

## Compliance Plan Grey DC DUMML 2021

Non-compliance	Description		
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 27-May-20</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>The database was not within the +/-5% accuracy threshold. In absolute terms, total annual consumption is estimated to be 3,100 kWh higher than the DUMML database indicates.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times previously</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, 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
Work with Grey DC		01/02/2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Work with Grey DC			

Non-compliance	Description		
<p>Audit Ref: 2.4</p> <p>With: Clause 11(2)(c) and (d) of Schedule 15.3</p> <p>From: 04-May-20</p> <p>To: 27-Sep-21</p>	<p>Light type recorded as 'Other' for two lamps.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>The controls are recorded as strong because they mitigate risk to an acceptable level.</p> <p>The impact is assessed to be low because only two items of load are affected.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Ask Grey DC to find and fix the two lamp light types		01/02/2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	

Non-compliance	Description		
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 27-May-20 To: 16-Aug-21	Three additional lights found in the field from the 232 lights sampled. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	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 due to the small number of additional lights found.		
Actions taken to resolve the issue		Completion date	Remedial action status
Work with Grey DC to ensure their data base is updated		01/02/2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
As above		Proposed or actual date	

Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 27-May-20</p> <p>To: 16-Aug-21</p>	<p>The database was not within the +/-5% accuracy threshold. In absolute terms, total annual consumption is estimated to be 3,100 kWh higher than the DUMML database indicates.</p> <p>Light type recorded as 'Other' for two lamps.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times previously</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, because most items of load have capacity and wattage information recorded.</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
Work with Grey DC to ensure their data base is regularly updated and checked for accuracy		ongoing	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
As above		ongoing	

Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 27-May-20</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>The database was not within the +/-5% accuracy threshold. In absolute terms, total annual consumption is estimated to be 3,100 kWh higher than the DUMML database indicates.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times previously</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, 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
Work with Grey DC to find a solution		Ongoing	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
As Above		Ongoing	