

Compliance plan for Central Otago DC RAMM DUML – 2018

DUML Audit		
Non-compliance	Description	
Audit Ref: 1.10 Clause 17.295F of part 17 From: 01-Jun-18 To: 16-Oct-18	Audit not completed within 12 months of Part 16A coming into effect. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong, as Genesis are reliant on the database provider to supply the data and in this case the delay caused this report to be late. The impact is assessed to be low, as this has no direct impact on reconciliation.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis liaised with CODC which lead to CODC completing a field audit to validate their RAMM dataset.	01/11/2018	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis are receiving monthly data to validate and work with CODC on any exceptions found.	01/11/2018	

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Sep-18 To: 16-Oct-18	The database accuracy is assessed to be 95.1% indicating an estimated over submission of approximately 3,500 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 liaised with CODC which lead to CODC completing a field audit to validate their RAMM dataset. Genesis have been working closely to ensure that the maintenance/implementation of lamps are recorded and reported to Genesis.	01/11/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis are receiving monthly data to validate and work with CODC on any exceptions found.	01/11/2018	

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Sep-18 To: 16-Oct-18	Four lights not included in the database extract used for submission, estimated 705 kWh of under submission 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 ensure most information is accurate. 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 has highlighted the minor dataset discrepancy, CODC will be managing the issues highlighted to update the streetlight dataset held for CODC.		01/03/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis are receiving monthly data to validate and work with CODC on any exceptions found. However, it relies on CODC operational processes to ensure all asset information is recorded within RAMM.		01/03/2019	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Sep-18 To: 16-Oct-18	The database accuracy is assessed to be 95.1% indicating an estimated over submission of approximately 3,500 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 the database is accurate 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 liaised with CODC which lead to CODC completing a field audit to validate their RAMM dataset. Genesis have been working closely to ensure that the maintenance/implementation of lamps are recorded and reported to Genesis.	01/11/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis are receiving monthly data to validate and work with CODC on any exceptions found.	01/11/2018	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 Clause 15.2 and 15.37B(c) From: 01-Sep-18 To: 16-Oct-18	The database accuracy is assessed to be 95.1% indicating a potential over submission of approximately 3,500 kWh per annum. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 1	
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 liaised with CODC which lead to CODC completing a field audit to validate their RAMM dataset. Genesis have been working closely to ensure that the maintenance/implementation of lamps are recorded and reported to Genesis.	01/11/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis are receiving monthly data to validate and work with CODC on any exceptions found.	01/11/2018	