

Compliance plan for Western Bays Parks and Reserves Mercury DUML 2023

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 21-May-21</p> <p>To: 30-Apr-23</p>	<p>Incorrect volumes calculated for ICP 1000525283PC07C resulting in an estimated under submission of 4,963 kWh per annum.</p> <p>Database accuracy is outside of the allowable +/- 5% threshold resulting in an estimated over submission of 14,509 kWh per annum.</p> <p>38 of the lights are recorded in both this and the WBOP DC RAMM streetlight database resulting in an estimated over submission of 13,817 kWh per annum.</p> <p>Changes not tracked at a daily level.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: None</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are rated as weak as the processes in place to ensure that the database is up to date will not mitigate risk to an acceptable level.</p> <p>The audit risk rating is assessed to be medium based on the potential submission inaccuracies.</p>	
Actions taken to resolve the issue		Completion date
Western BOP P&R have received details of the updates required, they have advised that they plan to move the items from their database to the WBOP DC RAMM streetlight database as a resolution. We will follow up with them to confirm.		July 2023
Preventative actions taken to ensure no further issues will occur		Completion date
As above.		N/A
Investigating		

Description and capacity of load		
Non-compliance	Description	
Audit Ref: 2.4 With: Clause 11(2)(c) & (d) of Schedule 15.3 From: 21-May-21 To: 30-Apr-23	Insufficient lamp description details provided for all LED lights. Potential impact: Low Actual impact: Low Audit history: Once previously Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as weak as these details have not been captured as part of the spreadsheet being used to manage this lighting load. The audit risk rating is assessed to be low as most lights have labelling that indicates the lamp wattage.	
Actions taken to resolve the issue	Completion date	Remedial action status
Western BOP P&R have received details of the updates required, they have advised that they plan to move the items from their database to the WBOP DC RAMM streetlight database as a resolution. We will follow up with them to confirm.	July 2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
As above.	N/A	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 21-May-21 To: 29-Apr-23	15 additional lights found in the field. Potential impact: Medium Actual impact: Medium Audit history: Once previously Controls: Weak Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are rated as weak as changes made in the field are slow or sometimes not advised at all. The audit risk rating is assessed to be medium based on the potential submission inaccuracies.	
Actions taken to resolve the issue	Completion date	Remedial action status
Western BOP P&R have received details of the updates required, they have advised that they plan to move the items from their database to the WBOP DC RAMM streetlight database as a resolution. We will follow up with them to confirm.	July 2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
As above.	N/A	

Tracking of load change		
Non-compliance	Description	
Audit Ref: 2.6 With: Clause 11(3) of Schedule 15.3 From: 21-May-21 To: 29-Apr-23	Load changes are not tracked in the excel spreadsheet. Potential impact: Medium Actual impact: Low Audit history: None Controls: None Breach risk rating: 5	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as none as the spreadsheet doesn't track changes. The audit risk rating is assessed to be low based overall number of items of load affected.	
Actions taken to resolve the issue	Completion date	Remedial action status
Western BOP P&R have received details of the updates required, they have advised that they plan to move the items from their database to the WBOP DC RAMM streetlight database as a resolution. We will follow up with them to confirm.	July 2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
As above.	N/A	

Audit trail		
Non-compliance	Description	
Audit Ref: 2.7 With: Clause 11(4) of Schedule 15.3 From: 21-May-21 To: 29-Apr-23	No audit trail in place. Potential impact: Medium Actual impact: Low Audit history: None Controls: None Breach risk rating: 5	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as none as the spreadsheet doesn't track changes. The audit risk rating is assessed to be low based overall number of items of load affected.	
Actions taken to resolve the issue	Completion date	Remedial action status
Western BOP P&R have received details of the updates required, they have advised that they plan to move the items from their database to the WBOP DC RAMM streetlight database as a resolution. We will follow up with them to confirm.	July 2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
As above.	N/A	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1 With: Clauses 15.2 and 15.37B(b) From: 21-May-21 To: 30-Apr-23</p>	<p>The field audit found 28% more load than is recorded in the database resulting in an estimated over submission of 14,509 kWh per annum.</p> <p>38 of the lights are recorded in both this and the WBOP DC RAMM streetlight database resulting in an estimated over submission of 13,817 kWh per annum.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: None Controls: Weak Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are rated as weak as the processes in place to ensure that the database is up to date will not mitigate risk to an acceptable level.</p> <p>The audit risk rating is assessed to be medium based on the potential submission inaccuracies.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Western BOP P&R have received details of the updates required, they have advised that they plan to move the items from their database to the WBOP DC RAMM streetlight database as a resolution. We will follow up with them to confirm.		July 2023	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
As above.		N/A	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clauses 15.2 and 15.37B(c)</p> <p>From: 21-May-21</p> <p>To: 30-Apr-23</p>	<p>Incorrect volumes calculated for ICP 1000525283PC07C resulting in an estimated under submission of 4,963 kWh per annum.</p> <p>Database accuracy is outside of the allowable +/- 5% threshold resulting in an estimated over submission of 14,509 kWh per annum.</p> <p>38 of the lights are recorded in both this and the WBOP DC RAMM streetlight database resulting in an estimated over submission of 13,817 kWh per annum.</p> <p>Changes not tracked at a daily level.</p> <p>Potential impact: Medium</p> <p>Actual impact: Medium</p> <p>Audit history: None</p> <p>Controls: Weak</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	<p>The controls are rated as weak as the processes in place to ensure that the database is up to date will not mitigate risk to an acceptable level.</p> <p>The audit risk rating is assessed to be medium based on the potential submission inaccuracies.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Western BOP P&R have received details of the updates required, they have advised that they plan to move the items from their database to the WBOP DC RAMM streetlight database as a resolution. We will follow up with them to confirm.		July 2023	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
As above.		N/A	