

Compliance Plan Westland District Council DUML 2024

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: 27-Mar-24</p>	<p>Non-compliant profile SST still being used.</p> <p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 14,500 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>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
Genesis is currently in the process of applying for a new profile to resolve the profile non-compliance. WDC are aware of findings and discrepancies identified. Genesis continues to work with WDC to ensure the accuracy of the datasets received.	Continuous Improvement	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has been supplied with tracking of changes to allow daily tracking of changes.	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: 28-Aug-21</p> <p>To: 27-Mar-24</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 14,500 kWh per annum.</p> <p>Five lights with a light type of "Other" have insufficient details to determine if correct wattage is recorded in the database.</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
WDC are aware of findings and discrepancies identified. Genesis continues to work with WDC to ensure the accuracy of the datasets received.	Continuous Improvement	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
WDC are aware of findings and discrepancies identified. Genesis continues to work with WDC to ensure the accuracy of the datasets received.	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: 28-Aug-21</p> <p>To: 27-Mar-24</p>	<p>Non-compliant profile SST still being used.</p> <p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated over submission of 14,500 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>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
Genesis is currently in the process of applying for a new profile to resolve the profile non-compliance. WDC are aware of findings and discrepancies identified. Genesis continues to work with WDC to ensure the accuracy of the datasets received.	Continuous Improvement	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis is currently in the process of applying for a new profile.	Continuous Improvement	