

Compliance plan for Otorohanga DC DUML (Genesis Energy) – 2020

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Aug-20 To: 11-Nov-20</p>	<p>203W relating to festive lights was included in the August 2020 submission when the lights were disconnected.</p> <p>Some decorative and festive lights are not recorded in the database.</p> <p>Potential impact: Low Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as moderate:</p> <ul style="list-style-type: none"> • a small volume was over reported relating to festive lights, and • a small number of decorative and festive lights were missing from the database; ODC intends to investigate to determine the wattages and when the lamps are connected, and will update the database and communicate the on and off dates to Genesis. . <p>The impact is assessed to be low as the unrecorded lights are LEDs and expected to have low wattages. 81.7 kWh was over reported for festive lights in August 2020.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has requested the council proactively manage the festive lighting in the area, including on off times and to clearly identify each asset.		Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis reviews the ODC asset information provided monthly and was unable to ascertain in the August 2020 data which were Festive lighting assets.		

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: unknown To: 31-Mar-19	Three additional items of load found in the field. Some decorative and festive lights are not recorded in the database. 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 overall because controls over NZTA lights, festive lights, and decorative lights are weaker than for other streetlights. The impact is assessed to be low, because the best available estimate indicates that the database is accurate within $\pm 5\%$, and the wattages for the missing festive and decorative lights are expected to be low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has requested the council to include all missing assets.			
Preventative actions taken to ensure no further issues will occur		Completion date	Identified
Genesis will follow up with Council to confirm that the information has been updated.			

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Oct-20 To: 11-Nov-20	Some decorative and festive lights are not recorded in the database. Potential impact: Low Actual impact: None Audit history: Twice Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate. A small number of decorative and festive lights were missing from the database. ODC has been trying to confirm the correct wattages for the redwood lights but was unaware of the Kawhia lights. The impact is assessed to be low as the unrecorded lights are LEDs and expected to have low wattages.	

Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has requested that festive lighting be clear identified to ensure the assets are only included during the actual operational period.	28/02/2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Continue to review the asset information provided monthly by the council.		

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 01-Aug-20 To: 11-Nov-20</p>	<p>203W relating to festive lights was included in the August 2020 submission when the lights were disconnected.</p> <p>Some decorative and festive lights are not recorded in the database.</p> <p>Potential impact: Low Actual impact: Low</p> <p>Audit history: Once Controls: Moderate Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as moderate:</p> <ul style="list-style-type: none"> • a small volume was over reported relating to festive lights, and • a small number of decorative and festive lights were missing from the database; ODC intends to investigate to determine the wattages and when the lamps are connected, and will update the database and communicate the on and off dates to Genesis. . <p>The impact is assessed to be low as the unrecorded lights are LEDs and expected to have low wattages. 81.7 kWh was over reported for festive lights in August 2020.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has requested that festive lighting be clear identified to ensure the assets are only included during the actual operational period.	28/02/2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Continue to review the asset information provided monthly by the council.		

