

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: 01-May-22</p> <p>To: 31-Aug-22</p>	<p>Under submission of 46 kWh for August 2022 due to the incorrect calculation of volume for submission.</p> <p>Database assessed as having poor precision therefore the potential error is greater than 5.0% resulting in an estimated under submission of 11,300 kWh per annum.</p> <p>NZTA lighting is recorded in two databases and therefore submitted twice resulting in an estimated over submission of approximately 206,653 kWh per annum.</p> <p>Three items of load that have either missing or blank lamp model, lamp wattage or, gear wattage resulting in an estimated under submission of 1,806 kWh per annum.</p> <p>29 items of load had gear wattages that did not match the expected values resulting an estimated under submission of 2,674 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>Tararua DC will discuss with NZTA and remove NZTA assets from their dataset and advise Genesis once completed, Genesis will then revise submissions based on the new dataset and confirmation of effective date by Tararua DC.</p> <p>Genesis has reviewed the auditors finding and have advised Tararua DC of the discrepancy with the intent that Tararua DC makes every effort to ensure the exceptions are rectified.</p>	01/01/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Tararua DC has been notified of the asset discrepancies. Genesis relies on Tararua DC to accurately maintain its database.	01/01/2023	

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: 01-May-22</p> <p>To: 31-Aug-22</p>	<p>Three items of load that have either missing or blank lamp model, lamp wattage or, gear wattage resulting in an estimated under submission of 1,806 kWh per annum.</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
<p>Tararua DC have advised that the above lights identified at Stanley Street might be for NZTA. Tararua DC is going to organize a site visit to confirm the same.</p> <p>Genesis has reviewed the auditors finding and have advised Tararua DC of the discrepancy with the intent that Tararua DC makes every effort to ensure the exceptions are rectified.</p>	01/01/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Tararua DC has been notified of the asset discrepancies. Genesis relies on Tararua DC to accurately maintain its database.</p>	01/01/2023	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-May-22 To: 31-Aug-22	Three additional lights in the field of the 259 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
Tararua DC have advised a site visit will be done for the above lights identified at King Street. Genesis has reviewed the auditors finding and have advised Tararua DC of the discrepancy with the intent that Tararua DC makes every effort to ensure the exceptions are rectified.	01/01/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Tararua DC has been notified of the asset discrepancies. Genesis relies on Tararua DC to accurately maintain its database.	01/01/2023	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-May-22</p> <p>To: 31-Aug-22</p>	<p>Database assessed as having poor precision therefore the potential error is greater than 5.0% resulting in an estimated under submission of 11,300 kWh per annum.</p> <p>NZTA lighting is recorded in two databases and therefore submitted twice resulting in an estimated over submission of approximately 206,653 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 1,806 kWh p.a.</p> <p>29 items of load had gear wattages that did not match the expected values resulting in under an estimated under submission of 2,674 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>Tararua DC will discuss with NZTA and remove NZTA assets from their dataset and advise Genesis once completed, Genesis will then revise submissions based on the new dataset and confirmation of effective date by Tararua DC.</p> <p>Genesis has reviewed the auditors finding and have advised Tararua DC of the discrepancy with the intent that Tararua DC makes every effort to ensure the exceptions are rectified.</p>	01/01/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Tararua DC has been notified of the asset discrepancies. Genesis relies on Tararua DC to accurately maintain its database.</p>	01/02/2023	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-May-22</p> <p>To: 31-Aug-22</p>	<p>Under submission of 46 kWh for August 2022 due to the incorrect calculation of volume for submission.</p> <p>Database assessed as having poor precision therefore the potential error is greater than 5.0% resulting in an estimated under submission of 11,300 kWh per annum.</p> <p>NZTA lighting is recorded in two databases and therefore submitted twice resulting in an estimated over submission of approximately 206,653 kWh per annum.</p> <p>Three items of load that have either missing or blank lamp model, lamp wattage or, gear wattage resulting in an estimated under submission of 1,806 kWh per annum.</p> <p>29 items of load had gear wattages that did not match the expected values resulting an estimated under submission of 2,674 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>Tararua DC will discuss with NZTA and remove NZTA assets from their dataset and advise Genesis once completed, Genesis will then revise submissions based on the new dataset and confirmation of effective date by Tararua DC.</p> <p>Genesis has reviewed the auditors finding and have advised Tararua DC of the discrepancy with the intent that Tararua DC makes every effort to ensure the exceptions are rectified</p>	01/02/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Tararua DC has been notified of the asset discrepancies. Genesis relies on Tararua DC to accurately maintain its database.	01/02/2023	