

## Compliance plan for Far North Holdings DUML Audit 2018

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3  From: 24-May-17 To: 26-Apr-18	The field data was 94.8% of the database data indicating over submission of 837.12 kWh per annum.  Incorrect values being submitted in the AV080 resulting in an estimated under submission of 10,560 kWh per annum.  Potential impact: Medium Actual impact: Medium Audit history: Once Controls: Weak Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	Controls are rated as weak as the database has not been updated to reflect the field information.  The risk is low due to the impact on submission.	
Actions taken to resolve the issue	Completion date	Remedial action status
Databases updated based upon the information provided in this audit.	June 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Development of documented DUML process	May 2019	

All load recorded in the database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 24-May-17 To: 26-Apr-18	2 items of load not recorded in the database. Potential impact: Low Actual impact: Low Audit history: Once Controls: Weak Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	Controls are rated as weak as the database has not been updated to reflect the field information. The risk is low as the field audit found two additional items of load.	
Actions taken to resolve the issue	Completion date	Remedial action status
Database will be updated based upon this audit.	June 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Engagement with the customer to understand their future needs.	October 2018	

<b>Database Accuracy</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 3.1 With: Clause 11(2A) of Schedule 15.3 From: 24-May-17 To: 26-Apr-18	The field data was 94.8% of the database data indicating over submission of 837.116 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Once Controls: Weak Breach risk rating: 2	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	Controls are rated as weak as the database has not been updated to reflect the field information. The risk is low due to the minimal impact on submission.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Database will be updated based upon the information in this audit.	June 2018	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Bosco will be engaging with the customer to understand their future needs.	October 2018	

<b>Volume information accuracy</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 24-May-17 To: 26-Apr-18	The field data was 94.8% of the database data indicating over submission of 837.12 kWh per annum. Incorrect values being submitted in the AV080 resulting in an estimated under submission of 10,560 kWh per annum. Potential impact: Medium Actual impact: Medium Audit history: Once Controls: Weak Breach risk rating: 6	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Medium</b>	Controls are rated as weak as the database has not been updated to reflect the field information. The risk is medium due to the impact on submission.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Ticket raised to understand why the submission file does not match the database with the view that these be corrected.	June 2018	Investigating
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
N/A	N/A	