

Compliance plan for Kawerau DC DUML – 2020

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 Clause 11(1) of Schedule 15.3 From: 01-Nov-19 To: 01-Sep-20	Historic registry figure used for submission. RAMM database is not accurate. Potential impact: High Actual impact: High Audit history: Once Controls: Weak Breach risk rating: 9	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as weak because the RAMM database is not used for reconciliation and there has been no change since the last audit. The impact is assessed to be high due to the registry figure being used, and the RAMM database accuracy being poor.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has conducted a desk top audit to verify the asset extraction accuracy levels. As the auditor has stated there was a kW value of 26.593 with a difference of 27.563 kW. Genesis review found an additional 157 assets with 62 asset error and confirmed 699 assets. Genesis desktop has summarised the KDC lighting assets to be 856 active assets including (parks and property) totalling 38.162 kW. Genesis will be back dating the registry information historically with this information and are confident that the WSP field audit will confirm accuracy. Genesis has also spoken with the new contractor for KDC who will be responsible for the asset database management. Trevor has advise that a field audit will hopefully be completed prior to Christmas with updates being completed upon return in the new year.	01/11/2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Once KDC can provide monthly accurate database extractions Genesis will be able to do assets reviews. Genesis are currently working with KDC to increase the accuracy of the database.	28/02/2021	

Location of each item of load			
Non-compliance	Description		
Audit Ref: 2.3 Clause 11(2)(b) of Schedule 15.3 From: 01-Nov-19 To: 01-Sep-20	56 items of load with insufficient location details. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as moderate as the location is recorded for all but 56 items of load. The impact is assessed to be low as there are only 56 items of load with insufficient location details.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis and KDC are in the process of confirming the field assets and the necessary corrections to asset information within the database.		28/02/2021	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Council to contract WSP to conduct field audit with an expected completion date late Dec-2020		28/02/2021	

Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 Clause 11(2)(c)&(d) of Schedule 15.3 From: 01-Nov-19 To: 01-Sep-20	125 items of load with no lamp descriptions detailed. 183 items of load with no lamp wattage or ballast wattage recorded. Potential impact: Low Actual impact: Low Audit history: Once Controls: Weak Breach risk rating: 6		
Audit risk rating	Rationale for audit risk rating		
Medium	The controls are rated as weak the data quality indicates a lack of quality control to check the data being loaded. The impact is assessed to be medium based on the high proportion of missing data.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis and KDC are in the process of confirming the field assets and the necessary corrections to asset information within the database.		28/02/2021	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Council to contract WSP to conduct field audit with an expected completion date late Dec-2020		28/02/2021	

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Nov-19 To: 01-Sep-20	29 lights not included in the database extract. Potential impact: Medium Actual impact: High Audit history: Once Controls: Weak Breach risk rating: 6		
Audit risk rating	Rationale for audit risk rating		
Medium	The controls are rated as weak the data quality indicates a lack of quality control to check the data being inputted. The impact is rated as medium as the actual impact is unknown as the registry figure is being used for reconciliation.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis and KDC are in the process of confirming the field assets and the necessary corrections to asset information within the database.		28/02/2021	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Council to contract WSP to conduct field audit with an expected completion date late Dec-2020		28/02/2021	

Database accuracy			
Non-compliance	Description		
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Nov-19 To: 01-Sep-20	In absolute terms the installed capacity is estimated to be 3.0 kW higher than the database indicates. Lamp wattage is recorded as ballast wattage. 125 items of load with no lamp descriptions, lamp wattage and ballast detailed. 183 items of load with no lamp wattage or ballast wattage recorded. 56 items of load did not have a street number or GPS coordinates. Festive lighting is connected but the volume is not recorded. Potential impact: High Actual impact: High Audit history: Once Controls: Weak Breach risk rating: 9		
Audit risk rating	Rationale for audit risk rating		
High	The controls are rated as weak the data quality indicates a lack of quality control to check the data being inputted. The impact is assessed to be high, based on the kWh differences described above.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis and KDC are in the process of confirming the field assets and the necessary corrections to asset information within the database.		28/02/2021	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Council to contract WSP to conduct field audit with an expected completion date late Dec-2020		28/02/2021	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 Clause 15.2 and 15.37B(c) From: 01-Nov-19 To: 01-Sep-20	Historic registry figure used for submission. RAMM database is not accurate. Potential impact: High Actual impact: High Audit history: Once Controls: Weak Breach risk rating: 9	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as weak because the RAMM database is not used for reconciliation and there has been no change since the last audit. The impact is assessed to be high due to the registry figure being used, and the RAMM database accuracy being poor.	
Actions taken to resolve the issue		Completion date
Genesis and KDC are in the process of confirming the field assets and the necessary corrections to asset information within the database.		28/02/2021
Preventative actions taken to ensure no further issues will occur		Completion date
Council to contract WSP to conduct field audit with an expected completion date late Dec-2020		28/02/2021
		Identified