

Compliance plan for Nulite DUML – 2021

Location of each item of load		
Non-compliance	Description	
Audit Ref: 2.3 With: Clause 11(2)(b) of Schedule 15.3 From: 03-Feb-20 To: 07-Jan-22	One item of load with insufficient details to locate it. 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 location details are recorded correctly for all but one item of load. The impact is assessed to be low as only one item of load is affected.	
Actions taken to resolve the issue	Completion date	Remedial action status
We will investigate and make the necessary changes to the database and within SAP.	Feb 22	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We rely on accurate information from the customer to maintain the DUML database. We will continue to work with the customer to ensure the database is accurate and up to date.	Ongoing	

Description and capacity of load		
Non-compliance	Description	
<p>Audit Ref: 2.4 With: 11(2)(c) of Schedule 15.3</p> <p>From: 01-Jun-17 To: 07-Jan-22</p>	<p>There is insufficient information recorded to determine the capacity of the items of load as the ballast wattages are not recorded in the database.</p> <p>Potential impact: Low Actual impact: Unknown Audit history: Three times Controls: Moderate Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls in place are rated as moderate as this information has been requested from the customer but has not been provided as yet.</p> <p>The impact is assessed to be low as the volume of lights associated with this database are small.</p>	
Actions taken to resolve the issue		Completion date
We will endeavour to obtain these details from the customer and will make the necessary changes to the database and within SAP.		Apr 22
Preventative actions taken to ensure no further issues will occur		Completion date
We rely on accurate information from the customer to maintain the DUMML database. We will continue to work with the customer to ensure the database is accurate and up to date.		Ongoing
Remedial action status		
Identified		

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: 11(2A) of Schedule 15.3 From: 01-Jun-17 To: 07-Jan-22	One additional light found in the field. Potential impact: Medium Actual impact: Medium Audit history: Multiple times Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls in place are rated as moderate as there have been improvements in the management of the database since the last audit. The impact is assessed to be low, based on the kWh differences detailed in section 3.1 .	
Actions taken to resolve the issue	Completion date	Remedial action status
We will investigate and make the necessary changes to the database and within SAP.	Apr 22	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We rely on accurate information from the customer to maintain the DUML database. We will continue to work with the customer to ensure the database is accurate and up to date.	Ongoing	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: 15.2 and 15.37B(b) From: 01-Jun-17 To: 07-Jan-22	One item of load with insufficient details to locate it. There is insufficient information recorded to determine the capacity of the items of load as the ballast wattages are not recorded in the database. Potential impact: Medium Actual impact: Medium Audit history: Multiple times Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls in place are rated as moderate as there have been improvements in the management of the database since the last audit. The impact is assessed to be low, based on the kWh differences identified.	
Actions taken to resolve the issue	Completion date	Remedial action status
One item of load with insufficient details to locate it. We will investigate and make the necessary changes to the database and within SAP.	Feb 22	Identified
There is insufficient information recorded to determine the capacity of the items of load as the ballast wattages are not recorded in the database. We will endeavour to obtain these details from the customer and will make the necessary changes to the database and within SAP.	Apr 22	
Preventative actions taken to ensure no further issues will occur	Completion date	
We rely on accurate information from the customer to maintain the DUML database. We will continue to work with the customer to ensure the database is accurate and up to date.	Ongoing	