

Compliance plan for Napier CC DUML Audit – 2018

Deriving submission information			
Non-compliance	Description		
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Jun-17 To: 30-Apr-18	The database accuracy is assessed to be 115.9% indicating an estimated under submission of 556,000 kWh per annum (excluding ballast). The ballasts are not recorded correctly in the RAMM database. Potential impact: High Actual impact: High Audit history: None Controls: Moderate Breach risk rating: 6		
Audit risk rating	Rationale for audit risk rating		
High	The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time, and the errors found are historic. The impact is assessed to be high, based on the kWh differences described above.		
Actions taken to resolve the issue		Completion date	Remedial action status
Power solutions in regards to the audit findings in 2017. Genesis are currently also speaking with Unison to rectify the database exceptions.		12/2018	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis, have been advised that field audits will be conducted to verify assets currently connected		12/2018	

Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 With: Clause 11(2)(c) & (d) of Schedule 15.3 From: 01-Jun-17 To: 30-Apr-18	54 items of load with no rear wattage recorded. 19 items of load recorded with zero wattage. Potential impact: Low Actual impact: None Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time. The impact is assessed to be low, as the correct ballasts and wattages are added to the monthly report.		
Actions taken to resolve the issue		Completion date	Remedial action status
Power solutions in regards to the audit findings in 2017. Genesis are currently also speaking with Unison to rectify the database exceptions.		12/2018	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis, have been advised that field audits will be conducted to verify assets currently connected		12/2018	

All load recorded in the database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Jun-17 To: 30-Apr-18	Items of load are missing from the database. Potential impact: High Actual impact: High Audit history: None Controls: Moderate Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time, and the errors found are historic. The impact is assessed to be high, based on the kWh differences detailed in section 3.1 .	
Actions taken to resolve the issue	Completion date	Remedial action status
Power solutions in regards to the audit findings in 2017. Genesis are currently also speaking with Unison to rectify the database exceptions.	12/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis, have been advised that field audits will be conducted to verify assets currently connected	12/2018	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: entire audit period</p>	<p>The database accuracy is assessed to be 115.9% indicating an estimated under submission of 556,000 kWh per annum (excluding ballast).</p> <p>The ballasts are not recorded correctly in the RAMM database.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating:6</p>		
Audit risk rating	Rationale for audit risk rating		
High	<p>The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time the errors found are historic.</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
Power solutions in regards to the audit findings in 2017. Genesis are currently also speaking with Unison to rectify the database exceptions.		12/2018	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis, have been advised that field audits will be conducted to verify assets currently connected		12/2018	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: entire audit period</p>	<p>The database accuracy is assessed to be 115.9% indicating an estimated under submission of 556,000 kWh per annum (excluding ballast).</p> <p>The ballasts are not recorded correctly in the RAMM database.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
High	<p>The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time, and the errors found are historic.</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
Power solutions in regards to the audit findings in 2017. Genesis are currently also speaking with Unison to rectify the database exceptions.		12/2018	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis, have been advised that field audits will be conducted to verify assets currently connected		12/2018	