

## Compliance Plan – Mackenzie DC GENE DUML 2024

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 27-May-24 To: 16-Aug-23</p>	<p>The field audit found that the actual load installed in the field is lower than the database wattage by 394 Watts, or 18.29%. This will result in an annual over submission of 1,682.8kWh based on annual on time of 4,271 hours.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are recorded as weak as a high number of discrepancies were identified in the field audit due to changes made in the field not being recorded in the database.</p> <p>The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>MDC have been working on their database and have some challenges due to role vacancies and have started providing Genesis monthly snapshot RAMM data since May 2024.</p> <p>MDC are currently working with Alpine to establish a working process and having RAMM updated directly with changes in field.</p> <p>MDC are looking at completing a full field audit – there is no date yet as to when this can/will be carried out</p>	Continuous Improvement	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Monthly snapshot data from RAMM has now started being provided since May 2024	Continuous Improvement	

<b>All load recorded in database</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 2.5 With: Clauses 11(2A) of Schedule 15.3 From: 27-May-24 To: 12-Jun-24	31 additional lamps identified in the field audit of all 60 items of load. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Weak Breach risk rating: 3	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	The controls are rated as weak as changes in the field have not been updated in the database. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
MDC have been working on their database and have some challenges due to role vacancies and have started providing Genesis monthly snapshot RAMM data since May 2024. MDC are currently working with Alpine to establish a working process and having RAMM updated directly with changes in field. MDC are looking at completing a full field audit – there is no date yet as to when this can/will be carried out	Continuous Improvement	Investigating
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Monthly snapshot data from RAMM has now started being provided since May 2024	Continuous Improvement	

<b>Database accuracy</b>		
<b>Non-compliance</b>	<b>Description</b>	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 27-May-24</p> <p>To: 12-Jun-24</p>	<p>The field audit found that the actual load installed in the field is lower than the database wattage by 394 Watts, or 18.29%. This will result in an annual over submission of 1,682.8kWh based on annual on time of 4,271 hours.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Three times</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	<p>The controls are recorded as weak as a high number of discrepancies were identified in the field audit due to changes made in the field not being recorded in the database.</p> <p>The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p>	
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>
<p>MDC have been working on their database and have some challenges due to role vacancies and have started providing Genesis monthly snapshot RAMM data since May 2024.</p> <p>MDC are currently working with Alpine to establish a working process and having RAMM updated directly with changes in field.</p> <p>MDC are looking at completing a full field audit – there is no date yet as to when this can/will be carried out</p>		Continuous Improvement
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>
Monthly snapshot data from RAMM has now started being provided since May 2024		Continuous Improvement
<b>Remedial action status</b>		
Investigating		

<b>Volume information accuracy</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 3.2 With: Clauses 15.2 and 15.37B(c)  From: 27-May-24 To: 12-Jun-24	The field audit found that the actual load installed in the field is lower than the database wattage by 394 Watts, or 18.29%. This will result in an annual over submission of 1,682.8kWh based on annual on time of 4,271 hours.  Potential impact: Medium Actual impact: Low Audit history: Twice Controls: Weak Breach risk rating: 3	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	The controls are recorded as weak as a high number of discrepancies were identified in the field audit due to changes made in the field not being recorded in the database.  The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
MDC have been working on their database and have some challenges due to role vacancies and have started providing Genesis monthly snapshot RAMM data since May 2024.  MDC are currently working with Alpine to establish a working process and having RAMM updated directly with changes in field.  MDC are looking at completing a full field audit – there is no date yet as to when this can/will be carried out	Continuous Improvement	Investigating
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Monthly snapshot data from RAMM has now started being provided since May 2024	Continuous Improvement	