

Compliance plan for Gore DC DUML – 2020

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 07-Mar-20 To: 04-Nov-20	In absolute terms, total annual consumption is estimated to be 8,000 kWh lower than the DUML database indicates. Potential impact: Medium Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate. The processes in place are robust for the calculation of submission. Powernet send through changes to GDC to load into the database, but errors can sometimes still occur. The impact is assessed to be low, based on the kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Audit findings will be provided to GDC for correction of the database.	Dec 2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Existing processes and controls for database management are considered adequate		

Database accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 07-Mar-20</p> <p>To: 04-Nov-20</p>	<p>In absolute terms, total annual consumption is estimated to be 8,000 kWh lower than the DUML database indicates.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Four times</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 Powernet send through changes to GDC to load into the database, but errors can sometimes still occur.</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
Audit findings will be provided to GDC for correction of the database.	Dec 2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Existing processes and controls for database management are considered adequate		

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 07-Mar-20</p> <p>To: 04-Nov-20</p>	<p>In absolute terms, total annual consumption is estimated to be 8,000 kWh lower than the DUML database indicates.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Three times</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. The processes in place are robust for the calculation of submission. Powernet send through changes to GDC to load into the database, but errors can sometimes still occur.</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
Audit findings will be provided to GDC for correction of the database.	Dec 2020	Identified
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