

## Compliance plan for Waitaki District Council DUML – 2020

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Mar-19</p> <p>To: 17-Mar-20</p>	<p>The database has minor inaccuracies resulting in an over submission of 286 kWh per annum.</p> <p>14 items of load have the incorrect wattage applied in the DUML database resulting in an estimated over submission of 217.8 kWh per annum.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Database discrepancies not corrected from last audit resulting in an estimated over submission of 4903 kWh per annum as recorded in section 3.1.</p> <p>Potential impact: High</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are recorded as strong because there is sound validation occurring and the main reason for the error is Oamaru Gardens, which will be resolved very soon.</p> <p>The impact on settlement and participants is moderate; therefore the audit risk rating is Medium.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will continue to work with the council and clear the remaining exceptions.	01/06/2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Continue best practices in maintaining the asset database.	01/06/2020	

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-May-18 To: 17-Mar-20	2 missing lamp wattages 1 missing ballast 1 missing make/model 3 ballasts still recorded for LED. Potential impact: Medium Actual impact: Low Audit history: Twice Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are recorded as strong because they mitigate risk to an acceptable level. Sound validation processes are in place.  The impact on settlement and participants is minor; therefore the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will continue to work with the council and clear the remaining exceptions.	01/06/2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Continue best practices in maintaining the asset database.	01/6/2020	

<b>Database accuracy</b>		
<b>Non-compliance</b>	<b>Description</b>	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Mar-19</p> <p>To: 17-Mar-20</p>	<p>The database has minor inaccuracies resulting in an over submission of 286 kWh per annum.</p> <p>14 items of load have the incorrect wattage applied in the DUML database resulting in an estimated over submission of 217.8 kWh per annum.</p> <p>Database discrepancies not corrected from last audit resulting in an estimated over submission of 4,903 kWh per annum.</p> <p>Potential impact: High</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	<p>The controls are recorded as strong because there is sound validation occurring and the main reason for the error is Oamaru Gardens, which has plans to resolve.</p> <p>The impact on settlement and participants is minor; therefore the audit risk rating is low.</p>	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Genesis will continue to work with the council and clear the remaining exceptions.	01/06/2020	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Continue best practices in maintaining the asset database.	01/06/2020	

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-Mar-19</p> <p>To: 17-Mar-20</p>	<p>The database has minor inaccuracies resulting in an over submission of 286 kWh per annum.</p> <p>14 items of load have the incorrect wattage applied in the DUML database resulting in an estimated over submission of 217.8 kWh per annum.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Database discrepancies not corrected from last audit resulting in an estimated over submission of 4,903 kWh per annum.</p> <p>Potential impact: High</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are recorded as strong because there is sound validation.</p> <p>The impact on settlement and participants is minor; therefore the audit risk rating is low.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will continue to work with the council and clear the remaining exceptions.	01/06/2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Continue best practices in maintaining the asset database.	01/06/2020	