

# Compliance plan for Opotiki District Council DUML February 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: 31-Mar-21</p> <p>To: 31-Jan-22</p>	<p>Submission volumes not accurate as database extracts have not been provided since February 2021 and the burn hours have been used from a different network.</p> <p>Revisions to correct December 2020 volumes not made resulting in a minor over submission.</p> <p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 4,200 kWh 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: 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		
<b>Low</b>	<p>The controls are rated as weak as database extracts are not being provided regularly and the burn hours are not being determined accurately. I expect this to move to strong once the Telensa CMS system output is used for submission.</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 the council to define the monthly reporting requirements and provide exception reporting back to the council in order to track changes that has been made within the month.</p> <p>Genesis is also in the process of working with the Network in order to locate another logger that can be used.</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	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: 01-Apr-20 To: 31-Jan-22	39 LED lights have make/model as "LED". Make and model information is also required. 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	
<b>Low</b>	The controls are rated as moderate as this information is expected to be captured as part of management of the RAMM database. The impact is assessed to be low as this represents a small number of lights.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has discussed the audit findings with the council with the intent that council makes every effort to ensure the exceptions are rectified.	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.		

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 31-Mar-21 To: 31-Jan-22	Two additional lights found of a sample of 195 lights sampled (1% error rate). Potential impact: Low Actual impact: Low Audit history: Once 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 this information is expected to be captured as part of the management of the RAMM database. The impact is assessed to be low as this represents a very small error rate.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has discussed the audit findings with the council with the intent that council makes every effort to ensure the exceptions are rectified.	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</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 31-Mar-21</p> <p>To: 31-Jan-22</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 4,200 kWh per annum.</p> <p>39 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: Twice</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 with room for improvement as per the recommendations made.</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 has discussed the audit findings with the council. The council has provided Genesis with a logon to enable the database asset information to be further analysed. Genesis has also requested the council to send through monthly data extract</p>		Continuous improvement	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
No comment provided			

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 31-Mar-21</p> <p>To: 31-Jan-22</p>	<p>Submission volumes not accurate as database extracts have not been provided since February 2021 and the burn hours have been used from a different network.</p> <p>Revisions to correct December 2020 volumes not made resulting in a minor over submission.</p> <p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 4,200 kWh per annum.</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		
<b>Low</b>	<p>The controls are rated as weak as database extracts are not being provided regularly and the burn hours are not being determined accurately. I expect this to move to strong once the Telensa CMS system output is used for submission.</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 is currently investigating another logger with Horizon network. Until then Genesis will continue to use the current logger in order to calculate the consumption.		Continuous improvement	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
No comment provided			