

## Compliance plan for Whakatane DC DUML – 2020

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3  From: 01-Dec-19 To: 31-Aug-20</p>	<p>Variance found between RAMM database extract and the kWh figure submitted by Genesis resulting in an estimated annual over submission 51,595 kWh. Actual on/off times are different to the fixed 11.9 hours used by Genesis. In absolute terms, total annual consumption is estimated to be 7,700 kWh higher than the DUML database indicates. Submission is based on a snapshot and does not consider historic adjustments. Potential impact: High Actual impact: Medium Audit history: Three times previously Controls: Weak Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
<p><b>High</b></p>	<p>The controls are rated as weak as the submission is not calculated from the database and the burn hours used to calculate submission are fixed but are variable in the field.  The impact is assessed to be medium due to the over submission of approx. 16,860 kWh per annum.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis and Whakatane DC are investigating avenues to enable compliance to be met.  Genesis has spoken with Telensa and have provided Telensa with the trader s expected outcomes. Telensa has also been working with the council and now have all information in order help both Council and Trader meet compliance expectations.</p>	<p>unknown</p>	<p>Investigating</p>
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Currently discussing reporting avenues of the database to enable the trader to move forward in meeting compliance.</p>	<p>unknown</p>	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) and (d) of Schedule 15.3 From: 01-Dec-19 To: 31-Aug-20	Two additional items of load found in the field sample. Potential impact: High Actual impact: Low Audit history: Three times Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as moderate because they ensure the light count is accurate most of the time. The impact is assessed to be low because there were only two discrepancies.	
Actions taken to resolve the issue	Completion date	Remedial action status
Whakatane DC have agreed to add the any additional assets identified in the field into RAMM.	01/10/2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Whakatane continues to maintain their assets and work with their service provider to ensure all assets are identified.	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-Dec-19</p> <p>To: 31-Aug-20</p>	<p>In absolute terms, total annual consumption is estimated to be 7,700 kWh higher than the DUML database indicates.</p> <p>5 incorrect ballasts.</p> <p>4 incorrect lamp descriptions.</p> <p>Any changes that are made during any given month take effect from the beginning of that month. This process does not account for historic changes or changes within a month. New connections are recorded from the time of vesting, not from the time of livening.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement</p> <p>The audit risk rating is assessed to be low because the database is not used for submission.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis and Whakatane DC are investigating avenues to enable compliance to be met.</p> <p>Genesis has spoken with Telensa and have provided Telensa with the trader s expected outcomes. Telensa has also been working with the council and now have all information in order help both Council and Trader meet compliance expectations.</p> <p>The council and Genesis will need to consider legacy assets, or the council will need to replace to remove the necessity of having two settlement calculations across the database.</p>		unknown	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Currently discussing reporting avenues of the database to enable the trader to move forward in meeting compliance.		unknown	

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-Dec-19</p> <p>To: 31-Aug-20</p>	<p>Variance found between RAMM database extract and the kWh figure submitted by Genesis resulting in an estimated annual over submission 51,595 kWh.</p> <p>Actual on/off times are different to the fixed 11.9 hours used by Genesis.</p> <p>In absolute terms, total annual consumption is estimated to be 7,700 kWh higher than the DUMML database indicates.</p> <p>Submission is based on a snapshot and does not consider historic adjustments.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Three times previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>		
Audit risk rating	Rationale for audit risk rating		
<b>High</b>	<p>The controls are rated as weak as the submission is not calculated from the database and the burn hours used to calculate submission are fixed but are variable in the field.</p> <p>The impact is assessed to be high due to the over submission of approx. 51,595 kWh per annum.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis and Whakatane DC are investigating avenues to enable compliance to be met.</p> <p>Genesis has spoken with Telensa and have provided Telensa with the trader s expected outcomes. Telensa has also been working with the council and now have all information in order help both Council and Trader meet compliance expectations.</p> <p>The council and Genesis will need to consider legacy assets, or the council will need to replace to remove the necessity of having two settlement calculations across the database.</p>		unknown	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Currently discussing reporting avenues of the database to enable the trader to move forward in meeting compliance.		unknown	