

Compliance plan for La Pointe Estate DUML – 2018

DUML Audit		
Non-compliance	Description	
Audit Ref: 1.10 Clause 17.295F of part 17 From: 01-Jun-18 To: 16-Nov-18	Audit not completed within 12 months of Part 16A coming into effect. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate, as Meridian are reliant on the database provider to supply the data and in this case the delay caused this report to be late. The impact is assessed to be low, as this has no direct impact on reconciliation.	
Actions taken to resolve the issue	Completion date	Remedial action status
Database information obtained, and audit undertaken as soon as possible.	Complete	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 Clause 11(1) of Schedule 15.3</p> <p>From: unknown To: 16-Nov-18</p>	<p>Two additional lights are recorded on the database and wattage recorded incorrectly for one light. This will be resulting in over submission of an estimated 1,696 kWh per annum.</p> <p>Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as strong, because they are sufficient manage change effectively.</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
The database has been updated to correct these inaccuracies and historic submission information corrected.	Dec 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: unknown To: 16-Nov-18	Two additional lights are recorded on the database. Wattage recorded incorrectly for one light. 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 rated as strong, because they are sufficient to ensure that the database is accurate most of the time. The impact is assessed to be low, based on the kWh differences described above.	
Actions taken to resolve the issue		Completion date
The database has been updated to correct these inaccuracies and historic submission information corrected.		Dec 2018
Preventative actions taken to ensure no further issues will occur		Completion date
Remedial action status		
Identified		

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 Clause 15.2 and 15.37B(c) From: unknown To: 16-Nov-18	Over submission of an estimated 1,696 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	
Medium	The controls are rated as strong, because they are sufficient manage change effectively. The impact is assessed to be low, based on the kWh differences described above.	
Actions taken to resolve the issue		Completion date
The database has been updated to correct these inaccuracies and historic submission information corrected.		Dec 2018
Preventative actions taken to ensure no further issues will occur		Completion date
Remedial action status		
Identified		