

Compliance plan for Otorohanga DC DUML October 2023

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Nov-22 To: 14-Oct-23</p>	<p>The database is not confirmed as accurate with a 95% level of confidence resulting in an estimated annual over submission of 2,800 kWh.</p> <p>Ten NZTA lights being submitted by both ODC and NZTA resulting in 5,700 kWh of over submission.</p> <p>Some decorative and festive lights are not recorded accurately in the database. Submission is based on a snapshot and does not consider historic adjustments.</p> <p>Potential impact: High Actual impact: Low Audit history: Multiple times previously</p> <p>Controls: Moderate Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as moderate but there is room for improvement.</p> <p>The impact is assessed to be low based on the kWh impact to the market.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>The 10 NZTA lights identified have been updated in ODC system to show ownership as NZTA.</p> <p>Decorative lights are not currently in use and the lights are due to be changed out and wattage confirmed at this time.</p>	1/02/2024	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis is working with ODC about implementing tracking of changes in the field moving forward to capture these changes.	1/02/2024	

All load recorded in database		
Non-compliance	Description	
<p>Audit Ref: 2.5</p> <p>With: Clause 11(2A) of Schedule 15.3</p> <p>From: unknown</p> <p>To: 14-Oct-23</p>	<p>Some decorative and festive lights are not recorded in the database.</p> <p>Three private lights are not recorded in the database.</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 overall as the controls in place mitigate risk most of the time but there is opportunity for improvement.</p> <p>The impact is assessed to be low, as the kWh impact on reconciliation is expected to be small.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Decorative lights are not currently in use and the lights are due to be changed out and wattage confirmed at this time.</p> <p>The three private lights are under investigation</p>	01/02/2024	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis is working with ODC about implementing tracking of changes in the field moving forward to capture these changes.	01/02/2024	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Nov-22</p> <p>To: 14-Oct-23</p>	<p>The database is not confirmed as accurate with a 95% level of confidence resulting in an estimated annual over submission of 2,800 kWh.</p> <p>Ten NZTA lights being submitted by both ODC and NZTA resulting in 5,700 kWh of over submission.</p> <p>Some decorative and festive lights are not recorded accurately in the database.</p> <p>Three private lights are not recorded in the database.</p> <p>Potential impact: High</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 recorded as moderate because they mitigate risk most of the time but there is room for improvement.</p> <p>The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Decorative lights are not currently in use and the lights are due to be changed out and wattage confirmed at this time.</p> <p>The three private lights are under investigation</p>	01/02/2024	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis is working with ODC about implementing tracking of changes in the field moving forward to capture these changes.	01/02/2024	

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-Nov-22</p> <p>To: 14-Oct-23</p>	<p>The database is not confirmed as accurate with a 95% level of confidence resulting in an estimated annual over submission of 2,800 kWh.</p> <p>Ten NZTA lights being submitted by both ODC and NZTA resulting in 5,700 kWh of over submission.</p> <p>Some decorative and festive lights are not recorded accurately in the database. Submission is based on a snapshot and does not consider historic adjustments.</p> <p>Potential impact: High</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 but there is room for improvement.</p> <p>The impact is assessed to be low based on the kWh impact to the market.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Decorative lights are not currently in use and the lights are due to be changed out and wattage confirmed at this time.</p> <p>The three private lights are under investigation</p>	01/02/2024	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Genesis is working with ODC about implementing tracking of changes in the field moving forward to capture these changes.</p>	01/02/2024	