

## Compliance plan for WBOP DC– 2020

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 Clause 11(1) of Schedule 15.3</p> <p>From: 21-Jan-20 To: 12-Oct-20</p>	<p>In absolute terms, total annual consumption is estimated to be 30,200 kWh lower than the DUML database indicates.</p> <p>23 items of load with the incorrect wattage recorded resulting in an estimated over submission of 7,901.35kWh per annum.</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</p> <p>Actual impact: Medium</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	<p>The controls are rated as weak as the RAMM database was not used for reconciliation for most of the audit period.</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
Gained asset information, provided database improvement recommendations, and working on the provision of monthly extraction to include tracking of change data.	01/03/2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis has requested monthly RAMM data to provide Genesis with the asset attributes required to review and provide the customer with exception management reporting. Genesis has also been working with Westlink to find a solution to tracking of changes and the vesting of new connection into the database.	01/03/2021	

<b>Database accuracy</b>			
<b>Non-compliance</b>	<b>Description</b>		
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)  From: 21-Jan-20 To: 12-Oct-20	In absolute terms, total annual consumption is estimated to be 30,200 kWh lower than the DUML database indicates.  Potential impact: Medium  Actual impact: Medium  Audit history: Twice  Controls: Weak  Breach risk rating: 6		
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>		
<b>Medium</b>	The controls are rated as weak as the RAMM database was not used for reconciliation for most of the audit period.  The impact is assessed to be medium, based on the kWh differences described above.		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	<b>Remedial action status</b>
Gained asset information, provided database improvement recommendations, and working on the provision of monthly extraction to include tracking of change data.		01/03/2021	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>	
Genesis has requested monthly RAMM data to provide Genesis with the asset attributes required to review and provide the customer with exception management reporting. Genesis has also been working with Westlink to find a solution to tracking of changes and the vesting of new connection into the database.		01/03/2021	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>Clause 15.2 and 15.37B(c)</p> <p>From: 21-Jan-20</p> <p>To: 12-Oct-20</p>	<p>In absolute terms, total annual consumption is estimated to be 30,200 kWh lower than the DUML database indicates.</p> <p>23 items of load with the incorrect wattage recorded resulting in an estimated over submission of 7,901.35kWh per annum.</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</p> <p>Actual impact: Medium</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Medium</b>	<p>The controls are rated as weak as the RAMM database was not used for reconciliation for most of the audit period.</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
Gained asset information, provided database improvement recommendations. Engaged with WBOPDC to provide potential solution to the reporting gap for change management.		Work in progress	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Genesis has requested monthly RAMM data to provide Genesis with the asset attributes required to review and provide the customer with exception management reporting. Genesis has also been working with Westlink to find a solution to tracking of changes and the vesting of new connection into the database.		01/03/2021	