

Compliance plan for Gisborne DC DUML – August 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: 26-Nov-19</p> <p>To: 31-Aug-20</p>	<p>247 lights excluded from the monthly report provided to Genesis for submission.</p> <p>The data used for submission 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>The controls are rated as moderate as the GDC RAMM database is now being used for reconciliation and the processes in place to manage are robust. The difference in light volumes is being investigated and once resolved controls would be expected to be recorded as strong.</p> <p>The impact is assessed to be low as the number of lights missing from the monthly wattage report is small.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis have raised the issue of missing lights with the council who have advised that these lights are metered. Going forward they will update their data base with the metered ICP.</p> <p>The council is currently reviewing the tracking of change requirement and will work with Genesis to capture monthly asset changes</p>	<p>01/02/2022</p> <p>01/03/2022</p>	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Genesis unfortunately are unable to aid on missing assets as the council provide monthly updates based on what is in the RAMM data base. Council has been made aware of the discrepancy.</p> <p>Genesis will continue to work alongside the GDC to raise the accuracy level of their database.</p>	Continuous improvement	

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 26-Nov-19 To: 31-Aug-20	247 lights excluded from the monthly report provided to Genesis for submission. Potential impact: Low Actual impact: Low Audit history: Once previously Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as moderate as the GDC RAMM database is now being used for reconciliation and the processes in place to manage are robust. The difference in light volumes is being investigated and once resolved controls would be expected to be recorded as strong. The impact is assessed to be low as the number of lights missing from the monthly wattage report is small.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis have raised the issue of missing lights with the council who have advised that these lights are metered. Going forward they will update their data base with the metered ICP.		01/02/2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis unfortunately are unable to aid on missing assets as the council provide monthly updates based on what is in the RAMM data base. Council has been made aware of the discrepancy. Genesis will continue to work alongside the GDC to raise the accuracy level of their database.		Continuous improvement	

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: 31-Aug-20</p>	<p>247 lights excluded from the monthly report provided to Genesis for submission (including 39 private lights).</p> <p>LED roll out updates not provided within the month of them being actioned causing submission to be inaccurate for the Ri & R1 and possibly the R3 submissions.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</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 as the GDC RAMM database is now being used for reconciliation and the processes in place to manage are robust. The difference in light volumes is being investigated and once resolved controls would be expected to be recorded as strong.</p> <p>The impact is assessed to be low as the number of lights missing from the monthly wattage report is small.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis have raised the issue of missing lights with the council who have advised that these lights are metered. Going forward they will update their data base with the metered ICP.</p> <p>Regarding tracking of change requirements genesis will continue to work with GDC to capture this.</p>		01/02/2022	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis will continue to work alongside the GDC to raise the accuracy level of their database.</p>		Continuous improvement	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 26-Nov-19</p> <p>To: 31-Aug-20</p>	<p>247 lights excluded from the monthly report provided to Genesis for submission.</p> <p>The data used for submission 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>The controls are rated as moderate as the GDC RAMM database is now being used for reconciliation and the processes in place to manage are robust. The difference in light volumes is being investigated and once resolved controls would be expected to be recorded as strong.</p> <p>The impact is assessed to be low as the number of lights missing from the monthly wattage report is small.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis have raised the issue of missing lights with the council who have advised that these lights are metered. Going forward they will update their data base with the metered ICP.</p> <p>Regarding tracking of change requirements genesis will continue to with GDC to capture this.</p>		01/02/2022	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	