

Scanpower DUML Compliance Plan 2022

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-May-21</p> <p>To: 14-Nov-22</p>	<p>76 items have the incorrect wattage applied indicating an estimated over submission of 1,298 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 of the load, whilst tracked at a daily level, 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
Scanpower has corrected all wattage inaccuracies in the database and Meridian will revise historic submissions to correct the over submission		01/02/2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We have assessed our processes and tools to account for historic lamp installations and changes to the database at a daily level. There are checks in place comparing month to month data to identify any material changes and confirm details for these. These are accounted for in monthly submission.		Ongoing	

Audit trail		
Non-compliance	Description	
Audit Ref: 2.7 With: Clause 11(4) of Schedule 15.3 From: 01-May-21 To: 14-Nov-22	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		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-May-21</p> <p>To: 14-Nov-22</p>	<p>76 items have the incorrect wattage applied indicating an estimated over submission of 1,298 kWh per annum. This has now been corrected within the database.</p> <p>Three items of load have incorrect wattage recorded.</p> <p>Potential impact: None</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are moderate as they will mitigate risk most of the time but there is room for improvement.</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
Scanpower has corrected all wattage inaccuracies in the database and Meridian will revise historic submissions to correct the over submission.		01/02/2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	

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-May-21</p> <p>To: 14-Nov-22</p>	<p>76 items have the incorrect wattage applied indicating an estimated over submission of 1,298 kWh per annum. This has now been corrected within the database.</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
Scanpower has corrected all wattage inaccuracies in the database and Meridian will revise historic submissions to correct the over submission.		01/02/2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We have assessed our processes and tools to account for historic lamp installations and changes to the database at a daily level. There are checks in place comparing month to month data to identify any material changes and confirm details for these. These are accounted for in monthly submission.		Ongoing	