

## Compliance plan for Thames Coromandel DC DUML – 2018

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: entire audit period</p>	<p>The database accuracy is assessed to be 94.6% indicating an estimated over submission of 66,300 kWh per annum.</p> <p>Incorrect wattages use for submission resulting in an estimated over submission of 123.86 kWh</p> <p>The combined estimated over submission is 66,176.14 kWh per annum.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
<b>High</b>	<p>The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time.</p> <p>The impact is assessed to be high, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis have yet to discuss these issues with TCDC and Power Solutions		12/2018	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
With Genesis using information provided by Jon Stevens @ power solutions. Genesis will endeavour to liaise with all parties to rectify issues outlined in this audit.		12/2018	

All load recorded in the database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3  From: entire audit period	Items of load are missing from the database. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 9		
Audit risk rating	Rationale for audit risk rating		
<b>High</b>	The controls are rated as weak as the field capture of lighting changes is not always accurate as indicated by the variances found in the field audit. The impact is assessed to be high, based on the kWh differences detailed in <b>section 3.1</b> .		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis have yet to discuss these issues with TCDC and Power Solutions		12/2018	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
With Genesis using information provided by Jon Stevens @ power solutions. Genesis will endeavor to liaise with all parties to rectify issues outlined in this audit.		12/2018	

Tracking of load change		
Non-compliance	Description	
Audit Ref: 2.6 With: 11(3) of Schedule 15.3 From: 01-Jun-17 To: 31-May-18	Tracking of load change not capturing all changes made in the field. Potential impact: High Actual impact: High Audit history: Once Controls: Weak Breach risk rating: 9	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	The controls are rated as weak as the field capture of lighting changes is not always accurate as indicated by the variances found in the field audit. The impact is assessed to be high, based on the kWh differences detailed in <b>section 3.1</b> .	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis have yet to discuss these issues with TCDC and Power Solutions	12/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
With Genesis using information provided by Jon Stevens @ power solutions. Genesis will endeavor to liaise with all parties to rectify issues outlined in this audit.	12/2018	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: entire audit period</p>	<p>The database accuracy is assessed to be 94.6% indicating an estimated over submission of 66,300 kWh per annum.</p> <p>The ballasts are not recorded correctly in the RAMM database.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	<p>The controls are rated as weak as the field capture of lighting changes is not always accurate as is indicated by the database accuracy rating.</p> <p>The impact is assessed to be high, based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis have yet to discuss these issues with TCDC and Power Solutions	12/2018	Choose an item.
Preventative actions taken to ensure no further issues will occur	Completion date	
With Genesis using information provided by Jon Stevens @ power solutions. Genesis will endeavor to liaise with all parties to rectify issues outlined in this audit.	12/2018	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: entire audit period</p>	<p>The database accuracy is assessed to be 94.6% indicating an estimated over submission of 66,300 kWh per annum.</p> <p>Incorrect wattages use for submission resulting in an estimated over submission of-123.86 kWh.</p> <p>The combined estimated over submission is 66,176.14 kWh per annum.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	<p>The controls are rated as weak as the field capture of lighting changes is not always accurate as is indicated by the database accuracy rating.</p> <p>The impact is assessed to be high, based on the kWh differences described above.</p>	
Actions taken to resolve the issue		Completion date
Genesis have yet to discuss these issues with TCDC and Power Solutions		12/2018
Preventative actions taken to ensure no further issues will occur		Completion date
With Genesis using information provided by Jon Stevens @ power solutions. Genesis will endeavor to liaise with all parties to rectify issues outlined in this audit.		12/2018
		Investigating