

Compliance Plan Tararua 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: 18-May-21</p> <p>To: 02-May-22</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated under submission of 300 kWh per annum.</p> <p>NZTA lighting is recorded in two databases and therefore submitted twice resulting in an estimated over submission of approximately 176,367 kWh per annum.</p> <p>Four items of load that have either missing or blank lamp model, lamp wattage or, gear wattage resulting in an estimated under submission of 149 kWh per annum.</p> <p>44 items of load had gear wattages that did not match the expected values resulting an estimated under submission of 2,844 kWh per annum.</p> <p>Festive lighting in Woodville, Eketahuna 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: 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 are rated as weak and are unlikely to mitigate risk and remove errors.</p> <p>The impact is assessed to be high based on the effect on submission due to NZTA lights, and over submission kWh volume.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis is currently in the process of reviewing the submission volumes for all assist that has been listed as 'Transit NZ' within Tararua DC data base extract to ensure the volumes are correct and will look to revise our submission accordingly. Genesis has also advised Tararua DC to update their data base to show the ICP to be as 'Transit NZ' to avoid confusion in the future.</p> <p>Genesis has discussed the audit findings with the council with the intent that the council makes every effort to ensure that the correction have been updated within the RAMM data base.</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 improve the data base accuracy.	Continuous improvement	

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: 18-May-21</p> <p>To: 02-May-22</p>	<p>Four items of load have either unknown or blank lamp model, lamp wattage or, gear wattage.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times previously</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 as controls will mitigate risk most of the time, but there is room for improvement.</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 the council makes every effort to ensure that the correction have been updated within the RAMM data base.	01/10/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the council to improve the data base accuracy.	Continuous improvement	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 18-May-21 To: 02-May-22	One additional light in the field of the 222 items of load sampled. 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 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.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has discussed the audit findings with the council with the intent that the council makes every effort to ensure that the correction have been updated within the RAMM data base.	01/10/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the council to improve the data base accuracy.	Continuous improvement	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 18-May-21</p> <p>To: 02-May-22</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated under submission of 300 kWh per annum.</p> <p>NZTA lighting is recorded in two databases and therefore submitted twice resulting in an estimated over submission of approximately 176,367 kWh per annum.</p> <p>Four items of load have either unknown or blank lamp model, lamp wattage or, gear wattage, resulting in an estimated under submission of 149 kWh p.a.</p> <p>44 items of load had gear wattages that did not match the expected values resulting in under an estimated under submission of 2,844 kWh p.a.</p> <p>Festive lighting in Woodville, Dannevirke and Eketahuna are 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 are rated as weak and are unlikely to mitigate risk and remove errors.</p> <p>The impact is assessed to be high based on the effect on submission due to NZTA lights, and over submission kWh volume.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis is currently in the process of reviewing the submission volumes for all assist that has been listed as 'Transit NZ' within Tararua DC data base extract to ensure the volumes are correct and will look to revise our submission accordingly. Genesis has also advised Tararua DC to update their data base to show the ICP to be as 'Transit NZ' to avoid confusion in the future.</p> <p>Genesis has discussed the audit findings with the council with the intent that the council makes every effort to ensure that the correction have been updated within the RAMM data base.</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 improve the data base accuracy.	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: 18-May-21</p> <p>To: 02-May-22</p>	<p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated under submission of 300 kWh per annum.</p> <p>NZTA lighting is recorded in two databases and therefore submitted twice resulting in an estimated over submission of approximately 176,367 kWh per annum.</p> <p>Four items of load that have either missing or blank lamp model, lamp wattage or, gear wattage resulting in an estimated under submission of 149 kWh per annum.</p> <p>44 items of load had gear wattages that did not match the expected values resulting an estimated under submission of 2,844 kWh per annum.</p> <p>Festive lighting in Woodville, Eketahuna 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: 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 are rated as weak and are unlikely to mitigate risk and remove errors.</p> <p>The impact is assessed to be high based on the effect on submission due to NZTA lights, and over submission kWh volume.</p>	
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Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the council to improve the data base accuracy.	Continuous improvement	