

Compliance plan for Upper Hutt CC DUML Audit – 2021

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 26-Aug-19 To: 31-Jul-21</p>	<p>The database is outside of the allowable +/-5% threshold. In absolute terms, total annual consumption is estimated to be 9,900 kWh lower than the DUML database indicates.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are recorded as moderate as they will mitigate risk most of the time.</p> <p>The impact is assessed to be low, based on the potential database accuracy kWh per annum detailed above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has discussed the tracking of change requirement, UHCC will be investigating the ability to extract the information at an asset event level. Genesis has also discussed the need to increase database accuracy.	01/04/2022	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
UHCC was recently acquired as @ July 2021 and is continuing to provide feedback to assist with increasing the database compliance levels. Genesis have established exception reporting off the reports provided by UHCC and will continue to liaise with UHCC to monitor these exceptions.	Continuous improvement	

Location of each item of load		
Non-compliance	Description	
Audit Ref: 2.3 With: Clause 11(2)(b) of Schedule 15.3 From: 26-Aug-19 To: 31-Jul-21	506 (13%) items of load do not have sufficient information in the database to be locatable. 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, as locations are available in the RAMM GIS but are not populated in the database. The impact is assessed to be low, as this has no effect on reconciliation.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has discussed the audit findings with the council with the intent that the council makes every effort to ensure the exceptions are rectified.	01/04/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will provide exception reporting to the council where exceptions have been identified.	Continuous improvement	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 26-Aug-19 To: 31-Jul-21	Four items of load not recorded in the database of the sample of 312 items of load checked. Potential impact: Low Actual impact: Low Audit history: Once previously Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate as they will mitigate risk most of the time. The impact on settlement and participants is minor; therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Genesis have raised the field findings with the council and have requested these assets be confirmed and the database updated.		01/04/2022
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis unfortunately are unable to aid on missing assets. As the council enters assets into the CMS any missing assets will become clear to see and populated as required.		unknown
		Investigating

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 26-Aug-19</p> <p>To: 31-Jul-21</p>	<p>The database is outside of the allowable +/-5% threshold. In absolute terms, total annual consumption is estimated to be 9,900 kWh lower than the DUML database indicates.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice 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 recorded as moderate as they will mitigate risk most of the time.</p> <p>The impact is assessed to be low, based on the potential database accuracy kWh per annum detailed above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis has requested UPCC review the asset database to ensure all asset information is complete and accurate. Genesis will follow up with the council monthly for exception management.</p> <p>The council is currently reviewing the tracking of change requirement and will work with Genesis to capture monthly asset changes.</p>	Continuous improvement	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
No comment provided		

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 26-Aug-19</p> <p>To: 31-Jul-21</p>	<p>The database is outside of the allowable +/-5% threshold. In absolute terms, total annual consumption is estimated to be 9,900 kWh lower than the DUML database indicates.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice 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 recorded as moderate as they will mitigate risk most of the time.</p> <p>The impact is assessed to be low, based on the potential database accuracy kWh per annum detailed above.</p>	
Actions taken to resolve the issue		Completion date
<p>Genesis has requested UPCC review the asset database to ensure all asset information is complete and accurate. Genesis will follow up with the council monthly for exception management.</p> <p>The council is currently reviewing the tracking of change requirement and will work with Genesis to capture monthly asset changes.</p>		Continuous improvement
Preventative actions taken to ensure no further issues will occur		Completion date
<p>Once monthly database extractions track change, Genesis will be able to provide any anomalies back to the council to review.</p>		
Investigating		