

## Compliance Plan for Kaipara District Council DUML 2023

Deriving submission information			
Non-compliance	Description		
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3  From: 01-May-22 To: 29-Mar-23	849 LED lights with incorrect wattage applied indicating under submission of 3,988.69 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	The controls are rated as moderate as they will mitigate risk most of the time but there is room for errors to occur. The impact is assessed to be low due to the kWh volumes.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has discussed auditor's findings with Northland Transport Alliance and have confirmation from NTA that RAMM has been updated to reflect the change. (Latest RAMM extract attached for your reference) As historic data is not available, change will be incorporated moving forward.		26/04/2023	Cleared
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.		26/04/2023	

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) and (d) of Schedule 15.3 From: unknown To: 10-Mar-23	One additional item of load found in the field sample. Potential impact: Medium Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	The controls are rated as moderate due to the volume of additional lights found in the field. The impact is assessed to be low due to the low number of differences found in the field and total estimated kWh difference detailed in <b>section 3.1</b> .		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has brought this to the attention of NTA who have arranged for a contractor to verify this. Findings will be updated in RAMM accordingly.		26/05/2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis relies on KDC to accurately maintain its database.		26/04/2023	

<b>Database accuracy</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-May-22 To: 29-Mar-23	51 lamps with incorrect gear wattages recorded in the database. 849 LED lights with incorrect wattage applied indicating over submission of 3,988.69 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement. The impact is assessed to be low due to the impact on submission.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Genesis has advised NTA of auditor's findings with an intent that NTA takes every effort to ensure exceptions are rectified. Wattage has been corrected for the 849 LED lights.	26/05/2023	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Genesis relies on KDC to accurately maintain its database.	26/04/2023	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c)  From: 01-May-22 To: 29-Mar-23	849 LED lights with incorrect wattage applied indicating under submission of 3,988.69 kWh per annum.  Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as moderate as they will mitigate risk most of the time but there is room for errors to occur.  The impact is assessed to be low due to the kWh volumes.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has discussed auditor's findings with Northland Transport Alliance and have confirmation from NTA that RAMM has been updated to reflect the change. (Latest RAMM extract attached for your reference) As historic data is not available, change will be incorporated moving forward.	26/04/2023	Cleared
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.	26/04/2023	