

Compliance Plan for FNDC DUML – 2020

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Feb-19 To: 30-Jun-20</p>	<p>Error in process used to calculate submission resulting in additional submission for 30 lights which would result in an annual over submission of 4,651 kWh. No input wattage being recorded for two permanently connected decorative lights in Kaeo.</p> <p>One item of load has the incorrect ballast applied in the DUML database which would result in over submission of 428.15 kWh per annum if used for submission.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time, but there is room for improvement.</p> <p>The impact is assessed to be low due to the kWh volumes.</p>	
Actions taken to resolve the issue		Completion date
Genesis Energy note that the duplication no longer exists		01/09/2020
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis questioned the council on the duplicated assets and the council have ensured this duplication no longer exists.		01/09/2020
		Cleared

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: 01-Feb-19 To: 30-Jun-20	No lamp model or input wattage being recorded for two permanently connected decorative lights in Kaeo. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time, but there is room for improvement. The risk is low due to the impact on submission.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis provides exception reporting to FNDC. Genesis acknowledges that the data set provided in July-2020 has a total of 49 exceptions that they are currently working through with the Council	01/10/2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to provide the relative feedback for any lamp information exceptions to help FNDC take any necessary corrective measures.	01/10/2020	

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-19</p> <p>To: 30-Jun-20</p>	<p>One item of load has the incorrect ballast applied in the DUML database which would result in over submission of 428.15 kWh per annum.</p> <p>No lamp model or input wattage being recorded for two permanently connected decorative lights in Kaeo.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time, but there is room for improvement.</p> <p>The impact is assessed to be low due to the kWh volumes.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has provided FNDC with a copy of the audit and highlighted the need to correct the items Identified in the audit. Genesis has also reiterated that they will continue to provide the council with any exceptions found when reviewing their monthly data.	01/10/2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Continue to work with council with any exceptions found in their monthly dta reporting.	01/10/2020	

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-19</p> <p>To: 30-Jun-20</p>	<p>Incorrect status recorded for ICP 0000003759TEF13.</p> <p>Error in process used to calculate submission resulting in additional submission for 30 lights which would result in an annual over submission of 4,651 kWh. No input wattage being recorded for two permanently connected decorative lights in Kaeo.</p> <p>One item of load has the incorrect ballast applied in the DUML database which would result in over submission of 428.15 kWh per annum if used for submission.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time, but there is room for improvement.</p> <p>The impact is assessed to be low due to the kWh volumes.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis Energy note that the duplication no longer exists	01/09/2020	Cleared for duplication in submission calculation. Identified for remainder
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis questioned the council on the duplicated assets and the council have ensured this duplication no longer exists. Genesis will continue to review data reporting to maintain quality assurance.	01/09/2020	