

# Compliance Plan Buller DC ElectroNet DUML 2021

Non-compliance	Description		
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 28-Nov-18</p> <p>To: 16-Aug-21</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: Non</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<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.</p> <p>The impact is assessed to be low due to the impact on submission.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Where we are made aware of material changes to lamp information in DUML database that impact historical settlements, revisions are processed.</p> <p>We are considering the impact the provision and use of database changes at a daily level will have on our processes and tools.</p>		<p>In place</p> <p>Ongoing</p>	

Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 28-Nov-18</p> <p>To: 16-Aug-21</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: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<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.</p> <p>The impact is assessed to be low because only one item of load is affected.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Where we are made aware of material changes to lamp information in DUMML database that impact historical settlements, revisions are processed.</p> <p>We are considering the impact the provision and use of database changes at a daily level will have on our processes and tools.</p>		<p>In place</p> <p>Ongoing</p>	