

## Compliance plan for Tararua 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: 01-Nov-19 To: 31-Jul-20</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated under submission of 61,000 kWh per annum.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Eight items of load had a missing gear wattage, and two items of load had invalid gear wattages of zero.</p> <p>55 items of load had invalid gear wattages for their lamp model description resulting in an estimated under submission of 2,208 kWh per annum.</p> <p>Festive lighting in Woodville and Dannevirke not recorded in the database.</p> <p>Potential impact: High Actual impact: High Audit history: Multiple times Controls: Weak Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls over the database are rated as weak, because there were a relatively large number of discrepancies indicating that the data capture has a high rate of error.</p> <p>The audit risk rating is assessed to high due to the estimated over submission occurring due to the database inaccuracy.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has engaged with the council to initiate a review of the current information and establish a corrective process. Genesis has had confirmation that the programme of work in the Manawatu region for NZTA assets is progressing well and it would be expecting the NZTA to complete its work in the area within the time frame outlined in the audit.	03/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will need to review the current processes in place to populate the asset information. Further training maybe required due to inaccurate information being populated by the contracted third parties. The council is in the tender process to recontract the maintenance programme for the current assets owned by the council, is currently underway. Genesis will be discussing the need for a 100% field audit.	03/2021	

Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3  From: 01-Oct-19 To: 31-Jul-20	Eight items of load have a missing gear wattage, and a further two items of load have invalid gear wattages of zero.  Potential impact: Medium  Actual impact: Low  Audit history: Three times  Controls: Moderate  Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	The controls are rated as moderate as TDC have robust controls for the updating of the council lights, and the NZTA lights will be moved to the NZTA RAMM in the next 2-3 months.  The audit risk rating is assessed to be low at 168 W or 717 kWh p.a. based on 4,271 burn hours p.a.		
Actions taken to resolve the issue		Completion date	Remedial action status
TDC has already made the necessary gear wattage corrections and confirmed this in the August 2020 data set provided.		01/09/2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
NZTA to remove their assets from TDCs database within the next 2-3 months.			

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 31-Oct-19</p> <p>To: 31-Jul-20</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated under submission of 61,000 kWh per annum.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Eight items of load had a missing gear wattage, and two items of load had invalid gear wattages of zero.</p> <p>28 items of load have the incorrect lamp description.</p> <p>55 items of load had invalid gear wattages for their lamp model description resulting in an estimated under submission of 2,208 kWh per annum.</p> <p>Festive lighting in Woodville and Dannevirke not recorded in the database.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls over the database are rated as weak, because there were a relatively large number of discrepancies indicating that the data capture has a high rate of error.</p> <p>The audit risk rating is assessed to high due to the estimated over submission occurring due to the database inaccuracy.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has engaged with the council to initiate a review of the current information and establish a corrective process. Genesis has had confirmation that the programme of work in the Manawatu region for NZTA assets is progressing well and it would be expecting the NZTA to complete its work in the area within the time frame outlined in the audit.	03/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will need to review the current processes in place to populate the asset information. Further training maybe required due to inaccurate information being populated by the contracted third parties. The council is in the tender process to recontract the maintenance programme for the current assets owned by the council, is currently underway. Genesis will be discussing the need for a 100% field audit.	03/2021	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-Nov-19</p> <p>To: 31-Jul-20</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated under submission of 61,000 kWh per annum.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Eight items of load had a missing gear wattage, and two items of load had invalid gear wattages of zero.</p> <p>55 items of load had invalid gear wattages for their lamp model description resulting in an estimated under submission of 2,208 kWh per annum.</p> <p>Festive lighting in Woodville and Dannevirke not recorded in the database.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>The controls over the database are rated as weak, because there were a relatively large number of discrepancies indicating that the data capture has a high rate of error.</p> <p>The audit risk rating is assessed to high due to the estimated over submission occurring due to the database inaccuracy.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis has engaged with the council to initiate a review of the current information and establish a corrective process. Genesis has had confirmation that the programme of work in the Manawatu region for NZTA assets is progressing well and it would be expecting the NZTA to complete its work in the area within the time frame outlined in the audit.</p>		03/2021	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis will need to review the current processes in place to populate the asset information. Further training maybe required due to inaccurate information being populated by the contracted third parties. The council is in the tender process to recontract the maintenance programme for the current assets owned by the council, is currently underway. Genesis will be discussing the need for a 100% field audit.</p>		03/2021	