

Compliance plan for Whangarei DC DUML – 2018

DUML Audit		
Non-compliance	Description	
Audit Ref: 1.10 Clause 17.295F of part 17 From: 01-Dec-18 To: 1-Dec-18	Audit not completed within the required timeframe. 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 Energy liaised with WDC to provide Genesis with the information pertaining to the Whangarei DC streetlighting assets	01/11/2018	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis have <u>requested</u> monthly reporting to analyze, Which will be utilized for future submissions.	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: 01-May-18</p> <p>To: 30-Sep-18</p>	<p>The database accuracy is assessed to be 93.2% indicating potential over submission of 39,600 kWh per annum.</p> <p>1,806 items of load have the incorrect ballast applied in the DUMML database which would result in over submission of 88,009.51 kWh per annum if used for submission.</p> <p>Total kW values are calculated outside of the database.</p> <p>Out of date kW report used to calculate submission resulting in a potential 123,597 kWh of over submission per annum.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Once previously</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 submission is not calculated from an up to date monthly wattage report, and ballast is not calculated from the database.</p> <p>The impact is assessed to be high due to the kWh volumes.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis have been working with the council and North Power regarding the datasets being provided. The information in the council data was incomplete with a vast amount of accuracy issues. The North Power data was based on North Powers information and being the two entities did not converse the Distributor was unaware of the LED upgrades being implemented, as this information was not being provided by the council to the distributor or the trader. The Council are now providing the assets information from their RAMM database.</p>	01/04/2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Genesis have been working with both the council and North Power. The information being supplied by NPOW is now showing upgrades. Genesis will continue to work with the council to provide feedback on accuracy issues with their dataset, if required.</p>	01/04/2019	

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-May-18</p> <p>To: 30-Nov-18</p>	<p>6 additional items of load found in the field sample.</p> <p>Potential impact: High</p> <p>Actual impact: Low</p> <p>Audit history: None</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 due to the volume of additional lights found in the field.</p> <p>The impact is assessed to be low due to the low number of differences found in the field and total estimated kWh difference detailed in section 3.1.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis believes this to be a potential timing issue regarding the LED roll out. As the information has not been supplied to NPOW, the asset information held by NPOW has not been updated.</p> <p>Genesis will provide the auditors findings to the council for further investigation.</p>		01/06/2019	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis has requested monthly extractions to help identify potential issues, however rely on the accuracy of field information provided by the WDC contractors.</p>		01/06/2019	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-May-18</p> <p>To: 30-Nov-18</p>	<p>The database accuracy is assessed to be 93.8% indicating potential over submission of 107,300 kWh per annum.</p> <p>1,806 items of load have the incorrect ballast applied in the DUML database which would result in over submission of 88,009.51 kWh per annum if used for submission.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Once</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 submission is not calculated from an up to date monthly wattage report, and there is a large volume of incorrect total wattages recorded in the database.</p> <p>The impact is assessed to be high due to the kWh volumes.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Both Genesis and Whangarei DC are eager to ensure the volume reporting is based on information supplied by the RAMM dataset. Genesis will be working closely to ensure that WDC are engaged in ensuring all recommendation corrections/updates are reviewed and updated in RAMM.		01/06/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis has requested monthly extractions to help identify areas of concern.		01/06/2019	

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-May-18</p> <p>To: 30-Nov-18</p>	<p>The database accuracy is assessed to be 93.2% indicating potential over submission of 39,600 kWh per annum.</p> <p>1,806 items of load have the incorrect ballast applied in the DUML database which would result in over submission of 88,009.51 kWh per annum if used for submission.</p> <p>Total kW values are calculated outside of the database.</p> <p>Out of date kW report used to calculate submission resulting in a potential 123,597 kWh of over submission per annum.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Once previously</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 submission is not calculated from an up to date monthly wattage report, and ballast is not calculated from the database.</p> <p>The impact is assessed to be high due to the kWh volumes.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Both Genesis and Whangarei DC are eager to ensure the volume reporting is based on information supplied by the RAMM dataset. Genesis will be working closely to ensure that WDC are engaged in ensuring all recommendation corrections/updates are reviewed and updated in RAMM.		01/06/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis has requested monthly extractions to help identify potential issues.		01/06/2019	