

Compliance plan for South Taranaki DC – 2019

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: unknown To: 20-Mar-19	2,464 items of load do not have a gear wattage recorded in the database. Adjusted wattages (including the correct gear wattage) are applied to the monthly extract to RAMM prior to submission. All items of load in the extract have a lamp model, lamp wattage, and adjusted wattage including gear wattage recorded. 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. Although gear wattages are maintained in a separate table and applied prior to sending the database extract to Genesis, they are not recorded in the database itself. There is no impact on submission.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will be discussing the audit findings with the intent it is expected that the council takes measures to remedy the exceptions outlined.	01/09/2019	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will report exceptions to the council where exceptions are identified	01/06/2019	

Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: unknown To: 20-Mar-19	2,464 items of load do not have a gear wattage recorded in the database. Adjusted wattages (including the correct gear wattage) are applied to the monthly extract to RAMM prior to submission. All items of load in the extract have a lamp model, lamp wattage, and adjusted wattage including gear wattage 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. Although gear wattages are maintained in a separate table and applied prior to sending the database extract to Genesis, they are not recorded in the database itself. There is no impact on submission.		
Actions taken to resolve the issue		Completion date	Remedial action status
As per 2.1 - Genesis will be discussing the audit findings with the intent it is expected that the council takes measures to remedy the exceptions outlined.		01/09/2019	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis will report exceptions to the council where exceptions are identified		01/06/2019	

All load recorded in database	
Non-compliance	Description
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 20-Mar-19 To: 20-Mar-19	One 70W SON lamp was missing from the database. Potential impact: Low Actual impact: Low Audit history: Once Controls: Strong Breach risk rating: 1

Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as strong, because one missing lamp was identified for the sample of 243 lamps checked.</p> <p>The impact is assessed to be low, based on 83W missing from the database.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis will be discussing the audit findings with the intent it is expected that the council takes measures to remedy the exceptions outlined.		01/09/2019	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis will report exceptions to the council 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: unknown</p> <p>To: 20-Mar-19</p>	<p>2,464 items of load do not have a gear wattage recorded in the database. Adjusted wattages (including the correct gear wattage) are applied to the monthly extract to RAMM prior to submission. All items of load in the extract have a lamp model, lamp wattage, and adjusted wattage including gear wattage recorded.</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		
Low	<p>The controls are rated as moderate. Although gear wattages are maintained in a separate table and applied prior to sending the database extract to Genesis, they are not recorded in the database itself.</p> <p>There is no impact on submission.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
As per 2.1, 2.2 - Genesis will be discussing the audit findings with the intent it is expected that the council takes measures to remedy the exceptions outlined. And will further reiterate the correction of model descriptions in that dataset.		01/09/2019	Investigating

Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will report exceptions to the council where exceptions are identified	01/06/2019	