

Compliance Plan for Tasman DC DUML – 2020

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 31-Aug-17 To: 09-Jul-20</p>	<p>Under submission of 1,215 kWh for June due to discrepancy between data extract and volume submitted.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Incorrect wattages for 19 items of load resulting in an estimated minor over submission of 40.15kWh per annum.</p> <p>Potential impact: Low Actual impact: Low</p> <p>Audit history: Three times Controls: Moderate Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<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 audit risk rating is low based on the estimated kWh volume variances detailed above.</p>	
Actions taken to resolve the issue		Completion date
<p>June data will be revised due to the customer failing to provide the June data on time. Genesis will address the 19 items of load with wattage variances with the council's database manager. Genesis will reiterate timeliness of data provision is required. Tracking of changes will need to be readdressed with the network Tasman who maintains the database.</p>		01/02/2021
Preventative actions taken to ensure no further issues will occur		Completion date
As above		
Investigating		

Location of each item of load		
Non-compliance	Description	
Audit Ref: 2.3 With: Clause 11(2)(b) of Schedule 15.3 From: 31-Aug-17 To: 09-Jul-20	105 items of load with insufficient details to locate these. Potential impact: Low Actual impact: Low Audit history: Once Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as strong as the processes in place require all new lights to have GPS co-ordinates recorded. The audit risk rating is recorded as low due to the small number of lights that can't be readily located.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will advise the council to adequately review and make the necessary corrections to the locational detail fields.	01/02/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has included the locational details to their exception review control	01/10/2020	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 31-Aug-17 To: 09-Jul-20	Incorrect wattages for 19 items of load resulting in an estimated minor over submission of 40.15kWh 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	
Low	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 kWh volumes.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will be raising the outstanding wattage variances with the intent to clearly depict correct lamp descriptions for confirmation of wattage.	01/02/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
As above		

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 31-Aug-17 To: 09-Jul-20	Under submission of 1,215 kWh for June due to discrepancy between data extract and volume submitted. Incorrect wattages for 19 items of load resulting in an estimated minor over submission of 40.15kWh per annum. The data used for submission does not track changes at a daily basis and is provided as a snapshot. Potential impact: Low Actual impact: Low Audit history: Three times Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Medium	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time, but there is room for improvement. The audit risk rating is low based on the estimated kWh volume variances detailed above.	
Actions taken to resolve the issue	Completion date	Remedial action status
June data will be revised due to the customer failing to provide the June data on time. Genesis will address the 19 items of load with wattage variances with the council's database manager. Genesis will reiterate timeliness of data provision is required.	01/02/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
As above		