

Compliance plan for Far North District Council Jetty and Wharf Lights October 2022

Distributed unmetered load audits		
Non-compliance	Description	
Audit Ref: 1.10 With: Clause 16A(1)(b) of Part 16A & 17.295F From: 13-Aug-22 To: 20-Oct-22	Audit not completed within the required timeframe. Potential impact: Low Actual impact: Low Audit history: Once Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong, as Contact were previously reliant on external parties to supply the data but are now managing the database themselves. The impact is assessed to be low, as this has no direct impact on reconciliation.	
Actions taken to resolve the issue	Completion date	Remedial action status
Audit commissioned as soon as switching to Simply/CTCS for management		Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
This Database is now managed by Simply Energy DUMML team (effective 1/9/22).	1/9/22	

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 24-May-17 To: 12-Oct-22	The Contact excel spreadsheet data was 38.13% higher than the field data indicating over submission of 1,913.41 kWh per annum. The Contact excel spreadsheet does not track changes on a daily basis. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as weak as the Contact excel spreadsheet has not been updated to reflect the field information. The risk is low due to the impact on submission.	
Actions taken to resolve the issue	Completion date	Remedial action status
Veritek Field audit completed 12/10/22, all discrepancies found by Veritek have been implemented effective 1/10/22.	19/10/22	Identified
Inventory database of DUMML assets established in September 2022 which includes an audit log of any changes made.	1/9/2022	
Preventative actions taken to ensure no further issues will occur	Completion date	
Inventory database passed to FNDC operations department (FNHL) to maintain and update database and audit log.	12/10/22	

Description and capacity of load			
Non-compliance	Description		
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: 01-Sep-22 To: 13-Oct-22	Insufficient lamp type details recorded in the database. No gear wattage recorded in the database for six fluorescent lights. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as weak as the Contact excel spreadsheet does not contain accurate details of each item of load. The impact on settlement and participants is minor; therefore, the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
lamp type and associated wattage will be updated in the database by FNHL operations team.		30/11/2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
FNDC plan to remove lamp assets from the DUML through metering in FY24		31/3/2024	

Tracking of load changes			
Non-compliance	Description		
Audit Ref: 2.6 With: Clause 11(3) of Schedule 15.3 From: 24-May-17 To: 12-Oct-22	Tracking of load change not carried out. Potential impact: Low Actual impact: Low Audit history: Twice Controls: None Breach risk rating: 5		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as none as there is no mechanism for tracking load changes. The field audit identified eight lights had been replaced since the last audit indicating that the Contact excel spreadsheet has not been kept up to date. The impact on settlement and participants is minor; therefore, the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Effective 1/9/2022 the database implemented has an audit log that identifies changes and the effective date.		1/9/2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
N/a – believe above is sufficient			

Audit trail		
Non-compliance	Description	
Audit Ref: 2.7 With: Clause 11(4) of Schedule 15.3 From: 24-May-17 To: 12-Oct-22	Tracking of load change not carried out and therefore no audit trail of changes. Potential impact: Low Actual impact: Low Audit history: Twice Controls: None Breach risk rating: 5	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as none as there is no mechanism for tracking load changes. The field audit identified eight lights had been replaced since the last audit indicating that the Contact excel spreadsheet has not been kept up to date. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Effective 1/9/2022 the database implemented has an audit log that identifies changes and the effective date.		1/9/2022
Preventative actions taken to ensure no further issues will occur		Completion date
N/a – believe above is sufficient		
Remedial action status		
Identified		

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 11(2A) of Schedule 15.3 From: 24-May-17 To: 12-Oct-22	The Contact excel spreadsheet data was 38.13% higher than the field data indicating over submission of 1,913.41 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as weak as the Contact excel spreadsheet has not been updated to reflect the field information. The risk is low due to the impact on submission.	
Actions taken to resolve the issue	Completion date	Remedial action status
Veritek Field audit completed 12/10/22, all discrepancies found by Veritek have been implemented effective 1/10/22.	19/10/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 24-May-17 To: 12-Oct-22	The Contact excel spreadsheet data was 38.13% higher than the field data indicating over submission of 1,913.41 kWh per annum. The Contact excel spreadsheet does not track changes on a daily basis. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as weak as the Contact excel spreadsheet has not been updated to reflect the field information. The risk is low due to the impact on submission.	
Actions taken to resolve the issue	Completion date	Remedial action status
Veritek Field audit completed 12/10/22, all discrepancies found by Veritek have been implemented effective 1/10/22. Effective 1/9/2022 the database implemented has an audit log that identifies changes and the effective date.	19/10/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	