

Compliance plan for Queenstown Lake District Council DUML – 2020

Deriving submission information			
Non-compliance	Description		
Audit Ref: 2.1 With: 11(1) of Schedule 15.3 From: 01-Mar-19 To: 31-Dec-19	<p>Potential over submission of 448 kWh p.a. due to incorrect on/off times.</p> <p>The database accuracy is assessed to be 111.9% of the database for the sample checked indicating a potential under submission of approximately 133,500 kWh per annum.</p> <p>18 x 25W fluorescent lights should a 7.8W ballast applied but have a 5W ballast applied resulting in a minor estimated annual under submission of 215 kWh.</p> <p>1x 103W LED has a ballast of 14W applied when this should be zero resulting in a minor estimated annual over submission of 60 kWh.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Twice previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
High	<p>The controls are rated as moderate as processes to manage change capture most changes, but the new connection process needs review to ensure new connections are updated in the database in a timely manner.</p> <p>The impact is assessed to be high due to volume of additional lights found in the field.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has contacted QLDC (Rodger Hughes) who has implemented monthly reporting. And Genesis has addressed the issue with night hours		01/05/2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis has addressed the night hours issue as this was a set up error by a user. Genesis will review the onboarding processes in due course to limit any further potential errors.		01/05/2020	

Location of each item of load		
Non-compliance	Description	
Audit Ref: 2.3 With: 11(2)(b) of Schedule 15.3 From: 28-Feb-19 To: 31-Dec-19	Two items of load not readily locatable. Potential impact: Low Actual impact: Low Audit history: Once Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong. QLDC have robust processes in place to ensure all items of load are locatable. The audit risk rating is low as only two items of load were not locatable.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis have requested the council investigate the missing assets and make the necessary updates.	01/07/2020	Investigating
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: Clause 11(2A) and (d) of Schedule 15.3 From: 01-Mar-19 To: 31-Dec-19	25 additional items of load found. Potential impact: High Actual impact: High Audit history: Twice previously Controls: Moderate Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as moderate as processes to manage change capture most changes, but the new connection process needs review to ensure new connections are updated in the database in a timely manner. The impact is assessed to be high due to volume of additional lights found in the field.	
Actions taken to resolve the issue		Completion date
Genesis has requested QLDC to have McKay electrical confirm field audit findings.		01/09/2020
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis relies on the KPI's between the council and its maintenance provider to maintain asset information accuracies.		
		Remedial action status
		Investigating

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Mar-19</p> <p>To: 31-Dec-19</p>	<p>The database accuracy is assessed to be 111.9% of the database for the sample checked indicating a potential under submission of approximately 133,500 kWh per annum.</p> <p>18 x 25W fluorescent lights should a 7.8W ballast applied but have a 5W ballast applied resulting in a minor estimated annual under submission of 215 kWh.</p> <p>1x 103W LED has a ballast of 14W applied when this should be zero resulting in a minor estimated annual over submission of 60 kWh.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Twice previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as moderate as processes to manage change capture most changes, but the new connection process needs review to ensure new connections are updated in the database in a timely manner.</p> <p>The impact is assessed to be high due to volume of additional lights found in the field.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will be working through the audit findings and will make the necessary ballast corrections upon review. The private lighting will need to be assessed as the distributor(s) may need to be involved in the potential solution.	01/09/2020	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will discuss their contractual KPI's with QLDC.	01/09/2020	

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-Mar-19</p> <p>To: 31-Dec-19</p>	<p>Potential over submission of 448 kWh p.a. due to incorrect on/off times.</p> <p>The database accuracy is assessed to be 111.9% of the database for the sample checked indicating a potential under submission of approximately 133,500 kWh per annum.</p> <p>18 x 25W fluorescent lights should a 7.8W ballast applied but have a 5W ballast applied resulting in a minor estimated annual under submission of 215 kWh.</p> <p>1x 103W LED has a ballast of 14W applied when this should be zero resulting in a minor estimated annual over submission of 60 kWh.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Twice previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as moderate as processes to manage change capture most changes, but the new connection process needs review to ensure new connections are updated in the database in a timely manner.</p> <p>The impact is assessed to be high due to volume of additional lights found in the field.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has contacted QLDC (Rodger Hughes) who has implemented monthly reporting. And Genesis has addressed the issue with night hours	01/05/2020	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has addressed the night hours issue as this was a set up error by a user. Genesis will review the onboarding processes in due course to help avoid further occurrences.	01/05/2020	