

Compliance plan for Whangarei DC DUML Audit – 2018

Non-compliance	Description	
Audit Ref: 2.1 With: 11.1 of schedule 15.3 From: entire audit period	Accuracy ratio is 75.2% indicating over submission of 714,900 kWh per annum. 2,722 items of load with the incorrect ballast applied indicating under submission of 149,555.5 kWh per annum. Combined value of 864,456 kWh under submitted per annum. Potential impact: High Actual impact: High Audit history: None Controls: None Breach risk rating: 12	
Audit risk rating	Rationale for audit risk rating	
High	Controls are rated as none, as the database being used for submission is not intended to be used for submission and there is no process to update changes made in the field. The audit risk rating is high due to the volume of over submission occurring.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis have been communicating with the database manger which have started supplying the RAMM information. Genesis are reviewing its completeness	10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will liaise with database manager to mitigate database errors	10/2018	

Non-compliance	Description		
<p>Audit Ref: 2.6 With: Clause 11(3) of Schedule 15.3 From: Entire audit period</p>	<p>Tracking of load change not carried out, there is no direct mechanism for updates to be recorded. The field audit identified 94 load changes which were not updated related to fittings being replaced with LED fittings.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: Once Controls: None Breach risk rating: 8</p>		
Audit risk rating	Rationale for audit risk rating		
<p>Medium</p>	<p>Controls are rated as none, as there is no systematic process to manage the tracking of load change.</p> <p>The field audit identified 94 load changes which were not updated therefore the audit risk rating is medium.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis have been communicating with the database manger which have started supplying the RAMM information. Genesis are reviewing its completeness</p>		<p>10/2018</p>	<p>Investigating</p>
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis will liaise with database manager to mitigate database errors</p>		<p>10/2018</p>	

Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: 15.2 & 15.37(b)</p> <p>From: entire audit period</p>	<p>Accuracy ratio is 75.2% indicating over submission of 714,900 kWh per annum.</p> <p>2,722 items of load with the incorrect ballast applied indicating under submission of 149,555.5 kWh per annum.</p> <p>Combined value of 864,456 kWh under submitted per annum.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: None</p> <p>Controls: None</p> <p>Breach risk rating: 12</p>		
Audit risk rating	Rationale for audit risk rating		
<p>High</p>	<p>Controls are rated as none, as the database being used for submission is not intended to be used for submission and there is no process to update changes made in the field.</p> <p>The audit risk rating is high due to the volume of over submission occurring.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis have been communicating with the database manger which have started supplying the RAMM information. Genesis are reviewing its completeness</p>		<p>10/2018</p>	<p>Investigating</p>
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis will liaise with database manager to mitigate database errors</p>		<p>10/2018</p>	

Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: 15.2 & 15.37(c)</p> <p>From: entire audit period</p>	<p>Accuracy ratio is 75.2% indicating over submission of 714,900 kWh per annum.</p> <p>2,722 items of load with the incorrect ballast applied indicating under submission of 149,555.5 kWh per annum.</p> <p>Combined value of 864,456 kWh under submitted per annum.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: None</p> <p>Controls: None</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
<p>High</p>	<p>Controls are rated as none, as the database being used for submission is not intended to be used for submission and there is no process to update changes made in the field.</p> <p>The audit risk rating is high due to the volume of over submission occurring.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis have been communicating with the database manger which have started supplying the RAMM information. Genesis are reviewing its completeness</p>		<p>10/2018</p>	<p>Investigating</p>
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis will liaise with database manager to mitigate database errors</p>		<p>10/2018</p>	