

Compliance plan for Queenstown Lakes DC DUML – 2021

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: 11(1) of Schedule 15.3</p> <p>From: 01-Jan-20</p> <p>To: 20-Jan-21</p>	<p>The database is not confirmed as accurate with a 95% level of confidence with a potential under submission of approximately 12,000 kWh per annum.</p> <p>18 x 25W fluorescent lights should have a 7.8W ballast applied but have a 5W ballast applied resulting in a minor estimated annual under submission of 215 kWh.</p> <p>1 x 26W compact fluorescent lights should have a 2.6W ballast applied but has 5W ballast applied resulting in a minor estimated annual over submission of 11 kWh.</p> <p>Under submission of 6,444 kWh for the month of December for ICPs 0000480064CEA92 and 0000027637CE36B.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Three times previously</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 processes to manage change capture most changes.</p> <p>The impact is assessed to be medium, based on the database inaccuracies detailed above.</p>	
Actions taken to resolve the issue		Completion date
<p>Genesis has had staff movement which had led to some errors being made with asset calculation, the staff member used the “distributors” reporting instead of the customers data reports being provide. This has been addressed and will be rectified for revision purposes. The issue with the fluorescent lamps has be addressed and the gear wattages corrected.</p>		01/06/2021
Preventative actions taken to ensure no further issues will occur		Completion date
<p>Genesis continues to work with the council to gain accuracy levels within their database. QLDC provide 3 different reports due to limitations of their database, the snapshot is accepted along with movement since last submission and a summary of these two reports. This enables the trader to do daily calculation of assets.</p>		continues
Remedial action status		
Identified		

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-Jan-20 To: 20-Jan-21	One Metal Halide lamp with no gear wattage recorded. Potential impact: Low Actual impact: Low Audit history: Three times previously Controls: Strong Breach risk rating:1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong as there are regular checks for missing data as part of regular database management routines. The impact is assessed to be none/low due to only one missing ballast wattage.	
Actions taken to resolve the issue	Completion date	Remedial action status
Database corrected	01/03/2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the council to gain accuracy levels within their database.	01/03/2021	

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-Jan-20</p> <p>To: 20-Jan-21</p>	<p>13 additional items of load found in the field.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Three times previously</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 QLDC are actively working with the field contractor to review the accuracy of data inputs.</p> <p>The impact is assessed to be medium due to the volume of additional lights found in the field audit and taking into consideration the overall database accuracy variance detailed in section 3.1.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has discussed the auditor's findings with the council who has informed Genesis they are currently visiting each street outlined first to rectify the database errors highlighted.		01/04/2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis continues to work with the council to gain accuracy levels within their database.		continues	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Jan-20</p> <p>To: 20-Jan-21</p>	<p>The database is not confirmed as accurate with a 95% level of confidence with a potential under submission of approximately 12,000 kWh per annum.</p> <p>18 x 25W fluorescent lights should have a 7.8W ballast applied but have a 5W ballast applied resulting in a minor estimated annual under submission of 215 kWh.</p> <p>1 x 26W compact fluorescent lights should have a 2.6W ballast applied but has 5W ballast applied resulting in a minor estimated annual submission of 11 kWh.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Three times previously</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 as controls will mitigate risk most of the time.</p> <p>The impact is assessed to be low, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has had staff movement which had led to some errors being made with asset calculation, however have been identified and will be rectified for revision purposes. The issue with the fluorescent lamps has be addressed and the gear wattages corrected.		01/06/2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis continues to work with the council to gain accuracy levels within their database. QLDC provide 3 different reports due to limitations of their database, the snapshot is accepted along with movement since last submission and a summary of these two reports. This enables the trader to do daily calculation of assets.		continues	

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-Jan-20</p> <p>To: 20-Jan-21</p>	<p>The database is not confirmed as accurate with a 95% level of confidence with a potential under submission of approximately 12,000 kWh per annum.</p> <p>18 x 25W fluorescent lights should have a 7.8W ballast applied but have a 5W ballast applied resulting in a minor estimated annual under submission of 215 kWh.</p> <p>1 x 26W compact fluorescent lights should have a 2.6W ballast applied but has 5W ballast applied resulting in a minor estimated annual over submission of 11 kWh.</p> <p>Under submission of 6,444 kWh for the month of December for ICPs 0000480064CEA92 and 0000027637CE36B.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Three times previously</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 processes to manage change capture most changes.</p> <p>The impact is assessed to be medium, based on the database inaccuracies detailed above. based on the submission inaccuracies indicated by the DUML audit tool.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has had staff movement which had led to some errors being made with asset calculation, however have been identified and will be rectified for revision purposes. The issue with the fluorescent lamps has be addressed and the gear wattages corrected.	01/06/2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the council to gain accuracy levels within their database. QLDC provide 3 different reports due to limitations of their database, the snapshot is accepted along with movement since last submission and a summary of these two reports. This enables the trader to do daily calculation of assets.	continues	