

## Compliance plan for Opotiki DC DUML – 2021

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-Apr-20</p> <p>To: 31-Mar-21</p>	<p>Average burn times of 11.7 hours per day are not accurate per month.</p> <p>Total annual consumption is estimated to be 1,400 kWh lower than the database indicates.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Twice</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 rated as moderate because submission is now based on the database extract and the field audit found potential under submission of 1,400 kWh which is considered minor.</p> <p>The impact is assessed to be minor based on over submission of 1,400 kWh per annum.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has discussed the audit findings with the council and the auditor. The council has provided Genesis with a logon to enable the database asset information to be further analysed. The intent is to be able to establish daily only of timings to provide better manual calculation of energy volumes used until Telensa's functionality can be utilised	Work in progress	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has utilised the information held within the asset database to assist with meeting DUML compliance. Genesis is still working on the pathways to enable better burn times to be derived.	Continuation of data cleansing	

Description and capacity of load		
Non-compliance	Description	
<p>Audit Ref: 2.4</p> <p>With: Clause 11(2)(c) and (d) of Schedule 15.3</p> <p>From: 01-Apr-20</p> <p>To: 31-Mar-21</p>	<p>39 LED lights have make/model as "LED". Make and model information is also required.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice</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 rated as moderate as this information is expected to be captured as part of Opus' management of the RAMM database.</p> <p>The impact is assessed to be low as the impact on annual kWh is small.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has discussed the audit findings with the council and the auditor. The Council was requested to populate the lamp details accurately.	01/07/2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
The council has provided Genesis with a logon to enable the database asset information to be further analysed to provide the council with exception reporting.	Work in progress	

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Apr-20 To: 31-Mar-21	4 additional lights identified by the field audit. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact on settlement and participants is minor; therefore the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has discussed the audit findings with the council and the auditor. The Council was requested to populate the lamp details accurately.		01/07/2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
The council has provided Genesis with a logon to enable the database asset information to be further analysed to provide the council with exception reporting.		Work in progress	

Database accuracy			
Non-compliance	Description		
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)  From: 01-Apr-20 To: 31-Mar-21	39 LED lights have make/model as "LED". Make and model information is also required. The field audit indicates potential over submission of 1,400 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	The controls are rated as moderate. The accuracy of dates has improved, and it only needs the ballast information and make/model to be updated to achieve compliance. The impact is assessed to be low as the volume of lights with errors is small.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has discussed the audit findings with the council and the auditor. The Council was requested to populate the lamp details accurately.		01/07/2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
The council has provided Genesis with a logon to enable the database asset information to be further analysed to provide the council with exception reporting.		Work in progress	

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-Apr-20</p> <p>To: 31-Mar-21</p>	<p>Average burn times of 11.7 hours per day are not accurate per month.</p> <p>Total annual consumption is estimated to be 1,400 kWh lower than the database indicates.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Medium</b>	<p>The controls are rated as moderate because submission is now based on the database extract and the field audit found potential under submission of 1,400 kWh which is considered minor.</p> <p>The impact is assessed to be minor based on over submission of 1,400 kWh per annum.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis has discussed the audit findings with the council and the auditor. The council has provided Genesis with a logon to enable the database asset information to be further analysed. The intent is to be able to establish daily only of timings to provide better manual calculation of energy volumes used until Telensa's functionality can utilised</p>		Work in progress	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis has utilised the information held within the asset database to assist with meeting DUML compliance. Genesis is still working on the pathways to enable better burn times to be derived.</p>		Continuation of data cleansing	