

## Compliance plan for Opotiki DC DUML November 2023

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 31-Jan-22 To: 05-Jan-23</p>	<p>The burn hours used to calculate submission are on a different network and will not reflect the correct burn hours.</p> <p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated under submission of 1,200 kWh per annum.</p> <p>544 lights recorded as 19W but are labelled as 19.9W in the field. Analysis indicates that this is potentially resulting in 2,323 kWh of under submission per annum.</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: Medium Actual impact: Low</p> <p>Audit history: Multiple times previously</p> <p>Controls: Moderate Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be low based on based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis will continue to work with Horizon Network to find a solution to the logger/burn hours issues to ensure an appropriate logger can be used. We are currently awaiting a response from Horizon and will continue to move this forward.</p>		Continuous improvement	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Opotiki are investigating the wattages that are currently recorded as 19W and Genesis will continue to work with the council to ensure accurate data.</p>		Continuous improvement	

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: 01-Feb-23</p> <p>To: 21-Nov-23</p>	<p>38 LED lights have make/model as "LED". Make and model information is also required.</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		
<b>Low</b>	<p>The controls are rated as moderate as this information is expected to be captured as part of management of the RAMM database and these are historical.</p> <p>The impact is assessed to be low as this represents a small number of lights.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis continues to work with the council to raise database accuracy levels.		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	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Feb-23 To: 21-Nov-23	Two additional lights found out of a sample of 203. Potential impact: Medium Actual impact: Low Audit history: Three times previously Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact of the missing lights is assessed to be low.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis continues to work with the council to raise database accuracy levels.	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	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Feb-23 To: 21-Nov-23</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 1,200 kWh per annum.</p> <p>38 LED lights have make/model as "LED". Make and model information is also required.</p> <p>544 lights recorded as 19W but are labelled as 19.9W in the field. Analysis indicates that this is potentially resulting in 2,323 kWh of under submission per annum.</p> <p>New connections not added to the RAMM database.</p> <p>Potential impact: Medium</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		
<b>Low</b>	<p>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be low based on based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis continues to work with the council to raise database accuracy levels.		Continuous improvement	
Preventative actions taken to ensure no further issues will occur		Completion date	
Opotiki are investigating the wattages that are currently recorded as 19W and Genesis will continue to work with the council to ensure accurate data.		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-Feb-23</p> <p>To: 21-Nov-23</p>	<p>The burn hours used to calculate submission are on a different network and will not reflect the correct burn hours.</p> <p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated under submission of 1,200 kWh per annum.</p> <p>544 lights recorded as 19W but are labelled as 19.9W in the field. Analysis indicates that this is potentially resulting in 2,323 kWh of under submission per annum.</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: Medium</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	
<b>Low</b>	<p>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be low based on based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will continue to work with Horizon Network to find a solution to the logger/burn hours issues to ensure an appropriate logger can be used. We are currently awaiting a response from Horizon and will continue to move this forward.	Continuous improvement	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Opotiki are investigating the wattages that are currently recorded as 19W and Genesis will continue to work with the council to ensure accurate data.	Continuous improvement	