

Compliance Plan South Taranaki DC DUML 2022

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 13-May-21</p> <p>To: 03-May-22</p>	<p>158 items of load do not have a gear wattage recorded in the database. Adjusted wattages (including the correct gear wattage) are applied to the monthly extract to RAMM prior to submission.</p> <p>23 items of load have the incorrect wattage applied in the DUML database which would result in the minor under submission of 231 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: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>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 impact is assessed to be low due to the kWh volumes.</p>	
Actions taken to resolve the issue		Completion date
<p>Genesis has discussed the audit findings with the council with the intent that council makes every effort to ensure the exceptions are rectified.</p> <p>Genesis continues to work with the council in regard to the tracking of change.</p>		01/10/2022
Preventative actions taken to ensure no further issues will occur		Completion date
<p>Genesis continues to work with the council to raise database accuracy levels</p>		Continuous improvement
Identified		

ICP identifier and items of load		
Non-compliance	Description	
Audit Ref: 2.2 With: Clause 11(2)(a) and (aa) of Schedule 15.3 From: 13-May-21 To: 03-May-22	One item of load with an incorrect ICP recorded. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as strong because they mitigate risk to an acceptable level. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Genesis has discussed the audit findings with the council with the intent that council makes every effort to ensure the exceptions are rectified.		01/10/2022
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis continues to work with the council to raise database accuracy levels		Continuous improvement
Identified		

Description and capacity of load		
Non-compliance	Description	
<p>Audit Ref: 2.4</p> <p>With: Clause 11(2)(c) and (d) of Schedule 15.3</p> <p>From: 13-May-21</p> <p>To: 03-May-22</p>	<p>Light model is not recorded for 14 lamps.</p> <p>Light model is recorded as 'Unknown' for 17 lamps.</p> <p>Two lamps are recorded as GL 500, wattage indicates should be LED.</p> <p>158 items of load do not have a gear wattage recorded in the database. Adjusted wattages (including the correct gear wattage) are applied to the monthly extract to RAMM prior to submission.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as moderate. Although gear wattages are maintained in a separate table and applied prior to sending the database extract to Genesis, they are not recorded in the database itself.</p> <p>The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has discussed the audit findings with the council with the intent that council makes every effort to ensure the exceptions are rectified.	01/10/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the council to raise database accuracy levels	Continuous improvement	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 13-May-21 To: 03-May-22	Two additional items of load found in the field of 220 items of load sampled. Potential impact: Low Actual impact: Low Audit history: Three times previously Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong as the processes in place will ensure that the data is recorded correctly most of the time. The impact is assessed to be low due to the small number of additional lights found in the field in relation to the overall count of the items of load.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has discussed the audit findings with the council with the intent that council makes every effort to ensure the exceptions are rectified.	01/10/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the council to raise database accuracy levels	Continuous improvement	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 13-May-21 To: 03-May-22	23 items of load have the incorrect wattage applied in the DUML database which would result in the minor under submission of 231 kWh per annum. Potential impact: Low Actual impact: Low Audit history: None 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, based on the kWh difference described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has discussed the audit findings with the council with the intent that council makes every effort to ensure the exceptions are rectified.	01/10/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the council to raise database accuracy levels	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: 13-May-21</p> <p>To: 03-May-22</p>	<p>158 items of load do not have a gear wattage recorded in the database. Adjusted wattages (including the correct gear wattage) are applied to the monthly extract to RAMM prior to submission.</p> <p>23 items of load have the incorrect wattage applied in the DUML database which would result in the minor under submission of 231 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: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>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 impact is assessed to be low due to the kWh volumes.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis has discussed the audit findings with the council with the intent that council makes every effort to ensure the exceptions are rectified</p> <p>Genesis continues to work with the council in regard to the tracking of change.</p>	01/10/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the council to raise database accuracy levels	Continuous improvement	