

Compliance plan for Whakatane DC DUML Audit – 2018

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: unknown To: 30-Apr-18	The registry UML figures are used to calculate submission. The variances found will be resulting in an estimated over submission of 118,896.74 kWh per annum. Potential impact: High Actual impact: Unknown Audit history: None Controls: Weak Breach risk rating: 9	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as weak the submission is calculated not calculated from a monthly wattage report. The impact is assessed to be high due to the kWh volumes.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has spoken with Whakatane DC. Aiden has iterated that the LED deployment and implementation of CMS system will be completed late Oct 2018.	12/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis, will be communicating the issues with the contracted party with the intent of gaining access/monthly database reporting to help reduce data errors. Whakatane will be arranging access foe Genesis to download data as required. Until this is live Aiden will supply monthly Ramm extracts.	12/2018	

ICP identifier and items of load		
Non-compliance	Description	
<p>Audit Ref: 2.2</p> <p>With: Clause 11(2)(a) of Schedule 15.3</p> <p>From: unknown</p> <p>To: 30-Apr-18</p>	<p>86 items of load with no ICP recorded.</p> <p>Potential impact: Low</p> <p>Actual impact: Unknown</p> <p>Audit history: None</p> <p>Controls: Weak</p> <p>Breach risk rating: 5</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as weak as the ICP is not recorded against each item of load.</p> <p>The impact is assessed to be low due to the small volume of lights without an ICP.</p>	
Actions taken to resolve the issue		Completion date
<p>Genesis has spoken with Whakatane DC. Aiden has iterated that the LED deployment and implementation of CMS system will be completed late Oct 2018. Whakatane DC has iterated the due to "POLE & LAMP" replacements these will sit in the system with no ICP until livened. Once livened the ICP will be allocated.</p>		12/2018
Preventative actions taken to ensure no further issues will occur		Completion date
<p>Genesis, will be communicating the issues with the contracted party with the intent of gaining access/monthly database reporting to help reduce data errors. Whakatane will be arranging access foe Genesis to download data as required. Until this is live Aiden will supply monthly Ramm extracts.</p>		12/2018
Identified		

Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: unknown To: 30-Apr-18	57 items of load with an invalid or incomplete lamp description. Potential impact: Low Actual impact: Unknown Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as moderate as 98% of the load has all the required details. The impact is assessed to be low all had a wattage recorded and it is only the description that is incomplete.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has spoken with Whakatane DC. Aiden has iterated that the LED deployment and implementation of CMS system will be completed late Oct 2018.		12/2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis, will be communicating the issues with the contracted party with the intent of gaining access/monthly database reporting to help reduce data errors. Whakatane will be arranging access foe Genesis to download data as required. Until this is live Aiden will supply monthly Ramm extracts.		12/2018	

All load recorded in database		
Non-compliance	Description	
<p>Audit Ref: 2.5</p> <p>With: Clause 11(2A) and (d) of Schedule 15.3</p> <p>From: 01-Apr-17</p> <p>To: 30-Apr-18</p>	<p>46 additional items of load found in the field found in field sample.</p> <p>Potential impact: High</p> <p>Actual impact: Unknown</p> <p>Audit history: None</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 due to the additional items of load found in the field audit.</p> <p>The impact is assessed to be high due to the total estimated kWh difference detailed in section 3.2.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis has spoken with Whakatane DC. Aiden has iterated that the LED deployment and implementation of CMS system will be completed late Oct 2018. Whakatane DC has iterated the due to "POLE & LAMP" replacements these will sit in the system with no ICP until livened. Once livened the ICP will be allocated.</p>	12/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Genesis, will be communicating the issues with the contracted party with the intent of gaining access/monthly database reporting to help reduce data errors. Whakatane will be arranging access foe Genesis to download data as required. Until this is live Aiden will supply monthly Ramm extracts.</p>	12/2018	

Tracking of load changes		
Non-compliance	Description	
Audit Ref: 2.6 With: Clause 11(3) of Schedule 15.3 From: 01-Apr-17 To: 30-Apr-18	Monthly reports not provided to Genesis for submission. Load changes not tracked in the database. Potential impact: High Actual impact: High Audit history: None Controls: Weak Breach risk rating: 9	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as weak, as the field audit found the changes made in the field not updated in the database. The impact is assessed to be high due to the kWh volumes detailed in section 3.2	
Actions taken to resolve the issue		Completion date
Genesis has spoken with Whakatane DC. Aiden has iterated that the LED deployment and implementation of CMS system will be completed late Oct 2018.		12/2018
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis, will be communicating the issues with the contracted party with the intent of gaining access/monthly database reporting to help reduce data errors. Whakatane will be arranging access for Genesis to download data as required. Until this is live Aiden will supply monthly Ramm extracts.		12/2018
Remedial action status		
Identified		

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: unknown To: 30-Apr-18	The registry UML figures are used to calculate submission. The variances found will be resulting in an estimated over submission of 118,896.74 kWh per annum. Potential impact: High Actual impact: High Audit history: None Controls: Weak Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as weak the submission is calculated not calculated from a monthly wattage report. The impact is assessed to be high due to the kWh volumes.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has spoken with Whakatane DC. Aiden has iterated that the LED deployment and implementation of CMS system will be completed late Oct 2018.	12/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis, will be communicating the issues with the contracted party with the intent of gaining access/monthly database reporting to help reduce data errors. Whakatane will be arranging access foe Genesis to download data as required. Until this is live Aiden will supply monthly Ramm extracts.	12/2018	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: unknown To: 30-Apr-18	The registry UML figures are used to calculate submission. The variances found will be resulting in an estimated over submission of 118,896.74 kWh per annum. Potential impact: High Actual impact: Unknown Audit history: None Controls: Weak Breach risk rating: 9	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as weak the submission is calculated not calculated from a monthly wattage report. The impact is assessed to be high due to the kWh volumes.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has spoken with Whakatane DC. Aiden has iterated that the LED deployment and implementation of CMS system will be completed late Oct 2018. Whakatane DC has iterated the due to "POLE & LAMP" replacements these will sit in the system with no ICP until livened. Once livened the ICP will be allocated.	12/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis, will be communicating the issues with the contracted party with the intent of gaining access/monthly database reporting to help reduce data errors. Whakatane will be arranging access foe Genesis to download data as required. Until this is live Aiden will supply monthly Ramm extracts.	12/2018	