

# Compliance plan for Thames Coromandel District Council DUML 2024

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 06-May-22</p> <p>To: 08-Apr-24</p>	<p>Submission is occurring using a cancelled profile.</p> <p>Database is not confirmed as accurate with a 95% level of confidence. In absolute terms, total annual consumption is estimated to be 10,100 kWh higher than the DUML database indicates.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are rated as moderate overall but there is room for improvement for the tracking of load change in the field.</p> <p>The impact is assessed to be low, based on the estimated kWh difference.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis continues to work with TCDC to ensure the accuracy of their database. TCDC are aware of findings and requirements.	Continuous Improvement	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
TCDC are aware of the findings and have confirmed to make the required changes that were found.	Continuous Improvement	

All load recorded in the database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 06-May-22 To: 08-Apr-24	One additional light found in the field from a sample of 236 items of load. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as moderate overall but there is room for improvement for the tracking of load change in the field. The impact is assessed to be low as only one additional light was found in the field.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis continues to work with TCDC to ensure the accuracy of their database. TCDC are aware of findings and requirements	Continuous Improvement	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
TCDC are aware of findings and have investigated the findings. They found that Harbour Drive lights were incorrectly mapped	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: 06-May-22</p> <p>To: 08-Apr-24</p>	<p>Database is not confirmed as accurate with a 95% level of confidence. In absolute terms, total annual consumption is estimated to be 10,100 kWh higher than the DUMML database indicates.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are recorded as weak as the maintenance data accuracy is poor resulting in the database accuracy being outside of the allowable threshold.</p> <p>The impact is assessed to be low, based on the estimated kWh difference.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis continues to work with TCDC to ensure the accuracy of their database. TCDC are aware of findings and requirements	Continuous Improvement	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with TCDC to ensure the accuracy of their database. TCDC are aware of findings and requirements	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: 06-May-22</p> <p>To: 08-Apr-24</p>	<p>Submission is occurring using a cancelled profile.</p> <p>Database is not confirmed as accurate with a 95% level of confidence. In absolute terms, total annual consumption is estimated to be 10,100 kWh higher than the DUML database indicates.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are rated as moderate overall but there is room for improvement for the tracking of load change in the field.</p> <p>The impact is assessed to be low, based on the estimated kWh difference.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis continues to work with TCDC to ensure the accuracy of their database. TCDC are aware of findings and requirements	Continuous Improvement	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with TCDC to ensure the accuracy of their database. TCDC are aware of findings and requirements. Genesis continues to resolve profile non-compliance and work is underway for a resolution.	Continuous Improvement	