

Compliance plan for Pioneer Gore DC DUML – 2020

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-May-19 To: 31-Dec-19</p>	<p>The database accuracy is assessed to be 120.9% of the database for the sample checked indicating a potential under submission of approximately 26,800 kWh per annum.</p> <p>Festive lighting and decorative lighting in the park beside Medway Road not recorded in RAMM and therefore not reconciled.</p> <p>Estimated potential under submission of 29,508 kWh per annum due to incorrect lamp wattage and ballasts being used.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: High Actual impact: High Audit history: Multiple times Controls: Moderate Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as moderate there are good controls in place to ensure that the database is kept up to date, but historic errors have not been corrected.</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
Pioneer advised by Peter Standring, GDC that an improvement plan will be put in place. We will endeavour to work with GDC to resolve issues indicated in the audit.	27.02.2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
GDC are in the process of replacing staff so new staff will get up to speed with the management of streetlights.	TBC	

Description of lights			
Non-compliance	Description		
<p>Audit Ref: 2.4</p> <p>With: Clause 11(2)(c) of Schedule 15.3</p> <p>From: 01-May-19</p> <p>To: 31-Dec-19</p>	<p>Two items of load with insufficient light descriptions</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</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 there are good controls in place to ensure that the database is kept up to date, but historic errors have not been corrected.</p> <p>The impact is assessed to be low as only two items were found with insufficient details recorded.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Pioneer advised by Peter Standing, GDC that an improvement plan will be put in place. We will endeavour to work with GDC to resolve issues indicated in the audit.		27.02.2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
GDC are in the process of replacing staff so new staff will get up to speed with the management of streetlights to correct the historical issues.		TBC	

All load recorded in the database			
Non-compliance	Description		
<p>Audit Ref: 2.5</p> <p>With: Clause 11(2A) of Schedule 15.3</p> <p>From: 01-Sep-18</p> <p>To: 01-Apr-19</p>	<p>12 additional lights found in the field.</p> <p>Festive lighting and decorative lighting in the park beside Medway Road not recorded in RAMM.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
High	<p>The controls are rated as moderate there are good controls in place to ensure that the database is kept up to date, but historic errors have not been corrected.</p> <p>The impact is assessed to be high, based on the kWh differences detailed in section 3.1 indicate.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Pioneer advised by Peter Standing, GDC that an improvement plan will be put in place. We will endeavour to work with GDC to resolve issues indicated in the audit.		27.02.2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
GDC are in the process of replacing staff so new staff will get up to speed with the management of streetlights to correct the issues.		TBC	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-May-19</p> <p>To: 31-Dec-19</p>	<p>The database accuracy is assessed to be 120.9% of the database for the sample checked indicating a potential under submission of approximately 26,800 kWh per annum.</p> <p>Festive lighting and decorative lighting in the park beside Medway Road not recorded in RAMM.</p> <p>Estimated potential under submission of 29,508 kWh per annum due to incorrect lamp wattage and ballasts being used.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Three times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
High	<p>The controls are rated as moderate there are good controls in place to ensure that the database is kept up to date, but historic errors have not been corrected.</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
Pioneer advised by Peter Standring, GDC that an improvement plan will be put in place. We will endeavour to work with GDC to resolve issues indicated in the audit.		27.02.2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
GDC are in the process of replacing staff so new staff will get up to speed with the management of streetlights to include/correct the issues in RAMM		TBC	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-May-19</p> <p>To: 31-Dec-19</p>	<p>The database accuracy is assessed to be 120.9% of the database for the sample checked indicating a potential under submission of approximately 26,800 kWh per annum.</p> <p>Festive lighting and decorative lighting in the park beside Medway Road not recorded in RAMM and therefore not reconciled.</p> <p>Estimated potential under submission of 29,508 kWh per annum due to incorrect lamp wattage and ballasts being used.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
High	<p>The controls are rated as moderate there are good controls in place to ensure that the database is kept up to date, but historic errors have not been corrected.</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
Pioneer advised by Peter Standring, GDC that an improvement plan will be put in place. We will endeavour to work with GDC to resolve issues indicated in the audit.		27.02.2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
GDC are in the process of replacing staff so new staff will get up to speed with the management of streetlights to include/correct the issues in RAMM		TBC	