

## Compliance plan for [Participant name/ Streetlight database] [Audit type e.g. Distributor 2021][Year]

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3  From: 01-Jun-18 To: 31-May-21	The database is outside the allowable +/-5% accuracy threshold resulting in a potential estimated over submission of 12,264 kWh per annum.  Potential impact: Medium Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as weak as the change management process requires review.  The impact is assessed to be potentially medium, based on the kWh values described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
We have worked closely with our customer to confirm the audit findings. Its been tough for everyone through covid lockdowns & restrictions. Our customer also had staff changeover, but we managed to get the signs confirmed.	01/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Moving forward, we hope to carry out quarterly reviews.	04/2022	

Audit trail			
Non-compliance	Description		
Audit Ref: 2.7 With: Clause 11(4) of Schedule 15.3  From: 01-Jun-18 To: 08-Jun-21	The available audit trails do not specify the user who made the data change.  Potential impact: Low Actual impact: None Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	Controls are rated as strong, because there is typically one person who updates the spreadsheet.  The impact is assessed to be low based on the nature and type of the non-compliance.		
Actions taken to resolve the issue		Completion date	Remedial action status
Being a small organisation, only 1 person is authorised to final the changes & we don't see a need to change this.		N/A	
Preventative actions taken to ensure no further issues will occur		Completion date	
Although only 1 person is authorised to make changes, another staff has been fully trained DUML & can take over with approval from management. So my absence would affect the operational business would still operate		N/A	

Database Accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)  From: 01-Jun-18 To: 08-Jun-21	The database is outside the allowable +/-5% accuracy threshold resulting in a potential estimated over submission of 12,264 kWh per annum.  Potential impact: Medium  Actual impact: Low  Audit history: None  Controls: Weak  Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as weak as the change management process requires review.  The impact is assessed to be potentially medium, based on the kWh values described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
We have updated the database post audit & confirmed all the changes with our customer.	01/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Hopefully we wont have this issue arising again if we continuously monitor the changes with our customer. Hoping to see a difference this year	04/2022	

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-Jun-18</p> <p>To: 31-May-21</p>	<p>The database is outside the allowable +/-5% accuracy threshold resulting in a potential estimated over submission of 12,264 kWh per annum.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are rated as weak as the change management process requires review.</p> <p>The impact is assessed to be potentially medium, based on the kWh values described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
The changes were confirmed 01/2022 so we will update the Registry & our submission effect 01/01/2022. The customer doesn't have a specific date of when the changes came into effect.	01/2022	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
We are looking at improving the accuracy of our submission the information held in the database by having regular communication with our customer. This DUML being part of the airport makes it a very secret process & information isn't shared easily but we are hoping for an improvement.	04/2022	