

Compliance Plan CCC Traffic lights DUML 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: 18-Mar-21</p> <p>To: 7-Mar-22</p>	<p>Metered volume missing from the November submission and the unmetered volume is missing from the January 2022 submission.</p> <p>The database contained missing daily kWh information for one set of traffic lights, resulting in minor under submission of estimated 2,964 kWh per annum.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot. Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple 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 recorded as moderate as the installation of metering on an unmetered site has resulted in the incorrect profile being applied and this wasn't identified prior to the audit.</p> <p>The impact is assessed to be low as the discrepancy found will only have a minor effect on submission.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>An investigation is currently underway to determine what this meter is supplying as it was not commissioned by either CCC or Simply Energy. Our suspicions are this is recording volume on assets that are already reconciled via our DUML processes. All historic volumes related to the meter will be corrected via usual revision submission process upon outcome of this investigation.</p> <p>Missing data has been added to the database; Capacity from September 2021 (instal date of light) have been updated to reflect this additional load and will be corrected in the next available revision.</p>		<p>31/5/2022</p> <p>30/4/2022</p>	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Investigations are ongoing at CCC in regards to moving away from an Access based database to manage assets. Improved controls and audit tracking will be integral to the new system. This will also necessitate the re-writing of the code that determines the daily consumption values, at which point we can address the ability to calculate a daily value, rather than a monthly snapshot.</p>			

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3 From: 18-Mar-21 To: 7-Mar-22	One item of load does not have any equipment type associated to the site name, to indicate the vehicle lantern type and wattage. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as strong because they mitigate risk to an acceptable level. 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
Item description has been updated	31/3/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Audit trail		
Non-compliance	Description	
Audit Ref: 2.6 With: Clause 11(4) of Schedule 15.3 From: 18-Mar-21 To: 7-Mar-22	No audit trail of changes made in the access database. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as weak because audit trails do not exist. The impact is rated as low, because it does not affect submission.	
Actions taken to resolve the issue	Completion date	Remedial action status
		Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Investigations are ongoing at CCC in regard to moving away from an Access based database to manage assets. Improved controls and audit tracking will be integral to the new system.	2023	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 18-Mar-21 To: 7-Mar-22	The database contained some missing daily kWh information, resulting in minor under submission of an estimated 2,964 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Twice previously Controls: Strong Breach risk rating:1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as strong because they mitigate risk to an acceptable level. The impact is assessed to be low as the discrepancy found will only have a very minor effect on submission.	
Actions taken to resolve the issue	Completion date	Remedial action status
Missing data has been added to the database; Capacity from September 2021 (install date of light) have been updated to reflect this additional load and will be corrected in the next available revision.	30/4/2021	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: 18-Mar-21</p> <p>To: 7-Mar-22</p>	<p>Metered volume missing from the November submission and the unmetered volume is missing from the January 2022 submission.</p> <p>The database contained missing daily kWh information for one set of traffic lights, resulting in minor under submission of an estimated 2,964 kWh per annum.</p> <p>The monthly database extract provided 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: Multiple 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 recorded as moderate as the installation of metering on an unmetered site has resulted in the incorrect profile being applied and this wasn't identified prior to the audit.</p> <p>The impact is assessed to be low as the discrepancy found will only have a very minor effect on submission.</p>	
Actions taken to resolve the issue	Actions taken to resolve the issue	Actions taken to resolve the issue
<p>An investigation is currently underway to determine what this meter is supplying as it was not commissioned by either CCC or Simply Energy. Our suspicions are this is recording volume on assets that are already reconciled via our DUML processes. All historic volumes related to the meter will be corrected via usual revision submission process upon outcome of this investigation.</p> <p>Missing data has been added to the database; Capacity from September 2021 (instal date of light) have been updated to reflect this additional load and will be corrected in the next available revision.</p>	<p>31/5/2022</p> <p>30/4/2022</p>	<p>Investigating</p>
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Investigations are ongoing at CCC in regard to moving away from an Access based database to manage assets. Improved controls and audit tracking will be integral to the new system. This will also necessitate the re-writing of the code that determines the daily consumption values, at which point we can address the ability to calculate a daily value, rather than a monthly snapshot.</p>	<p>Proposed or actual date</p>	