

Compliance plan for Hastings DC DUML – 2020

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Nov-17 To: 15-Apr-19</p>	<p>In absolute terms, total annual consumption is estimated to be 73,700 kWh lower than the DUML database indicates. The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot. Incorrect ballasts applied resulting in an estimated 11,147 kWh over submission. Potential impact: High Actual impact: High Audit history: Three times Controls: Weak Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as weak, because they are insufficient to ensure the database is accurate most of the time. 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
Genesis has raised these instances with HDC and will follow up to ensure the correct ballast is applied.	01/03/2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has reviewed the October data set provided by the HDC I November by the database administrator and found what Genesis believes to be inaccurate gear wattages (9 instances) annual kWh 265		

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-Apr-19 To: 16-Nov-20	Three additional lights identified by the field count. Potential impact: Medium Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as weak, because they are insufficient 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 requested HDC review the asset database to ensure all assets are accounted for. Genesis will follow up with the council monthly to establish whether the database has been populated with the missing assets found in the field and that the assets not found are either removed or the correct locational details are populated.	01/03/2020	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	

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	In absolute terms, total annual consumption is estimated to be 73,700 kWh lower than the DUML database indicates. Incorrect ballasts applied resulting in an estimated 11,147 kWh over submission. Potential impact: High Actual impact: High Audit history: Three times Controls: Weak Breach risk rating: 9	
Audit risk rating	Rationale for audit risk rating	
High	The controls are rated as weak, because they are insufficient to ensure the database is accurate most of the time. The impact is assessed to be high, based on the kWh differences described above.	
Actions taken to resolve the issue		Completion date
Genesis has requested HDC review the asset database to ensure all asset information is complete and accurate. Genesis will follow up with the council monthly for exception management.		01/03/2020
Preventative actions taken to ensure no further issues will occur		Completion date
Remedial action status		
Investigating		

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-Apr-19</p> <p>To: 16-Nov-20</p>	<p>In absolute terms, total annual consumption is estimated to be 73,700 kWh lower than the DUML database indicates.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Incorrect ballasts applied resulting in an estimated 11,147 kWh over submission.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: Three times</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls are rated as weak, because they are insufficient to ensure the database is accurate most of the time.</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
Genesis has requested HDC review the asset database to ensure all asset information is complete and accurate. Genesis will follow up with the council monthly for exception management. Tracking of changes has been requested by Genesis to be included in the monthly reporting.	01/03/2020	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has reviewed data sets and provided feedback to the database administrator outlining the importance of change tracking. Genesis will need to work further with the council's contractor find the solution to this non-compliance.		