

Compliance plan for CIAL – 2018

Deriving submission information			
Non-compliance	Description		
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Apr-17 To: 30-Apr-18	The database used to prepare submissions contains some inaccurate information. The database accuracy is assessed to be 96.7% indicating an estimated over submission of 2,242 kWh per annum. Potential impact: Medium Actual impact: Low Audit history: Once 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	Remedial action status
Contact will work with Orion to get the DUMML database updated with these correct values and attributes		Sept 2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	

Description and capacity of load	
Non-compliance	Description
Audit Ref: 2.4 With: Clauses 11(2)(c) and (d) of Schedule 15.3 From: unknown To: 23-Apr-18	One lamp type has incorrect lamp wattage recorded. 18 Lamps affected. The expected wattage is 77 and expected under reporting is 153.8 kWh per annum. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1
Audit risk rating	Rationale for audit risk rating

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: 15.2 and 15.37B(c) From: 01-Apr-17 To: 30-Apr-18	The database used to prepare submissions contains some inaccurate information. The database accuracy is assessed to be 96.7% indicating an estimated over submission of 2,242 kWh per annum. Potential impact: Medium Actual impact: Low Audit history: Once 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	Remedial action status
Contact will work with Orion to get the DUMML database updated with these correct values and attributes	Sept 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	