

Compliance plan for Kawerau DC DUML GENE 2024

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>Clause 11(1) of Schedule 15.3</p> <p>From: 01-Jun-23</p> <p>To: 08-Feb-24</p>	<p>Under submission of 18,400 kWh per annum identified by the field audit.</p> <p>On off times are based on a logger located in Taupo and not in Kawerau.</p> <p>Some ballast wattage discrepancies leading to over submission of 11,131 kWh per annum.</p> <p>Submission is based on a snapshot and does not consider historic adjustments.</p> <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: Multiple times</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
<p>Medium</p>	<p>The previous audit recorded the controls as moderate, but I have recorded them as weak in this audit because the discrepancies from the previous audit have not been corrected and the recommendations were not adopted.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis will continue to work with KDC to ensure the discrepancies identified are corrected.</p> <p>Genesis will continue to work with KDC to implement a tracking of change process</p>	<p>Continuous Improvement</p>	<p>Identified</p>
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Genesis will continue to work with KDC to ensure the discrepancies identified are corrected.</p> <p>Genesis will continue to work with KDC to implement a tracking of change process</p>	<p>Continuous Improvement</p>	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Jun-23 To: 08-Feb-24	Eight additional lights in the field. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Genesis will continue to work with KDC to ensure the discrepancies identified are corrected.		30/05/2024
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis will continue to work with KDC to ensure the discrepancies identified are corrected.		30/05/2024
		Identified

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Sep-22</p> <p>To: 24-May-23</p>	<p>Festive lighting is connected but the volume is not recorded.</p> <p>Some ballast wattage discrepancies leading to over submission of 11,131 kWh per annum.</p> <p>Under submission of 18,400 kWh per annum identified by the field audit.</p> <p>Corrections not made after the previous audit.</p> <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: Multiple times</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The previous audit recorded the controls as moderate, but I have recorded them as weak in this audit because the discrepancies from the previous audit have not been corrected and the recommendations were not adopted.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis will work closely with KDC to ensure the required changes are updated		Continuous Improvement	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis will work closely with KDC to ensure the required changes are updated		Continuous Improvement	

Volume information accuracy			
Non-compliance	Description		
Audit Ref: 3.2 Clause 15.2 and 15.37B(c) From: 01-Jun-23 To: 08-Feb-24	Under submission of 18,400 kWh per annum identified by the field audit. On off times are based on a logger located in Taupo and not in Kawerau. Some ballast wattage discrepancies leading to over submission of 11,131 kWh per annum. Submission is based on a snapshot and does not consider historic adjustments. Potential impact: High Actual impact: Medium Audit history: Multiple times Controls: Weak Breach risk rating: 6		
Audit risk rating	Rationale for audit risk rating		
Medium	The previous audit recorded the controls as moderate, but I have recorded them as weak in this audit because the discrepancies from the previous audit have not been corrected and the recommendations were not adopted. The impact is assessed to be medium, based on the kWh differences described above.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis continues to investigate a logger for Kawerau which is underway however no completion date available. Genesis will continue to work with KDC about accuracy of their database and implementing a tracking of change process		Continuous Improvement	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis currently uses the Taupo logger as it is closest available to Kawerau		Continuous Improvement	