

Compliance plan for Waimate District Council – 2021

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 09-Sep-19 To: 03-Mar-21</p>	<p>Estimated over submission of 886 kWh p.a. due to use of the registry daily kWh field instead of the database total kW.</p> <p>Incorrect SST profile for ICP 000000002AL627</p> <p>Festive lighting is connected but the volume is not recorded in the database.</p> <p>The use of the registry figures for reconciliation does not track changes at a daily basis.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</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. The daily kWh figure from the registry is based on the database output and was updated recently, but there is a slight difference.</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
<p>Genesis will be raising the concerns around festive lighting. Genesis Has engaged with the council to provide monthly asset information and assist the council by providing exception reporting for database corrections. Genesis will correct the Profile from RPS to UML or SST</p>	01/06/2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Genesis is now receiving monthly data from Waimate and can confirm ICP asset details have been corrected.</p>	01/03/2021	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3) From: 09-Sep-19 To: 03-Mar-21	Eight items of load do not have Lamp make and model, Gear model or Lamp and Gear Wattage recorded in the database. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as strong because they mitigate risk to an acceptable level. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Genesis has identified the assets of concern and will be requesting the 8 assets to be updated.		01/056/2021
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis is now receiving monthly data from Waimate and can confirm ICP asset details have been corrected.		01/03/2021
		Identified

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 09-Sep-19 To: 03-Mar-21	Eight items of load do not have Lamp make and model, Gear model or Lamp and Gear Wattage recorded in the database Potential impact: Low Actual impact: Low Audit history: Twice Controls: Strong Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as strong because they mitigate risk to an acceptable level. 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 has identified the assets of concern and will be requesting the 8 assets to be updated.	01/06/2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis is now receiving monthly data from Waimate and can confirm ICP asset details have been corrected.	01/03/2021	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c)</p> <p>From: 09-Sep-19 To: 03-Mar-21</p>	<p>Estimated over submission of 886 kWh p.a. due to use of the registry daily kWh field instead of the database total kW.</p> <p>Incorrect SST profile for ICP 0000000002AL627.</p> <p>Festive lighting is connected but the volume is not recorded in the database.</p> <p>The use of the registry figures for reconciliation does not track changes at a daily basis.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</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. The daily kWh figure from the registry is based on the database output and was updated recently, but there is a slight difference.</p> <p>The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p>	
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