

## Compliance plan for CCC Traffic lights – 2018

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3  From: 01-May-17 To: 30-Apr-18	Over submission occurring due to disconnected lights being included in the monthly report.  Potential impact: Low  Actual impact: Low  Audit history: Once  Controls: Moderate  Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	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 not able to be determined but rated as low due to the relatively small number of traffic lights affected.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will contact CCT and discuss the content of this audit, with the intent of improving both database and data reporting to Genesis.	12/2018	Unknown
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will make recommendations with the intent to improve CCT's current processes	12/2018	

ICP identifier and items of load	
Non-compliance	Description
Audit Ref: 2.2 With: Clause 11(2)(a) and (aa) of Schedule 15.3  From/to: entire audit period	<ul style="list-style-type: none"> <li>No ICP identifier recorded against each item of load in the traffic light access database.</li> <li>Five items of load with no GXP recorded</li> </ul> Potential impact: None  Actual impact: None  Audit history: Twice  Controls: Moderate  Breach risk rating: 2
Audit risk rating	Rationale for audit risk rating

<b>Low</b>	The controls are rated as moderate, because there is sufficient information to correctly link each item of load to an ICP.  The impact is rated as none as there is no affect on the submission GENE makes.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Genesis will contact CCT and discuss the content of this audit, with the intent of improving both database and data reporting to Genesis.	12/2018	Unknown
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Genesis will make recommendations with the intent to improve CCT's current processes	12/2018	

<b>Tracking of load changes</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 2.6 With: Clause 11(3) of Schedule 15.3  From/to: entire audit period	Disconnected traffic lights not tracked in the database  Potential impact: Low Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	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 rated as low as there is a nominal effect on the submission GENE makes.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Genesis will contact CCT and discuss the content of this audit, with the intent of improving both database and data reporting to Genesis.	12/2018	Unknown
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Genesis will make recommendations with the intent to improve CCT's current processes	12/2018	

Audit trail		
Non-compliance	Description	
Audit Ref: 2.7 With: Clause 11(4) of Schedule 15.3  From/to: entire audit period	No audit trail of changes made in the access database.  Potential impact: Low Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	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 rated as none as there is no effect on the submission GENE makes.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will contact CCT and discuss the content of this audit, with the intent of improving both database processes and data reporting to Genesis.	12/2018	Unknown
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will make recommendations with the intent to improve CCT's current processes	12/2018	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c)  From: 01 March 18 To: 31 March 18	Under submission for the March 2018 period due to the incorrect monthly report being used to calculate the submission.  Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as moderate, because they are sufficient to ensure that submission information is correct most of the time.  The impact is rated as low due to the kWh.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will contact CCT and discuss the content of this audit, with the intent of improving both database and data reporting to Genesis.	12/2018	Unknown

<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Genesis will make recommendations with the intent to improve CCT's current processes	12/2018	