

# Compliance Plan Waimakariri DC DUML 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: 17-Apr-21</p> <p>To: 29-Nov-21</p>	<p>Incorrect submission for two ICPs resulting in an estimated under submission of 78,894 kWh from March-November 2021.</p> <p>Database accuracy is outside of the allowable threshold resulting in an estimated under submission of 138,500 kWh per annum.</p> <p>198 lights with no lamp description or total wattage recorded resulting in an estimated under submission of 70,190 kWh per annum.</p> <p>361 items have the incorrect wattage applied indicating an estimated over submission of 5,616 kWh per annum.</p> <p>Eight lamps recorded as 350W MH but no such model exists. These are likely to be overstated and therefore over submission will be occurring.</p> <p>Festive lights not recorded in RAMM resulting in a small amount of under submission.</p> <p>The monthly wattage report provided does not track changes on a daily basis and is provided as a snapshot.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	<p>The controls are recorded as weak as the database used for submission has a large number of discrepancies. WDC is implementing new processes to improve the data completeness and accuracy.</p> <p>The impact is assessed to be high due to the impact on submission.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Over the past few months Genesis has reviewed the datasets provided by Waimakariri and provided feedback. Genesis defaults wattage/gear wattage where wattage values are not populated. Where description differ from wattage values, Genesis requests these to be reviewed by the council to update accordingly as to which piece of information is accurate.		Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis is no longer the responsible trader for this database and have provided a copy of the audit to the current trader		

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) & (d) of Schedule 15.3  From: 17-Apr-21 To: 29-Nov-21	198 lights with no lamp description or total wattage recorded resulting in an estimated under submission of 70,190 kWh per annum.  Potential impact: High  Actual impact: High  Audit history: Once  Controls: Weak  Breach risk rating: 9	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	The controls are recorded as weak as the database used for submission has a large number of discrepancies. WDC is implementing new processes to improve the data completeness and accuracy.  The impact is assessed to be high due to the impact on submission.	
Actions taken to resolve the issue	Completion date	Remedial action status
Over the past few months Genesis has reviewed the datasets provided by Waimakariri and provided feedback. Genesis defaults wattage/gear wattage where wattage values are not populated. Where description differ from wattage values, Genesis requests these to be reviewed by the council to update accordingly as to which piece of information is accurate.		Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis is no longer the responsible trader for this database and have provided a copy of the audit to the current trader		

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 17-Apr-21 To: 29-Nov-21	21 additional lights (6%) found in the field from the 352 items of load sampled. Potential impact: Medium Actual impact: Medium Audit history: Four times Controls: Weak Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	The controls are rated as weak. WDC are reviewing and implementing new processes to improve data accuracy and completeness. The impact is assessed to be medium due to the number of additional lights found in the field.	
Actions taken to resolve the issue		Completion date
Over the past few months Genesis has reviewed the datasets provided by Waimakariri and provided feedback. Genesis defaults wattage/gear wattage where wattage values are not populated. Where description differ from wattage values, Genesis requests these to be reviewed by the council to update accordingly as to which piece of information is accurate.		
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis is no longer the responsible trader for this database and have provided a copy of the audit to the current trader		
Investigating		

<b>Database accuracy</b>		
<b>Non-compliance</b>	<b>Description</b>	
<p>Audit Ref: 3.1</p> <p>With: 15.2 and 15.37B(b)</p> <p>From: 17-Apr-21</p> <p>To: 29-Nov-21</p>	<p>Database accuracy is outside of the allowable threshold resulting in an estimated under submission of 138,500 kWh per annum.</p> <p>198 lights with no lamp description or total wattage recorded.</p> <p>361 items have the incorrect wattage applied indicating an estimated over submission of 5,616 kWh per annum.</p> <p>Eight lamps are recorded as model 350W MH in the database, this not a valid wattage for the lamp type.</p> <p>533 items of load with an incorrect ballast of one recorded.</p> <p>Festive lights not recorded in RAMM.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>High</b>	<p>The controls are recorded as weak as the database used for submission has a large number of discrepancies. WDC is implementing new processes to improve the data completeness and accuracy.</p> <p>The impact is assessed to be high due to the impact on submission.</p>	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
<p>Over the past few months Genesis has reviewed the datasets provided by Waimakariri and provided feedback. Genesis defaults wattage/gear wattage where wattage values are not populated. Where description differ from wattage values, Genesis requests these to be reviewed by the council to update accordingly as to which piece of information is accurate.</p>		Investigating
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
<p>Genesis is no longer the responsible trader for this database and have provided a copy of the audit to the current trader</p>		

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: 15.2 and 15.37B(c)</p> <p>From: 17-Apr-21</p> <p>To: 29-Nov-21</p>	<p>Incorrect submission for two ICPs resulting in an estimated under submission of 78,894 kWh from March-November 2021.</p> <p>Database accuracy is outside of the allowable threshold resulting in an estimated under submission of 138,500 kWh per annum.</p> <p>198 lights with no lamp description or total wattage recorded resulting in an estimated under submission of 70,190 kWh per annum.</p> <p>361 items have the incorrect wattage applied indicating an estimated over submission of 5,616 kWh per annum.</p> <p>Eight lamps recorded as 350W MH but no such model exists. These are likely to be overstated and therefore over submission will be occurring.</p> <p>Festive lights not recorded in RAMM resulting in a small amount of under submission.</p> <p>The monthly wattage report provided does not track changes on a daily basis and is provided as a snapshot.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
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