

Compliance plan for South Waikato DC 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 99.6% indicating an estimated minor over submission of 450 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Twice 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, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis have been working with SWDC to maintain their database. Actions are to introduce led (smart city) infrastructure with a CMS system overlaying measuring usage. Genesis have request AMS metering to be post CMS to capture volumes for billing and settlement.	10/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has requested meters which will remove the need for DUML databases.	10/2018	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Jun-17 To: 30-Apr-18	The database accuracy is assessed to be 99.6% indicating an estimated minor over submission of 450 kWh per annum. 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 assessed to be low, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis have been working with SWDC to maintain their database. Actions are to introduce led (smart city) infrastructure with a CMS system overlaying measuring usage. Genesis have request AMS metering to be post CMS to capture volumes for billing and settlement.	10/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has requested meters which will remove the need for DUML databases.	10/2018	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 01-Jun-17 To: 30-Apr-18	The database accuracy is assessed to be 99.6% indicating an estimated minor over submission of 450 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Twice 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 medium, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis have been working with SWDC to maintain their database. Actions are to introduce led (smart city) infrastructure with a CMS system overlaying measuring usage. Genesis have request AMS metering to be post CMS to capture volumes for billing and settlement.	10/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has requested meters which will remove the need for DUML databases.	10/2018	