

# Compliance plan for Genesis Energy Taupo DC 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: 02-Mar-22</p> <p>To: 31-May-23</p>	<p>In absolute terms, total annual consumption is estimated to be 6,300 kWh higher than the DUML database indicates.</p> <p>The incorrect livening date for new lights is populated resulting in the lights being entered after they have been livened.</p> <p>Potential impact: Medium</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	
<b>Low</b>	<p>The controls are rated as moderate as there is room for improvement.</p> <p>The impact is assessed to be low based on the estimated kWh impact.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Taupo DC will liaise with lines companies to query the livening date of assets with missing data. This information will be used to update the database.	1/11/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Taupo DC will establish a process with network companies to ensure the livening date is provided and used in the database.	1/11/2023	

All load recorded in the database		
Non-compliance	Description	
<p>Audit Ref: 2.5</p> <p>With: Clause 11(2A) of Schedule 15.3</p> <p>From: 02-Mar-22</p> <p>To: 31-May-23</p>	<p>All load is not recorded in the database. Two additional items of load were found.</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 as there is room for improvement.</p> <p>The impact is assessed to be low as the majority of the volume of additional lighting found in the sample was small.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Taupo DC will add the two additional lights found in the field, to their database.	1/10/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Taupo DC will implement a process to carry out their own field audit with their contractor on a routine basis. This will be done to identify non-compliances such as this.	1/12/2023	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 02-Mar-22</p> <p>To: 31-May-23</p>	<p>In absolute terms, total annual consumption is estimated to be 6,300 kWh higher than the DUML database indicates.</p> <p>764 items of load with the incorrect ballast applied (the majority with zero incorrectly applied). This would be resulting in an estimated under submission of 40,538 kWh per annum if the database extract was used without adjustment.</p> <p>The database is not populated with the actual livening date for new lights.</p> <p>Potential impact: Medium</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	
<b>Low</b>	<p>The controls are rated as moderate as there is room for improvement with recommendations detailed above.</p> <p>The impact is assessed to be low based on the estimated kWh impact.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Taupo DC will liaise with lines companies to query the livening date of assets with missing data. This information will be used to update the database.	1/11/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Taupo DC will establish a process with network companies to ensure the livening date is provided and used in the database.	1/11/2023	

Non-compliance	Description		
<p>Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c)</p> <p>From: 02-Mar-22 To: 31-May-23</p>	<p>In absolute terms, total annual consumption is estimated to be 6,300 kWh higher than the DUML database indicates.</p> <p>The incorrect livening date for new lights is populated resulting in the lights being entered after they have been livened.</p> <p>Potential impact: Medium Actual impact: Low Audit history: Multiple times</p> <p>Controls: Moderate Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
<p><b>Low</b></p>	<p>The controls are rated as moderate as there is room for improvement. The impact is assessed to be low based on the estimated kWh impact.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Taupo DC will liaise with lines companies to query the livening date of assets with missing data. This information will be used to update the database.</p>		<p>1/11/2023</p>	<p>Investigating</p>
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Taupo DC will establish a process with network companies to ensure the livening date is provided and used in the database.</p>		<p>1/11/2023</p>	