

Compliance plan for Porirua City Council Distributed Unmetered Load for Genesis Energy Limited

Title: Deriving Submission Information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: 11(1) of Schedule 15.3</p> <p>From: entire audit period</p>	<p>Incorrect kW information was used to calculate submission information for some months.</p> <p>Submission against the wrong ICP is occurring for some Aotea subdivision lighting.</p> <p>Under submission is occurring for NZTA lighting.</p> <p>Potential impact: Medium</p> <p>Actual impact: Unknown</p> <p>Audit history: Twice previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>Controls are rated as weak, as they are not sufficient to mitigate the risk of incorrect data being reported.</p> <p>The impact is unable to be confirmed, due to missing data within RAMM, but has been estimated to be medium.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis receive information recently to enable billing/settlements.	12/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has also begun a process to rectify any issues relating to this report.	12/2018	

Title: ICP Identifier			
Non-compliance		Description	
Audit Ref: 2.2 With: Clause 11(2)(a) of Schedule 15.3 From: entire audit period		ICP number is missing for 15 items of load. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating		Rationale for audit risk rating	
Low		Controls are rated as moderate as significant improvements have been made since the last audit, and almost all items of load have an ICP number recorded. The impact is rated as low, as a very small number of items of load are affected.	
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis receive information recently to enable billing/settlements.		12/2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis has also begun a process to rectify any issues relating to this report.		12/2018	

Title: Location of Each Item of Load			
Non-compliance		Description	
Audit Ref: 2.3 With Clause 11(2)(b) of Schedule 15.3 From: entire audit period		One item of load does not have sufficient location information in RAMM recorded to confirm its location. Potential impact: Low Actual impact: Low Audit history: Twice previously Controls: Strong Breach risk rating: 1	
Audit risk rating		Rationale for audit risk rating	
Low		Controls are rated as strong and the impact as low, because significant improvements have been made since the last audit, and only one exception was identified.	

Actions taken to resolve the issue	Completion date	Remedial action status
Genesis receive information recently to enable billing/settlements.	12/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has also begun a process to rectify any issues relating to this report.	12/2018	

Title: Description of Load Type		
Non-compliance	Description	
<p>Audit Ref: 2.4 With: Clause 11(2)(c) & (d) of Schedule 15.3</p> <p>From: entire audit period</p>	<p>524 items of load have missing or unknown lamp construction information, and zero lamp wattages.</p> <p>Potential impact: Low</p> <p>Actual impact: Unknown</p> <p>Audit history: Three times previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>Controls are rated as weak, as they are not sufficient to mitigate the risk of incomplete or inaccurate information being recorded.</p> <p>The impact is unable to be accurately assessed, because the correct lamp information is unavailable. It is estimated to be low.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis receive information recently to enable billing/settlements.	12/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has also begun a process to rectify any issues relating to this report.	12/2018	

Title: All load recorded in database			
Non-compliance		Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: entire audit period		Five lights were missing from the database, and 73 lights had missing wattage information in the database. Potential impact: Low Actual impact: Unknown Audit history: Twice previously Controls: Weak Breach risk rating: 3	
Audit risk rating		Rationale for audit risk rating	
Low		Controls are rated as weak, as they are not sufficient to mitigate the risk of incorrect data being reported. The impact is unable to be confirmed, due to some missing data within RAMM and wattages which were unable to be confirmed in the field. It has been estimated to be low.	
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis receive information recently to enable billing/settlements.		12/2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis has also begun a process to rectify any issues relating to this report.		12/2018	

Title: Tracking of Load Changes	
Non-compliance	Description
Audit Ref: 2.6 With: Clause 11(3) of Schedule 15.3 From: entire audit period	Christmas lighting is not recorded in RAMM. Potential impact: Low Actual impact: Low Audit history: Twice previously Controls: Weak Breach risk rating: 3

Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as weak, as they are not sufficient to mitigate the risk of incorrect Christmas light data being recorded. The impact is estimated to be low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis receive information recently to enable billing/settlements.		12/2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis has also begun a process to rectify any issues relating to this report.		12/2018	

Title: Database Accuracy			
Non-compliance	Description		
Audit Ref: 3.1 With: Clause 15.2 From: entire audit period	The database contains some inaccurate information. Potential impact: Low Actual impact: Unknown Audit history: Twice previously Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as weak, as they are not sufficient to mitigate the risk of incomplete or inaccurate information being recorded. The impact is unable to be accurately assessed, because the correct lamp information is unavailable. It is estimated to be low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis receive information recently to enable billing/settlements.		12/2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis has also begun a process to rectify any issues relating to this report.		12/2018	

Title: Volume Information Accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2 With: Clause 15.2</p> <p>From: entire audit period</p>	<p>Incorrect kW information was used to calculate submission information for some months.</p> <p>Submission against the wrong ICP is occurring for some Aotea subdivision lighting.</p> <p>Under submission is occurring for NZTA lighting.</p> <p>Potential impact: Medium</p> <p>Actual impact: Unknown</p> <p>Audit history: Twice previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>Controls are rated as weak, as they are not sufficient to mitigate the risk of incorrect data being reported.</p> <p>The impact is unable to be confirmed, due to some missing data within RAMM but has been estimated to be medium.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis receive information recently to enable billing/settlements.	12/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has also begun a process to rectify any issues relating to this report.	12/2018	