

Compliance plan for Hastings DC – 2018

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Apr-17 To: 31-Jan-18	The database accuracy is assessed to be 89.8% indicating an estimated over submission of 269,200 kWh per annum Potential impact: High Actual impact: High Audit history: Once Controls: Moderate Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time but there are still some errors. The impact is assessed to be high, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis have contacted the database administrator. The information pertaining to the audit will be investigated and updated as required.	10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis make all efforts to revise information supplied from 3 rd parties, however also rely on 3 rd party processes to ensure accuracies are upheld	10/2018	

ICP identifier and items of load	
Non-compliance	Description
Audit Ref: 2.2 With: Clause 11(2)(a) of Schedule 15.3 From: 01-Apr-17 To: 31-Jan-18	Two records with blank ICP 103 metered records with an unmetered ICP Potential impact: Medium Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2

Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as moderate because there is room for improvement. 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 have contacted the database administrator. The information pertaining to the audit will be investigated and updated as required.		10/2018	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis make all efforts to revise information supplied from 3 rd parties, however also rely on 3 rd party processes to ensure accuracies are upheld		10/2018	

Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 With: Clause 11(2)(c) of Schedule 15.3 From: 01-Mar-17 To: 31-Jan-18	29 records with blank or unknown lamp description Potential impact: Medium Actual impact: Medium Audit history: Once Controls: Moderate Breach risk rating: 4		
Audit risk rating	Rationale for audit risk rating		
Medium	The controls are recorded as moderate because there is room for improvement. The impact on settlement is medium because under submission has occurred by approximately 12,320 kWh per annum based on an average wattage of 97 watts; the audit risk rating is medium.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis have contacted the database administrator. The information pertaining to the audit will be investigated and updated as required.		10/2018	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis make all efforts to revise information supplied from 3 rd parties, however also rely on 3 rd party processes to ensure accuracies are upheld		10/2018	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Apr-17 To: 31-Jan-18	All load is not recorded in the database (5 lamps missing from database) Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time. The impact is assessed to be low, based on the number of differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis have contacted the database administrator. The information pertaining to the audit will be investigated and updated as required.	10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis make all efforts to revise information supplied from 3 rd parties, however also rely on 3 rd party processes to ensure accuracies are upheld	10/2018	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Apr-17 To: 30-Apr-18	The database accuracy is assessed to be 89.8% indicating an estimated over submission of 269,200 kWh per annum 24 lamp types have incorrect ballasts recorded, leading to under submission of 13,026 kWh per annum. 29 records have blank or unknown lamp wattages, leading to under submission of approximately 12,320 kWh per annum based on an average wattage of 97 watts Potential impact: High Actual impact: High Audit history: Once Controls: Moderate Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as weak, because there are several different sources of inaccuracy, some of which have been present since the last audit. The impact is assessed to be high, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis have contacted the database administrator. The information pertaining to the audit will be investigated and updated as required.	10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis make all efforts to revise information supplied from 3 rd parties, however also rely on 3 rd party processes to ensure accuracies are upheld	10/2018	

Volume information accuracy	
Non-compliance	Description
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Apr-17 To: 31-Jan-18	The database accuracy is assessed to be 89.8% indicating an estimated over submission of 269,200 kWh per annum Potential impact: High Actual impact: High Audit history: Once Controls: Moderate Breach risk rating: 6
Audit risk rating	Rationale for audit risk rating

High	<p>The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time but there are still some errors.</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 contacted the database administrator. The information pertaining to the audit will be investigated and updated as required.	10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis make all efforts to revise information supplied from 3 rd parties, however also rely on 3 rd party processes to ensure accuracies are upheld	10/2018	