

Compliance plan for QLDC DUMML Audit 2018

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: 11(1) of Schedule 15.3</p> <p>From: 01-Apr-17 To: 30-Apr-18</p>	<p>Aurora database accuracy is assessed to be 99.3% indicating an estimated over submission of 11,200 kWh per annum. Incorrect ballasts recorded for 786 items of load in the Aurora database, resulting in an estimated under submission of 12,321.84 kWh. PowerNet database accuracy is assessed to be 100.9% indicating a minor estimated under submission of 900 kWh per annum.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: None Controls: Moderate Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as moderate, as they are sufficient to ensure that most database information is recorded correctly for the majority of the QLDC load. The impact is assessed to be medium due to the kWh volumes.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Contact will engage with QLDC to transition The DUMML database from The respective distributor's databases covering their specific regions to the QLDC RAMM database.</p> <p>This will allow Contact and QLDC to then investigate and address the database accuracy issues in a more effective and timely manner.</p> <p>It will take some time to transition across to the QLDC RAMM and begin develop processes between QLDC and Contact in identifying and resolving exceptions.</p>	Dec 2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
No comment provided		

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: 01-Apr-17 To: 30-Apr-18	178 items of load with incomplete lamp descriptions. Six items of load recorded with zero wattage. 98 items of load with an invalid light description. Potential impact: Low Actual impact: Low Audit history: Multiple Controls: Moderate Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate as the data is correct for 93% of the Aurora load. The impact is assessed to be low, as the items all have a wattage value with the exception of six items of load.	
Actions taken to resolve the issue	Completion date	Remedial action status
Contact will engage with QLDC to transition The DUML database from The respective distributor's databases covering their specific regions to the QLDC RAMM database. This will allow Contact and QLDC to then investigate and address the database accuracy issues in a more effective and timely manner. It will take some time to transition across to the QLDC RAMM and begin develop processes between QLDC and Contact in identifying and resolving exceptions.	Dec 2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
No comment provided		

All load recorded in database		
Non-compliance	Description	
<p>Audit Ref: 2.5</p> <p>With: Clause 11(2A) and (d) of Schedule 15.3</p> <p>From: 01-Apr-17</p> <p>To: 30-Apr-18</p>	<p>Two additional items of load found on the Aurora managed DUML database. Some additional items of load found on the PowerNet managed DUML database.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as moderate, as they are sufficient to ensure that most database information is recorded correctly for the majority of the QLDC load. The impact is assessed to be low, as detailed in section 2.1, the volume difference appears to have been corrected for the Northlake subdivision.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Contact will engage with QLDC to transition The DUML database from The respective distributor's databases covering their specific regions to the QLDC RAMM database.</p> <p>This will allow Contact and QLDC to then investigate and address the database accuracy issues in a more effective and timely manner.</p> <p>It will take some time to transition across to the QLDC RAMM and begin develop processes between QLDC and Contact in identifying and resolving exceptions.</p>	Dec 2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
No comment provided		

Tracking of load changes		
Non-compliance	Description	
<p>Audit Ref: 2.6</p> <p>With: Clause 11(3) of Schedule 15.3</p> <p>From: 01-Apr-17</p> <p>To: 30-Apr-18</p>	<p>The tracking of load changes is not being carried out in relation to changing of light type on existing items of load for the PowerNet database.</p> <p>Festive lights not tracked in the Aurora database.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as moderate, because they are sufficient to ensure that changes to the Aurora database are correctly recorded most of the time and hold the bulk of the DUML load.</p> <p>The impact is assessed to be low due to the kWh volumes.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Contact will engage with QLDC to transition The DUML database from The respective distributor's databases covering their specific regions to the QLDC RAMM database.</p> <p>This will allow Contact and QLDC to then investigate and address the database accuracy issues in a more effective and timely manner.</p> <p>It will take some time to transition across to the QLDC RAMM and begin develop processes between QLDC and Contact in identifying and resolving exceptions.</p>	Dec 2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
No comment provided		

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Apr-17 To: 30-Apr-18</p>	<p>Aurora database accuracy is assessed to be 99.3% indicating an estimated over submission of 11,200 kWh per annum. incorrect ballasts recorded for 786 items of load in the Aurora database, resulting in an estimated under submission of 12,321.84 kWh. PowerNet database accuracy is assessed to be 100.9% indicating a minor estimated under submission of 900 kWh per annum.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: None Controls: Moderate Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as moderate, as they are sufficient to ensure that most database information is recorded correctly for the majority of the QLDC load. The impact is assessed to be medium due to the kWh volumes.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Contact will engage with QLDC to transition The DUML database from The respective distributor's databases covering their specific regions to the QLDC RAMM database.</p> <p>This will allow Contact and QLDC to then investigate and address the database accuracy issues in a more effective and timely manner.</p> <p>It will take some time to transition across to the QLDC RAMM and begin develop processes between QLDC and Contact in identifying and resolving exceptions.</p>	Dec 2018	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
No comment provided		

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-Apr-17 To: 30-Apr-18</p>	<p>Aurora database accuracy is assessed to be 99.3% indicating an estimated over submission of 11,200 kWh per annum. Incorrect ballasts recorded for 786 items of load in the Aurora database, resulting in an estimated under submission of 12,321.84 kWh. PowerNet database accuracy is assessed to be 100.9% indicating a minor estimated under submission of 900 kWh per annum.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: None Controls: Moderate Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as moderate, as they are sufficient to ensure that most database information is recorded correctly for the majority of the QLDC load. The impact is assessed to be medium due to the kWh volumes.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Contact will engage with QLDC to transition The DUML database from The respective distributor's databases covering their specific regions to the QLDC RAMM database.</p> <p>This will allow Contact and QLDC to then investigate and address the database accuracy issues in a more effective and timely manner.</p> <p>It will take some time to transition across to the QLDC RAMM and begin develop processes between QLDC and Contact in identifying and resolving exceptions.</p>	Dec 2018	Investigating
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