

Compliance plan for Waipa District Council DUML – 2019

Deriving submission information			
Non-compliance	Description		
Audit Ref: 2.1 With: Clause 11(1) of schedule 15.3 From: 02-Apr-18 To: 31-Mar-19	134 items of load with an incorrect lamp description and wattage combination. 219 items of load with the incorrect ballast applied resulting in an estimated minor over submission of 820 kWh per annum. 38 items of load with missing lamp information. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as moderate, because they are sufficient to mitigate risk 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	Remedial action status
Genesis has raised these with Waipa DC and requested the lamp & ballast exceptions to be corrected.		01/07/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis will review and report exceptions back to Waipa Dc monthly where exceptions are identified.		01/06/2019	

ICP Identifier		
Non-compliance	Description	
Audit Ref: 2.2 With: Clause 11(2)(a) and (aa) of Schedule 15.3 From: 02-Apr-18 To: 31-Mar-19	Three items of load have with no ICP recorded. 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, because they are sufficient to ensure that changes to the database are correctly recorded most of the time. The impact is assessed to be low as only three items of load are affected.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will follow up on Waipa DC's investigation to these lamps and associated ICP.	01/07/2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will review and report exceptions back to Waipa Dc monthly where exceptions are identified.	01/06/2019	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(d) of Schedule 15.3 From: 02-Apr-18 To: 31-Mar-19	35 items of with no ballast figure recorded. Three items of load have with no wattage recorded. Potential impact: Low 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 weak as these details were not being checked before the monthly wattage report was being sent. A new process is being put in place to ensure these details are checked on a monthly basis. The impact is assessed to be low as the missing wattage associated with these is very minor.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has raised these with Waipa DC and requested the lamp & ballast exceptions to be corrected.	01/07/2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will review an report exceptions back to Waipa Dc on a monthly basis where exceptions are identified.	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: 02-Apr-18</p> <p>To: 31-Mar-19</p>	<p>134 items of load with an incorrect lamp description and wattage combination.</p> <p>219 items of load with the incorrect ballast applied resulting in an estimated minor over submission of 820 kWh per annum.</p> <p>38 items of load with missing lamp information.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>Overall the controls are rated as moderate, but as noted in section 2.4, WDC have not been checking the accuracy of the light details and intend to add this to the monthly database checks undertaken.</p> <p>The impact is assessed to be low, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has raised these with Waipa DC and requested the lamp & ballast combination exceptions to be corrected.		01/07/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis will review and report exceptions back to Waipa Dc monthly where exceptions are identified.		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: 02-Apr-18</p> <p>To: 31-Mar-19</p>	<p>134 items of load with an incorrect lamp description and wattage combination.</p> <p>219 items of load with the incorrect ballast applied resulting in an estimated minor over submission of 820 kWh per annum.</p> <p>38 items of load with missing lamp information.</p> <p>Analysis of the ballasts applied indicate a minor under submission of 1,960.39 kWh.</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	
Medium	<p>The controls are rated as moderate, because they are sufficient to mitigate risk most of the time.</p> <p>The impact is assessed to be low, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
As per 3.1 - Genesis has raised these with Waipa DC and requested the lamp & ballast combination exceptions to be corrected.	01/07/2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will review and report exceptions back to Waipa Dc monthly where exceptions are identified.	01/06/2019	