

Compliance plan for GENE WBOP DC Streetlight audit November 2021

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 Clause 11(1) of Schedule 15.3</p> <p>From: 13-Oct-20 To: 13-Dec-21</p>	<p>In absolute terms, total annual consumption is estimated to be 3,800 kWh lower than the DUML database indicates.</p> <p>The registry daily kWh figure is used for submission. This figure is incorrect and results in over submission of 9,482 kWh per annum.</p> <p>Potential impact: Medium Actual impact: Low Audit history: Three times Controls: Weak Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as weak as the RAMM database was not used for reconciliation for the audit period.</p> <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 conducted a review of the submission volumes going back fourteen months from the 01/06/2022 based on the data extracts that has been provided by WBOP council. These Volumes will be washed up through the submission process.	01/06/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Going forward Genesis will be using the data provided by the WBOP council to reconcile the consumption.	01/06/2022	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 07-Dec-21 To: 13-Dec-21	One additional item of load located in the field. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as strong because they mitigate risk to an acceptable level. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has advised the council of the audit findings where database discrepancies has been identified with the intent that council makes every effort to ensure the exceptions are rectified.	Continuous Improvement	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
No comment provided		

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 13-Oct-20 To: 13-Dec-21	In absolute terms, total annual consumption is estimated to be 3,800 kWh higher than the DUML database indicates. Potential impact: Medium Actual impact: Low Audit history: Three times Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Genesis has conducted a review of the submission volumes going back fourteen months from the 01/06/2022 based on the data extracts that has been provided by WBOP council. These Volumes will be washed up through the submission process.		01/06/2022
Preventative actions taken to ensure no further issues will occur		Completion date
Going forward Genesis will be using the data provided by the WBOP council to reconcile the consumption.		01/06/2022
		Remedial action status
		Identified

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2 Clause 15.2 and 15.37B(c)</p> <p>From: 13-Oct-20 To: 13-Dec-21</p>	<p>In absolute terms, total annual consumption is estimated to be 3,800 kWh lower than the DUML database indicates.</p> <p>The registry daily kWh figure is used for submission. This figure is incorrect and results in over submission of 9,482 kWh per annum.</p> <p>Potential impact: Medium Actual impact: Low Audit history: Three times Controls: Weak Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as weak as the RAMM database was not used for reconciliation for the audit period.</p> <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 conducted a review of the submission volumes going back fourteen months from the 01/06/2022 based on the data extracts that has been provided by WBOP council. These Volumes will be washed up through the submission process.	01/06/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Going forward Genesis will be using the data provided by the WBOP council to reconcile the consumption.	01/06/2022	