

Compliance plan for Central Otago DC -Aurora Database 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		
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: unknown</p> <p>To: 30-Apr-18</p>	<p>The database accuracy is assessed to be 61.5% indicating an estimated over submission of 342,300 kWh per annum.</p> <p>Incorrect ballasts applied resulting in an estimated under submission of 2,934.18 kWh.</p> <p>Potential impact: High</p> <p>Actual impact: High</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, as the variances found in the field indicate a high level of error.</p> <p>The impact is assessed to be high, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>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. Genesis will no longer be using Aurora data in their processes, Genesis will be utilising CODC</p>		01/11/2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis are receiving monthly data to validate and work with CODC on any exceptions found. Genesis has advised Aurora that the information they were providing was inaccurate. In recent communications, Aurora agree and are making the necessary changes in their database. Genesis will be working with the distributor and the customer, regarding revising submissions and over charged volumes.</p>		01/11/2018	

Description and capacity of load			
Non-compliance	Description		
<p>Audit Ref: 2.4</p> <p>With: Clause 11(2)(c) and (d) of Schedule 15.3</p> <p>From: 01-Apr-17</p> <p>To: 30-Apr-18</p>	<p>149 items of load with incomplete lamp descriptions.</p> <p>24 items of load recorded with zero wattage.</p> <p>14 items of load with an invalid light description.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as moderate as the data is correct for 93% of the Aurora load.</p> <p>The impact is assessed to be low, as the items all have a wattage value with the exception of 24 items of load.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis are awaiting the distributor to correct the assets updates in their system, although the source of the streetlight assets will be from the customers database (CODC) RAMM asset management system.		01/11/2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis have been working with CODC since March 2018 to achieve database accuracies. The field audit conducted was finalised and Genesis worked with CODC to validate lamp information. Genesis continues to review and suggest changes as required.		01/11/2018	

All load recorded in the database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: unknown To: 30-Apr-18	Six additional items of load are missing from the database. Potential impact: High Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as weak, as the variances found in the field indicate a high level of error as detailed in section 3.1 . The impact is rated as low as there were as many missing lights as additional lights found in the sample checked.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis are awaiting the distributor to correct the assets updates in their system, although the source of the streetlight assets will be from the customers database (CODC) RAMM asset management system.		01/11/2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis have been working with CODC since March 2018 to achieve database accuracies. The field audit conducted was finalised and Genesis worked with CODC to validate lamp information. Genesis continues to review and suggest changes as required.		01/11/2018	

Database accuracy			
Non-compliance	Description		
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: unknown To: 30-Apr-18	The database accuracy is assessed to be 61.5% indicating an estimated over submission of 342,300 kWh per annum. Incorrect ballasts applied resulting in an estimated under submission of 2,934.18 kWh. 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 variances found in the field indicate a high level of error. The impact is assessed to be high, based on the kWh differences described above.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis are awaiting the distributor to correct the assets updates in their system, although the source of the streetlight assets will be from the customers database (CODC) RAMM asset management system.		01/11/2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis have been working with CODC since March 2018 to achieve database accuracies. The field audit conducted was finalised and Genesis worked with CODC to validate lamp information. Genesis continues to review and suggest changes as required.		01/11/2018	

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 database accuracy is assessed to be 61.5% indicating an estimated over submission of 342,300 kWh per annum. Incorrect ballasts applied resulting in an estimated under submission of 2,934.18 kWh. 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 variances found in the field indicate a high level of error. The impact is assessed to be high, based on the kWh differences described above.	
Actions taken to resolve the issue		Completion date
Genesis are awaiting the distributor to correct the assets updates in their system, although the source of the streetlight assets will be from the customers database (CODC) RAMM asset management system.		01/11/2018
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis have been working with CODC since March 2018 to achieve database accuracies. The field audit conducted was finalised and Genesis worked with CODC to validate lamp information. Genesis continues to review and suggest changes as required.		01/11/2018
		Remedial action status
		Identified