

Compliance plan for Otorohonga DC DUML Genesis 2022

Deriving submission information			
Non-compliance	Description		
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 12-Nov-20 To: 10-Oct-22	Festive lights are included throughout the year resulting in an estimated annual over submission of 812 kWh. Some decorative and festive lights are not recorded in the database. Submission is based on a snapshot and does not consider historic adjustments. Potential impact: Low Actual impact: Low Audit history: Three times previously Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as moderate but there is room for improvement. The impact is assessed to be low based on the kWh impact to the market.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has discussed auditor's findings with ODC. ODC is going to carry out a site visit by mid-January to confirm the wattages and status of the festive and decorative lights. Once done RAMM will be updated accordingly. Genesis has discussed the importance of tracking of change. ODC are happy to have a column added in their dataset for "Lamp Replaced Date"		20/01/2023	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis will continue to work with the council to increase accuracy levels in their database.		Continuous Improvement	

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: unknown</p> <p>To: 10-Oct-22</p>	<p>One additional item of load found in the field.</p> <p>Some decorative and festive lights are not recorded in the database.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as weak overall as the controls in place are not robust enough to ensure that all load is recorded in the database.</p> <p>The impact is assessed to be low, as the kWh impact on reconciliation is expected to be small.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis has notified ODC of the additional item found in field and ODC will have this updated in RAMM.</p> <p>ODC is going to complete a site visit to confirm the status of decorative and festive lights. RAMM will be updated with findings.</p>	20/01/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will continue to work with the council to increase accuracy levels in their database.	20/01/2023	

Non-compliance	Description		
<p>Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)</p> <p>From: 12-Nov-20 To: 10-Oct-22</p>	<p>Incorrect ICP recorded against 128 items of load that are now being reconciled against the Waka Kotahi RAMM database.</p> <p>Festive lights are included throughout the year resulting in an estimated annual over submission of 812 kWh.</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: Multiple times Controls: Weak Breach risk rating: 3</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>Controls are rated as weak as the processes to manage change in the database were unclear and require review.</p> <p>The impact is assessed to be low based on the kWh impact to the market.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis has brought this to the attention of ODC and advised to use NZTA ICP 0008806768WM373 against NZTA's assets. Genesis has revised submissions back to April 2022 to reflect the same.</p> <p>ODC is going to complete a site visit to confirm the status of decorative and festive lights. RAMM will be updated with findings.</p>		20/01/2023	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.		20/01/2023	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 12-Nov-20</p> <p>To: 05-May-22</p>	<p>Festive lights are included throughout the year resulting in an estimated annual over submission of 812 kWh.</p> <p>Some decorative and festive lights are not recorded in the database.</p> <p>Submission is based on a snapshot and does not consider historic adjustments.</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 but there is room for improvement.</p> <p>The impact is assessed to be low based on the kWh impact to the market.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis has discussed auditor's findings with ODC. ODC is going to carry out a site visit by mid-January to confirm the wattages and status of the festive and decorative lights. Once done RAMM will be updated accordingly.</p> <p>Genesis has discussed the importance of tracking of change. ODC are happy to have a column added in their dataset for "Lamp Replaced Date"</p>	20/01/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will continue to work with the council to increase accuracy levels in their database.	Continuous Improvement	