

Compliance plan for Kaipara DC DUML – 2021

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 26-Nov-19 To: 19-Feb-21</p>	<p>A discrepancy between the submission volume and the database resulting in an estimated annual over submission of 13,054.7kWh.</p> <p>Database is not confirmed as accurate with a 95% level of confidence.</p> <p>18 items of permanent load have the incorrect ballast applied indicating a minor under submission of 768.78 kWh per annum.</p> <p>797 LED lights with incorrect wattage applied indicating over submission of 3,744.39 kWh per annum.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: Once Controls: Moderate Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are rated as moderate as they will mitigate risk most of the time but there is room for errors to occur.</p> <p>The impact is assessed to be medium due to the kWh volumes.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>The 797 assets with incorrect gear wattages were not detected in the previous audits, therefore Genesis and the council were none the wiser and under the impression that the wattages applied were accurate. The extent of this, has the misperception of inadequate database management. Genesis will work with the council to make the necessary corrective actions. And ask the council to review lamp specifications to confirm lamp properties in the database.</p>		01/07/20201	
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis will liaise with the council to have the necessary corrections made.</p>		30/04/2021	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 26-Nov-19</p> <p>To: 19-Feb-21</p>	<p>Database is not confirmed as accurate with a 95% level of confidence.</p> <p>18 items of permanent load have the incorrect ballast applied indicating under submission of 768.78 kWh per annum.</p> <p>797 LED lights with incorrect wattage applied indicating over submission of 3,744.39 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be medium due to the impact on submission.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>The 797 assets with incorrect gear wattages were not detected in the previous audits, therefore Genesis and the council were none the wiser and under the impression that the wattages applied were accurate. The extent of this, has the misperception of inadequate database management. Genesis will work with the council to make the necessary corrective actions. And ask the council to review lamp specifications to confirm lamp properties in the database.</p>	01/07/20201	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Genesis will liaise with the council to have the necessary corrections made.</p>	30/04/2021	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 26-Nov-19</p> <p>To: 19-Feb-21</p>	<p>A discrepancy between the submission volume and the database resulting in an estimated annual over submission of 13,054.7kWh.</p> <p>Database is not confirmed as accurate with a 95% level of confidence.</p> <p>18 items of permanent load have the incorrect ballast applied indicating under submission of 768.78 kWh per annum.</p> <p>797 LED lights with incorrect wattage applied indicating over submission of 3,744.39 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are rated as moderate as they will mitigate risk most of the time but there is room for errors to occur.</p> <p>The impact is assessed to be medium due to the kWh volumes.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>The 797 assets with incorrect gear wattages were not detected in the previous audits, therefore Genesis and the council were none the wiser and under the impression that the wattages applied were accurate. The extent of this, has the misperception of inadequate database management. Genesis will work with the council to make the necessary corrective actions. And ask the council to review lamp specifications to confirm lamp properties in the database.</p>		01/07/20201	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis will liaise with the council to have the necessary corrections made.</p>		30/04/2021	