

Compliance Plan for FNDC DUML – 2020

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 Clause 11(1) of Schedule 15.3</p> <p>From: unknown To: 01-Oct-20</p>	<p>The database wattage is 121.59% of the actual wattage resulting an estimated annual over submission of 3,981kWh.</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 Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time, but there is room for improvement.</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
<p>We are confirming the details of lamp changes that have not been reported to us with Northpower and the customer.</p> <p>The database will be amended and submissions revised as required. Revisions will take into account changes at a daily basis if this information is available.</p>		<p>31 Dec 2020</p> <p>31 Dec 2020</p>
Preventative actions taken to ensure no further issues will occur		Completion date
<p>We will reconfirm the change management process with relevant parties</p>		<p>31 Jan 2020</p>
Identified		

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: unknown To: 01-Oct-20	The field audit found two additional 70W HPS that were not recorded in the database. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong, because they are sufficient to ensure that the database is accurate most of the time. The impact is assessed to be low, based on the kWh differences described above.	
Actions taken to resolve the issue		Completion date
We are confirming the details of lamp changes that have not been reported to us with Northpower and the customer. The database will be amended and submissions revised as required. Revisions will take into account changes at a daily basis if this information is available.		31 Dec 2020 31 Dec 2020
Preventative actions taken to ensure no further issues will occur		Completion date
We will reconfirm the change management process with relevant parties		31 Jan 2020
Remedial action status		
Identified		

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: unknown To: 01-Oct-20	The database wattage is 121.59% of the actual wattage resulting an estimated annual over submission of 3,981kWh. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time, but there is room for improvement. 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
We are confirming the details of lamp changes that have not been reported to us with Northpower and the customer. The database will be amended and submissions revised as required. Revisions will take into account changes at a daily basis if this information is available.	31 Dec 2020 31 Dec 2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We will reconfirm the change management process with relevant parties	31 Jan 2020	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 Clause 15.2 and 15.37B(c) From: unknown To: 01-Oct-20	The database wattage is 121.59% of the actual wattage resulting an estimated annual over submission of 3,981kWh. The data used for submission does not track changes at a daily basis and is provided as a snapshot. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time, but there is room for improvement. The impact is assessed to be low, based on the kWh differences described above.	
Actions taken to resolve the issue		Completion date
We are confirming the details of lamp changes that have not been reported to us with Northpower and the customer. The database will be amended and submissions revised as required. Revisions will take into account changes at a daily basis if this information is available.		31 Dec 2020 31 Dec 2020
Preventative actions taken to ensure no further issues will occur		Completion date
We will reconfirm the change management process with relevant parties		31 Jan 2020