

## Compliance plan for Far North District Council – 2019

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3  From: 01-Feb-18 To: 31-Jan-19	Seven lights with no input wattage being recorded resulting in under submission of an estimated 2,481 kWh if the database were used for submission.  One item of load has the incorrect ballast applied in the DUML database which would result in over submission of 428.15 kWh per annum if used for submission.  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>	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time, but there is room for improvement.  The impact is assessed to be low due to the kWh volumes.	
Actions taken to resolve the issue	Completion date	Remedial action status
FNDC are providing the information monthly. Genesis are reviewing and feeding back any potential database improvements	01/06/2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis to monitor the information provided by FNDC monthly.	01/06/2019	

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-18</p> <p>To: 31-Jan-19</p>	<p>16 items of load recorded with an "Unknown" or blank lamp model.</p> <p>Seven lights with no input wattage being recorded resulting in under submission of an estimated 2,481 kWh if the database were used for submission.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time, but there is room for improvement.</p> <p>The risk is low due to the impact on submission.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
FNDC are providing the information monthly. Genesis are reviewing and feeding back any potential database improvements		01/06/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis to monitor the information provided by FNDC monthly.		01/06/2019	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Feb-18</p> <p>To: 31-Jan-19</p>	<p>One item of load has the incorrect ballast applied in the DUML database which would result in over submission of 428.15 kWh per annum if used for submission.</p> <p>Seven lights with no input wattage being recorded resulting in under submission of an estimated 2,481 kWh if the database were used for submission.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time, but there is room for improvement.</p> <p>The impact is assessed to be low due to the kWh volumes.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
FNDC are providing the information monthly. Genesis are reviewing and feeding back any potential database improvements		01/06/2019	
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis to monitor the information provided by FNDC monthly.		01/06/2019	

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-18</p> <p>To: 31-Jan-19</p>	<p>Incorrect status recorded for ICP 0000003759TEF13.</p> <p>Seven lights with no input wattage being recorded resulting in under submission of an estimated 2,481 kWh if the database were used for submission.</p> <p>One item of load has the incorrect ballast applied in the DUMML database which would result in over submission of 428.15 kWh per annum if used for submission.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
<b>High</b>	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time, but there is room for improvement.</p> <p>The impact is assessed to be low due to the kWh volumes.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
FNDC are providing the information monthly. Genesis are reviewing and feeding back any potential database improvements		01/06/2019	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis to monitor the information provided by FNDC monthly. Genesis are investigating whether the status can be updated for icp 0000003759TEF13 as it being reconciled under icp 0000003758TE356, however are investigating to make sure that this does not upset the current statementing of the customer's account.		01/06/2019	