

Compliance plan for Western Bay of Plenty District Council DUML – 2018

Distributed unmetered load audits		
Non-compliance	Description	
Audit Ref: 3.2 Clause 17.295F of part 17 From: 01-Jun-18 To: 02-Jul-18	Audit not completed within 12 month of Part 16A coming into effect. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate, as Genesis are reliant on the database provider to supply the data and in this case the delay caused this report to be late. The impact is assessed to be low, as this has no direct impact on reconciliation.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has obtained contact information and developed communication channels, for the contracted party to deliver the monthly database information.	01/07/2018	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will continue supporting the contracted party, reviewing the information provided and reporting back any anomalies for correction at the source. in	01/07/2018	

Deriving submission information			
Non-compliance	Description		
Audit Ref: 2.1 Clause 11(1) of Schedule 15.3 From: 01-Jun-17 To: 30-Jun-18	Net under submission of an estimated 11,247 kWh per annum. Potential impact: Medium Actual impact: Medium Audit history: None Controls: Weak Breach risk rating: 6		
Audit risk rating	Rationale for audit risk rating		
Medium	The controls are rated as weak as the RAMM database is not used for reconciliation. The impact is assessed to be medium, based on the kWh differences described above.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has reviewed the information being supplied and have found that the information does not contain the ballast/gear wattage within the summary reporting.		01/10/2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis will continue to review the parties reporting and request detailed level reporting for transparency. Genesis will take steps to correct volumes settled with the 14 months revisions and for future settlement/billing periods.		01/10/2018	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: unknown To: 02-Jul-18	Four lights not included in the database extract used for submission. New lights are not added to the database for reconciliation in the month they are vested to council. Potential impact: Medium Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate because they ensure most information is accurate. The impact is low as the volume of lights not yet vested to the council is small.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis are working with the contracted party to gain accuracy within the database.	01/10/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has advised the party of the missing records and have requested the database to be updated.	01/10/2018	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: unknown To: 31-Jul-18	The database accuracy is assessed to be 100.6% indicating an estimated under submission of 1,100 kWh per annum. New lights are not added to the database for reconciliation in the month they are vested to council. Potential impact: Medium Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate, because they are sufficient to ensure that the database is accurate most of the time. The impact is assessed to be low, based on the kWh differences described above.	
Actions taken to resolve the issue		Completion date
Genesis will continue to work with WBoP to gain accuracies within the database, ensuring completeness.		01/12/2018
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis will support WBoP with any process improvements required.		01/12/2018
		Identified

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 Clause 15.2 and 15.37B(c) From: 01-Jun-17 To: current	Under submission of an estimated 11,247 kWh per annum. Potential impact: Medium Actual impact: Medium Audit history: None Controls: Weak Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are rated as weak as the RAMM database is not used for reconciliation. The impact is assessed to be medium, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has reviewed the information being supplied and have found that the information does not contain the ballast/gear wattage within the summary reporting.	01/10/2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will continue to review the parties reporting and request detailed level reporting for transparency. Genesis will take steps to correct volumes settled with the 14 months revisions and for future settlement/billing periods.	01/10/2018	