

Compliance plan for Mackenzie DC – 2018

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clauses 11(1) of Schedule 15.3</p> <p>From: 01-Mar-17</p> <p>To: 30-Apr-18</p>	<p>Inaccurate information in the database used for submission calculation</p> <ul style="list-style-type: none"> • 47 items of load without an ICP number recorded, section 2.2, estimated under submission of 9,580 kWh per annum. • 2 lamp type and wattage errors, section 2.4, estimated over submission of 1,610 kWh per annum. • 5 field audit errors identified, section 2.5, estimated over submission of 128 kWh per annum. <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as strong because only of the low number of database inaccuracies found.</p> <p>The impact is low, the estimated kWh under 8,000 per annum.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis are working with the database owner to maintain exceptions as identified.	12/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Database owner to implement validation checks, Genesis will be working with McKenzie DC to maintain the database of record as required.	12/2018	

ICP identifier and items of load		
Non-compliance	Description	
Audit Ref: 2.2 With: Clauses 11(2)(a) and (aa) of Schedule 15.3 From: 01-Mar-17 To: 30-Apr-18	There are 47 items of load that do not have an ICP number recorded against them. Estimated under submission of 9,580 kWh per annum. 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 because only 47 of the 1,062 lamps in the database have no ICP number recorded. The impact is low, the estimated kWh under 10,000 per annum.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis are working with the database owner to maintain exceptions as identified.	12/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Database owner to implement validation checks, Genesis will be working with McKenzie DC to maintain the database of record as required.	12/2018	

Description and capacity of load		
Non-compliance	Description	
<p>Audit Ref: 2.4</p> <p>With: Clauses 11(2)(c) and (d) of Schedule 15.3</p> <p>From: 01-Mar-17</p> <p>To: 30-Apr-18</p>	<p>There are two lamp types with incorrect wattage values in the database. There are 302 lamps affected with an estimated over submission of 1,610 kWh per annum.</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	
Low	<p>The controls are rated as moderate because while only two lamp types with incorrect wattage the number of lamps affected is a high proportion of the database.</p> <p>The impact is low because of an estimated over submission of 1,610 kWh per annum.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis are working with the database owner to maintain exceptions as identified.	12/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Database owner to implement validation checks, Genesis will be working with McKenzie DC to maintain the database of record as required.	12/2018	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clauses 11(2A) of Schedule 15.3 From: 01-Mar-17 To: 30-Apr-18	The field audit discovered two additional lamps and two missing lamps in the field than were recorded in the database, and one lamp wattage difference. Result in estimated over submission of 128 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 rated as moderate because both additional and missing lamps were identified in the field. The impact is low because of an estimated over submission of 128 kWh per annum.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis are working with the database owner to maintain exceptions as identified.	12/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Database owner to implement validation checks, Genesis will be working with McKenzie DC to maintain the database of record as required.	12/2018	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clauses 15.2 and 15.37B(b) From: 01-Mar-17 To: 30-Apr-18	Database checks identified two lamp type and wattage differences, affecting 302 lamps an estimated over submission of 1,610 kWh per annum. The field audit discovered two additional lamps and two missing lamps in the field than were recorded in the database, and one lamp wattage difference. Result in estimated over submission of 128 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 rated as moderate because both additional and missing lamps were identified in the field. The impact is low because of an estimated over submission of less than 2,000 kWh per annum.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis are working with the database owner to maintain exceptions as identified.		12/2018	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Database owner to implement validation checks, Genesis will be working with McKenzie DC to maintain the database of record as required.		12/2018	

Volume information accuracy			
Non-compliance	Description		
Audit Ref: 3.2 With: Clauses 15.2 and 15.37B(c) From: 01-Mar-17 To: 30-Apr-18	Inaccurate information in the database used for submission calculation <ul style="list-style-type: none"> 47 items of load without an ICP number recorded, section 2.2, estimated under submission of 9,580 kWh per annum. 2 lamp type and wattage errors, section 2.4, estimated over submission of 1,610 kWh per annum. 5 field audit errors identified, section 2.5, estimated over submission of 128 kWh per annum. 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 because only of the low number of database inaccuracies found. The impact is low, the estimated kWh under 8,000 per annum.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis are working with the database owner to maintain exceptions as identified.		12/2018	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	

Database owner to implement validation checks, Genesis will be working with McKenzie DC to maintain the database of record as required.	12/2018	
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