

Compliance Plan Timaru DC DUML 2023

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-Aug-21</p> <p>To: 31-Mar-23</p>	<p>Livening dates are not recorded for new connections, and lamp installation dates are replaced where lights change.</p> <p>15 lamps have incorrect total wattages, resulting in an estimated under submission of 397 kWh p.a. based on 4,271 burn hours.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three 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 over the database are rated as moderate, because the database update processes will ensure that in most cases the change date reflects the date that the change is made; and only a small number of lights had incorrect gear wattages and were corrected.</p> <p>The impact is expected to be low based on the kWh variances identified.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis has brought this to the attention to TDC and will work with them to create a process around how they manage their new connections. Genesis will discuss with TDC if they can add a new line in the dataset for all new lamp installs and use an end date for the old lamp rather an replacing the installation date.</p> <p>Genesis has reviewed the auditors finding and have advised TDC of the discrepancy with the intent that TDC makes every effort to ensure the exceptions are rectified and have update RAMM. Genesis will revise submissions for March 2023 once an updated data set has been provided</p>	01/09/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will work with the council to increase accuracy levels in their database.	01/09/2023	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 18-Aug-21 To: 31-Mar-23	Two additional lights found in the field of the sample of 378 items of load checked. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as strong, as only two additional lamps identified in the field. 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
TDC has been notified of the auditor's findings. Genesis relies on TDC to accurately maintain its database.	01/09/2023	Identified
Preventative actions taken to ensure no further issue will occur	Completion date	
Genesis will continue to work with the council to help them increase database accuracy.	01/09/2023	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 18-Aug-21</p> <p>To: 31-Mar-23</p>	<p>Livening dates are not recorded for new connections, and lamp installation dates are replaced where lights change.</p> <p>18 lights had incorrect gear wattages recorded resulting in under submission of 167 kWh per annum (based on 4,271 burn hours).</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times previously</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. The database update processes will ensure that in most cases the change date reflects the date that the change is made; and only a small number of lights have incorrect gear wattages.</p> <p>The impact is expected to be low based on the kWh variances identified.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis has brought this to the attention to TDC and will work with them to create a process around how they manage their new connections. Genesis will discuss with TDC if they can add a new line in the dataset for all new lamp installs and use an end date for the old lamp rather an replacing the installation date.</p> <p>Genesis has reviewed the auditors finding and have advised TDC of the discrepancy with the intent that TDC makes every effort to ensure the exceptions are rectified and have update RAMM. Genesis will revise submissions for March 2023 once an updated data set has been provided</p>	01/09/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will work with the council to increase accuracy levels in their database.	01/09/2023	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 18-Aug-21</p> <p>To: 31-Mar-23</p>	<p>Liveness dates are not recorded for new connections, and lamp installation dates are replaced where lights change.</p> <p>15 lamps have incorrect total wattages, resulting in an estimated under submission of 397 kWh p.a. based on 4,271 burn hours.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three 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 over the database are rated as moderate, because the database update processes will ensure that in most cases the change date reflects the date that the change is made; and only a small number of lights had incorrect gear wattages and were corrected.</p> <p>The impact is expected to be low based on the kWh variances identified.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis has brought this to the attention to TDC and will work with them to create a process around how they manage their new connections. Genesis will discuss with TDC if they can add a new line in the dataset for all new lamp installs and use an end date for the old lamp rather than replacing the installation date.</p> <p>Genesis has reviewed the auditors finding and have advised TDC of the discrepancy with the intent that TDC makes every effort to ensure the exceptions are rectified and have update RAMM. Genesis will revise submissions for March 2023 once an updated data set has been provided</p>		01/09/2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis will work with the council to increase accuracy levels in their database.		01/09/2023	