

Compliance plan for Avondale Business Association 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	Additional lights found in the field resulting in an estimated annual under submission of 4,310 kWh. 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 overall 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.	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	
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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	21 additional lights found in the field. 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 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. It is rather impossible to backdate as no one knows when the changes were made as it was not captured. Back dating on 'potential' under submission may cause over submission without the known facts.		July 2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
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Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: 15.2 and 15.37B(b) From: 01-Jun-17 To: 30-Apr-19	The field audit found 21 additional lights resulting in a potential under submission of 4,309 kWh per annum. 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 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 kWh differences described above.	
Actions taken to resolve the issue		Completion date
Response: Non compliance accepted and remedial action on-going. Action: Mercury will update the information to ensure they are reported correctly. It is rather impossible to backdate as no one knows when the changes were made as it was not captured. Back dating on 'potential' under submission may cause over submission without the known facts.		July 2019
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Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: 15.2 and 15.37B(c) From: 01-Jun-17 To: 30-Apr-19	Additional lights found in the field resulting in an estimated annual under submission of 4,310 kWh. 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 overall 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. It is rather impossible to backdate as no one knows when the changes were made as it was not captured. Back dating on 'potential' under submission may cause over submission without the known facts.	July 2019	Identified
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