

Tararua District Council DUML Compliance Plan 2021

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-20</p> <p>To: 17-May-21</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated under submission of 39,100 kWh per annum.</p> <p>12 items of load have either missing or blank lamp model, lamp wattage or, gear wattage resulting in an estimated under submission of 927 kWh per annum.</p> <p>Festive lighting in Woodville and Dannevirke not recorded in the database.</p> <p>The monthly database extract provided 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: 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 controls will mitigate risk most of the time, but there is room for improvement.</p> <p>The audit risk rating is assessed to be medium based on the potential submission inaccuracies.</p>	
Actions taken to resolve the issue		Completion date
Genesis has advised TDC of the corrective actions, TDC has engaged with the NZTA to ascertain when they plan on removing the assets from the TDC database which has been indicated to be 01/07/2021		01/09/2021
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis has advised TDC of the corrective actions, TDC has engaged with the NZTA to ascertain when they plan on removing the assets from the TDC database which has been indicated to be 01/07/2021		01/09/2021
		Investigating

Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: 28-Aug-20 To: 17-May-21	12 items of load have either missing or blank lamp model, lamp wattage or, gear wattage. Resulting in an estimated under submission of 927 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Four times Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as moderate as controls will mitigate risk most of the time, but there is room for improvement. The impact on settlement and participants is minor; therefore, the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Tararua DC has been notified and have discussed the required reporting requirements in length with the asset technician. It is expected the corrective action be completed by July2021		01/07/2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis provides exception management reporting back to the database manager.		01/07/2021	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 28-Aug-20 To: 17-May-21	One additional light in the field Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact is assessed to be low due to the small number of additional lights found.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has advised to add the missing asset found in the field.	01/07/2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 28-Oct-20</p> <p>To: 17-May-21</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated under submission of 39,100 kWh per annum.</p> <p>12 items of load have either missing or blank lamp model, lamp wattage or, gear wattage resulting in an estimated under submission of 927 kWh per annum.</p> <p>28 items of load have the incorrect lamp description.</p> <p>15 lamps with incorrect gear wattages for their lamp model description resulting in estimated under submission of 3,463.77 kWh p.a.</p> <p>Festive lighting in Woodville and Dannevirke not recorded in the database.</p> <p>The monthly database extract provided 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: 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 controls will mitigate risk most of the time, but there is room for improvement.</p> <p>The audit risk rating is assessed to be medium based on the potential submission inaccuracies.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Tararua DC has been notified and have discussed the required reporting requirements in length with the asset technician. It is expected the corrective action be completed by July2021. Genesis has raised the requirement of change tracking and the expectation that this too is maintained within the monthly reporting. Genesis are still working with the council to effectively manage these changes.	01/07/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis provides exception management reporting back to the database manager.	01/07/2021	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 28-Aug-20</p> <p>To: 17-May-21</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated under submission of 39,100 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>12 items of load have either missing or blank lamp model, lamp wattage or, gear wattage resulting in an estimated under submission of 927 kWh per annum.</p> <p>28 items of load have the incorrect lamp description.</p> <p>15 lamps with incorrect gear wattages for their lamp model description resulting in estimated under submission of 3,463.77 kWh p.a.</p> <p>Festive lighting in Woodville and Dannevirke not 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 controls will mitigate risk most of the time, but there is room for improvement.</p> <p>The audit risk rating is assessed to be medium based on the potential submission inaccuracies.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Tararua DC has been notified and have discussed the required reporting requirements in length with the asset technician. It is expected the corrective action be completed by July2021. Genesis has raised the requirement of change tracking and the expectation that this too is maintained within the monthly reporting. Genesis are still working with the council to effectively manage these changes.</p>		01/07/2021	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Genesis provides exception management reporting back to the database manager. Genesis has advised that the community board should not be connecting any load to the network without the council's consent. It is to be established whether an ICP is introduced by Scanpower to manage these assets, that are not part of the Council streetlighting portfolio.</p>		01/09/2021	