

Compliance plan for Whangarei District Council DUML – 2019

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 30-Nov-18 To: 19-Aug-19</p>	<p>A discrepancy between the submission volume and the database resulting in an estimated annual over submission of 60,940 kWh.</p> <p>422 items of load have the incorrect wattage applied in the DUML database which would result in over submission of 12,244.96 kWh per annum.</p> <p>58 items of load with no wattage recorded in the database resulting in under submission of 12,633.62 kWh per annum.</p> <p>Database is not confirmed as accurate with a 95% level of confidence as recorded in section 3.1.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: High Actual impact: High Audit history: Twice previously</p> <p>Controls: Moderate Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as moderate as RAMM is now being used for submission purposes but the inaccuracies found indicate that the database is not as up to date as was expected.</p> <p>The impact is assessed to be high due to the estimated kWh volume variances.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis has been working with WDC to have the exceptions found corrected in the dataset. The audit was conducted on Aug-2019 dataset, Genesis notes that half of these exceptions have already been updated.</p>	31/01/2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Genesis will continue to review the WDC datasets to proactively advise of any exceptions found.</p>		

Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: 07-Aug-19 To: 19-Aug-19	58 items of load with no lamp 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 as this information is expected to be captured as part of the updating of the RAMM database. The impact is assessed to be low as the volume of lights with no wattage is small.		
Actions taken to resolve the issue		Completion date	Remedial action status
All assets have an assigned wattage value		01/09/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis will continue to review the WDC datasets to proactively advise of any exceptions found.		01/09/2019	

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) and (d) of Schedule 15.3 From: 30-Nov-18 To: 19-Aug-19	7 additional items of load found in the field sample. Potential impact: High 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 due to the volume of additional lights found in the field. The impact is assessed to be low due to the low number of differences found in the field and total estimated kWh difference detailed in section 3.1 .		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has requested these assets to be confirmed and included in the data set.		01/12/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis will continue to review the WDC datasets to proactively advise of any exceptions found.			

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 30-Nov-18</p> <p>To: 19-Aug-19</p>	<p>Database is not confirmed as accurate with a 95% level of confidence.</p> <p>422 items of load have the incorrect wattage applied in the DUMML database which would result in over submission of 12,244.96 kWh per annum.</p> <p>58 items of load with no wattage recorded in the database resulting in under submission of 12,633.62 kWh per annum.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as weak due to the number of discrepancies recorded in the database.</p> <p>The impact is assessed to be medium due to the estimated kWh volume variances.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has been working with WDC to have the exceptions found corrected in the dataset. The audit was conducted on Aug-2019 dataset, Genesis notes that half of these exceptions have already been updated. Genesis wishes to highlight that WDC has made extensive efforts to increase the accuracy of their dataset and continues to do so. 2018 there was 88k 1806 wattage exceptions leading to the annual over submission, this audit reveals the work done and this has been reduced to 12.6k with exceptions down to 422 as @ Aug-2019	31/01/2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will continue to review the WDC datasets to proactively advise of any exceptions found.		

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 30-Nov-18</p> <p>To: 19-Aug-19</p>	<p>A discrepancy between the submission volume and the database resulting in an estimated annual over submission of 60,940 kWh.</p> <p>422 items of load have the incorrect ballast applied in the DUML database which would result in over submission of 12,244.96 kWh per annum.</p> <p>58 items of load with no wattage recorded in the database resulting in under submission of 12,633.62 kWh per annum.</p> <p>Database is not confirmed as accurate with a 95% level of confidence as recorded in section 3.1.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Twice previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as moderate as RAMM is now being used for submission purposes but the inaccuracies found indicate that the database is not as up to date as expected. The impact is assessed to be high due to the estimated kWh volume variances.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has been working with WDC to have the exceptions found corrected in the dataset. The audit was conducted on Aug-2019 dataset, Genesis notes that half of these exceptions have already been updated. Genesis wishes to highlight that WDC has made extensive efforts to increase the accuracy of their dataset and continues to do so. 2018 there was 88k 1806 wattage exceptions leading to the annual over submission, this audit reveals the work done and this has been reduced to 12.6k with exceptions down to 422 as @ Aug-2019	31/01/2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will continue to review the WDC datasets to proactively advise of any exceptions found.		