

Compliance Plan Stratford District Council DUML 2022

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 28-May-21</p> <p>To: 13-May-22</p>	<p>No database extracts have been received since January 2022 resulting in an estimated very minor under submission of 59.65 kWh for ICP 0089352004PCE32 for the month of May 2022.</p> <p>Estimated over submission of 5,280 kWh for the NZTA lights that are being reconciled in both the SDC and NZTA RAMM database.</p> <p>Ten unmetered decorative lights are not recorded in RAMM. This may result in estimated under submission of 170W or 726 kWh p.a.</p> <p>Eight unmetered Christmas lights are not recorded in RAMM. This may result in estimated under submission of 120W or 50.4 kWh p.a.</p> <p>85 items of load do not have an ICP number recorded resulting in a potential estimated under submission of 24.431 kWh per annum.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>21 lamps have incorrect total wattages, resulting in an estimated under submission of 8,551 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Multiple times previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are rated as moderate because they ensure most information is accurate.</p> <p>The impact is assessed to be medium based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis has contacted SDC to advise that we require a monthly data extract and will continue to work with SDC in order to obtain this information.</p> <p>Genesis has discussed the audit findings with the SDC with the intent that council makes every effort to ensure the exceptions are rectified.</p>		Continuous improvement	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis continues to work with the council to raise database accuracy levels.		Continuous improvement	

ICP identifier and items of load		
Non-compliance	Description	
Audit Ref: 2.2 With: Clause 11(2)(a) and (aa) of Schedule 15.3 From: 28-May-21 To: 13-May-22	85 items of load do not have an ICP number recorded resulting in a potential estimated under submission of 24.431 kWh per annum. Potential impact: Medium Actual impact: Medium Audit history: None Controls: Moderate Breach risk rating: 4	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact is assessed to be medium based on the estimated kWh impact described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis is in the process of investigating this with SDC to determine where this unmetered load should be allocated too.	01/09/2022	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	

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: 28-May-21</p> <p>To: 13-May-22</p>	<p>Two lamps have an unknown lamp model and missing lamp wattage, one has missing gear wattage.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice previously</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>Controls are rated as strong, the small number of exceptions indicated that controls are sufficient to ensure that all lamps are recorded in the database most of the time.</p> <p>The impact is assessed to be low as was only two items of load with missing details.</p>	
Actions taken to resolve the issue		Completion date
Genesis has discussed the audit findings with the SDC with the intent that council makes every effort to ensure the exceptions are rectified.		Continuous improvement
Genesis continues to work with the council to raise database accuracy levels.		Continuous improvement
Identified		

All load recorded in database		
Non-compliance	Description	
<p>Audit Ref: 2.5</p> <p>With: Clause 11(2A) of Schedule 15.3</p> <p>From: 28-May-21</p> <p>To: 13-May-22</p>	<p>Two additional lights found in the field from the sample of 127 lights checked.</p> <p>Ten unmetered decorative lights are not recorded in RAMM. This may result in estimated under submission of 170W or 726 kWh p.a.</p> <p>Eight unmetered Christmas lights are not recorded in RAMM. This may result in estimated under submission of 120W or 50.4 kWh p.a.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>A control rating of moderate was selected, because the controls over the inclusion of Christmas and decorative lights are weak but will improve to strong once the lights have been added to the database.</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
Genesis has discussed the audit findings with the council with the intent that the council makes every effort to ensure that the Christmas lights are included in the RAMM data base and advise of on and off dates.	01/09/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the council to raise database accuracy levels.	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: 28-May-21</p> <p>To: 13-May-22</p>	<p>21 lamps have incorrect total wattages, resulting in an estimated under submission of 8,551 kWh per annum.</p> <p>Eight unmetered Christmas lights are not recorded in RAMM. This may result in estimated under submission of 120W or 50.4 kWh p.a.</p> <p>Ten unmetered decorative lights are not recorded in RAMM. This may result in estimated under submission of 170W or 726 kWh p.a.</p> <p>85 items of load do not have an ICP number recorded resulting in a potential estimated under submission of 24.431 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Multiple times previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>A control rating of moderate was selected, because the controls over the inclusion of Christmas and decorative lights are weak but will improve to strong once the lights have been added to the database.</p> <p>The impact is assessed to be medium based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has discussed the audit findings with the council with the intent that the council makes every effort to ensure that the Christmas lights are included in the RAMM data base and advise of on and off dates.	01/09/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the council to raise database accuracy levels.	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: 28-May-21</p> <p>To: 13-May-22</p>	<p>No database extracts have been received since January 2022 resulting in an estimated very minor under submission of 59.65 kWh for ICP 0089352004PCE32 for the month of May 2022.</p> <p>Estimated over submission of 5,280 kWh for the NZTA lights that are being reconciled in both the SDC and NZTA RAMM database.</p> <p>Ten unmetered decorative lights are not recorded in RAMM. This may result in estimated under submission of 170W or 726 kWh p.a.</p> <p>Eight unmetered Christmas lights are not recorded in RAMM. This may result in estimated under submission of 120W or 50.4 kWh p.a.</p> <p>85 items of load do not have an ICP number recorded resulting in a potential estimated under submission of 24.431 kWh per annum.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>21 lamps have incorrect total wattages, resulting in an estimated under submission of 8,551 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Multiple times previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as moderate because they ensure most information is accurate.</p> <p>The impact is assessed to be medium based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis has contacted SDC to advise that we require a monthly data extract and will continue to work with SDC in order to obtain this information.</p> <p>Genesis has discussed the audit findings with the SDC with the intent that council makes every effort to ensure the exceptions are rectified.</p>	Continuous improvement	Identified
Genesis continues to work with the council to raise database accuracy levels.	Continuous improvement	