

Stratford District Council DUML March 2020

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 12-Mar-20 To: 12-Mar-20</p>	<p>One light (light ID 1786) has an unknown lamp model, and a missing lamp wattage and gear wattage, which could result in potential under submission of 354.5 kWh per annum.</p> <p>One light (light ID 118) has a missing gear wattage, which could result in an unknown amount of under submission.</p> <p>A further 200 lights have incorrect gear (total) wattages recorded, including the lamps with missing and invalid zero gear wattages. This may result in under reporting of 2,308 W or 9,857 kWh p.a. based on 4,271 annual burn hours.</p> <p>Ten unmetered decorative lights are not recorded in RAMM. This may result in estimated under submission of 1,700W or 726 kWh p.a.</p> <p>Eight unmetered Christmas lights are not recorded in RAMM. This may result in estimated under submission of 120 W or 50.4 kWh p.a.</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: Medium Actual impact: Unknown Audit history: Twice Controls: Strong Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls over the database are rated as strong, because accuracy falls within the $\pm 5\%$ accuracy threshold.</p> <p>The impact is assessed to be medium based on the kWh differences described above. SDC intends to investigate and resolve the issues identified.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Genesis has highlighted to the council the field audit exceptions for correction. Genesis has provided the asset information to the council where erroneous gear wattages have been found for correction. Genesis has also discussed the tracking of changes and requested this to be reviewed.</p>	01/05/2020	Identified

Preventative actions taken to ensure no further issues will occur	Completion date
Genesis has spoken with the council and have requested that they revise their reporting to Genesis and look at database accuracy. Until the correction has been made Genesis will <u>continue</u> to calculate using the correct wattages.	01/05/2020

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 (light ID 1786) has an unknown lamp model, and a missing lamp wattage and gear wattage. One light (light ID 118) has a missing gear wattage. Potential impact: Low Actual impact: Low Audit history: Once 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. The confirmed discrepancy for light ID 118 could lead to potential under submission of 83 W or 354.5 kWh p.a. based on 4,271 annual burn hours. The difference for light ID 1786 is unknown.	
Actions taken to resolve the issue	Completion date	Remedial action status
Lamps to be investigated when able.	01/07/2020	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Lamps will be recorded when they are located. After the LED up grade, it was the councils impression that all lamps were accounted for. The database manager will investigate the two lamps and update as required.	01/07/2020	

All load recorded in database		
Non-compliance	Description	
<p>Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3</p> <p>From: 12-Mar-20 To: 12-Mar-20</p>	<p>Ten unmetered decorative lights are not recorded in RAMM. This may result in estimated under submission of 1,700W or 726 kWh p.a.</p> <p>Eight unmetered Christmas lights are not recorded in RAMM. This may result in estimated under submission of 120 W or 50.4 kWh p.a.</p> <p>Potential impact: Medium Actual impact: Unknown Audit history: Once Controls: Moderate Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>A control rating of moderate was selected, because:</p> <ul style="list-style-type: none"> the controls over the database are rated as strong, because accuracy falls within the $\pm 5\%$ accuracy threshold, and the controls over the inclusion of Christmas and decorative lights are weak but will improve to strong once the lights have been added to the database. <p>The impact is assessed to be low based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has spoken with the council and have requested that they revise their reporting to Genesis and look at database accuracy. All Gear wattage errors have been provided to the council and requested they be corrected. Until the correction has been made Genesis will <u>continue</u> to calculate using the correct wattages.	01/05/2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis revises the information provide and due to the reporting Genesis allocates the correct gear wattage based off the lamp information provided in the Database extract.	01/05/2020	
I do question the validity of 3 inaccurate lamp wattages recorded based on the auditor not being able to verify due to opaque covers. This does not mean they are incorrect.		

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 12-Mar-20</p> <p>To: 12-Mar-20</p>	<p>One light (light ID 1786) has an unknown lamp model, and a missing lamp wattage and gear wattage, which could result in potential under submission of 354.5 kWh per annum.</p> <p>One light (light ID 118) has a missing gear wattage, which could result in an unknown amount of under submission.</p> <p>A further 200 lights have incorrect gear (total) wattages recorded, including the lamps with missing and invalid zero gear wattages. This may result in under reporting of 2,308 W or 9,857 kWh p.a. based on 4,271 annual burn hours.</p> <p>Ten unmetered decorative lights are not recorded in RAMM. This may result in estimated under submission of 1,700W or 726 kWh p.a.</p> <p>Eight unmetered Christmas lights are not recorded in RAMM. This may result in estimated under submission of 120 W or 50.4 kWh p.a.</p> <p>Potential impact: Medium</p> <p>Actual impact: Unknown</p> <p>Audit history: Twice</p> <p>Controls: Strong</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls over the database are rated as strong, because accuracy falls within the $\pm 5\%$ accuracy threshold.</p> <p>The impact is assessed to be medium based on the kWh differences described above. SDC intends to investigate and resolve the issues identified.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has highlighted to the council the field audit exceptions for correction. Genesis has provided the asset information to the council where erroneous gear wattages have been found for correction. Genesis has also discussed the tracking of changes and requested this to be reviewed.	01/05/2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has spoken with the council and have requested that they revise their reporting to Genesis and look at database accuracy. Until the correction has been made Genesis will continue to calculate using the correct wattages.	01/05/2020	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 12-Mar-20</p> <p>To: 12-Mar-20</p>	<p>One light (light ID 1786) has an unknown lamp model, and a missing lamp wattage and gear wattage, which could result in potential under submission of 354.5 kWh per annum.</p> <p>One light (light ID 118) has a missing gear wattage, which could result in an unknown amount of under submission.</p> <p>A further 200 lights have incorrect gear (total) wattages recorded, including the lamps with missing and invalid zero gear wattages. This may result in under reporting of 2,308 W or 9,857 kWh p.a. based on 4,271 annual burn hours.</p> <p>Ten unmetered decorative lights are not recorded in RAMM. This may result in estimated under submission of 1,700W or 726 kWh p.a.</p> <p>Eight unmetered Christmas lights are not recorded in RAMM. This may result in estimated under submission of 120 W or 50.4 kWh p.a.</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: Medium</p> <p>Actual impact: Unknown</p> <p>Audit history: Twice</p> <p>Controls: Strong</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls over the database are rated as strong, because accuracy falls within the ±5% accuracy threshold.</p> <p>The impact is assessed to be medium based on the kWh differences described above. SDC intends to investigate and resolve the issues identified.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has highlighted to the council the field audit exceptions for correction. Genesis has provided the asset information to the council where erroneous gear wattages have been found for correction. Genesis has also discussed the tracking of changes and requested this to be reviewed. Tracking of changes has been discussed with the council, further discussions will be required.	01/05/2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has spoken with the council and have requested that they revise their reporting to Genesis and look at database accuracy. Until the correction has been made Genesis will continue to calculate using the correct wattages.	01/05/2020	