

Compliance plan for Westland DC DUML – 2019]

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 07-May-18 To: 31-Mar-19	The database used to prepare submissions contains some inaccurate information. Potential impact: Low Actual impact: Low Audit history: Once previously Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time. The audit risk rating is low due to the small number of errors found in the field audit and the database is relatively static.	
Actions taken to resolve the issue	Completion date	Remedial action status
Arranged a meeting on 6 th June to discuss with ElectroNet	30 May	Investigating
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: Clause 11(2)(c) and (d) of Schedule 15.3 From: 07-May-18 To: 31-Mar-19	15 items of load have missing capacity and/or wattage information. Potential impact: Low Actual impact: Low Audit history: Once previously Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate, because most items of load have capacity and wattage information recorded. The impact is assessed to be low because 15 items of load (2.3%) are affected.	
Actions taken to resolve the issue	Completion date	Remedial action status
Have meeting with ElectroNet on 6 th June to discuss		Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Alteration to DB to correct errors.		

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 07-May-18 To: 01-Apr-19	Five additional lights found in the field. Potential impact: Low Actual impact: Low Audit history: Once previously Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as moderate as they are sufficient to ensure that all lights are recorded in the database most of the time. The audit risk rating is low due to the small number of additional lights found in the field audit and the database is relatively static.		
Actions taken to resolve the issue		Completion date	Remedial action status
Have spoken to WDC and they are to notify TP when they are connected. The email is to contain the number and wattage they wish to add and then they will be added to the DB. Likewise when they want them removed they will notify TP via email		14 th December 2018	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Check with WDC to confirm that is still in place		12 th June	

Database accuracy			
Non-compliance	Description		
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 07-May-18 To: 01-Apr-19	2 items of load with the incorrect ballast applied. 15 items of load have missing capacity and/or wattage information. Potential impact: Low Actual impact: Low Audit history: Once previously Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as moderate as they are sufficient to ensure that all lights are recorded in the database most of the time. The audit risk rating is low due to the small number of errors found in the field audit and the database is relatively static.		
Actions taken to resolve the issue		Completion date	Remedial action status
Have a meeting with ElectroNet on 6 th June to discuss		30 th May	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Once they are corrected then this should not happen again			

Volume information accuracy			
Non-compliance	Description		
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 07-May-18 To: 31-Mar-19	The database used to prepare submissions contains some inaccurate information. Potential impact: Low Actual impact: Low Audit history: Once previously Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time. The audit risk rating is low due to the small number of errors found in the field audit and the database is relatively static.		
Actions taken to resolve the issue		Completion date	Remedial action status
Have meeting with ElectroNet on 6 th June to discuss		30 th May	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	