

Compliance plan for Kawerau DC DUML – 2021

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1 Clause 11(1) of Schedule 15.3</p> <p>From: 01-Sep-20 To: 27-May-21</p>	<p>Total annual consumption is estimated to be 6,400 kWh lower than the DUML database indicates, based on the field audit.</p> <p>Three items of load with blank wattages.</p> <p>Actual on and off times not used to calculate consumption.</p> <p>Potential impact: High</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as weak because there does not appear to have been any quality controls with regard to the full field audit.</p> <p>The impact is assessed to be low, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis energy engaged with KDC in 2020, the council contracted WSP to do a field audit of the assets. The field audit was to account for each lamp based off the information provided by genesis and what was held previously. Albeit there are still some exceptions the work carried out by WSP over a short period of time has made a vast improvement dropping the risk rating from 41 to 17. There is still some minor exceptions but a remarkable improvement overall.</p>		01/06/2021	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis Energy continues to work with the council and third-party contractor. It has been advised that there will be the need to pilot a field validation of the asset to ascertain its type/make/model/ location etc</p>		unknown	

Location of each item of load		
Non-compliance	Description	
Audit Ref: 2.3 Clause 11(2)(b) of Schedule 15.3 From: 01-Sep-20 To: 27-May-21	Nine items of load with insufficient location details. Potential impact: Low Actual impact: Low Audit history: Twice 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 nine items of load. The impact is assessed to be low as there are only nine items of load with insufficient location details.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis energy engaged with KDC in 2020, the council contracted WSP to do a field audit of the assets. The field audit was to account for each lamp based off the information provided by genesis and what was held previously. Albeit there are still some exceptions the work carried out by WSP over a short period of time has made a vast improvement dropping the risk rating from 41 to 17. There is still some minor exceptions but a remarkable improvement overall.	01/06/2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis Energy continues to work with the council and third-party contractor. It has been advised that there will be the need to pilot a field validation of the asset to ascertain its type/make/model/ location etc	unknown	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 Clause 11(2)(c)&(d) of Schedule 15.3 From: 01-Sep-20 To: 27-May-21	22 items of load where the lamp description did not match the wattage. Three items of load with blank wattages. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	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 low based on the low proportion of missing data.	
Actions taken to resolve the issue		Completion date
Genesis has supplied the mismatches based off the data being provided to Genesis Energy. WSP will be reviewing to confirm the asset information and make the necessary corrections.		01/06/2021
Preventative actions taken to ensure no further issues will occur		Completion date
Continue to review data set and provide exception reporting back to the customer.		01/06/2021
		Identified

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Sep-20 To: 27-May-21	Three lights not included in the database extract. Potential impact: Medium Actual impact: Low Audit history: Twice Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	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 low based on the low proportion of missing data.	
Actions taken to resolve the issue		Completion date
Genesis energy engaged with KDC in 2020, the council contracted WSP to do a field audit of the assets. The field audit was to account for each lamp based off the information provided by genesis and what was held previously. Albeit there are still some exceptions the work carried out by WSP over a short period of time has made a vast improvement dropping the risk rating from 41 to 17. There is still some minor exceptions but a remarkable improvement overall.		01/06/2021
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis Energy continues to work with the council and third-party contractor. And reiterate the necessity of completeness		unknown
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-Sep-20</p> <p>To: 27-May-21</p>	<p>In absolute terms the installed capacity is estimated to be 1.0 kW lower than the database indicates.</p> <p>22 items of load where the lamp description did not match the wattage.</p> <p>Three items of load with blank wattages.</p> <p>Nine items of load did not have a street number or GPS coordinates.</p> <p>Festive lighting is connected but the volume is not recorded.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as weak because there does not appear to have been any quality controls with regard to the full field audit.</p> <p>The impact is assessed to be low, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Continue to work with quality improvements with the council and third party. The 22 items are being reviewed and the Genesis will continue to provide exception reporting to identify any further anomalies.		01/06/2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis and WSP have been proactive and although the field audit controls were rated weak, it was the intension to ascertain the completeness of the assets connected. Genesis believe WSP has managed to accomplish this. The next steps are to ensure the assets information is accurate.		WIP	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2 Clause 15.2 and 15.37B(c)</p> <p>From: 01-Sep-20 To: 27-May-21</p>	<p>Total annual consumption is estimated to be 6,400 kWh lower than the DUML database indicates, based on the field audit.</p> <p>Three items of load with blank wattages.</p> <p>Actual on and off times not used to calculate consumption.</p> <p>Potential impact: High</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as weak because there does not appear to have been any quality controls with regard to the full field audit.</p> <p>The impact is assessed to be low, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Continue to work with quality improvements with the council and third party. The 22 items are being reviewed and the Genesis will continue to provide exception reporting to identify any further anomalies.		01/06/2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis and WSP have been proactive and although the field audit controls were rated weak, it was the intension to ascertain the completeness of the assets connected. Genesis believe WSP has managed to accomplish this. The next steps are to ensure the assets information is accurate.		WIP	