



ICP identifier and items of load		
Non-compliance	Description	
Audit Ref: 2.2 With: Clause 11(2)(a) and (aa) of Schedule 15.3  From: 30-May-19 To: 16-Apr-21	66 items of load with no ICP recorded resulting in an estimated 16,374 kWh under submission per annum.  Potential impact: Low  Actual impact: Low  Audit history: None  Controls: None  Breach risk rating: 5	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are recorded as none as the database used for submission is no longer being maintained.  The impact on settlement and participants is medium; therefore, the audit risk rating is medium.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has been supplied RAMM data for the council assets. Genesis are working with the council to maintain the database information to establish completeness & raise accuracy levels.	01/11/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Continue to provide exception reporting back to the council to assist with raising database accuracy levels	Continuous improvement	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.3 With: Clause 11(2)(b) of Schedule 15.3 From: 30-May-19 To: 16-Apr-21	Inadequate location information for eight items of load. Potential impact: Low Actual impact: Low Audit history: Twice Controls: None Breach risk rating: 5	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are recorded as none as the database used for submission is no longer being maintained. The audit risk rating is low as the volume of lights effected is small.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has been supplied RAMM data for the council assets. Genesis are working with the council to maintain the database information to establish completeness & raise accuracy levels.	01/11/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Continue to provide exception reporting back to the council to assist with raising database accuracy levels	Continuous improvement	

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) & (d) of Schedule 15.3 From: 30-May-19 To: 16-Apr-21	32 lights with no lamp description or total wattage recorded. Potential impact: Low Actual impact: Medium Audit history: None Controls: None Breach risk rating: 8	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	The controls are rated as moderate as the processes in place will ensure that the data is recorded correctly most of the time. The audit risk rating is assessed to be medium based on the kWh volume impact i	
Actions taken to resolve the issue		Completion date
Due to the issues being identified in the Main Powers database genesis needs to establish the accuracy levels of the data that is now being supplied by the council via RAMM.		01/11/2021
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis are working with the council to maintain the database information to establish completeness & raise accuracy levels and will continue to provide exception reporting back to assist the council.		Continuous improvement
		Investigating

All load recorded in the database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 30-May-19 To: 16-Apr-21	Two additional lights found in the field. Potential impact: Low Actual impact: Low Audit history: Twice Controls: None Breach risk rating: 5	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are recorded as none as the database used for submission is no longer being maintained. The impact is assessed to be low due to the small number of additional lights found in the field in relation to the overall count of the items of load.	
Actions taken to resolve the issue	Completion date	Remedial action status
Due to the issues being identified in the Main Powers database genesis needs to establish the accuracy levels of the data that is now being supplied by the council via RAMM.	01/11/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis are working with the council to maintain the database information to establish completeness & raise accuracy levels and will continue to provide exception reporting back to assist the council.	Continuous improvement	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: 15.2 and 15.37B(b)  From: 30-May-19 To: 16-Apr-21	Database accuracy is outside of the allowable threshold resulting in an estimated over submission of 63,400 kWh per annum. 162 items have the incorrect wattage applied indicating an estimated minor under submission of 208 kWh per annum. 66 items of load with no ICP recorded resulting in an estimated under submission of 16,734 per annum. Inadequate location information for eight items of load. Potential impact: High Actual impact: High Audit history: Once Controls: None Breach risk rating: 12	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	The controls are recorded as none as the database used for submission is no longer being maintained. The impact is assessed to be high due to the impact on submission.	
Actions taken to resolve the issue	Completion date	Remedial action status
Due to the issues being identified in the Main Powers database genesis needs to establish the accuracy levels of the data that is now being supplied by the council via RAMM.	01/11/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis are working with the council to maintain the database information to establish completeness & raise accuracy levels and will continue to provide exception reporting back to assist the council.	Continuous improvement	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: 15.2 and 15.37B(c)</p> <p>From: 30-May-19</p> <p>To: 16-Apr-21</p>	<p>Incorrect submission for two ICPs resulting in an estimated under submission of 105,199 kWh per annum.</p> <p>Database accuracy is outside of the allowable threshold resulting in an estimated over submission of 63,400 kWh per annum.</p> <p>162 items have the incorrect wattage applied indicating an estimated minor under submission of 208 kWh per annum.</p> <p>66 items of load with no ICP recorded resulting in an estimated under submission of 16,734 per annum.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: None</p> <p>Controls: None</p> <p>Breach risk rating: 12</p>	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	<p>The controls are recorded as none as the database used for submission is no longer being maintained.</p> <p>The impact is assessed to be high due to the impact on submission. .</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Due to the issues being identified in the Main Powers database genesis needs to establish the accuracy levels of the data that is now being supplied by the council via RAMM.	01/11/2021	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis are working with the council to maintain the database information to establish completeness & raise accuracy levels and will continue to provide exception reporting back to assist the council.	Continuous improvement	