

Compliance plan for GENE Wairoa DC DUML 2023

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 27-May-22 To: 06-Dec-22</p>	<p>Nine ballast errors resulting in a very minor estimated over submission of 222 kWh 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: Low Actual impact: Low</p> <p>Audit history: Multiple times Controls: Strong Breach risk rating: 1</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as strong as the processes to manage the database have been strengthened during the audit period and will mitigate risk to an acceptable level.</p> <p>The impact is assessed to be very minor and therefore low, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis notified Wairoa DC of the discrepancy and has received the updated RAMM extract for January where the ballast has been updated (attached for your reference)</p> <p>Genesis has discussed the importance of tracking of change with WDC and have sent them a template to show the details required so tracking of change can be done at a daily level</p>	01/05/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the council to increase accuracy levels in their database.	01/05/2023	

Database Accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 27-May-22 To: 06-Dec-22	Nine ballast errors resulting in a very minor estimated over submission of 222 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong as the processes to manage the database have been strengthened during the audit period and will mitigate risk to an acceptable level. The impact is assessed to be very minor and therefore low, based on the kWh differences described above.	
Actions taken to resolve the issue		Completion date
Genesis notified Wairoa DC of the discrepancy and has received the updated RAMM extract for January where the ballast has been updated (attached for your reference)		08/02/2023
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis continues to work with the council to increase accuracy levels in their database.		08/02/2023
		Cleared

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 27-May-22</p> <p>To: 06-Dec-22</p>	<p>Nine ballast errors resulting in a very minor estimated over submission of 222 kWh 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: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as strong as the processes to manage the database have been strengthened during the audit period and will mitigate risk to an acceptable level.</p> <p>The impact is assessed to be very minor and therefore low, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis notified Wairoa DC of the discrepancy and has received the updated RAMM extract for January where the ballast has been updated (attached for your reference)</p> <p>Genesis has discussed the importance of tracking of change with WDC and have sent them a template to show the details required so tracking of change can be done at a daily level</p>		01/05/2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis continues to work with the council to increase accuracy levels in their database.		01/05/2023	