

Compliance plan for Christchurch CC Unmetered Traffic Lights – 2020

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: unknown To: 12-Apr-19	The database contained some missing and incorrect daily kWh information. The errors were corrected during the audit. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls were rated as weak, because they were not sufficient to ensure that correct daily kWh values were recorded for all speed signs and traffic safety cameras. The impact is assessed to be low based on the wattage differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
The council had implemented controls to mitigate the risk, Genesis were unable to assess as the customer switched to another energy provider.	01/10/2019	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
n/a	n/a	

ICP identifier and items of load	
Non-compliance	Description
Audit Ref: 2.2 With: Clause 11(2)(a) and (aa) of Schedule 15.3 From: unknown To: 11-Apr-19	ICP number is not recorded in RTOAD. All items of load have a GXP recorded, and this GXP information is used to map to the correct ICP. Potential impact: None Actual impact: None Audit history: Three times Controls: Weak Breach risk rating: 3

Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls were rated as weak. An ICP number field is available in RTOAD but is not used.</p> <p>The impact is assessed to be low. ICP numbers can be determined from the GXP information because there is a 1:1 relationship between GXP and ICP, and the GXP is populated for every item of load. There is no impact on submission.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis were unable to assess as the customer switched to another energy provider.		01/10/2019	Unknown
Preventative actions taken to ensure no further issues will occur		Completion date	

Description and capacity of load			
Non-compliance	Description		
<p>Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: unknown To: 11-Apr-19</p>	<p>Two sites had no database kWh per day recorded. The errors were corrected during the audit.</p> <p>Potential impact: None Actual impact: None Audit history: Three times Controls: Moderate Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls were rated as moderate because almost all items of load have kWh information recorded.</p> <p>The impact is assessed to be low. The missing kWh values are 0.12 kWh per day.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
The council had implemented controls to mitigate the risk, Genesis were unable to assess as the customer switched to another energy provider.		01/10/2019	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clauses 11(2A) of Schedule 15.3 From: 10-Apr-19 To: 10-Apr-19	One traffic safety camera was missing from the database for site 129. The database was updated during the audit. 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 only one difference was identified. The impact is low because the wattage of the missing camera is 0.048 kWh per day.		
Actions taken to resolve the issue		Completion date	Remedial action status
The council had implemented controls to mitigate the risk, Genesis were unable to assess as the customer switched to another energy provider.		01/10/2019	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	

Audit trails			
Non-compliance	Description		
Audit Ref: 2.7 With: Clause 11(4) of Schedule 15.3 From: unknown To: 12-Apr-19	No audit trail of changes made in the access database. Potential impact: Low Actual impact: Low Audit history: Three times Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as weak because audit trails do not exist. The impact is rated as low, because it does not affect submission.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis were unable to assess as the customer switched to another energy provider.		01/10/2019	Unknown

Preventative actions taken to ensure no further issues will occur	Completion date

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: unknown To: 12-Apr-19	The database contained some missing and incorrect daily kWh information. The errors were corrected during the audit. ICP number is not recorded in the database. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls were rated as weak, because they were not sufficient to ensure that correct daily kWh values were recorded for all speed signs and traffic safety cameras. The impact is assessed to be low based on the wattage differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis were unable to assess as the customer switched to another energy provider.	01/10/2019	Unknown
Preventative actions taken to ensure no further issues will occur	Completion date	

Volume information accuracy	
Non-compliance	Description
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: unknown To: 12-Apr-19	The database contained some missing and incorrect daily kWh information. The errors were corrected during the audit. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Weak Breach risk rating: 3

Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls were rated as weak, because they were not sufficient to ensure that correct daily kWh values were recorded for all speed signs and traffic safety cameras.</p> <p>The impact is assessed to be low based on the wattage differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
The council had implemented controls to mitigate the risk, Genesis were unable to assess as the customer switched to another energy provider.		01/10/2019	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	