

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: 18-May-21</p> <p>To: 25-Mar-22</p>	<p>Variance in light volumes submitted by Genesis vs what is recorded in the spreadsheet maintained by MDC, is likely to be resulting in an estimated over submission of 84,060 kWh per annum.</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>In absolute terms, total annual consumption is estimated to be 26,700 kWh higher than the DUML database indicates.</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: None</p> <p>Controls: None</p> <p>Breach risk rating: 12</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>Controls are rated as none as this database is not being updated.</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 advised Mackenzie DC of the audit findings with the intent that council makes every effort to ensure the exceptions are rectified.</p> <p>Genesis is currently working with Mackenzie DC to obtain monthly data extract that meets requirements of the tracking of change within a month. Once this has been obtained Genesis will look to review the consumption been submitted.</p>		Continuous improvement
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis continues to work with the council to raise database accuracy levels.		Continuous improvement
		Identified

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: 18-May-21 To: 25-Mar-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: 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 advised Mackenzie DC of the audit findings with the intent that council makes every effort to ensure the exceptions are rectified.	Continuous improvement	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the council to raise database accuracy levels.	Continuous improvement	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clauses 11(2A) of Schedule 15.3 From: 18-May-21 To: 25-Mar-22	Nine additional lamps identified in the field of 157 items of load sampled (6% error rate). Potential impact: Low Actual impact: Low Audit history: Once Controls: None Breach risk rating:5	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as none as the database is not being maintained. The impact is assessed to be medium due to the number of additional lights found in the field for the size of the database.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has advised Mackenzie DC of the audit findings with the intent that council makes every effort to ensure the exceptions are rectified.	Continuous improvement	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with the council to raise database accuracy levels.	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: 18-May-21</p> <p>To: 25-Mar-22</p>	<p>In absolute terms, total annual consumption is estimated to be 26,700 kWh higher than the DUML database indicates.</p> <p>Nine items of load do not have an ICP number recorded resulting in an estimated under submission of 1,691 kWh per annum.</p> <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: None</p> <p>Controls: None</p> <p>Breach risk rating: 8</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>Controls are rated as none as this database is not being maintained.</p> <p>The impact is assessed to be medium due to the impact on submission.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Genesis has advised Mackenzie DC of the audit findings with the intent that council makes every effort to ensure the exceptions are rectified.</p> <p>Genesis is currently working with Mackenzie DC to obtain monthly data extract that meets requirements of the tracking of change within a month. Once this has been obtained Genesis will look to review the consumption been submitted.</p>		Continuous improvement	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis continues to work with the council to raise database accuracy levels.		Continuous improvement	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clauses 15.2 and 15.37B(c)</p> <p>From: 18-May-21</p> <p>To: 25-Mar-22</p>	<p>Variance in light volumes submitted by Genesis vs what is recorded in the spreadsheet maintained by MDC, is likely to be resulting in an estimated 84,060 kWh per annum of over submission.</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>In absolute terms, total annual consumption is estimated to be 26,700 kWh higher than the DUML database indicates.</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: None</p> <p>Controls: None</p> <p>Breach risk rating: 12</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>Controls are rated as none as this database is not being updated.</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 advised Mackenzie DC of the audit findings with the intent that council makes every effort to ensure the exceptions are rectified.</p> <p>Genesis is currently working with Mackenzie DC to obtain monthly data extract that meets requirements of the tracking of change within a month. Once this has been obtained Genesis will look to review the consumption been submitted.</p>		Continuous improvement
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis continues to work with the council to raise database accuracy levels.		Continuous improvement
		Identified