

Scanpower DUML Compliance Plan 2021

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-Nov-19</p> <p>To: 12-May-21</p>	<p>107 items have the incorrect wattage applied indicating an estimated over submission of 1,828 kWh 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: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>Controls are rated as moderate as the processes overall are robust, but the change whilst tracked at a daily level the load is calculated as a snapshot.</p> <p>The audit risk rating is low as the impact on submission is very minor.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
The incorrect wattages identified will be corrected in the database.		30 June 2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Processes are in place to account for historical database corrections that have a material impact on settlement volumes.			

Audit trail		
Non-compliance	Description	
Audit Ref: 2.7 With: Clause 11(4) of Schedule 15.3 From: 01-Nov-19 To: 12-May-21	The Excel spreadsheet does not record an audit trail. 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 moderate as they will mitigate risk most of the time but there is room for improvement. The audit risk rating is low because historic information is retained enabling before and after values to be confirmed, and the approximate date of the change. The database is normally maintained by one user.	
Actions taken to resolve the issue	Completion date	Remedial action status
		Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Existing audit trail capability is considered adequate given the size of the database, frequency of changes and number of operators with access to maintain the database.		

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Nov-19 To: 12-May-21	107 items have the incorrect wattage applied indicating an estimated over submission of 1,828 kWh per annum. 2 items of load have incorrect wattage recorded. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are moderate as they will mitigate risk most of the time but there is room for improvement. The audit risk rating is low as the impact on submission is very minor.	
Actions taken to resolve the issue	Completion date	Remedial action status
The incorrect wattages identified will be corrected in the database.	30 June 2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Processes are in place to account for historical database corrections that have a material impact on settlement volumes.		

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-Nov-19</p> <p>To: 12-May-21</p>	<p>107 items have the incorrect wattage applied indicating an estimated over submission of 1,828 kWh 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: 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>Controls are rated as moderate as the processes overall are robust, but the change is not tracked at a daily level.</p> <p>The impact is assessed to be low as there are very few changes made to this database and the field audit confirmed the database to be accurate based on the estimated database errors found.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
The incorrect wattages identified will be corrected in the database.		30 June 2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Processes are in place to account for historical database corrections that have a material impact on settlement volumes.			