

Compliance plan for Waipa DC Genesis DUML 2024

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-Jun-23</p> <p>To: 29-Feb-24</p>	<p>Non-compliant NST profile is still being used.</p> <p>The database is outside of the allowable +/-5% threshold. In absolute terms the total annual consumption is estimated to be 87,300 kWh per annum lower than the database indicates.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as weak as the processes in relation to submission are strong but there are no controls in place to ensure the database is accurate, so the overall rating is assessed to be weak.</p> <p>The impact is assessed to be high, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis continues to work on its application for a new profile.</p> <p>Waipa DC are aware of the outcome and findings; they are also aware of the requirements to resolve. Genesis continues to work with Waipa DC to ensure accuracy of their database.</p>	Continuous Improvement	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Genesis continues to work with Waipa DC to ensure accuracy of their database.</p>	Continuous Improvement	

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: 29-Feb-24	15 additional items of load were found in the field. Potential impact: Low Actual impact: Low Audit history: Three times previously Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as weak as there are no quality control processes in place to ensure data quality in the field. 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
Waipa DC are aware of the outcome and findings; they are also aware of the requirements to provide accurate datasets. Genesis continues to work with Waipa DC to ensure accuracy of their database and to provide any support required.	Continuous Improvement	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Waipa DC are aware of the findings and to take on the feedback to look at their process when updating their database for any changes/new connections.	Continuous Improvement	

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-23</p> <p>To: 29-Apr-24</p>	<p>The database is outside of the allowable +/-5% threshold. There is a 95% level of confidence that the annual consumption is between 18,200 kWh p.a. to 170,500 kWh p.a. lower than the database indicates.</p> <p>Over submission of 16,000 kWh per annum due to incorrect wattages for 60-watt MH lights.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Three times previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as weak as the processes in place to track changes requires improvement.</p> <p>The impact is assessed to be high, based on the estimated kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Waipa DC are aware of the outcome and findings; they are also aware of the requirements to resolve. Genesis continues to work with Waipa DC to ensure accuracy of their database and they are aware of the recommendation for a field audit.	Continuous Improvement	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with Waipa DC to ensure accuracy of their database.	Continuous Improvement	

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-Jun-23</p> <p>To: 29-Feb-24</p>	<p>Non-compliant NST profile is still being used.</p> <p>The database is outside of the allowable +/-5% threshold. In absolute terms the total annual consumption is estimated to be 87,300 kWh per annum lower than the database indicates.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as weak as the processes in relation to submission are strong but there are no controls in place to ensure the database is accurate, so the overall rating is assessed to be weak.</p> <p>The impact is assessed to be high, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis continues to work on its application for a new profile. Waipa DC are aware of the outcome and findings; they are also aware of the requirements to resolve. Genesis continues to work with Waipa DC to ensure accuracy of their database.	Continuous Improvement	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with Waipa DC to ensure accuracy of their database.	Continuous Improvement	