

Compliance plan for Waipa DC DUMML GENE 2022

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of schedule 15.3</p> <p>From: 16-Dec-21</p> <p>To: 31-Jul-22</p>	<p>Seven items of load with the incorrect ballast and one light recorded with the incorrect light type. This will result in a very minor amount of over submission.</p> <p>The database is outside of the allowable +/-5% threshold. There is a 95% level of confidence that the annual consumption is between 30,500 kWh p.a. to 361,400kWh p.a. higher than the database indicates.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times</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 processes in relation to submission are strong but there are no controls in place to ensure the database is accurate, so the overall rating is assessed to be weak.</p> <p>The impact is assessed to be high, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will continue to work with the council to improve accuracy levels within their database.	01/10/2022	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis relies on Waipa DC to accurately maintain its database.	01/10/2022	

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 16-Dec-21 To: 31-Jul-22	Three additional items of load were found in the field. Potential impact: Low Actual impact: Low Audit history: Twice previously Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as weak as there are no quality control processes in place to ensure data quality in the field. 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 reviewed the auditors finding and will advise WDC of the discrepancy with the intent that WDC makes every effort to ensure the exceptions are rectified.		01/10/2022	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
WDC will be notified of the asset discrepancies. Genesis relies on WDC to accurately maintain its database.		01/10/2022	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 16-Dec-21</p> <p>To: 31-Jul-22</p>	<p>The database is outside of the allowable +/-5% threshold. There is a 95% level of confidence that the annual consumption is between 30,500 kWh p.a. to 361,400kWh p.a. higher than the database indicates.</p> <p>Seven items of load with the incorrect ballast and one light recorded with the incorrect light type. This will result in a very minor amount of over submission.</p> <p>Electrical connection dates may be incorrect for new subdivisions.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Twice</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 there are no quality control processes in place to ensure data quality entered in the field.</p> <p>The impact is assessed to be high, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis will continue to work with the council to improve accuracy levels within their database.</p> <p>Genesis will discuss with WDC and notify asset discrepancies.</p>	01/10/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis relies on WDC to accurately maintain its database.	01/10/2022	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 16-Dec-21 To: 31-Jul-22	The database is outside of the allowable +/-5% threshold. There is a 95% level of confidence that the annual consumption is between 30,500 kWh p.a. to 361,400kWh p.a. higher than the database indicates. Potential impact: High Actual impact: High Audit history: Multiple times Controls: Weak Breach risk rating: 9	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as weak as the processes in relation to submission are strong but there are no controls in place to ensure the database is accurate, so the overall rating is assessed to be weak. The impact is assessed to be high, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will continue to work with the council to improve accuracy levels within their database.	01/10/2022	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis relies on Waipa DC to accurately maintain its database.	01/10/2022	