

Compliance Plan Queenstown Lakes DC DUML 2022

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: 11(1) of Schedule 15.3 From: 22-Jan-21 To: 30-Nov-21	Variance between database extract and volume submitted for ICP 0000027637CE36B of 2,769 kWh for the month of November 2021. Estimated annual impact on submission of 33,228 kWh over submission. Database is not confirmed as accurate with a 95% level of confidence. In absolute terms, total annual consumption is estimated to be 18,600 kWh higher than the DUML database indicates as recorded in section 3.1 Potential impact: High Actual impact: High Audit history: Multiple times previously Controls: Moderate Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as moderate as processes to manage change capture most changes. The impact is assessed to be medium, based on the database inaccuracies detailed above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will review the database for the discrepancy identified by the auditor for ICP 0000027637CE36B and will revise as required.	01/01/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will review the database and report exceptions	01/01/2023	

All load recorded in database		
Non-compliance	Description	
<p>Audit Ref: 2.5</p> <p>With: Clause 11(2A) and (d) of Schedule 15.3</p> <p>From: 22-Jan-21</p> <p>To: 30-Nov-21</p>	<p>Six additional items of load found in the field of 316 items of load sampled.</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 because they ensure most information is accurate.</p> <p>The impact is assessed to be low due to the small number of additional lights found in the field in relation to the overall count of the items of load.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has reviewed the auditors finding and have advised Queenstown Lake DC of the discrepancy with the intent that QLDC makes every effort to ensure the exceptions are rectified.	01/10/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Queenstown Lake DC has been notified of the asset discrepancies. Genesis relies on Queenstown Lake DC to accurately maintain its database.	01/10/2022	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 22-Jan-21 To: 30-Nov-21	Database is not confirmed as accurate with a 95% level of confidence. In absolute terms, total annual consumption is estimated to be 18,600 kWh higher than the DUML database indicates. Potential impact: Medium Actual impact: Medium Audit history: Multiple times previously Controls: Moderate Breach risk rating: 4	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are rated as moderate as processes to manage change capture most changes. The impact is assessed to be medium, based on the database inaccuracies detailed above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has reviewed the auditors finding and have advised QLDC of the discrepancy with the intent that QLDC makes every effort to ensure the exceptions are rectified.	01/11/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the council to gain accuracy levels within their database.	01/11/2022	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 22-Jan-21</p> <p>To: 30-Nov-21</p>	<p>Variance between database extract and volume submitted for ICP 0000027637CE36B of 2,769 kWh for the month of November 2021. Estimated annual impact on submission of 33,228 kWh over submission.</p> <p>Database is not confirmed as accurate with a 95% level of confidence. In absolute terms, total annual consumption is estimated to be 18,600 kWh lower than the DUML database indicates as recorded in section 3.1</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as moderate as processes to manage change capture most changes.</p> <p>The impact is assessed to be medium, based on the database inaccuracies detailed above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis will review the database for the discrepancy identified by the auditor for ICP 0000027637CE36B and will revise as required.</p> <p>Genesis has reviewed the auditors finding and have advised QLDC of the discrepancy with the intent that QLDC makes every effort to ensure the exceptions are rectified.</p>	01/01/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Genesis will review the database and report exceptions</p> <p>QLDC has been notified of the asset discrepancies. Genesis relies on QLDC to accurately maintain its database.</p>	01/01/2023	