

## Compliance plan for Gore DC & Pioneer DUML – 2020

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 03-Mar-20 To: 04-Nov-20</p>	<p>The database accuracy is assessed to be 121.7% of the database for the sample checked indicating a potential under submission of approximately 27,800 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>Potential impact: High Actual impact: High</p> <p>Audit history: Multiple times Controls: Weak Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	<p>The controls are rated as weak because 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
<p>Pioneer have been advised by Peter Standing that they have carried out a complete review of the under canopy and Parks lighting, positioning of the full stock identifying the type and number and how they are presently powered. This will be recorded in the database.</p> <p>We will endeavour to work with GDC to resolve the other issues indicated in the audit.</p>	31.01.2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Pioneer will continue to work with GDC to resolve issues indicated in the audit.</p>	31.01.2021	

All load recorded in database			
Non-compliance	Description		
<p>Audit Ref: 2.5</p> <p>With: Clause 11(2A) of Schedule 15.3</p> <p>From: 03-Mar-20</p> <p>To: 04-Nov-20</p>	<p>5 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: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<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 because there were only a small number of lights found.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Pioneer have been advised by Peter Standing, GDC that an improvement plan will be put in place to correct the festive and decorative lighting to be recorded correctly in RAMM.		31.01.2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Pioneer will continue to work with GDC to resolve this issue as indicated in the audit.		31.01.2021	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 03-Mar-20</p> <p>To: 04-Nov-20</p>	<p>The database accuracy is assessed to be 121.7% of the database for the sample checked indicating a potential under submission of approximately 27,800 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: Multiple 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 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
<p>Pioneer have been advised by Peter Standring that they will carry out a complete review and make sure the correct data is recorded in RAMM.</p> <p>We will endeavour to work with GDC to resolve issues indicated in the audit.</p>		31.01.2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Pioneer advised by Peter Standring, GDC that an improvement plan will be put in place.</p>		31.01.2021	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 03-Mar-20</p> <p>To: 04-Nov-20</p>	<p>The database accuracy is assessed to be 121.7% of the database for the sample checked indicating a potential under submission of approximately 27,800 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>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 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
<p>Pioneer have been advised by Peter Standring that they will carry out a complete review and make sure the correct data is recorded in RAMM.</p> <p>We will endeavour to work with GDC to resolve issues indicated in the audit.</p>	31.01.2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Pioneer advised by Peter Standring, GDC that an improvement plan will be put in place.	31.01.2021	