

ELECTRICITY INDUSTRY PARTICIPATION CODE  
DISTRIBUTED UNMETERED LOAD AUDIT REPORT



For

ALANDALE RETIREMENT VILLAGE  
AND GENESIS ENERGY

Prepared by: Steve Woods

Date audit commenced: 22 July 2024

Date audit report completed: 26 July 2024

Audit report due date: 28-Jul-24

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## EXECUTIVE SUMMARY

This audit of the Alandale Retirement Village (**Alandale**) Unmetered Streetlights DUML database and processes was conducted at the request of Genesis Energy Limited (**Genesis**), in accordance with clause 15.37B. The purpose of this audit is to verify that the volume information is being calculated accurately, and that profiles have been correctly applied.

The audit was conducted in accordance with the audit guidelines for DUML audits version 1.1.

The field audit was undertaken of the entire Alandale spreadsheet, consisting of 114 items of load on 22<sup>nd</sup> July 2024. The field audit confirmed the database was accurate to within +/- 5% and is therefore deemed compliant.

Submission occurs based on the registry daily kWh figure multiplied by 11.5 hours per day. The methodology is compliant.

Five additional items of load were identified, and four other discrepancies were identified, which have been notified to Genesis for consideration and correction.

The risk rating of two indicates the next audit is due in 24 months. I agree with this recommendation.

## AUDIT SUMMARY

### NON-COMPLIANCES

Subject	Section	Clause	Non-Compliance	Controls	Audit Risk Rating	Breach Risk Rating	Remedial Action
All load recorded in database	2.5	11(2A) of Schedule 15.3	Five additional items of load identified.	Moderate	Low	2	Identified
Future Risk Rating						2	

<b>Future risk rating</b>	0	1-4	5-8	9-15	16-18	19+
<b>Indicative audit frequency</b>	36 months	24 months	18 months	12 months	6 months	3 months

### RECOMMENDATIONS

Subject	Section	Recommendation
		Nil

### ISSUES

Subject	Section	Description	Issue
		Nil	

## 1. ADMINISTRATIVE

### 1.1. Exemptions from Obligations to Comply with Code

#### Code reference

Section 11 of Electricity Industry Act 2010.

#### Code related audit information

Section 11 of the Electricity Industry Act provides for the Electricity Authority to exempt any participant from compliance with all or any of the clauses.

#### Audit observation

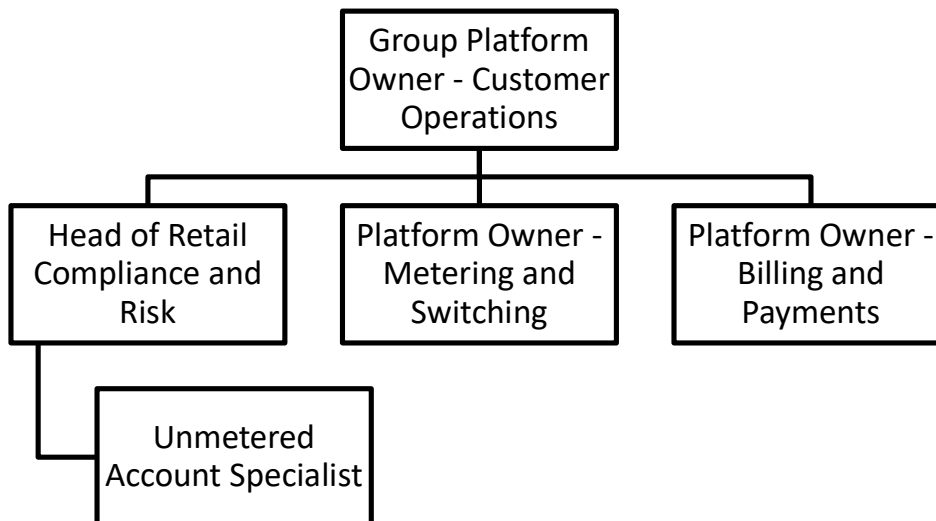
Section 11 of the Electricity Industry Act provides for the Electricity Authority to exempt any participant from compliance with all or any of the clauses.

#### Audit commentary

There are no exemptions in place relevant to the scope of this audit.

### 1.2. Structure of Organisation

Genesis provided a copy of their organisational structure:



### 1.3. Persons involved in this audit

Auditor:

Name	Title
Steve Woods	Lead Auditor

Other personnel assisting in this audit were:

Name	Title	Company
Alysha Majury	Unmetered Account Specialist	Genesis Energy

### 1.4. Hardware and Software

An excel spreadsheet has been constructed to track the items of load at the Alandale Retirement Village. The UML figure from this is recorded in the registry and is used to derive submission.

The spreadsheet is password protected and access to the directory where the spreadsheet is saved is restricted by way of user permissions. Genesis confirmed that this directory is backed up as part of the BAU processes in place.

### 1.5. Breaches or Breach Allegations

There are no breach allegations relevant to the scope of this audit.

