

Compliance plan for Ardmore Airport DUML – 2019

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: 11(1) of Schedule 15.3 From: 01-Jun-17 To: 30-Apr-19	kWh volume was truncated rather than rounded. The field audit three additional lights, and four HPS lights in Village Way that have been replaced with LED lights, resulting in a potential minor under submission of 316 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Twice previously Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls in place are rated as weak as the database is not being maintained as expected. The impact is assessed to be low, based on the minor kWh differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Response: Non compliance accepted and remedial action on-going. Action: Mercury will update the information to ensure they are reported correctly. Will also review the volume to ensure it is not truncated.	June 2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Mercury will update the information to ensure they are reported correctly. Will also review the volume to ensure it is not truncated.	On going	

Location of each item of load			
Non-compliance	Description		
Audit Ref: 2.3 With: 11(2)(b) of Schedule 15.3 From: 01-Jun-18 To: 30-Apr-19	Locations of Items of load do not have street number, or GPS locations to make them individually locatable. Potential impact: None Actual impact: None Audit history: None Controls: Weak Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls in place are rated as weak as the database is not being maintained as expected. The number of items of load is small therefore the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Response: Non compliance accepted and remedial action on-going. Action: Mercury will liaise with Ardmore to update the information correctly.		July 2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
As above and also continued close monitoring of the database		On going	

All load recorded in the database		
Non-compliance	Description	
Audit Ref: 2.5 With: 11(2A) of Schedule 15.3 From: 01-Jun-17 To: 30-Apr-19	Three additional lights found in the field. Potential impact: Low Actual impact: Low Audit history: Twice previously Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls in place are rated as weak as the database is not being maintained as expected. The impact is assessed to be low as the impact on reconciliation is small as detailed in section 3.1 .	
Actions taken to resolve the issue	Completion date	Remedial action status
Response: Non compliance accepted and remedial action on-going. Action: Mercury will update the information to ensure they are reported correctly.	On going	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Our current process is the responsibility on the customer to update mercury of any changes, this process is clearly not working so we are going to move forward with the following steps. <ul style="list-style-type: none"> • The 'current' database will be sent to each account holder with an email detailing the auditor's findings and request information relating to lamp types, street numbers, additions fittings, etc. We will request a returned completed database within one month of the email date. If not we will raise field investigations. • Every two months we will send the 'current' database to the customer requesting it be updated with any changes which we will then reflect in SAP. • We are taking feedback onboard with regard to tracking changes and who made the change on the databases. • Our intention is to have a consistent format across all databases where possible, to avoid error and confusion. 	On going	

Audit trail		
Non-compliance	Description	
Audit Ref: 2.7 With: 11.4 of Schedule 15.3 From: 01-Jun-18 To: 30-Apr-19	The audit trail does not include the details of the person making the change in the spreadsheet. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as weak as changes made in the database do not require the persons details making the change to be recorded as it is an excel spreadsheet. 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
Response: Non compliance accepted and remedial action on-going. Action: Mercury will liaise with Ardmore to update the information correctly.	July 2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Our current process is the responsibility on the customer to update mercury of any changes, this process is clearly not working so we are going to move forward with the following steps. <ul style="list-style-type: none"> The 'current' database will be sent to each account holder with an email detailing the auditor's findings and request information relating to lamp types, street numbers, additions fittings, etc. We will request a returned completed database within one month of the email date. If not we will raise field investigations. Every two months we will send the 'current' database to the customer requesting it be updated with any changes which we will then reflect in SAP. We are taking feedback onboard with regard to tracking changes and who made the change on the databases. Our intention is to have a consistent format across all databases where possible, to avoid error and confusion. 	On going	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: 15.2 and 15.37B(b)</p> <p>From: 01-Jun-17</p> <p>To: 30-Apr-19</p>	<p>The field audit three additional lights, and four HPS lights in Village Way that have been replaced with LED lights, resulting in a potential minor under submission of 316 kWh per annum.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls in place are rated as weak as the database is not being maintained as expected.</p> <p>The impact is assessed to be low, based on the kWh differences described above.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Response: Non compliance accepted and remedial action on-going.</p> <p>Action: Mercury will update the information to ensure they are reported correctly.</p>		July 2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Our current process is the responsibility on the customer to update mercury of any changes, this process is clearly not working so we are going to move forward with the following steps.</p> <ul style="list-style-type: none"> The 'current' database will be sent to each account holder with an email detailing the auditor's findings and request information relating to lamp types, street numbers, additions fittings, etc. We will request a returned completed database within one month of the email date. If not we will raise field investigations. Every two months we will send the 'current' database to the customer requesting it be updated with any changes which we will then reflect in SAP. We are taking feedback onboard with regard to tracking changes and who made the change on the databases. Our intention is to have a consistent format across all databases where possible, to avoid error and confusion. 		On going	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: 15.2 and 15.37B(c)</p> <p>From: 01-Jun-17</p> <p>To: 30-Apr-19</p>	<p>kWh volume was truncated rather than rounded.</p> <p>The field audit three additional lights, and four HPS lights in Village Way that have been replaced with LED lights, resulting in a potential minor under submission of 316 kWh per annum.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice previously</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>The controls in place are rated as weak as the database is not being maintained as expected.</p> <p>The impact is assessed to be low, based on the minor kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Response: Non compliance accepted and remedial action on-going.</p> <p>Action: Mercury will update the information to ensure they are reported correctly. Will also review the volume to ensure it is not truncated.</p>	July 2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Mercury will update the information to ensure they are reported correctly. Will also review the volume to ensure it is not truncated.	On going	