



N/A	N/A	
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ICP identifier and items of load		
Non-compliance	Description	
Audit Ref: 2.2 With: 11(2)(a) and (aa) of Schedule 15.3  From: entire audit period	2,806 items of load with no ICP recorded.  Potential impact: Low Actual impact: None Audit history: Twice Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The control rating is moderate as this is an historic issue and the light owner is recorded for each item of load.  The audit risk rating is low as the volumes being submitted per ICP were correct.	
Actions taken to resolve the issue	Completion date	Remedial action status
Mercury is working with the customer to request the ICP is correctly matched to the items of load and ballast factors be added to the database.	June 2018	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
Follow up with customer to see if there are issues with this change and decide on next course of action.	October 2018	

Description and capacity of load			
Non-compliance	Description		
<p>Audit Ref: 2.4</p> <p>With: 11(2)(c) and (d) of Schedule 15.3</p> <p>From: entire audit period</p>	<p>Ballast is not recorded in the database.</p> <p>1 item of load recorded with zero wattage.</p> <p>Potential impact: Low</p> <p>Actual impact: None</p> <p>Audit history: None</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>The controls are rated as strong as the correct ballasts are applied in the monthly wattage report but are not recorded in RAMM as is required by this clause.</p> <p>The audit risk rating is low as the correct ballasts are being applied and therefore reconciliation is accurate.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
MEEN will work with RLDC to ensure all the changes are captured and recorded into the database are complete and accurate.		July 2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
MEEN is documenting a consistent process for all DUMLS to increase compliance.		June 19	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: entire audit period</p>	<p>The database accuracy is assessed to be 97.4% indicating an estimated over submission of 79,600 kWh per annum (excluding ballast).</p> <p>The database is not complete as ballasts are not recorded in the RAMM database.</p> <p>Potential impact: High</p> <p>Actual impact: High</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>		
Audit risk rating	Rationale for audit risk rating		
<b>High</b>	<p>The controls are rated as moderate, because they are sufficient to ensure that changes to the database are correctly recorded most of the time.</p> <p>The impact is assessed to be high, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
MEEN will work with RLDC to ensure all the changes are captured and recorded into the database are complete and accurate.		October 2018	
Preventative actions taken to ensure no further issues will occur		Completion date	
MEEN is documenting a consistent process for all DUMLS to increase compliance.		June 2019	

Non-compliance		Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: entire audit period</p>	<p>The database accuracy is assessed to be 97.4% indicating an estimated over submission of 79,600 kWh per annum (excluding ballast).</p> <p>Incorrect profile recorded on the registry for ICP 0001264717UNC3A.</p> <p>Some of the load not recorded against the correct NSP.</p> <p>Potential impact: High</p> <p>Actual impact: Unknown</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 6</p>		
Audit risk rating		Rationale for audit risk rating	
<p><b>High</b></p>	<p>The controls are rated as moderate, because the database management and submission calculation controls will mitigate risk most of the time.</p> <p>The impact is assessed to be high, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>MEEN will work with the network and RLDC to capture and submit information at NSP level</p>		<p>October 2019</p>	<p>Identified</p>
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>MEEN is documenting a consistent process for all DUMLS to increase compliance.</p>		<p>2019</p>	