

Compliance plan for Western Bay of Plenty DC DUML 2023

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 Clause 11(1) of Schedule 15.3 From: 01-Jan-22 To: 31-Dec-22	In absolute terms, total annual consumption is estimated to be 5,200 kWh lower than the DUML database indicates. Over submission of 2,648.84 occurred for November 2022. Potential impact: Medium Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate because a RAMM extract is now used with burn time determined by a logger. The impact is assessed to be low, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
WBOPDC has been notified of the asset discrepancies. Genesis relies on WBOPDC to accurately maintain its database. Please see February dataset attached which shows out of the 31 discrepancies 20 have been corrected. Please see attached screenshot showing the revision has been sent through and will be corrected when it reaches the revision period.	15/03/2023	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.	Continuous Improvement	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Jan-22</p> <p>To: 31-Dec-22</p>	<p>In absolute terms, total annual consumption is estimated to be 5,200 kWh lower than the DUML database indicates.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement.</p> <p>The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
WBOPDC has been notified of the asset discrepancies. Genesis relies on WBOPDC to accurately maintain its database. Please see February dataset attached which shows out of the 31 discrepancies 20 have been corrected.	15/03/2023	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.	Continuous Improvement	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2 Clause 15.2 and 15.37B(c) From: 01-Jan-22 To: 31-Dec-22</p>	<p>In absolute terms, total annual consumption is estimated to be 5,200 kWh lower than the DUML database indicates. Over submission of 2,648.84 occurred for November 2022. Potential impact: Medium Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as moderate because a RAMM extract is now used with burn time determined by a logger. The impact is assessed to be low, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>WBOPDC has been notified of the asset discrepancies. Genesis relies on WBOPDC to accurately maintain its database. Please see February dataset attached which shows out of the 31 discrepancies 20 have been corrected. Please see attached screenshot showing the revision has been sent through and will be corrected when it reaches the revision period.</p>	15/03/2023	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.	Continuous Improvement	