

# Compliance plan for Hamilton City Council Genesis, DUML 2024

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 29-Jul-22</p> <p>To: 30-Nov-23</p>	<p>Exclusion of 112 items of load with the HCC DUML ICPs allocated is resulting in an estimated under submission of 36,500 kWh per annum.</p> <p>In absolute terms, total annual consumption is estimated to be 186,700 kWh lower than the DUML database indicates.</p> <p>Analysis of the gear wattage applied indicates an estimated under submission of 1,429 kWh per annum.</p> <p>Submission is based on a snapshot of the database at the end of the month and does not consider historic adjustments or the fact that lights can be livened before they are entered into the database.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	<p>The controls are rated as moderate, as the maintenance process is robust but there is room for improvement for the adding of new streetlights and the production of the monthly wattage report.</p> <p>The impact is assessed to be high due to the potential over submission indicated from the field audit findings.</p>	
Actions taken to resolve the issue		Completion date
<p>Genesis will continue to work with HCC to ensure accuracy of data. Genesis will endeavour to set up a tracking of change process with HCC.</p> <p>Genesis will work with the Network company and HCC to ensure a robust new connection process is in place</p>		01/08/2024
Preventative actions taken to ensure no further issues will occur		Completion date
<p>Genesis will continue to work with HCC to ensure accuracy of data. Genesis will endeavour to set up a tracking of change process with HCC.</p> <p>Genesis will work with the Network company and HCC to ensure a robust new connection process is in place</p>		01/08/2024
Remedial action status		
Investigating		

Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 With: Clause 11(2)(d) of Schedule 15.3 From: 29-Jul-22 To: 13-Nov-23	13,391 items of load with no gear wattage recorded. Potential impact: None Actual impact: None Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	The controls are rated as strong overall as the lights with a gear wattage of more than zero are all populated correctly but there is room for improvement as recommended above. The impact is assessed to be none as this has no impact on submission but low was selected as none is not available.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis will work with HCC to ensure accuracy of data and that the dataset records are updated accurately.		01/03/2024	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis will work with HCC to ensure accuracy of data and that the dataset records are updated accurately.		01/03/2024	

All load recorded in the database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 29-Jul-22 To: 30-Nov-23	Eight items of load missing from the database. Potential impact: Low Actual impact: Low Audit history: Multiple times previously Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as moderate, as the new connection process needs reviewing to ensure that all lights installed are captured correctly. The impact is rated as low as the number of extra lights found in the field were minor in relation to the volume sampled.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will work with the Network company and HCC to ensure a robust new connection process is in place	01/08/2024	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will work with the Network company and HCC to ensure a robust new connection process is in place	01/08/2024	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 29-Jul-22</p> <p>To: 30-Nov-23</p>	<p>In absolute terms, total annual consumption is estimated to be 186,700 kWh lower than the DUML database indicates.</p> <p>Analysis of the gear wattage applied indicates an estimated under submission of 1,429 kWh per annum.</p> <p>Exclusion of 112 items of load with the HCC DUML ICs allocated is resulting in an estimated under submission of 36,500 kWh per annum.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
High	<p>The controls are rated as moderate, as the maintenance process is robust but there is room for improvement for the adding of new streetlights.</p> <p>The impact is assessed to be high due to the potential over submission indicated from the field audit findings.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis will continue to work with HCC to ensure accuracy of data. Genesis will endeavour to set up a tracking of change process with HCC.</p> <p>Genesis will work with the Network company and HCC to ensure a robust new connection process is in place</p>		01/08/2024	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis will continue to work with HCC to ensure accuracy of data. Genesis will endeavour to set up a tracking of change process with HCC.</p> <p>Genesis will work with the Network company and HCC to ensure a robust new connection process is in place</p>		01/08/2024	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 29-Jul-22</p> <p>To: 30-Nov-23</p>	<p>Exclusion of 112 items of load with the HCC DUML ICPs allocated is resulting in an estimated under submission of 36,500 kWh per annum.</p> <p>In absolute terms, total annual consumption is estimated to be 186,700 kWh lower than the DUML database indicates.</p> <p>Analysis of the gear wattage applied indicates an estimated under submission of 1,429 kWh per annum.</p> <p>Submission is based on a snapshot of the database at the end of the month and does not consider historic adjustments or the fact that lights can be livened before they are entered into the database.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
High	<p>The controls are rated as moderate, as the maintenance process is robust but there is room for improvement for the adding of new streetlights and the production of the monthly wattage report.</p> <p>The impact is assessed to be high due to the potential over submission indicated from the field audit findings.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis will continue to work with HCC to ensure accuracy of data. Genesis will endeavour to set up a tracking of change process with HCC.</p> <p>Genesis will work with the Network company and HCC to ensure a robust new connection process is in place</p>		01/08/2024	Investigating
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<p>Genesis will continue to work with HCC to ensure accuracy of data. Genesis will endeavour to set up a tracking of change process with HCC.</p> <p>Genesis will work with the Network company and HCC to ensure a robust new connection process is in place</p>		01/08/2024	