

Compliance plan for Hastings DC DUML – 2019

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Nov-17 To: 15-Apr-19	Incorrect ballasts applied resulting in an estimated 5,727 kWh over submission. Potential impact: Medium Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 1	
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, but there are still some errors. The impact is assessed to be low, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has raised these with Hastings DC and requested the ballast exceptions to be corrected.	01/07/2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will review and report exceptions back to Hastings DC monthly where exceptions are identified.	01/06/2019	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Nov-17 To: 15-Apr-19	Incorrect ballasts applied resulting in an estimated 5,727 kWh over submission. Potential impact: High Actual impact: Low Audit history: Twice 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 the database is accurate most of the time. The impact is assessed to be low, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has raised these with Hastings DC and requested the ballast exceptions to be corrected.	01/07/2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will review and report exceptions back to Hastings DC monthly where exceptions are identified.	01/06/2019	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 01-Nov-17 To: 15-Apr-19	Incorrect ballasts applied resulting in an estimated 5,727 kWh over submission. Potential impact: High Actual impact: Low Audit history: Twice 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 but there are still some errors. The impact is assessed to be low, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has raised these with Hastings DC and requested the ballast exceptions to be corrected.	01/07/2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will review and report exceptions back to Hastings DC monthly where exceptions are identified.	01/06/2019	