

Compliance plan for TCDC DUML – 2019

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Jul-19</p> <p>To: 15-Nov-19</p>	<p>Database is not confirmed as accurate with a 95% level of confidence.</p> <p>17 incorrect LED wattages resulting in a minor over submission of 354.49kWh per annum.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Three times previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time.</p> <p>The impact is assessed to be medium based on the database inaccuracies found.</p>	
Actions taken to resolve the issue		Completion date
Audit findings will be raised with the council and corrections requested where needed.		31 Dec 2019
Preventative actions taken to ensure no further issue will occur		Completion date
We will confirm with the council their processes for managing changes to the database given the number of lights found that were not recorded.		01 April 2020
		Identified

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 19-Nov-18 To: 15-Nov-19	Items of load are missing from the database. Potential impact: Medium Actual impact: Medium Audit history: Three times previously Controls: Moderate Breach risk rating: 4	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time. The impact is assessed to be medium based on the database inaccuracies found.	
Actions taken to resolve the issue		Completion date
Audit findings will be raised with the council and corrections requested where needed.		31 Dec 2019
Preventative actions taken to ensure no further issue will occur		Completion date
We will confirm with the council their processes for managing changes to the database given the number of lights found that were not recorded.		01 April 2020
		Identified

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 19-Nov-18</p> <p>To: 15-Nov-19</p>	<p>Database is not confirmed as accurate with a 95% level of confidence.</p> <p>31 incorrect ballasts are recorded in the RAMM database.</p> <p>17 incorrect LED wattages resulting in a minor over submission of 354.49kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Twice previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time.</p> <p>The impact is assessed to be medium based on the database inaccuracies found.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Audit findings will be raised with the council and corrections requested where needed.	31 Dec 2019	Identified
Preventative actions taken to ensure no further issue will occur	Completion date	
We will confirm with the council their processes for managing changes to the database given the number of lights found that were not recorded.	01 April 2020	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-Jul-19</p> <p>To: 19-Nov-18</p>	<p>Database is not confirmed as accurate with a 95% level of confidence.</p> <p>17 incorrect LED wattages resulting in a minor over submission of 354.49kWh per annum.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Three times previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time.</p> <p>The impact is assessed to be medium based on the database inaccuracies found.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Audit findings will be raised with the council and corrections requested where needed.		31 Dec 2019	Identified
Preventative actions taken to ensure no further issue will occur		Completion date	
We will confirm with the council their processes for managing changes to the database given the number of lights found that were not recorded.		01 April 2020	