

Compliance plan for Whakatane DC– 2021

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-Sep-20</p> <p>To: 31-Mar-21</p>	<p>Variance found between RAMM database extract and the kWh figure submitted by Genesis resulting in an estimated annual over submission 58,765 kWh per annum.</p> <p>Actual on/off times are different to the fixed 11.9 hours used by Genesis.</p> <p>Submission is based on a snapshot and does not consider historic adjustments.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>		
Audit risk rating	Rationale for audit risk rating		
High	<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 high due to the submission variances.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis has been working with the council to establish a path forward to meeting its requirements under the DUML regime. Genesis has been provided access to the CMS and has done some analysis regarding on/off times and asset kWh. It has been communicated that the Council has agreed to install a golden meter to be able to assist the trader in this process. Genesis will keep the EA advised on how this progresses.</p>		Work in progress	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis are expecting to remove this non-compliance by utilising the CMS system outputs to settle energy volumes</p>		Work in progress	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Sep-20</p> <p>To: 31-Mar-21</p>	<p>2 incorrect ballasts.</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: Low</p> <p>Audit history: Multiple 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 due to the error in kWh.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis has been working with the council to establish a path forward to meeting its requirements under the DUMML regime. Genesis has been provided access to the CMS and has done some analysis regarding on/off times and asset kWh. Once Genesis can provide kw data from the CMS the CMS will cater for any active asset within the reporting period. Genesis will be able to assist the Council with exception management by identifying any asset details that may require an update.</p>		Work in progress	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis are expecting to remove this non-compliance by utilising the CMS system outputs to settle energy volumes</p>		Work in progress	

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-Sep-20</p> <p>To: 31-Mar-21</p>	<p>Variance found between RAMM database extract and the kWh figure submitted by Genesis resulting in an estimated annual over submission 58,765 kWh per annum.</p> <p>Actual on/off times are different to the fixed 11.9 hours used by Genesis.</p> <p>Submission is based on a snapshot and does not consider historic adjustments.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>		
Audit risk rating	Rationale for audit risk rating		
High	<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 high due to the over submission of approx. 55,765 kWh per annum.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis has been working with the council to establish a path forward to meeting its requirements under the DUMML regime. Genesis has been provided access to the CMS and has done some analysis regarding on/off times and asset kWh. It has been communicated that the Council has agreed to install a golden meter to be able to assist the trader in this process.</p>		Work in progress	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis are expecting to remove this non-compliance by utilising the CMS system outputs to settle energy volumes</p>		Work in progress	