

Compliance Plan Mackenzie 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: 26-Mar-22</p> <p>To: 14-Sep-22</p>	<p>Revisions have not been made from November 2021 to July 2022 resulting in an estimated over submission of 63,045 kWh.</p> <p>Nine items of load do not have an ICP number recorded resulting in an estimated minor under submission of 1,691 kWh per annum.</p> <p>Monthly reporting is not being provided to Genesis, submission is based on a historical snapshot and does not consider changes or adjustments.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Once</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 because they mitigate risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be high due to the impact on submission.</p>	
Actions taken to resolve the issue		Completion date
<p>Genesis has reviewed the dataset provided by MDC and has reported exceptions back to MDC. Genesis will complete revisions as required once dataset has been provided and exceptions cleared. Genesis has been advised that the roading manager at the council has left and there might get Fulton Hogan to look into this.</p> <p>MDC has been notified of the asset discrepancies. Genesis has been advised that the roading manager at the council has left. Genesis will discuss the discrepancies again once they have found new resource.</p> <p>Genesis has been sending reminders to the council that data needs to be provided on monthly basis.</p>		01/02/2023
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis continues to work with the council to increase accuracy level in their database.		01/02/2023
Remedial action status		
Investigating		

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: 26-Mar-22 To: 14-Sep-22	Nine items do not have an ICP number recorded resulting in an estimated under submission of 1,691 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Once 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
MDC has been notified of the asset discrepancies. Genesis has been advised that the roading manager at the council has left. Genesis will discuss the discrepancies again once they have found new resource.	01/02/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the council to increase accuracy level in their database.	01/02/2023	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clauses 11(2A) of Schedule 15.3 From: 26-Mar-22 To: 14-Sep-22	Five additional lamps identified in the field of 147 items of load sampled. 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 rated as moderate 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 in the field in relation to the overall count of the items of load.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has brought auditors findings to council's attention regarding the 5 additional lamps and council have advised they will investigate it.	01/02/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will continue to work with the council and send them reminder to have the database updated	01/02/2023	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 26-Mar-22 To: 14-Sep-22	Nine items of load do not have an ICP number recorded resulting in an estimated under submission of 1,691 kWh per annum. Potential impact: High Actual impact: Medium Audit history: Once 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
MDC has been notified of the asset discrepancies. Genesis has been advised that the roading manager at the council has left. Genesis will discuss the discrepancies again once they have found new resource.	01/02/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the council to increase accuracy level in their database.	01/02/2023	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clauses 15.2 and 15.37B(c)</p> <p>From: 26-Mar-22</p> <p>To: 14-Sep-22</p>	<p>Revisions have not been made from November 2021 to July 2022 resulting in an estimated over submission of 63,045 kWh.</p> <p>Nine items of load do not have an ICP number recorded resulting in an estimated minor under submission of 1,691 kWh per annum.</p> <p>Monthly reporting is not being provided to Genesis, submission is based on a historical snapshot and does not consider changes or adjustments.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Once</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 because they mitigate risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be high due to the impact on submission.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis has reviewed the dataset provided by MDC and has reported exceptions back to MDC. Genesis will complete revisions as required once dataset has been provided and exceptions cleared. Genesis has been advised that the roading manager at the council has left and there might get Fulton Hogan to look into this</p> <p>MDC has been notified of the asset discrepancies. Genesis has been advised that the roading manager at the council has left. Genesis will discuss the discrepancies again once they have found new resource.</p> <p>Genesis has been sending reminders to the council that data needs to be provided on monthly basis.</p>	01/02/2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the council to increase accuracy level in their database.	01/02/2023	