

## Compliance plan for Wairoa 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: 17-Nov-20 To: 31-May-21</p>	<p>The database is outside of the allowable +/-5% threshold. In absolute terms, total annual consumption is estimated to be 25,200 kWh lower than the DUML database indicates.</p> <p>5x 125W MV lights with the incorrect ballast applied resulting in a very minor estimated over submission of 299kWh 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>Potential impact: Medium Actual impact: Medium Audit history: Multiple times</p> <p>Controls: Moderate Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	<p>The controls are rated as moderate and mitigate risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis was provided data from Wairoa, however due to the ICP's not being populated Genesis required Eastland and the council to populate prior to being able to utilise. Eastland are to consolidate the assets and provide the ICP and assigned assets to the council for population. Genesis are working with the council to assist where possible.	01/09/2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Continuation of providing feedback through exception reporting of asset information to the council	Continuous improvement	

ICP Identifier			
Non-compliance	Description		
Audit Ref: 2.2 With: Clause 11(2)(a) and (aa) of Schedule 15.3 From: 17-Nov-20 To: 31-May-21	ICP not yet recorded in the database. Potential impact: None Actual impact: None Audit history: None Controls: Strong Breach risk rating:1		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	The controls are rated as strong as the ICP is being added to the database and this non-compliance is recorded due to timing. The impact is assessed to be none but low is nearest audit risk rating available.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis was provided data from Wairoa, however due to the ICP's not being populated Genesis required Eastland and the council to populate prior to being able to utilise. Eastland are to consolidate the assets and provide the ICP and assigned assets to the council for population. Genesis are working with the council to assist where possible.		01/09/2021	
Preventative actions taken to ensure no further issues will occur		Completion date	
Continuation of providing feedback through exception reporting of asset information to the council		Continuous improvement	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)</p> <p>From: 17-Nov-20 To: 31-May-21</p>	<p>The database is outside of the allowable +/-5% threshold. In absolute terms, total annual consumption is estimated to be 25,200 kWh lower than the DUML database indicates.</p> <p>246 LED lights with no make or model recorded.</p> <p>5x 125W MV lights with the incorrect ballast applied resulting in a very minor estimated over submission of 299kWh per annum.</p> <p>ICP still to be populated to the RAMM database.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: Multiple times Controls: Strong Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Medium</b>	<p>The controls are rated as strong going forward as the RAMM is expected to be updated directly as changes are made in the database.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Eastland are to consolidate the assets and provide the ICP and assigned assets to the council for population. Genesis are working with the council to assist where possible. And will be providing the appropriate feedback in regard to correctly populating the lamp descriptions		01/09/2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Continuation of providing feedback through exception reporting of asset information to the council		Continuous improvement	

<b>Volume information accuracy</b>			
<b>Non-compliance</b>	<b>Description</b>		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 17-Nov-20</p> <p>To: 31-May-21</p>	<p>The database is outside of the allowable +/-5% threshold. In absolute terms, total annual consumption is estimated to be 25,200 kWh lower than the DUML database indicates.</p> <p>5x 125W MV lights with the incorrect ballast applied resulting in a very minor estimated over submission of 299kWh 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>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>		
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>		
<b>Medium</b>	<p>The controls are rated as moderate and mitigate risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	<b>Remedial action status</b>
<p>Eastland are to consolidate the assets and provide the ICP and assigned assets to the council for population. Genesis are working with the council to assist where possible. And will be providing the appropriate feedback in regard to correctly populating the lamp descriptions</p>		01/09/2021	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>	
<p>Continuation of providing feedback through exception reporting of asset information to the council</p>		Continuous improvement	