

Compliance Plan for Kaipara District Council DUML 2022

Distributed unmetered load audits		
Non-compliance	Description	
Audit Ref: 1.10 With: Clause 16A.26 From: 20-Feb-22 To: 11-Jan-23	Audit not completed within the timeframe specified by the Electricity Authority. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate, as Genesis have made changes to ensure that information will be provided in future. The impact is assessed to be low, as this has no direct impact on reconciliation.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis Energy has appointment a DUML Data & Stakeholder Lead to provide information and avoid delays	10/01/2023	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis Energy has appointment a DUML Data & Stakeholder Lead to provide information and avoid delays	10/01/2023	

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Apr-21 To: 17-Jan-22</p>	<p>A discrepancy between the submission volume and the database resulting in an estimated annual over submission of 12,568 kWh.</p> <p>Database is not confirmed as accurate with a 95% level of confidence.</p> <p>14 items of permanent load have the incorrect ballast applied indicating under submission of 533.875 kWh per annum.</p> <p>Potential impact: Medium Actual impact: Medium</p> <p>Audit history: Once Controls: Moderate Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as moderate as they will mitigate risk most of the time but there is room for errors to occur.</p> <p>The impact is assessed to be medium due to the kWh volumes.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis has requested a full dataset for December 2021 and will revise volumes submitted accordingly.</p> <p>Genesis has reviewed the auditors finding and have advised KDC of the discrepancy with the intent that KDC makes every effort to ensure the exceptions are rectified.</p>	31/03/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the council to increase accuracy levels in their database.	Continuous Improvement	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) and (d) of Schedule 15.3 From: unknown To: 17-Jan-22	14 additional items of load found in the field sample. Potential impact: High 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 due to the volume of additional lights found in the field. The impact is assessed to be low due to the low number of differences found in the field and total estimated kWh difference detailed in section 3.1 .	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has advised KDC of the discrepancy. KDC has updated RAMM database for some of the assets and is organising for a contractor to carry out a site inspection to ascertain luminaire wattage so RAMM can be updated accordingly.	31/03/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the council to increase accuracy levels in their database.	Continuous Improvement	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Apr-21 To: 17-Jan-22	Database is not confirmed as accurate with a 95% level of confidence. 14 items of permanent load have the incorrect ballast applied indicating under submission of 533.875 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement. The impact is assessed to be low due to the impact on submission.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has reviewed the auditors finding and have advised KDC of the discrepancy. KDC has confirmed that standardised wattage has been updated in RAMM for the 14 highlighted items.	10/01/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the council to increase accuracy levels in their database.	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: 01-Apr-21</p> <p>To: 17-Jan-22</p>	<p>A discrepancy between the submission volume and the database resulting in an estimated annual over submission of 12,568 kWh.</p> <p>Database is not confirmed as accurate with a 95% level of confidence.</p> <p>14 items of permanent load have the incorrect ballast applied indicating under submission of 533.875 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Multiple times</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 as they will mitigate risk most of the time but there is room for errors to occur.</p> <p>The impact is assessed to be medium due to the kWh volumes.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis has requested a full dataset for December 2021 and will revise volumes submitted accordingly.</p> <p>Genesis has reviewed the auditors finding and have advised KDC of the discrepancy with the intent that KDC makes every effort to ensure the exceptions are rectified.</p>		31/03/2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis continues to work with the council to increase accuracy levels in their database.</p>		31/03/2023	