

# Compliance Plan Kaikoura District Council DUML 2023

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3  From: 01-Jul-23 To: 31-Jul-23	Submissions are made using HHR profile.  Submission is based on database wattage and does not account for the new 25% dimming profile, resulting in an approximate over submission of 12,359.21 kWh per annum. Mercury is following a compliant process because they do not have an approved profile which allows them to use the dimmed data for submission.  The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.  Potential impact: Medium Actual impact: Medium Audit history: Multiple times  Controls: Weak Breach risk rating: 6	
Audit risk rating	Rationale for audit risk rating	
<b>Medium</b>	The controls are rated as weak because dimming is not accounted for.  The impact is assessed to be medium due to the impact of over submission.	
Actions taken to resolve the issue	Completion date	Remedial action status
We are in the process of drafting our profile application which once approved will allow us to be compliant in submitting half hourly data for DUML. As agreed with the EA we will implement the new profile once we move to a new platform which is currently planned for 2024	2024	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
As above	As above	

ICP identifier and items of load	
Non-compliance	Description
Audit Ref: 2.2 With: (Clause 11(2)(a) and (aa) of Schedule 15.3)  From: 15-Apr-21 To: 02-Oct-23	No items of load have the ICP recorded against them in the database.  Potential impact: Low Actual impact: Low Audit history: Once  Controls: Weak Breach risk rating: 3

<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>		
<b>Low</b>	The controls are rated as weak because the ICP is not recorded in the database. The impact is assessed to be low. There is only one ICP, so there is no impact on submission.		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	<b>Remedial action status</b>
KDC investigating with a view to adding the field, we will follow up.		December 2023	Investigating
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>	
As above		As above	

<b>Volume information accuracy</b>			
<b>Non-compliance</b>	<b>Description</b>		
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c)  From: 01-Jul-23 To: 31-Jul-23	Submissions are made using HHR profile.  Submission is based on database wattage and does not account for the new 25% dimming profile, resulting in an approximate over submission of 12,359.21 kWh per annum. Mercury is following a compliant process because they do not have an approved profile which allows them to use the dimmed data for submission.  The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.  Potential impact: Medium Actual impact: Medium Audit history: Multiple times Controls: Weak Breach risk rating: 6		
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>		
<b>Medium</b>	The controls are rated as weak because dimming is not accounted for. The impact is assessed to be medium due to the impact of over submission.		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	<b>Remedial action status</b>
We are in the process of drafting our profile application which once approved will allow us to be compliant in submitting half hourly data for DUML. As agreed with the EA we will implement the new profile once we move to a new platform which is currently planned for 2024		2024	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>	
As above		As above	