

Compliance plan for Whakatane District Council – 2019

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Apr-19 To: 09-Dec-19	Variance found between RAMM database extract and the kWh figure submitted by Genesis resulting in an estimated annual under submission 30,000 kWh. Potential impact: High Actual impact: Medium Audit history: Three times previously Controls: Weak Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are rated as weak as the submission is not calculated from the database and the burn hours used to calculate submission are fixed but are variable in the field. The impact is assessed to be medium due to the under submission of approx. 30,000 kWh per annum.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis have spoken with WDC and have identified the areas of concern. WDC have been forthcoming in assisting Genesis and discussing potential solutions. Genesis expects the data accuracy and submission revisions to correct any short fall.	01/03/2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis have discussed the audit outcomes with WDC who has confirmed their understanding.	01/03/2020	

Description and capacity of load	
Non-compliance	Description
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: 01-Apr-19 To: 09-Dec-19	67 items of load with an invalid or incomplete lamp description. Potential impact: Low Actual impact: Low Audit history: Three times Controls: Moderate Breach risk rating: 2

Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as moderate because the lamp description is correct most of the time.</p> <p>The impact is assessed to be low because the wattages appear to be correct.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis have spoken with WDC and have identified the areas of concern. WDC have been forthcoming in assisting Genesis and discussing potential solutions. Genesis expects the data accuracy and submission revisions to correct any short fall.		01/03/2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis have discussed the audit outcomes with WDC and monthly data sets will be provided as previously agreed, however never delivered. Genesis will review datasets moving forward.		01/03/2020	

All load recorded in database			
Non-compliance	Description		
<p>Audit Ref: 2.5</p> <p>With: Clause 11(2A) and (d) of Schedule 15.3</p> <p>From: 01-Apr-19</p> <p>To: 09-Dec-19</p>	<p>Seven additional items of load found in the field sample.</p> <p>Potential impact: High</p> <p>Actual impact: Low</p> <p>Audit history: Three times</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 because they ensure the light count is accurate most of the time.</p> <p>The impact is assessed to be low because there were only seven discrepancies.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis have spoken with WDC and have identified the areas of concern. WDC have been forthcoming in assisting Genesis and discussing potential solutions. Genesis expects the data accuracy and submission revisions to correct any short fall.		01/03/2020	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Apr-19</p> <p>To: 09-Dec-19</p>	<p>In absolute terms, total annual consumption is estimated to be 17,400 kWh higher than the DUML database indicates.</p> <p>2 incorrect ballasts.</p> <p>67 items of load with insufficient description details.</p> <p>Any changes that are made during any given month take effect from the beginning of that month. This process does not account for historic changes or changes within a month. New connections are recorded from the time of vesting, not from the time of livening.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Three times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement</p> <p>The audit risk rating is assessed to be low because the database is not used for submission.</p>	
Actions taken to resolve the issue		Completion date
<p>Genesis have spoken with WDC and have identified the areas of concern. WDC have been forthcoming in assisting Genesis and discussing potential solutions. Genesis expects the data accuracy and submission revisions to correct any short fall.</p>		01/03/2020
Preventative actions taken to ensure no further issues will occur		Completion date
<p>Genesis have discussed the audit outcomes with WDC who has confirmed their understanding.</p>		01/03/2020
Remedial action status		
Identified		

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-Apr-19</p> <p>To: 09-Dec-19</p>	<p>Variance found between RAMM database extract and the kWh figure submitted by Genesis resulting in an estimated annual under submission 30,000 kWh.</p> <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: Three times previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as weak as the submission is not calculated from the database and the burn hours used to calculate submission are fixed but are variable in the field.</p> <p>The impact is assessed to be medium due to the under submission of approx. 30,000 kWh per annum.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis have spoken with WDC and have identified the areas of concern. WDC have been forthcoming in assisting Genesis and discussing potential solutions. Genesis expects the data accuracy and submission revisions to correct any short fall.	01/03/2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis have discussed the audit outcomes with WDC who has confirmed their understanding.	01/03/2020	