

Timaru District Council DUML 2019

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Sep-19</p> <p>To: 31-Oct-19</p>	<p>Incorrect use of SST profile.</p> <p>The database is not confirmed as accurate with a 95% level of confidence as recorded in section 3.1.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Livening dates are not recorded for new connections, and lamp installation dates are replaced where lights change.</p> <p>Five lights had incorrect gear wattages recorded resulting in under submission of 6 W or 26 kWh per annum (based on 4,271 burn hours). The discrepancies were corrected prior to the November 2019 database extract being provided to Genesis.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls over the database are rated as moderate, because:</p> <ul style="list-style-type: none"> the accuracy assessment was skewed by a very small number of exceptions where a large wattage percentage difference was present, and very few data accuracy issues were identified overall; the database update processes will ensure that in most cases the change date reflects the date that the change is made; and a very small number of lights had incorrect gear wattages and were corrected. <p>The impact is expected to be low based on the kWh variances identified.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis are correcting how burn hours are derived requesting the appropriate logger from EMS.</p> <p>Genesis will be working with Timaru DC with the exception management.</p>		01/03/2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis to continue revising monthly reporting from TDC, adopting the use of the logger in the region</p>		01/12/2020	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Sep-19 To: 31-Oct-19	For the sample of lights checked, there was one less light in the database than was present in the street. The missing light was added to the database during the audit. Potential impact: Medium Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as strong, the small number of exceptions indicated that controls are sufficient to ensure that all lamps are recorded in the database most of the time. The impact is low, because only one missing lamp was identified.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will be working with Timaru DC with the exception management.	01/12/2020	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis to continue revising monthly reporting from TDC	01/12/2020	

Database accuracy	
Non-compliance	Description
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Sep-19 To: 31-Oct-19	The database is not confirmed as accurate with a 95% level of confidence. The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot. Liveness dates are not recorded for new connections, and lamp installation dates are replaced where lights change. Five lights had incorrect gear wattages recorded resulting in under submission of 6 W or 26 kWh per annum (based on 4,271 burn hours). The discrepancies were corrected prior to the November 2019 database extract being provided to Genesis. Potential impact: Medium Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2

Audit risk rating	Rationale for audit risk rating		
<p>Low</p>	<p>The controls over the database are rated as moderate, because:</p> <ul style="list-style-type: none"> • the accuracy assessment was skewed by a very small number of exceptions where a large wattage percentage difference was present, and very few data accuracy issues were identified overall; • the database update processes will ensure that in most cases the change date reflects the date that the change is made; and • a very small number of lights had incorrect gear wattages, and they were corrected during the audit. <p>The impact is expected to be low based on the kWh variances identified.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis will be working with Timaru DC with the exception management including tracking of changes and monthly reporting requirements.</p>		<p>01/03/2020</p>	<p>Identified</p>
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis to continue revising monthly reporting from TDC, adopting the use of the logger in the region</p>		<p>01/12/2020</p>	

Volume information accuracy	
Non-compliance	Description
<p>Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 01-Sep-19 To: 31-Oct-19</p>	<p>Incorrect use of SST profile.</p> <p>The database is not confirmed as accurate with a 95% level of confidence as recorded in section 3.1.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Livening dates are not recorded for new connections, and lamp installation dates are replaced where lights change.</p> <p>Five lights had incorrect gear wattages recorded resulting in under submission of 6 W or 26 kWh per annum (based on 4,271 burn hours). The discrepancies were corrected prior to the November 2019 database extract being provided to Genesis.</p> <p>Potential impact: Medium Actual impact: Low Audit history: Three times Controls: Moderate Breach risk rating: 2</p>

Audit risk rating	Rationale for audit risk rating	
<p>Low</p>	<p>The controls over the database are rated as moderate, because:</p> <ul style="list-style-type: none"> • the accuracy assessment was skewed by a very small number of exceptions where a large wattage percentage difference was present, and very few data accuracy issues were identified overall; • the database update processes will ensure that in most cases the change date reflects the date that the change is made; and • a very small number of lights had incorrect gear wattages and were corrected. <p>The impact is expected to be low based on the kWh variances identified.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis are correcting how burn hours are derived requesting the appropriate logger from EMS to meet compliance requirement.</p> <p>Genesis will be working with Timaru DC with the exception management.</p>	<p>01/03/2020</p>	<p>Identified</p>
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Genesis to continue revising monthly reporting from TDC, adopting the use of the logger in the region</p>	<p>01/12/2020</p>	