

Compliance plan for Far North Holdings DUML March 2021

DUML Audit		
Non-compliance	Description	
Audit Ref: 1.10 With: Clause 16A(1)(b) of Part 16A & 17.295F From: 31-Mar-21 To: 20-Dec-21	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 are reliant on the database provider to supply the data and in this case their delay caused this report to be late. 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
Contact Energy is in discussions with this customer to correct the load and lights included in these ICP's. This includes moving lights that are not Far North Holdings onto the Far North Council. This will leave 2 lights on the Far North Holdings ICP that will become Unmetered Load rather than Distributed Unmetered Load	01/06/2022	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Contact Energy is working with this customer to close out this non compliance before June 2022	01/06/2022	

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 24-May-17</p> <p>To: 21-Jul-21</p>	<p>The TOPE excel spreadsheet was 61.32% of the submission information indicating over submission of 9,900 kWh per annum.</p> <p>The TOPE excel spreadsheet data was 89.78% of the field data indicating under submission of 1,785.28 kWh per annum.</p> <p>The registry figures are used for submission and this does not track load on a daily basis.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>Controls are rated as weak as a database is not used for submission.</p> <p>The risk is medium due to the impact on submission.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Contact Energy is in discussions with this customer to correct the load and lights included in these ICP's. This includes moving lights that are not Far North Holdings onto the Far North Council. This will leave 2 lights on the Far North Holdings ICP that will become Unmetered Load rather than Distributed Unmetered Load		01/06/2022	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Contact Energy is working with this customer to close out this non compliance before June 2022		01/06/2022	

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-May-18 To: 21-Jul-21	3 x no input wattage recorded 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 TOPE excel spreadsheet has a high level of inaccuracy indicating controls are weak. 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
Contact Energy is in discussions with this customer to correct the load and lights included in these ICP's. This includes moving lights that are not Far North Holdings onto the Far North Council. This will leave 2 lights on the Far North Holdings ICP that will become Unmetered Load rather than Distributed Unmetered Load	01/06/2022	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Contact Energy is working with this customer to close out this non compliance before June 2022	01/06/2022	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 24-May-17 To: 21-Jul-21	21 items of load not recorded in the TOPE excel spreadsheet. 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 TOPE excel spreadsheet has not been updated to reflect the field information. 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
Contact Energy is in discussions with this customer to correct the load and lights included in these ICP's. This includes moving lights that are not Far North Holdings onto the Far North Council. This will leave 2 lights on the Far North Holdings ICP that will become Unmetered Load rather than Distributed Unmetered Load	01/06/2022	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Contact Energy is working with this customer to close out this non compliance before June 2022	01/06/2022	

Tracking of load changes			
Non-compliance	Description		
Audit Ref: 2.6 With: Clause 11(3) of Schedule 15.3 From: 24-May-17 To: 21-Jul-21	Tracking of load change not carried out. Potential impact: Low Actual impact: Low Audit history: Once 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 a high number of discrepancies indicating that the TOPE 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
Contact Energy is in discussions with this customer to correct the load and lights included in these ICP's. This includes moving lights that are not Far North Holdings onto the Far North Council. This will leave 2 lights on the Far North Holdings ICP that will become Unmetered Load rather than Distributed Unmetered Load		01/06/2022	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Contact Energy is working with this customer to close out this non compliance before June 2022		01/06/2022	

Audit trail		
Non-compliance	Description	
Audit Ref: 2.7 With: Clause 11(4) of Schedule 15.3 From: 24-May-17 To: 21-Jul-21	Tracking of load change not carried out and therefore no audit trail of changes. Potential impact: Low Actual impact: Low Audit history: Once 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 a high number of discrepancies indicating that the TOPE 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
Contact Energy is in discussions with this customer to correct the load and lights included in these ICP's. This includes moving lights that are not Far North Holdings onto the Far North Council. This will leave 2 lights on the Far North Holdings ICP that will become Unmetered Load rather than Distributed Unmetered Load		01/06/2022
Preventative actions taken to ensure no further issues will occur		Completion date
Contact Energy is working with this customer to close out this non compliance before June 2022		01/06/2022
Remedial action status		
Investigating		

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: Clause 11(2A) of Schedule 15.3 From: 24-May-17 To: 21-Jul-21	The TOPE excel spreadsheet data was 89.78% of the field data indicating under submission of 1,785.28 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 TOPE excel spreadsheet has not been updated to reflect the field information. The risk is low due to the minimal impact on submission.	
Actions taken to resolve the issue		Completion date
Contact Energy is in discussions with this customer to correct the load and lights included in these ICP's. This includes moving lights that are not Far North Holdings onto the Far North Council. This will leave 2 lights on the Far North Holdings ICP that will become Unmetered Load rather than Distributed Unmetered Load		01/06/2022
Preventative actions taken to ensure no further issues will occur		Completion date
Contact Energy is working with this customer to close out this non compliance before June 2022		01/06/2022
		Remedial action status
		Investigating

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 24-May-17</p> <p>To: 21-Jul-21</p>	<p>The TOPE excel spreadsheet was 61.32% of the submission information indicating over submission of 9,900 kWh per annum.</p> <p>The TOPE excel spreadsheet data was 89.78% of the field data indicating under submission of 1,785.28 kWh per annum.</p> <p>The registry figures are used for submission and this does not track load on a daily basis.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>Controls are rated as weak as the TOPE excel spreadsheet has not been updated to reflect the field information.</p> <p>The risk is medium due to the impact on submission.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Contact Energy is in discussions with this customer to correct the load and lights included in these ICP's. This includes moving lights that are not Far North Holdings onto the Far North Council. This will leave 2 lights on the Far North Holdings ICP that will become Unmetered Load rather than Distributed Unmetered Load</p>		01/06/2022	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Contact Energy is working with this customer to close out this non compliance before June 2022</p>		01/06/2022	