

Compliance plan for Stratford DC – 2019

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: unknown</p> <p>To: 20-Mar-19</p>	<p>The database contains some inaccurate data.</p> <p>The field data is 91.0% of the database data for the sample checked. This will result in potential over submission of 22,900 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUMML database auditing tool).</p> <p>468 items of load have missing or incorrect gear wattages. This will result in potential over submission of 3,430 W or 14,349 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUMML database auditing tool).</p> <p>Festive and decorative lights are unmetered, but are not recorded in RAMM.</p> <p>Potential impact: Medium</p> <p>Actual impact: Unknown</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as weak, because the database contains some inaccurate information.</p> <p>The impact is assessed to be medium based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will discuss the audit findings with the council with the intent the council makes every effort to ensure the exceptions are rectified.	01/09/2019	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will provide exception reporting to the council where exceptions have been identified.	01/06/2019	

Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: 25-Feb-19 To: 25-Feb-19	One light has a missing lamp model, lamp wattage and gear wattage. 21 lights have invalid blank or zero total wattages recorded. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as moderate because most items of load have model, lamp wattage and gear wattages recorded. The impact is assessed to be low, based on 681W missing for the lamps with a known lamp make and model.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis will discuss the audit findings with the council with the intent the council makes every effort to ensure the exceptions are rectified.		01/09/2019	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis will provide exception reporting to the council where exceptions have been identified.		01/06/2019	

All load recorded in database	
Non-compliance	Description
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: unknown To: 20-Mar-19	One 24W LED was missing from the database. Festive and decorative lights are not recorded in the database. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3

Audit risk rating	Rationale for audit risk rating		
Low	<p>Controls are rated as weak, because festive lights are currently excluded from the database.</p> <p>The impact is expected to be low, because only festive and decorative lights are affected.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis will discuss the audit findings with the council with the intent the council makes every effort to ensure the exceptions are rectified. Genesis will be requesting the addition of festive lighting assets to the dataset.		01/09/2019	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis will provide exception reporting to the council where exceptions have been identified.		01/06/2019	

Database accuracy	
Non-compliance	Description
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: unknown</p> <p>To: 20-Mar-19</p>	<p>The database contains some inaccurate data.</p> <p>The field data is 91.0% of the database data for the sample checked. This will result in potential over submission of 22,900 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUML database auditing tool).</p> <p>468 items of load have missing or incorrect gear wattages. This will result in potential over recording of 3,430 W or 14,349 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUML database auditing tool).</p> <p>Festive and decorative lights are unmetered, but are not recorded in RAMM.</p> <p>Potential impact: Medium</p> <p>Actual impact: Unknown</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>
Audit risk rating	Rationale for audit risk rating
Medium	<p>The controls are rated as weak, because they are not sufficient to ensure that database wattage is accurate.</p> <p>The impact is assessed to be medium based on the wattage differences described above.</p>

Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will discuss the audit findings with the council with the intent the council makes every effort to ensure the exceptions are rectified.	01/09/2019	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will provide exception reporting to the council where exceptions have been identified.	01/06/2019	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: unknown</p> <p>To: 20-Mar-19</p>	<p>The database contains some inaccurate data.</p> <p>The field data is 91.0% of the database data for the sample checked. This will result in potential over submission of 22,900 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUML database auditing tool).</p> <p>468 items of load have missing or incorrect gear wattages. This will result in potential over submission of 3,430 W or 14,349 kWh per annum (based on annual burn hours of 4,271 as detailed in the DUML database auditing tool).</p> <p>Festive and decorative lights are unmetered, but are not recorded in RAMM.</p> <p>Potential impact: Low</p> <p>Actual impact: Unknown</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as weak, because the database contains some inaccurate information and is not used for submission.</p> <p>The impact is assessed to be medium based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
As per 2.1, 3.1 - Genesis will discuss the audit findings with the council with the intent the council makes every effort to ensure the exceptions are rectified.	01/09/2019	Investigating

Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will provide exception reporting to the council where exceptions have been identified.	01/06/2019	