

Compliance plan for Manawatu DC DUML 2022

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 03-Aug-20 To: 31-Dec-21</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 12,000 kWh per annum.</p> <p>Eight lamps had incorrect lamp wattage applied in the DUML database resulting in a very minor estimated under submission of 239 kWh per annum.</p> <p>171 items of load with the incorrect ballast wattage applied in the DUML database resulting in an estimated over submission of 5,352 kWh per annum.</p> <p>191 items of LED load incorrectly recorded with ballast. The overall wattage value is correct so there is no impact on reconciliation.</p> <p>One item of load with the incorrect ICP associated with it resulting in a very minor estimated under of 416 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 Actual impact: Medium Audit history: Three times Controls: Moderate Breach risk rating:4</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis has discussed the audit findings with the MDC with the intent that council makes every effort to ensure the exceptions are rectified.</p> <p>Genesis will continue to work the council to define the monthly reporting requirements in regard to the tracking of changes that has occurred within the month.</p>		Continuous improvement	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis continues to work with the council to raise database accuracy levels.		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: 03-Aug-20</p> <p>To: 31-Dec-21</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 12,000 kWh per annum.</p> <p>Eight lamps had incorrect lamp wattage applied in the DUML database resulting in a very minor estimated under submission of 239 kWh per annum.</p> <p>171 items of load with the incorrect ballast wattage applied in the DUML database resulting in an estimated over submission of 5,352 kWh per annum.</p> <p>191 items of LED load incorrectly recorded with ballast. The overall wattage value is correct so there is no impact on reconciliation.</p> <p>One item of load with the incorrect ICP associated with it resulting in a very minor estimated under of 416 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has discussed the audit findings with the council with the intent that council makes every effort to ensure the exceptions are rectified.		Continuous improvement	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis continues to work with the council to raise database accuracy levels.		Continuous improvement	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 03-Aug-20</p> <p>To: 31-Dec-21</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 12,000 kWh per annum.</p> <p>Eight lamps had incorrect lamp wattage applied in the DUML database resulting in a very minor estimated under submission of 239 kWh per annum.</p> <p>171 items of load with the incorrect ballast wattage applied in the DUML database resulting in an estimated over submission of 5,352 kWh per annum.</p> <p>One item of load with the incorrect ICP associated with it resulting in a very minor estimated under of 416 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: Three times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be medium, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis has discussed the audit findings with the MDC with the intent that council makes every effort to ensure the exceptions are rectified.</p> <p>Genesis will continue to work the council to define the monthly reporting requirements in regard to the tracking of changes that has occurred within the month.</p>		Continuous improvement	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis continues to work with the council to raise database accuracy levels.		Continuous improvement	