

Compliance Plan Westland DC DUML 2023

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 28-Aug-21</p> <p>To: 23-Mar-23</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 13,700 kWh per annum.</p> <p>Nine items of load have the incorrect wattage applied indicating a very minor estimated under submission of 504 kWh per annum.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Twice previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as moderate as they will mitigate risk most of the time but there is room for improvement.</p> <p>The audit risk rating is medium based on the submission values detailed above.</p>	
Actions taken to resolve the issue		Completion date
<p>WDC has been notified of the discrepancies. Genesis relies on WDC to accurately maintain its database.</p> <p>Genesis has informed WDC of the incorrect wattage being applied and will revise submission for April 2023 once an updated dataset is provided.</p> <p>Genesis will discuss the importance of tracking of change with WDC and will work with them to have this incorporated in their dataset.</p>		01/09/2023
Preventative actions taken to ensure no further issues will occur		Completion date
<p>Genesis continues to work with the council to increase accuracy levels in their database.</p>		01/09/2023
Remedial action status		
Identified		

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 28-Aug-21</p> <p>To: 23-Mar-23</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 13,700 kWh per annum.</p> <p>Six lights recorded with a light type of "Other".</p> <p>Nine items of load have the incorrect wattage applied indicating a very minor estimated under submission of 504 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as moderate as they will mitigate risk most of the time but there is room for improvement.</p> <p>The audit risk rating is medium based on the submission values detailed above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>WDC has been notified of the discrepancies. Genesis relies on WDC to accurately maintain its database.</p> <p>Genesis has brought this to the attention to WDC with an intent that WDC reviews the light type "other" and add relevant information.</p> <p>Genesis has informed WDC of the incorrect wattage being applied and will revise submission once an updated dataset is provided.</p>	01/09/2023	Identified
<p>Genesis will work with the council to help them increase database accuracy.</p>	01/09/2023	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 28-Aug-21</p> <p>To: 23-Mar-23</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 13,700 kWh per annum.</p> <p>Nine items of load have the incorrect wattage applied indicating a very minor estimated under submission of 504 kWh per annum.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Twice previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as moderate as they will mitigate risk most of the time but there is room for improvement.</p> <p>The audit risk rating is medium based on the submission values detailed above.</p>	
Actions taken to resolve the issue		Completion date
<p>WDC has been notified of the discrepancies. Genesis relies on WDC to accurately maintain its database.</p> <p>Genesis has informed WDC of the incorrect wattage being applied and will revise submission once an updated dataset is provided.</p> <p>Genesis will discuss the importance of tracking of change with WDC and will work with them to have this incorporated in their dataset.</p>		01/09/2023
Preventative actions taken to ensure no further issues will occur		Completion date
<p>Genesis continues to work with the council to increase accuracy levels in their database.</p>		01/09/2023
Identified		