

Compliance plan for Upper Hutt CC DUML Audit – 2022

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Aug-21 To: 31-Aug-22</p>	<p>Under submission of 1,856 kWh for August 2022 due to the incorrect calculation of volume for submission.</p> <p>Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated under submission of 120,500 kWh p.a.</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 Actual impact: High</p> <p>Audit history: Multiple times Controls: Moderate Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are recorded as moderate as they will mitigate risk most of the time.</p> <p>The audit risk rating is high based on kWh variances.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis has sent a revision for the volumes submitted for Aug-22. Attached snip for your reference.</p> <p>Genesis relies on UHCC to accurately maintain its database.</p> <p>Genesis has reviewed the auditors finding and will advise UHCC of requirement of visibility of tracking of change within their data base and will work with UHCC to incorporate this in the dataset.</p>	01/07/2023	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>	01/07/2023	

Location of each item of load		
Non-compliance	Description	
Audit Ref: 2.3 With: Clause 11(2)(b) of Schedule 15.3 From: 01-Aug-21 To: 31-Aug-22	502 (12%) items of load do not have sufficient information in the database to be locatable. 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 locations are available in the RAMM GIS but are not populated in the database. The impact is assessed to be low, as this has no effect on reconciliation.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has informed UHCC to populate Northings & Easting for all assets to locate them in field with the intent that UHCC takes every effort to have the dataset updated.	01/07/2023	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.	01/07/2023	

Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 With: 11(2)(c) and (d) of Schedule 15.3 From: 01-Aug-21 To: 31-Aug-22	136 items of load with insufficient information to enable the light model to be identified. 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 recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact on settlement and participants is minor; therefore, the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis has reviewed the auditors finding and have advised UHCC to provide lamp description so model can be identified.		01/07/2023	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.		01/07/2023	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Aug-21 To: 31-Aug-22	23 items of load not recorded in the database of the sample of 314 items of load checked. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate as they will mitigate risk most of the time. The impact on settlement and participants is minor; therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Genesis has reviewed the auditors finding and have advised UHCC of the discrepancy with the intent that UHCC makes every effort to ensure the exceptions are rectified.		01/07/2023
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.		01/07/2023
		Identified

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Aug-21 To: 31-Aug-22	Database is not confirmed as accurate with a 95% level of confidence resulting in an estimated under submission of 120,500 kWh p.a. Potential impact: High Actual impact: High Audit history: Multiple times Controls: Moderate Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate as they will mitigate risk most of the time. The impact is assessed to be low, based on the potential database accuracy kWh per annum detailed above.	
Actions taken to resolve the issue		Completion date
Genesis relies on UHCC to accurately maintain its database.		31/03/2023
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.		31/03/2023
		Identified

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-Aug-21</p> <p>To: 31-Aug-22</p>	<p>Under submission of 1,856 kWh for August 2022 due to the incorrect calculation of volume for submission.</p> <p>The database is outside of the allowable +/-5% threshold. In absolute terms, total annual consumption is estimated to be 120,500 kWh higher than the DUMML database indicates.</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: Moderate</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
High	<p>The controls are recorded as moderate as they will mitigate risk most of the time.</p> <p>The audit risk rating is high based on kWh variances.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis has sent a revision for the volumes submitted for Aug-22. Attached snip for your reference.</p> <p>Genesis relies on UHCC to accurately maintain its database.</p> <p>Genesis has reviewed the auditors finding and will advise UHCC of requirement of visibility of tracking of change within their data base and will work with UHCC to incorporate this in the dataset</p>		01/07/2023	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.		01/07/2023	