

Compliance plan for Hamilton City Council DUML Audit - 2018

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: entire audit period</p>	<p>The database accuracy is assessed to be 95.3% indicating an estimated over submission of 376,600 kWh per annum.</p> <p>Analysis of the ballasts applied indicate an under submission of 96,802.64 kWh.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Twice</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 lamp information is correctly recorded most of the time.</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 has previously met with HCC. We Genesis is currently getting HCC to review this audit with IA	12/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis liaises with IA (infrastructure Alliance) in regards to the issues that still exist. Still unable to date get a Ramm extraction due to its size.	12/2018	

All load recorded in the database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: entire audit period	Items of load are missing from the database. Potential impact: Low Actual impact: Low 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 rated as low, 95.3% of lamps found were recorded in the database. Most of the variances related to wattage discrepancies, rather than lamp count differences.	
Actions taken to resolve the issue		Completion date
Genesis has previously met with HCC. We Genesis is currently getting HCC to review this audit with IA		12/2018
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis liaises with IA (infrastructure Alliance) in regards to the issues that still exist. Still unable to date get a Ramm extraction due to its size.		12/2018
		Investigating

Tracking of load change			
Non-compliance	Description		
Audit Ref: 2.6 With: 11(3) of Schedule 15.3 From: 01-Jun-17 To: 31-May-18	Christmas lights not recorded in RAMM. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as weak as the tracking of maintenance load change is effective, but Christmas lights are not recorded. The impact is assessed to be low as the volume of discrepancies found in the new area assessed as part of the field audit was low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has previously met with HCC. We Genesis is currently getting HCC to review this audit with IA		12/2018	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis liaises with IA (infrastructure Alliance) in regards to the issues that still exist. Still unable to date get a Ramm extraction due to its size.		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 95.3% indicating an estimated over submission of 376,600 kWh per annum.</p> <p>Analysis of the ballasts applied indicate an under submission of 96,802.64 kWh.</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 the inaccuracies are being addressed through the LED roll out and therefore accuracy will increase.</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 has previously met with HCC. We Genesis is currently getting HCC to review this audit with IA		12/2018	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis liaises with IA (infrastructure Alliance) in regards to the issues that still exist. Still unable to date get a Ramm extraction due to its size.		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 95.3% indicating an estimated over submission of 376,600 kWh per annum.</p> <p>Analysis of the ballasts applied indicate an under submission of 96,802.64 kWh.</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 lamp information is correctly recorded most of the time.</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 has previously met with HCC. We Genesis is currently getting HCC to review this audit with IA		12/2018	Investigating
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