

To: Edmund Ward[Edmund.Ward@ofgem.gov.uk]
From: Mark George
Sent: 2016-08-19T15:10:25Z
Importance: Normal
Subject: NI Update - FAO Chris
Received: 2016-08-19T15:10:30Z

S Brimstone's RHI appl no redacted - Stephen Brimstone - Audit Report v2 (1).pdf

S Brimstone's RHI appl no redacted - Stephen Brimstone - Audit report Coversheet v5 .docx

Personal information redacted - Herz Boiler 1 - Audit Report v1.pdf

Personal information redacted - Herz Boiler #1 - Audit Report Coversheet v5.docx

Hi Edmund

Following the NI meeting earlier please find attached the two example NI Audit reports & coversheets as requested by Chris S Brimstone's RHI appl is the special focus case).

Shaneigh has also provided the below 'summary' of audit report review steps. I know Chris asked for a high level overview, and I think he was most interested in Stage 3 & 4 below, but I thought it might be useful for him to have access to the full breakdown in case needed for future discussion. Feel free to edit as required though.

Stage 1 – selection and site arrangement

- Site selection is completed by the Ofgem audit team. Details are then shared with Ricardo via the IT portal to aid planning of site visits.
- Sites are planned depending on locations, auditor availability and urgent referrals.
- Once an audit has been agreed with an auditor, Ricardo send a letter to the participant advising them that they will be attending their site on the proposed date at the proposed time – within 10 working days of the letter being sent.
- Once the participant has responded confirming receipt the auditors request an audit pack

Stage 2 – audit pack preparation and site visit

- A request list is sent to Ofgem advising the RHI number the pack needs to be provided for with a deadline. This need to be provided to the auditor 3 days before the audit to allow for time to review the detail.
- Using CRM – the assistant audit manager pulls off all relevant documentation and collates all of the application information into a spreadsheet, Zips the file and uploads it to the portal for the auditor.
- The auditor goes through the documents and application information in preparation for the audit.
- The auditor completes the site visit

Stage 3 – Report write up and Ricardo review

- The auditor writes up the report the same day of the visit whilst information is still fresh and uploads a copy to the portal.
- The report is assigned to a reviewer who check the content. This is either then released to Ofgem or sent back to the auditor for clarification before release.
- Report is released to Ofgem

Stage 4 – Ofgem review

- The report is received and date of receipt logged in monitoring spreadsheet on SharePoint
- Report is saved on CRM and review completed by first reviewer.
- Coversheet is added detailing comments for report amendments by first reviewer
- Second review completes review of report, adding comments to coversheet for report amendments
- Report is sent back to Ricardo for changes.
- Logs return date on monitoring spreadsheet

Stage 5 – Report amendments and approval

- Report is picked up by Ricardo and coversheet is reviewed.
- Amendments are made to the report and coversheet uploaded confirming what has been changed and answers to any questions that have been asked.
- Final report is released to Ofgem
- Logs receipt of second version report on monitoring spreadsheet
- Ofgem reviewer checks changes have been made
- Approves report
- Logs approval on monitoring spreadsheet and logs non-compliances
- Email send to compliance queue notifying them of non-compliant case if applicable
- Email sent to participant with closure letter attached - outlining the observations and non-compliances that will need to be addressed

Amendments

I have also had a more detailed look at the NI Amendment submissions:-