

Compliance plan for Greater Wellington Regional Council – 2021

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Mar-19 To: 20-Aug-21	Under submission of approx. 13,537 kWh per annum. Potential impact: Medium Actual impact: Medium Audit history: Once Controls: Weak Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are recorded as weak, because they are not sufficient to ensure database accuracy. Under submission could be at least 13,537 kWh per annum, therefore the audit risk rating is medium.	
Actions taken to resolve the issue		Completion date
GWRC are conducting a field audit to capture wattage details for the items of load that are missing from their current database. Historic submission information will be revised once this information is received.		31 Oct 2021 30 Nov 2021
Preventative actions taken to ensure no further issues will occur		Completion date
GWRC are implementing a new asset database which will record ICP, wattage and GIS information for all assets.		31 Dec 2021
Remedial action status		
Identified		

ICP identifier and items of load		
Non-compliance	Description	
Audit Ref: 2.2 With: Clause 11(2)(a) and (aa) of Schedule 15.3 From: 01-Mar-19 To: 17-Aug-21	ICP identifier not in the database. Potential impact: Low Actual impact: Low Audit history: Once Controls: None Breach risk rating: 5	
Audit risk rating	Rationale for audit risk rating	
Low	The database does not have a field for the ICP. 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
GWRC are implementing a new asset database which will have capability to record ICP against all assets.	31 Dec 2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
GWRC are implementing a new asset database which will have capability to record ICP against all assets.	31 Dec 2021	

Location of each item of load			
Non-compliance	Description		
Audit Ref: 2.3 With: Clause 11(2)(b) of Schedule 15.3 From: 01-Mar-19 To: 17-Aug-21	Location information not sufficient to locate each item of load. Potential impact: Low Actual impact: Low Audit history: Once Controls: None Breach risk rating: 5		
Audit risk rating	Rationale for audit risk rating		
Low	The database does not contain location details apart from street name. The impact on settlement and participants is minor; therefore, the audit risk rating is low. The main impact is that the audit is difficult to conduct and discrepancies are difficult to identify.		
Actions taken to resolve the issue		Completion date	Remedial action status
GWRC are implementing a new asset database which will include GIS information for all assets.		31 Dec 2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
GWRC are implementing a new asset database which will include GIS information for all assets.		31 Dec 2021	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Mar-19 To: 20-Aug-21	21 items of load are missing from the database. Potential impact: Medium Actual impact: Medium Audit history: Once Controls: Weak Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are recorded as weak, because they are not sufficient to ensure database accuracy. Under submission could be at least 13,537 kWh per annum, therefore the audit risk rating is medium.	
Actions taken to resolve the issue	Completion date	Remedial action status
GWRC are conducting a field audit to capture wattage details for the items of load that are missing from their current database. Historic submission information will be revised once this information is received.	31 Oct 2021 30 Nov 2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
GWRC are implementing a new asset database which will record ICP, wattage and GIS information for all assets.	31 Dec 2021	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Mar-19</p> <p>To: 20-Aug-21</p>	<p>Fitting PAR 137610 has been removed.</p> <p>21 items of load are missing from the database at Porirua.</p> <p>Some gear wattages incorrect.</p> <p>The ICP identifier is not recorded.</p> <p>Location information is insufficient</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are recorded as weak because they are not sufficient to ensure database accuracy.</p> <p>Under submission could be at least 13,537 kWh per annum, therefore, the audit risk rating is medium.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>GWRC are conducting a field audit to capture wattage details for the items of load that are missing from their current database.</p> <p>Historic submission information will be revised once this information is received.</p> <p>Fitting PAR 137610 has been removed from the database</p>		<p>31 Oct 2021</p> <p>30 Nov 2021</p> <p>Complete</p>	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>GWRC are implementing a new asset database which will record ICP, wattage and GIS information for all assets.</p>		31 Dec 2021	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 01-Mar-19 To: 20-Aug-21	Under submission of approx. 13,537 kWh per annum. Potential impact: Medium Actual impact: Medium Audit history: Once Controls: Weak Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are recorded as weak because they are not sufficient to ensure database accuracy. Under submission could be at least 13,537 kWh per annum, therefore the audit risk rating is medium.	
Actions taken to resolve the issue	Completion date	Remedial action status
GWRC are conducting a field audit to capture wattage details for the items of load that are missing from their current database. Historic submission information will be revised once this information is received.	31 Oct 2021 30 Nov 2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
GWRC are implementing a new asset database which will record ICP, wattage and GIS information for all assets.	31 Dec 2021	