> <p>The audit risk rating is low based on the estimated kWh impact to the market.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will work with the customer to implement changes based on the two previous recommendations.	1/12/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will work with the customer and their field staff to ensure lamp descriptions are input in future.	1/10/2023	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Feb-22</p> <p>To: 30-Apr-23</p>	<p>Database assessed as having poor precision therefore the potential error is greater than 5.0% resulting in an estimated over submission of 14,700 kWh per annum.</p> <p>Monthly database snapshot being used to calculate submission, so changes made at a daily level are not tracked.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are recorded as moderate overall but there is room for improvement.</p> <p>The audit risk rating is low based on the estimated kWh impact to the market.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis and our customer will seek to identify recent-historic removal dates and input these into the database where possible.	1/11/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will work with our customer to identify a and implement a robust way to track removal dates in the future.	1/1/2024	