

# Compliance Plan McKenzie DC DUML 2021

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 30-Apr-19</p> <p>To: 17-May-21</p>	<p>The database accuracy is assessed to be 103.5% of the database for the sample checked indicating a potential under submission of approximately 8,900 kWh per annum.</p> <p>Nine items of load have an invalid ICP number recorded resulting in an estimated under submission of 1,691 kWh per annum.</p> <p>Submission is based on a snapshot and does not consider historic adjustments.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be low due to the impact on submission.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis will be reviewing the reporting provided to construct a report that will meet the requirements to track changes. Genesis are currently investigating the invalid icp as noted by the auditor.		01/09/2021	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis continues to work with TDC & MDC to provide exceptions and reporting refinements back to the council.		01/07/2021	

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: 30-Apr-19 To: 17-May-21	Nine items of load have an invalid 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	
<b>Low</b>	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
Genesis are currently investigating the invalid icp as noted by the auditor.		01/09/2021
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis continues to work with TDC & MDC to provide exceptions and reporting refinements back to the council.		01/07/2021
		Investigating

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clauses 11(2A) of Schedule 15.3 From: 30-Apr-19 To: 17-May-21	18 additional lamps identified in the field. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as moderate, because of the small number of missing lamps identified. The impact is low based on the indicated submission variances detailed in <b>section 3.1</b> .	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will be reviewing the reporting provided to construct a report that will meet the requirements to track changes. Genesis has requested MDC to investigate the missing assets as noted by the auditor and added as required.	01/08/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)  From: 30-Apr-19 To: 17-May-21	The database accuracy is assessed to be 103.5% of the database for the sample checked indicating a potential under submission of approximately 8,900 kWh per annum.  Nine items of load have an invalid 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	
<b>Low</b>	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.  The impact is assessed to be low due to the impact on submission.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will be reviewing the reporting provided to construct a report that will meet the requirements to track changes. Genesis are currently investigating the invalid icp as noted by the auditor.	01/09/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with TDC & MDC to provide exceptions and reporting refinements back to the council.	01/07/2021	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clauses 15.2 and 15.37B(c)</p> <p>From: 30-Apr-19</p> <p>To: 17-May-21</p>	<p>The database accuracy is assessed to be 103.5% of the database for the sample checked indicating a potential under submission of approximately 8,900 kWh per annum.</p> <p>Nine items of load have an invalid ICP number recorded resulting in an estimated under submission of 1,691 kWh per annum.</p> <p>Submission is based on a snapshot and does not consider historic adjustments.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be low due to the impact on submission.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will be reviewing the reporting provided to construct a report that will meet the requirements to track changes. Genesis are currently investigating the invalid icp as noted by the auditor.	01/09/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis continues to work with TDC & MDC to provide exceptions and reporting refinements back to the council.	01/07/2021	