

## Compliance plan for Hastings DC DUML – 2018

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Feb-17</p> <p>To: 24-Sep-18</p>	<p>Incorrect ballasts applied resulting in an estimated 13,796.7 kWh under submission.</p> <p>14 records have blank or unknown lamp wattages, leading to over submission of approximately 16,828 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Medium</b>	<p>The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time, but there are still some errors.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis analysed the detailed data being provided to Genesis. Genesis has found the only blank/zero listed lamp items are in fact for driver feedback signs and pay and display chargers listed in the database. Genesis have sent HDC the dataset error and have requested these to be amended.</p> <p>Genesis has analysed the process of deriving the total kWh's and has found that it rounds up the value as its rounded to 2 decimal places. Genesis are investigating whether Gentrack can accept decimal places greater than 2 in the TOU billing module.</p>		01/03/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis analyses the data each month feedback any erroneous data and make the necessary changes for settlements/billing processes.</p>		01/03/2019	

Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 With: Clause 11(2)(c) of Schedule 15.3 From: 01-Feb-17 To: 24-Sep-18	14 records with blank or 'unknown' lamp description and missing wattage values. Potential impact: Medium Actual impact: Medium Audit history: Once Controls: Moderate Breach risk rating: 4		
Audit risk rating	Rationale for audit risk rating		
<b>Medium</b>	The controls are recorded as moderate because there is room for improvement. The audit risk rating is medium due to the estimated over submission by approximately 16,828 kWh per annum.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis analyzed the detailed data being provided to Genesis. Genesis has found the only blank/zero listed lamp items are in fact for driver feedback signs and pay and display chargers listed in the database. Genesis have sent HDC the dataset error and have requested these to be amended.		01/03/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis analyses the data each month feedback any erroneous data and make the necessary changes for settlements/billing processes.		01/03/2019	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Feb-17</p> <p>To: 24-Sep-18</p>	<p>14 records have blank or unknown lamp wattages, leading to over submission of approximately 16,828 kWh per annum.</p> <p>Incorrect ballasts applied resulting in an estimated 13,796.7 kWh under submission.</p> <p>92 metered lamps recorded incorrectly against an unmetered ICP.</p> <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	<p>The controls are rated as moderate, because they are sufficient to ensure the database is accurate most of the time.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis analysed the detailed data being provided to Genesis. Genesis has found the only blank/zero listed lamp items are in fact for driver feedback signs and pay and display chargers listed in the database. Genesis have sent HDC the dataset error and have requested these to be amended.	01/03/2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis analyses the data each month feedback any erroneous data and make the necessary changes for settlements/billing processes.	01/03/2019	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-Feb-17</p> <p>To: 24-Sep-18</p>	<p>Submission calculation difference leading to a 3 kWh over submission for the month of September.</p> <p>Incorrect ballasts applied resulting in an estimated 13,796.7 kWh under submission.</p> <p>14 records have blank or unknown lamp wattages, leading to over submission of approximately 16,828 kWh per annum.</p> <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	<p>The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time but there are still some errors.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis the findings regarding the logger variation, as the same logger is used with Napier CC and there was no issue recorded against 3.2 in relation to the logger 206562019.</p> <p>Genesis analysed the detailed data being provided to Genesis. Genesis has found the only blank/zero listed lamp items are in fact for driver feedback signs and pay and display chargers listed in the database. Genesis have sent HDC the dataset error and have requested these to be amended.</p>	01/03/2019	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis analyses the data each month feedback any erroneous data and make the necessary changes for settlements/billing processes.	01/03/2019	