

Compliance Plan for Far North 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: 21-Jun-24</p> <p>To: 05-Aug-24</p>	<p>54 items of load where the wattage fields were incorrectly populated in the database. This will result in over submission of 1,039 W or 4,437.6 kWh per annum.</p> <p>85 items of load with no lamp wattages, including 20 with insufficient detail recorded to determine the lamp type or model recorded in the database. This will result in an estimated under submission of 5,576 W or 23,815 kWh per annum.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are moderate because descriptions and wattages are recorded accurately for the majority of items of load.</p> <p>The impact is medium based on the estimated missing or incorrect wattages.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>FNDC have made the corrections in their database and have provided a current extract showing the updates made.</p> <p>FNDC have been working for quite some time in updating their data extracts to meet the requirements and are now providing monthly extracts and the latest extract confirming the changes made show that tracking of changes is also being provided.</p>	Continuous Improvement	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
FNDC have made the corrections in their database and have provided a current extract showing the updates made	27/08/2024	

ICP identifier and items of load		
Non-compliance	Description	
Audit Ref: 2.2 With: Clause 11(2)(a) and (aa) of Schedule 15.3 From: 21-Jun-24 To: 05-Aug-24	Three items of load not recorded against a DUML ICP in the database. 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 moderate because most items of load have a valid DUML ICP recorded. The impact is low based on the potential kWh impact.	
Actions taken to resolve the issue	Completion date	Remedial action status
FNDC have now made corrections to these three items in their database	27/08/2024	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
FNDC have now made corrections to these three items in their database	27/08/2024	

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: 21-Jun-24</p> <p>To: 05-Aug-24</p>	<p>85 items of load with no lamp wattages, including 20 with insufficient detail recorded to determine the lamp type or model recorded in the database. This will result in an estimated under submission of 5,576 W or 23,815 kWh per annum.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are moderate because descriptions and wattages are recorded accurately for the majority of items of load.</p> <p>The impact is medium based on the estimated missing wattages.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>FDNC have made changes to their database and the gear wattage & lamp wattages are now represented separately with a column also provided for total wattage. All items in database extract provided on 27/08/2024 now have a gear or lamp wattage provided.</p> <p>Genesis continues to work with FNDC to ensure accuracy of their database</p>	Continuous Improvement	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>FDNC have made changes to their database and the gear wattage & lamp wattages are now represented separately with a column also provided for total wattage. All items in database extract provided on 27/08/2024 now have a gear or lamp wattage provided.</p> <p>Genesis continues to work with FNDC to ensure accuracy of their database</p>	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: 21-Jun-24</p> <p>To: 05-Aug-24</p>	<p>54 items of load where the wattage fields were incorrectly populated in the database. This will result in over submission of 1,039 W or 4,437.6 kWh per annum.</p> <p>85 items of load with no lamp wattages, including 20 with insufficient detail recorded to determine the lamp type or model recorded in the database. This will result in an estimated under submission of 5,576 W or 23,815 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are moderate because descriptions and wattages are recorded accurately for the majority of items of load.</p> <p>The impact is medium based on the estimated missing or incorrect wattages.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>FNDC have made the corrections in their database and have provided a current extract showing the updates made.</p> <p>FDNC have made changes to their database and the gear wattage & lamp wattages are now represented separately with a column also provided for total wattage. All items in database extract provided on 27/08/2024 now have a gear or lamp wattage provided.</p> <p>Genesis continues to work with FNDC to ensure accuracy of their database</p>		Continuous Improvement	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>FNDC have been working for quite some time in updating their data extracts to meet the requirements and are now providing monthly extracts and the latest extract confirming the changes made show that tracking of changes is also being provided.</p>		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: 21-Jun-24</p> <p>To: 05-Aug-24</p>	<p>54 items of load where the wattage fields were incorrectly populated in the database. This will result in over submission of 1,039 W or 4,437.6 kWh per annum.</p> <p>85 items of load with no lamp wattages, including 20 with insufficient detail recorded to determine the lamp type or model recorded in the database. This will result in an estimated under submission of 5,576 W or 23,815 kWh per annum.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are moderate because descriptions and wattages are recorded accurately for the majority of items of load.</p> <p>The impact is medium based on the estimated missing or incorrect wattages.</p>	
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<p>FNDC have been working for quite some time in updating their data extracts to meet the requirements and are now providing monthly extracts and the latest extract confirming the changes made show that tracking of changes is also being provided.</p>	Continuous Improvement	