

# Compliance plan for Kawerau DC DUML November 2021

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 Clause 11(1) of Schedule 15.3</p> <p>From: 01-Jun-21 To: 24-Nov-21</p>	<p>Total annual consumption is estimated to be 5,800 kWh lower than the DUML database indicates, based on the field audit.</p> <p>20 of the 23 discrepancies from the last audit have not been updated in the database, and</p> <p>Lights on Anaru Drive are not in the database.</p> <p>Actual on and off times not used to calculate consumption.</p> <p>Potential impact: High Actual impact: Low Audit history: Three times Controls: Weak Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are rated as weak because quality control of the database accuracy is not evident.</p> <p>The impact is assessed to be low, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis Energy has advised council of the audit findings regarding the discrepancies that are still outstanding from the previous audit and still require corrections. The intent that council makes every effort to ensure that exceptions are rectified.</p> <p>In reference to the new connection process, Genesis Energy will look to review this process with the council with the aim that new roads are been added within a timely manner.</p> <p>Genesis is currently in the process of transferring ICP 1000023043BP177 onto a logger and will review consumption going back 14 months.</p>	<p>Continuous Improvement</p> <p>01/03/2022</p>	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Genesis Energy continues to work with KDC to provide exceptions and reporting refinements back to the council.</p>	<p>Continuous Improvement</p>	

ICP identifier and items of load		
Non-compliance	Description	
Audit Ref: 2.2 With: Clause 11(2)(a) and (aa) of Schedule 15.3 From: 01-Jun-21 To: 24-Nov-21	Blank ICP field for two items of load Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as weak. The data quality indicates a lack of quality control to check the data being loaded. The impact is assessed to be low based on the low proportion of missing data.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis Energy are currently investigating the missing ICP from the council database as noted by the auditor.	01/03/2022	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	

Description and capacity of each item of load		
Non-compliance	Description	
Audit Ref: 2.4 Clause 11(2)(c)&(d) of Schedule 15.3  From: 01-Jun-21 To: 24-Nov-21	Lamp and gear wattage fields not provided for the audit.  Potential impact: Low Actual impact: Low Audit history: Three times Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as weak the data quality indicates a lack of quality control to check the data being managed.  The impact is assessed to be low based on the low proportion of missing data.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis Energy has advised council of the audit findings regarding Lamp and gear wattage fields missing from the database output provided for the audit.	01/03/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis Energy has requested another output from the council which include lamp and gear wattage details.	01/03/2022	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Jun-21 To: 24-Nov-21	Two additional lights found in the field. Potential impact: Medium Actual impact: Low Audit history: Three times Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as weak. The data quality indicates a lack of quality control to check the data being loaded. The impact is assessed to be low based on the impact on kWh recorded in Sections 2.1, 3.1 and 3.2.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis Energy has advised council of the audit findings regarding missing information, with the intent that the council makes every effort to ensure that exceptions are rectified.	Continuous Improvement	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Jun-21</p> <p>To: 24-Nov-21</p>	<p>Database accuracy is outside the allowable +/-5% threshold resulting in an estimated over submission of 5,800 kWh per annum.</p> <p>Lamp and gear wattages not provided for the audit.</p> <p>Two items of load without ICPs</p> <p>Festive lighting is connected but the volume is not recorded.</p> <p>Lights on Anaru Drive not recorded.</p> <p>Potential impact: High</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>The controls are rated as weak because quality control of the database accuracy is not evident.</p> <p>The impact is assessed to be low, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis Energy has advised council of the audit findings regarding missing information, with the intent that the council makes every effort to ensure that exceptions are rectified.</p> <p>In reference to the new connection process, Genesis Energy will look to review this process with the council with the aim that new roads are been added within a timely manner.</p>		Continuous Improvement	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2 Clause 15.2 and 15.37B(c)</p> <p>From: 01-Sep-20 To: 27-May-21</p>	<p>Total annual consumption is estimated to be 5,800 kWh lower than the DUML database indicates, based on the field audit.</p> <p>20 of the 23 discrepancies from the last audit have not been updated in the database, and</p> <p>Lights on Anaru Drive are not in the database.</p> <p>Actual on and off times not used to calculate consumption.</p> <p>Potential impact: High</p> <p>Actual impact: Low</p> <p>Audit history: Three times</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are rated as weak because quality control of the database accuracy is not evident.</p> <p>The impact is assessed to be low, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis Energy has advised council of the audit findings regarding the discrepancies that are still outstanding from the previous audit and still require corrections. The intent that council makes every effort to ensure that exceptions are rectified.</p> <p>In reference to the new connection process, Genesis Energy will look to review this process with the council with the aim that new roads are been added within a timely manner.</p> <p>Genesis is currently in the process of transferring ICP 1000023043BP177 onto a logger and will review consumption going back 14 months.</p>	<p>Continuous Improvement</p> <p>01/03/2022</p>	<p>Identified</p>