

# Compliance Plan Tasman 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: 04-Feb-22</p> <p>To: 20-Sep-22</p>	<p>Estimated over submission of 214,344 kWh per annum due to discrepancies between data extract and volume submitted.</p> <p>Database accuracy is outside of the allowable threshold resulting in an estimated under submission of 27,300 kWh per annum.</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: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are recorded as weak as the information provided for submission has resulted in a large discrepancy. Network Tasman is working with Genesis to ensure accurate information is available for submission.</p> <p>The impact is assessed to be high due to the impact on submission.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis has investigated this reason for over submission and found that the dataset provided to Genesis was different to the one provided to the auditor. The difference was due the way Network Tasman extracted the data. It was found that the dataset provided to the auditor was more reliable and hence Genesis has revised submission for Aug-22 based on the dataset provided by the auditor. (Screenshot of volumes sent for revision attached. This was get picked up when it gets to the revision month)</p> <p>Genesis will bring it the discrepancies to TDC's attention with the intention that they rectify these</p>	01/08/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Genesis continues to work with the council to increase accuracy levels in their database.</p>	01/08/2023	

Location of each item of load		
Non-compliance	Description	
Audit Ref: 2.3 With: Clause 11(2)(b) of Schedule 15.3 From: 04-Feb-22 To: 20-Sep-22	137 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	
<b>Low</b>	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
Genesis will bring this to TDC's attention with the intention that they have the database updated with required details.		01/08/2023
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis will continue to work with the council to help them increase database accuracy.		01/08/2023
		Identified

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 04-Feb-22</p> <p>To: 20-Sep-22</p>	<p>Incorrect wattages for 20 items of load resulting in an estimated minor over submission of 87.12 kWh per annum.</p> <p>Database accuracy is outside of the allowable threshold resulting in an estimated over submission of 27,300 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Multiple times previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	<p>The controls are recorded as weak as the information provided for submission has resulted in a large discrepancy. TDC is working with Genesis to ensure accurate information is available for submission.</p> <p>The impact is assessed to be medium due to the impact on submission.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis is in discussion with TDC to gain a database from them. Once received Genesis will review the database and notify TDC of the asset discrepancies. Genesis relies on TDC to accurately maintain its database.	01/08/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will continue to work with the council to help them increase database accuracy.	01/08/2023	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 04-Feb-22</p> <p>To: 20-Sep-22</p>	<p>Estimated over submission of 214,344 kWh per annum due to discrepancies between data extract and volume submitted.</p> <p>Database accuracy is outside of the allowable threshold resulting in an estimated over submission of 27,300 kWh per annum.</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: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are recorded as weak as the information provided for submission has resulted in a large discrepancy. TDC is working with Genesis to ensure accurate information is available for submission.</p> <p>The impact is assessed to be high due to the impact on submission.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis has investigated this reason for over submission and found that the dataset provided to Genesis was different to the one provided to the auditor. The difference was due the way Network Tasman extracted the data. It was found that the dataset provided to the auditor was more reliable and hence Genesis has revised submission for Aug-22 based on the dataset provided by the auditor. (Screenshot of volumes sent for revision attached. This was get picked up when it gets to the revision month)</p> <p>Genesis will bring it the discrepancies to TDC's attention with the intention that they rectify these</p>	01/08/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the council to increase accuracy levels in their database.	01/08/2023	

