

Compliance Plan Tasman DC DUML 2022

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 16-Jul-20 To: 03-Feb-22</p>	<p>Estimated over submission of 83,760 kWh per annum due to discrepancies 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 20 items of load resulting in an estimated minor over submission of 87.12 kWh per annum.</p> <p>Potential impact: High Actual impact: High Audit history: Multiple times previously</p> <p>Controls: Moderate Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
High	<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 high based on the estimated kWh volume variances detailed above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis conducted a full consumption review of the Tasman DC data base using the extract provided in April 2022. The volumes have been adjusted and will be washed up going back 14 months.</p> <p>Genesis has discussed the audit findings with the Tasman DC with the intent that council makes every effort to ensure the exceptions are rectified.</p> <p>Genesis will continue to work with the council to define the monthly reporting requirements in regard to the tracking of changes that has occurred within the month.</p>	<p>11/4/2022</p> <p>Continuous improvement</p>	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	

Location of each item of load			
Non-compliance	Description		
Audit Ref: 2.3 With: Clause 11(2)(b) of Schedule 15.3 From: 16-Jul-20 To: 03-Feb-22	109 items of load with insufficient details to locate these. Potential impact: Low Actual impact: Low Audit history: Three times previously Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as moderate as the processes in place do not capture the GPS co-ordinates for a new connection. 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 has discussed the audit findings with the Tasman DC with the intent that council makes every effort to ensure the exceptions are rectified.		Continuous improvement	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: 16-Jul-20 To: 03-Feb-22	Two additional items of load found in the field of 287 items of load sampled. 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 rated as moderate 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
Genesis has discussed the audit findings with the Tasman DC with the intent that council makes every effort to ensure the exceptions are rectified.		Continuous improvement
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		

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 16-Jul-20 To: 03-Feb-22	Incorrect wattages for 20 items of load resulting in an estimated minor over submission of 87.12 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Three times 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 differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has discussed the audit findings with the Tasman DC with the intent that council makes every effort to ensure the exceptions are rectified.	Continuous improvement	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: 16-Jul-20</p> <p>To: 03-Feb-22</p>	<p>Estimated over submission of 83,760 kWh per annum due to discrepancies 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 20 items of load resulting in an estimated minor over submission of 87.12 kWh per annum.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
High	<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 high based on the estimated kWh volume variances detailed above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis conducted a full consumption review of the Tasman DC data base using the extract provided in April 2022. The volumes have been adjusted and will be washed up going back 14 months.</p> <p>Genesis has discussed the audit findings with the Tasman DC with the intent that council makes every effort to ensure the exceptions are rectified.</p> <p>Genesis will continue to work with the council to define the monthly reporting requirements in regard to the tracking of changes that has occurred within the month.</p>	<p>11/4/2022</p> <p>Continuous improvement</p>	Identified
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>	<p>Continuous improvement</p>	