### 1.6. ICP Data

ICP Number	Description	NSP	Number of items of load	Database wattage (watts)
0000011090WE401	UNM Streetlights	HAM0331	114	6161
<b>Total</b>			<b>114</b>	<b>6161</b>

### 1.7. Authorisation Received

All information was provided directly by Genesis.

## 1.8. Scope of Audit

This audit of the Alandale Retirement Village (Alandale) Unmetered Streetlights DUML database and processes was conducted at the request of Genesis Energy Limited (Genesis), in accordance with clause 15.37B. The purpose of this audit is to verify that the volume information is being calculated accurately, and that profiles have been correctly applied.

The audit was conducted in accordance with the audit guidelines for DUML audits version 1.1.

Genesis maintains a spreadsheet to track the items of load at Alandale. This information is matched to the values held on the registry which in turn is used for submission.

The village uses their own contractor for the maintenance of these lights. Any new light connections will be managed in conjunction with Genesis although this has not occurred during the audit period and is not expected.

The scope of the audit encompasses the collection, security and accuracy of the data, including the preparation of submission information based on the database reporting.

The field audit was undertaken of the entire Alandale spreadsheet, consisting of 114 items of load on 22<sup>nd</sup> July 2024.

## 1.9. Summary of previous audit

The last audit report undertaken by Rebecca Elliot of Veritek Limited in June 2011 was reviewed, which identified compliance with all clauses.

## 1.10. Distributed unmetered load audits (Clause 16A.26 and 17.295F)

### Code reference

*Clause 16A.26 and 17.295F*

### Code related audit information

*Retailers must ensure that DUML database audits are completed:*

- 1. by 1 June 2018 (for DUML that existed prior to 1 June 2017)*
- 2. within three months of submission to the reconciliation manager (for new DUML)*
- 3. within the timeframe specified by the Authority for DUML that has been audited since 1 June 2017.*

### Audit observation

Genesis have requested Veritek to undertake this streetlight audit.

### Audit commentary

This audit report was completed within the require timeframe as required by this clause.

### Audit outcome

Compliant

## 2. DUMML DATABASE REQUIREMENTS

### 2.1. Deriving submission information (Clause 11(1) of Schedule 15.3)

#### Code reference

*Clause 11(1) of Schedule 15.3*

#### Code related audit information

*The retailer must ensure the:*

- *DUMML database is up to date*
- *methodology for deriving submission information complies with Schedule 15.5.*

#### Audit observation

The process for calculation of consumption was examined and the application of profiles was checked. The database was checked for accuracy.

#### Audit commentary

Genesis reconciles this DUMML load using the UNM profile.

Genesis maintains a spreadsheet in conjunction with the Alanadale Retirement Village to manage the unmetered streetlights in the village. There have been no changes reported during the audit period, however there were nine changes identified by the field audit. The accuracy of the database is 95.18% which is deemed to be compliant because accuracy is within +/- 5%.

Submission occurs based on the registry daily kWh figure multiplied by 11.5 hours per day. The methodology is compliant, and the database is accurate to within +/- 5%, therefore compliance is recorded in this section.

#### Audit outcome

Compliant

### 2.2. ICP identifier and items of load (Clause 11(2)(a) and (aa) of Schedule 15.3)

#### Code reference

*Clause 11(2)(a) and (aa) of Schedule 15.3*

#### Code related audit information

*The DUMML database must contain:*

- *each ICP identifier for which the retailer is responsible for the DUMML*
- *the items of load associated with the ICP identifier.*

#### Audit observation

The database was checked to confirm the correct ICP was recorded against each item of load.

#### Audit commentary

All items of load have an ICP recorded against them.

#### outcome

Compliant

### 2.3. Location of each item of load (Clause 11(2)(b) of Schedule 15.3)

#### Code reference

*Clause 11(2)(b) of Schedule 15.3*

#### Code related audit information

*The DUML database must contain the location of each DUML item.*

#### Audit observation

The database was checked to confirm the location is recorded for all items of load.

#### Audit commentary

The database has a field for 'Asset Location – Summary' and 'Asset Location – Address', both of which are populated for all items. There are also GPS co-ordinates for each item.

#### Audit outcome

Compliant

### 2.4. Description and capacity of load (Clause 11(2)(c) and (d) of Schedule 15.3)

#### Code reference

*Clause 11(2)(c) and (d) of Schedule 15.3*

#### Code related audit information

*The DUML database must contain:*

- *a description of load type for each item of load and any assumptions regarding the capacity*
- *the capacity of each item in watts.*

#### Audit observation

The database was checked to confirm that it contained a field for lamp type and wattage capacity and included any ballast or gear wattage and that each item of load had a value recorded in these fields.

#### Audit commentary

The database contains a Lamp Description, Model, Gear Wattage and Lamp Wattage. These fields are populated for every item in the spreadsheet.

The accuracy of wattage and ballasts in the database is discussed in **section 3.1**.

