

Compliance plan for Ardmore DUML– 2021

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: 11(1) of Schedule 15.3 From: 01-May-20 To: 30-Mar-21	The field audit results indicate under submission by 709 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Multiple times 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
We have updated the database with the field audit findings.	May21	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
Our customer is aware of the requirements to provide accurate and timely database updates. We will remind our customer of the importance of this and will continue to work with them to improve database maintenance processes.	Ongoing	

Location of each item of load		
Non-compliance	Description	
Audit Ref: 2.3 With: 11(2)(b) of Schedule 15.3 From: 01-May-20 To: 30-Mar-21	Locations of four Items of load do not have street number, or GPS locations to make them individually locatable. Potential impact: Low Actual impact: Low Audit history: Twice 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 number of items of load is small therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
We will liaise with the customer to update the database with the necessary location details.		Dec21
Preventative actions taken to ensure no further issues will occur		Completion date
Our customer is aware of the requirements to provide accurate and timely database updates. We will remind our customer of the importance of this and will continue to work with them to improve database maintenance processes.		Ongoing
Identified		

All load recorded in database			
Non-compliance	Description		
Audit Ref: 2.5 With: 11(2A) of Schedule 15.3 From: 01-May-20 To: 30-Mar-21	Five additional lights found in the field. Potential impact: Low Actual impact: Low Audit history: Multiple times 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
We have updated the database with the field audit findings.		May21	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Our customer is aware of the requirements to provide accurate and timely database updates. We will remind our customer of the importance of this and will continue to work with them to improve database maintenance processes.		Ongoing	

Database accuracy		
Non-compliance	Description	
Audit Ref: 3.1 With: 15.2 and 15.37B(b) From: 01-May-20 To: 30-Mar-21	Five additional lights found in the field. Three lights in the database not found in the field. Potential impact: Low Actual impact: Low Audit history: Multiple times 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	Remedial action status
We have updated the database with the field audit findings.	May21	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Our customer is aware of the requirements to provide accurate and timely database updates. We will remind our customer of the importance of this and will continue to work with them to improve database maintenance processes.	Ongoing	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: 15.2 and 15.37B(c) From: 01-Jun-17 To: 01-May-20	The field audit results indicate under submission by 709 kWh per annum. Potential impact: Low Actual impact: Low Audit history: Multiple times 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
We have updated the database with the field audit findings.	May21	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Our customer is aware of the requirements to provide accurate and timely database updates. We will remind our customer of the importance of this and will continue to work with them to improve database maintenance processes.	Ongoing	