

Compliance plan for CODC DUML – 2019

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 17-Oct-18 To: 31-Oct-19</p>	<p>A discrepancy between the submission volume and the database resulting in an estimated annual under submission of 7,176 kWh.</p> <p>Database is not confirmed as accurate with a 95% level of confidence.</p> <p>25 LED lights with the incorrect wattage applied resulting in a very minor over submission of an estimated 30 kWh per annum.</p> <p>Over submission of an estimated 25,236 kWh per annum due to the hard-wired dimming LED lamps for 83% of the total lamps installed.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: Once Controls: None Breach risk rating: 8</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as none as there is no process in place to submit the correct consumption volumes for the hard-wired dimming which represents 83% of the lights in the CODC area.</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 had not been informed that the LED assets install had hard wired dimming preprogramed. CODC had not advised as they were happy to absorb the extra costs associated. Genesis has advised that this is a compliance issue and discussions were held as to how we could proceed to meet compliance.	unknown	Investigating
Preventative actions taken to ensure no further issue will occur	Completion date	
Genesis can only monitor the information held within the database. Genesis are reliant on the customer to divulge any relative information pertaining to asset variations.		

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) of Schedule 15.3 From: 17-Oct-18 To: 31-Oct-19	37 items of load with no lamp description recorded. Four items of load with no ballast value recorded resulting in a very minor amount of under submission. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate because they ensure most information is accurate. The impact is assessed to be low due to the small number of lights affected.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will work with the council to correct the ballast exceptions found in the database	01/03/2020	Identified
Preventative actions taken to ensure no further issue will occur	Completion date	
Continue to revise the information being provided by the council, with the expectation the council makes the necessary corrections	01/03/2020	

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 17-Sep-18 To: 31-Oct-19	Three additional lights found in the field. 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 ensure most information is accurate. The impact is assessed to be low due to the small number of additional lights found in the field in relation to the overall count of the items of load.		
Actions taken to resolve the issue		Completion date	Remedial action status
Genesis will work with the council to verify the field findings and clear the exceptions found in the database.		01/03/2020	Identified
Preventative actions taken to ensure no further issue will occur		Completion date	
Continue to revise the information being provided by the council, with the expectation the council makes the necessary corrections		01/03/2020	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 17-Oct-18</p> <p>To: 31-Oct-19</p>	<p>Database is not confirmed as accurate with a 95% level of confidence.</p> <p>One 70W HPS lamp with no ballast applied.</p> <p>25 LED lights with the incorrect wattage applied resulting in a very minor over submission of an estimated 30 kWh per annum.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as moderate, because field audit indicated the controls are robust but there is room for errors to occur.</p> <p>The impact is assessed to be low due to the small number of errors in the field and the small number of LED lights with the incorrect wattage applied.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis will work with the council to verify and clear the exceptions found in the database.	01/03/2020	Identified
Preventative actions taken to ensure no further issue will occur	Completion date	
Continue to revise the information being provided by the council, with the expectation the council makes the necessary corrections	01/03/2020	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2 Clause 15.2 and 15.37B(c)</p> <p>From: 17-Oct-18 To: 31-Oct-19</p>	<p>A discrepancy between the submission volume and the database resulting in an estimated annual under submission of 7,176 kWh.</p> <p>Database is not confirmed as accurate with a 95% level of confidence.</p> <p>25 LED lights with the incorrect wattage applied resulting in a very minor over submission of an estimated 30 kWh per annum.</p> <p>Over submission of an estimated 25,236 kWh per annum due to the hard-wired dimming LED lamps for 83% of the total lamps installed.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: Once Controls: None Breach risk rating: 8</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are rated as none as there is no process in place to submit the correct consumption volumes for the hard-wired dimming which represent 83% of the lights in the CODC area.</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 had not been informed that the LED assets install had hard wired dimming preprogramed. CODC had not advised as they were happy to absorb the extra costs associated. Genesis has advised that this is a compliance issue and discussions were held as to how we could proceed to meet compliance.		unknown	Investigating
Preventative actions taken to ensure no further issue will occur		Completion date	
Genesis can only monitor the information held within the database. Genesis are reliant on the customer to divulge any relative information pertaining to asset variations.			