#### Audit outcome

Compliant



2.5. All load recorded in database (Clause 11(2A) of Schedule 15.3)

**Code reference**

Clause 11(2A) of Schedule 15.3

**Code related audit information**

The retailer must ensure that each item of DUML for which it is responsible is recorded in this database.

**Audit observation**

The field audit was undertaken of the entire database of 114 items of load on 22<sup>nd</sup> July 2024.

**Audit commentary**

Five additional items of load were identified by the field audit. The details have been provided to Genesis in a spreadsheet.

**Audit outcome**

Non-compliant

Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Aug-21 To: 22-Jul-24	Five additional items of load identified. 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 there is a process for the village management to notify Genesis of changes. Some of the additional lights were fairly well hidden on walkways and may not have been identified when the database was originally prepared. 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 is confirming the additional lights found in field and will have registry updated accordingly		30/08/2024	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis has updated our data sheet with the findings and new data information		Completed	

## 2.6. Tracking of load changes (Clause 11(3) of Schedule 15.3)

### Code reference

*Clause 11(3) of Schedule 15.3*

### Code related audit information

*The DUML database must track additions and removals in a manner that allows the total load (in kW) to be retrospectively derived for any given day.*

### Audit observation

The process for tracking of changes in the database was examined.

### Audit commentary

The database is held by Genesis and the Alandale Village Manager has a process to advise Genesis when any changes to items of load are made at the village, and the spreadsheet will be updated accordingly with a log of what changes have been made to the spreadsheet including a date and name of person updating the spreadsheet. This clause is concerned with the ability to record changes, which is in place. Database accuracy is discussed in section 3.1.

### Audit outcome

Compliant

## 2.7. Audit trail (Clause 11(4) of Schedule 15.3)

### Code reference

*Clause 11(4) of Schedule 15.3*

### Code related audit information

*The DUML database must incorporate an audit trail of all additions and changes that identify:*

- *the before and after values for changes*
- *the date and time of the change or addition*
- *the person who made the addition or change to the database.*

### Audit observation

The database was checked for audit trails.

### Audit commentary

The data is contained in a spreadsheet at summary level. There is a Maintenance tab which is populated to track changes made.

### Audit outcome

Compliant

### 3. ACCURACY OF DUML DATABASE

#### 3.1. Database accuracy (Clause 15.2 and 15.37B(b))

##### Code reference

*Clause 15.2 and 15.37B(b)*

##### Code related audit information

*Audit must verify that the information recorded in the retailer's DUML database is complete and accurate.*

##### Audit observation

A 100% field audit was undertaken of the database.

Wattages were checked for alignment with the published standardised wattage table produced by the Electricity Authority or in the case of LED lights against the LED light specification.

##### Audit commentary

The field audit found the following discrepancies.

Discrepancy	Quantity
Incorrect wattage	3
In the field not in the database	5
In the database not in the field	1

The database accuracy is 95.18%, which is within +/-5% and is therefore deemed to be compliant.

##### Audit outcome

Compliant

#### 3.2. Volume information accuracy (Clause 15.2 and 15.37B(c))

##### Code reference

*Clause 15.2 and 15.37B(c)*

##### Code related audit information

*The audit must verify that:*

- volume information for the DUML is being calculated accurately*
- profiles for DUML have been correctly applied.*

##### Audit observation

The submission was checked for accuracy for the month the database extract was supplied. This included:

- checking the registry to confirm that the ICP has the correct profile and submission flag
- checking the database extract combined with the burn hours against the submitted figure to confirm accuracy.

##### Audit commentary

Genesis reconciles this DUML load using the UNM profile.

Genesis maintains a spreadsheet in conjunction with the Alanadale Retirement Village to manage the unmetered streetlights in the village. There have been no changes reported during the audit period, however there were nine changes identified by the field audit. The accuracy of the database is 95.18% which is deemed to be compliant because accuracy is within +/- 5%.

Submission occurs based on the registry daily kWh figure multiplied by 11.5 hours per day. The methodology is compliant, and the database is accurate to within +/- 5%, therefore compliance is recorded in this section.

**Audit outcome**

Compliant

## CONCLUSION

The audit was conducted in accordance with the audit guidelines for DUML audits version 1.1.

The field audit was undertaken of the entire Alandale spreadsheet, consisting of 114 items of load on 22<sup>nd</sup> July 2024. The field audit confirmed the database was accurate to within +/- 5% and is therefore deemed compliant.

Submission occurs based on the registry daily kWh figure multiplied by 11.5 hours per day. The methodology is compliant.

Five additional items of load were identified, and four other discrepancies were identified, which have been notified to Genesis for consideration and correction.

The risk rating of two indicates the next audit is due in 24 months. I agree with this recommendation.

## PARTICIPANT RESPONSE

Genesis agrees with the findings.

Genesis has updated our data sheet with the wattage discrepancies and have also confirmed 1 additional light was already on our data sheet as 'In Service'. Genesis will confirm the additional 3 lights are in service and have the registry updated accordingly.