

Compliance plan for CIAL DUMML Compliance Plan – 2020

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 01-Apr-17 To: 05-May-20	Database discrepancies not corrected from last audit resulting in an estimated over submission of 1,755kWh per annum. The data used for submission does not track changes at a daily basis and is provided as a snapshot. Potential impact: Medium Actual impact: Low Audit history: Twice 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
We will follow up with Orion regarding correction of the wattage discrepancies identified and wash up historic submissions.		31 May 2020
Preventative actions taken to ensure no further issues will occur		Completion date
Meridian understands Orion's controls for managing the DUMML database are generally robust and are adequate to mitigate risk the majority of the time.		
Remedial action status		
Identified		

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Apr-17</p> <p>To: 05-May-20</p>	<p>Database discrepancies not corrected from last audit resulting in an estimated over submission of 1,755kWh per annum.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<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, but there are still some errors.</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
We will follow up with Orion regarding correction of the wattage discrepancies identified and wash up historic submissions.	31 May 2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Meridian understands Orion's controls for managing the DUML database are generally robust and are adequate to mitigate risk the majority of the time..		

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: 15.2 and 15.37B(c)</p> <p>From: 01-Apr-17</p> <p>To: 05-May-20</p>	<p>Database discrepancies not corrected from last audit resulting in an estimated over submission of 1,755kWh 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: Low</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement.</p> <p>The impact on settlement and participants is minor; therefore the audit risk rating is low.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
We will follow up with Orion regarding correction of the wattage discrepancies identified and wash up historic submissions.	31 May 2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Meridian understands Orion's controls for managing the DUML database are generally robust and are adequate to mitigate risk the majority of the time.		