

Compliance plan for Opotiki DC DUML – 2020

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Jun-19 To: 09-Apr-20</p>	<p>Variance found between RAMM database extract and the kWh figure submitted by Genesis resulting in an estimated annual over submission 15,090 kWh. Average burn times of 11.9 hours per day are not accurate per month. Potential impact: Medium Actual impact: Medium Audit history: Once Controls: Weak Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are rated as weak because submission information is not calculated from an up to date data source and the burn hours used to calculate submission are fixed but are variable in the field. The impact is assessed to be medium based on over submission of 15,090 kWh per annum.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis has requested monthly asset data to be provided and will follow up with the council each month to ensure its delivery. Genesis has also requested information that pertains to the assets controlled by the Telensa system, as these assets on/off times will be supported by the data held within it, to remove the necessary daily average burn time of 11.9 hours. The remaining 25% of non-LED assets that are currently still on the network replay will require further investigation to ascertain whether the network quantifies its monthly burn times.</p>		01/09/2020	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis has made corrections to the registry daily kwh information. Genesis will make the necessary changes to the registry monthly whilst working with the council to rectify database anomalies.</p>		01/04/2020	

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-Jun-19</p> <p>To: 09-Apr-20</p>	<p>39 LED lights have make/model as "LED". Make and model information is also required.</p> <p>45 70 watt SON lights have 18 watts for ballast instead of 13.</p> <p>Eight 150 watt SON lights have 14 watts for ballast instead of 18.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</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 this information is expected to be captured as part of Opus' management of the RAMM database.</p> <p>The impact is assessed to be low as the impact on annual kWh is small.</p>	
Actions taken to resolve the issue		Completion date
Genesis has requested monthly asset data to be provided and will follow up with the council each month to ensure its delivery. Genesis has reviewed the dataset and has provide a summary of exceptions to be investigated.		01/06/2020
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis has made corrections to the registry daily kwh information. Genesis will make the necessary changes to the registry monthly whilst working with the council to rectify database anomalies.		01/04/2020
		Identified

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Jun-18</p> <p>To: 31-May-19</p>	<p>39 LED lights have make/model as "LED". Make and model information is also required.</p> <p>45 70 watt SON lights have 18 watts for ballast instead of 13.</p> <p>Eight 150 watt SON lights have 14 watts for ballast instead of 18.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</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. The accuracy of dates has improved, and it only needs the ballast information and make/model to be updated to achieve compliance.</p> <p>The impact is assessed to be low as the volume of lights with errors is small.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has requested monthly asset data to be provided and will follow up with the council each month to ensure its delivery. Genesis has reviewed the dataset and has provide a summary of exceptions to be investigated.		01/06/2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis has made corrections to the registry daily kwh information. Genesis will make the necessary changes to the registry monthly whilst working with the council to rectify database anomalies.		01/04/2020	

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-Jun-19</p> <p>To: 09-Apr-20</p>	<p>Variance found between RAMM database extract and the kWh figure submitted by Genesis resulting in an estimated annual over submission 15,090 kWh.</p> <p>Average burn times of 11.9 hours per day are not accurate per month.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are rated as weak because submission information is not calculated from an up to date data source and the burn hours used to calculate submission are fixed but are variable in the field.</p> <p>The impact is assessed to be medium based on over submission of 15,090 kWh per annum</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis has requested monthly asset data to be provided and will follow up with the council each month to ensure its delivery. Genesis has also requested information that pertains to the assets controlled by the Telensa system, as these assets on/off times will be supported by the data held within it, to remove the necessary daily average burn time of 11.9 hours. The remaining 25% of non-LED assets that are currently still on the network replay will require further investigation to ascertain whether the network quantifies its monthly burn times.</p>		01/09/2020	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis has made corrections to the registry daily kwh information. Genesis will make the necessary changes to the registry monthly whilst working with the council to rectify database anomalies.</p>		01/04/2020	