

Compliance plan for Buller DC DUML – 2020

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 29-Nov-19 To: 25-Sep-20</p>	<p>The database did not meet the accuracy threshold resulting in an estimated annual over submission of 5,813 kWh.</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: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as weak as changes in the field are not being reflected in the database.</p> <p>The impact is assessed to be low due to the estimated amount of over submission described above.</p>	
Actions taken to resolve the issue		Completion date
We are liaising with Buller DC and Buller Network regarding audit findings and requirement to update the database so this is an accurate reflection of what is installed. Historic submissions will be revised taking into account the dates lights were installed/removed where this information is available.		Nov 2020
Preventative actions taken to ensure no further issue will occur		Completion date
We will follow up with Buller DC regarding improvements to database maintenance processes so that these are received more regularly as they occur.		Dec 2020
Identified		

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) of Schedule 15.3 From: 29-Nov-19 To: 25-Sep-20	Four lights with an unknown light type. 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 light descriptions are required to be provided when changes are made. The impact is assessed to be low due to the small number of lights affected.	
Actions taken to resolve the issue	Completion date	Remedial action status
We are liaising with Buller DC and Buller Network regarding audit findings and requirement to update the database so this is an accurate reflection of what is installed. Historic submissions will be revised taking into account the dates lights were installed/removed where this information is available. We note that the wattage for the 4 lights with an unknown light model were confirmed as accurate during the field audit.	Nov 2020	Identified
Preventative actions taken to ensure no further issue will occur	Completion date	
We will follow up with Buller DC regarding improvements to database maintenance processes so that these are received more regularly as they occur.	Dec 2020	

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 29-Nov-19 To: 25-Sep-20	Two additional lights identified by the field audit. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as weak due to the high number of errors found in the field. The impact is assessed to be low due to the small number of additional lights found.		
Actions taken to resolve the issue		Completion date	Remedial action status
We are liaising with Buller DC and Buller Network regarding audit findings and requirement to update the database so this is an accurate reflection of what is installed. Historic submissions will be revised taking into account the dates lights were installed/removed where this information is available.		Nov 2020	Identified
Preventative actions taken to ensure no further issue will occur		Completion date	
We will follow up with Buller DC regarding improvements to database maintenance processes so that these are received more regularly as they occur.		Dec 2020	

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 29-Nov-19</p> <p>To: 25-Sep-20</p>	<p>Assessment of the database found that an estimated annual over submission of 5,813 kWh.</p> <p>Four lights with an unknown light description.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as weak as changes in the field are not being reflected in the database.</p> <p>The impact is assessed to be low due to the estimated amount of over submission described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
We are liaising with Buller DC and Buller Network regarding audit findings and requirement to update the database so this is an accurate reflection of what is installed. Historic submissions will be revised taking into account the dates lights were installed/removed where this information is available.	Nov 2020	Identified
Preventative actions taken to ensure no further issue will occur	Completion date	
We will follow up with Buller DC regarding improvements to database maintenance processes so that these are received more regularly as they occur.	Dec 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: 29-Nov-19</p> <p>To: 25-Sep-20</p>	<p>The database did not meet the accuracy threshold resulting in an estimated annual over submission of 5,813 kWh.</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: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as weak as changes in the field are not being reflected in the database.</p> <p>The impact is assessed to be low due to the estimated amount of over submission described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
We are liaising with Buller DC and Buller Network regarding audit findings and requirement to update the database so this is an accurate reflection of what is installed. Historic submissions will be revised taking into account the dates lights were installed/removed where this information is available.	Nov 2020	Identified
Preventative actions taken to ensure no further issue will occur	Completion date	
We will follow up with Buller DC regarding improvements to database maintenance processes so that these are received more regularly as they occur.	Dec 2020	