

Compliance plan for Jacks Point DUML Audit – 2018

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: 11(1) of Schedule 15.3 From: 01-Apr-17 To: 30-Apr-18	The database accuracy is assessed to be 94.8% indicating an estimated over submission of 1,600 kWh per annum. Incorrect ballasts recorded for 15 items of load resulting in an estimated minor under submission of 256.26 kWh. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time. The impact is assessed to be low due to the kWh volumes.	
Actions taken to resolve the issue	Completion date	Remedial action status
We will provide the field audit findings to our agent to investigate and resolve. We believe the issues with locating lights may relate to incorrect location information rather than the lights not being installed.	15 June 2018	Identified
We will have our agent correct the ballasts for the items of load where this was found to be incorrect.	30 June 2018	
Preventative actions taken to ensure no further issues will occur	Completion date	
We will provide the table of standardised wattages to our agent so that the correct ballasts are applied to any new lights added to the database.	15 June 2018	

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-Apr-17 To: 30-Apr-18	One item of load with no lamp description. Potential impact: None Actual impact: None Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as strong as the data is correct for all but one item of load. The impact is assessed to be low, as the item has a wattage assigned consistent with other lights in the surrounds.		
Actions taken to resolve the issue		Completion date	Remedial action status
We will ask our agent to verify the one item of load identified with no description and update if necessary.		30 June 2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Existing controls are considered sufficient to mitigate risk to an acceptable level		Ongoing	

Tracking of load changes		
Non-compliance	Description	
Audit Ref: 2.6 With: Clause 11(3) of Schedule 15.3 From: 01-Apr-17 To: 30-Apr-18	Load changes not tracked in all instances. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time. The impact is assessed to be low due to the kWh volumes.	
Actions taken to resolve the issue	Completion date	Remedial action status
We will provide the field audit findings to our agent to investigate and resolve. We believe the issues with locating lights may relate to incorrect location information recorded in the database rather than the lights not being installed or having been removed.	15 June 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We will have our agent review the processes for notifying of changes if this is identified as the root cause of the database discrepancies.	30 Sept 2018	

Database accuracy			
Non-compliance	Description		
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b) From: 01-Apr-17 To: 30-Apr-18	The database accuracy is assessed to be 94.8% indicating an estimated over submission of 1,600 kWh per annum. Incorrect ballasts recorded for 15 items of load resulting in an estimated minor under submission of 256.26 kWh. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time. The impact is assessed to be low due to the kWh volumes.		
Actions taken to resolve the issue		Completion date	Remedial action status
We will provide the field audit findings to our agent to investigate and resolve. We believe the issues with locating lights may relate to incorrect location information rather than the lights not being installed.		15 June 2018	Identified
We will have our agent correct the ballasts for the items of load where this was found to be incorrect.		30 June 2018	
Preventative actions taken to ensure no further issues will occur		Completion date	
We will provide the table of standardised wattages to our agent so that the correct ballasts are applied to any new lights added to the database.		15 June 2018	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 01-Apr-17 To: 30-Apr-18	The database accuracy is assessed to be 94.8% indicating an estimated over submission of 1,600 kWh per annum. Incorrect ballasts recorded for 15 items of load resulting in an estimated minor under submission of 256.26 kWh. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time. The impact is assessed to be low due to the kWh volumes.	
Actions taken to resolve the issue	Completion date	Remedial action status
We will provide the field audit findings to our agent to investigate and resolve. We believe the issues with locating lights may relate to incorrect location information rather than the lights not being installed.	15 June 2018	Identified
We will have our agent correct the ballasts for the items of load where this was found to be incorrect.	30 June 2018	
Preventative actions taken to ensure no further issues will occur	Completion date	
We will provide the table of standardised wattages to our agent so that the correct ballasts are applied to any new lights added to the database.	15 June 2018	