

Compliance plan for Horowhenua District Council DUML – 2020

Distributed unmetered load audits		
Non-compliance	Description	
Audit Ref: 1.10 With: Clause 16A.26 From: 18-Sep-20 To: 17-Dec-20	Audit not completed within the required timeframe. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong, as Genesis are reliant on the database provider to supply the data and in this case the delay caused this report to be late. The impact is assessed to be low, as this has no direct impact on reconciliation.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will engage the auditor earlier to ensure the audit revision time frames are met.		Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Dec-19</p> <p>To: 20-Oct-20</p>	<p>The database is not confirmed as accurate with a 95% level of confidence resulting in an estimated 10,300 kWh of under submission per annum.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>17 items of load had invalid gear wattages for their lamp model description, resulting in an estimated under submission of 111 kWh p.a.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times previously</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, based on the kWh difference described above.</p>	
Actions taken to resolve the issue		Completion date
<p>Genesis will be working with the council to revise the asset information over the coming months. Genesis will also engage with the council around meeting the tracking of change requirement.</p>		01/06/2021
Preventative actions taken to ensure no further issues will occur		Completion date
<p>Remedial action status</p> <p>Investigating</p>		

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: 20-Oct-20</p>	<p>The database is not confirmed as accurate with a 95% level of confidence resulting in an estimated 10,300 kWh of under submission per annum.</p> <p>17 items of load had invalid gear wattages for their lamp model description, resulting in estimated under submission of 111 kWh p.a.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times previously</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, based on the kWh difference described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will be working with the council to revise the asset information over the coming months. Genesis will also engage with the council around meeting the tracking of change requirement.	01/06/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	

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: 20-Oct-20</p>	<p>The database is not confirmed as accurate with a 95% level of confidence resulting in an estimated 10,300 kWh of under submission per annum.</p> <p>17 items of load had invalid gear wattages for their lamp model description, resulting in an estimated under submission of 111 kWh p.a.</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: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times previously</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, based on the kWh difference described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will be working with the council to revise the asset information over the coming months. Genesis will also engage with the council around meeting the tracking of change requirement.	01/06/2021	Investigating
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