

Compliance plan for Rotorua Lakes District Council DUML – 2020

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Feb-19</p> <p>To: 31-Jan-20</p>	<p>Incorrect kW value applied for ICP 0001264718UN3E4 for the month of November 2019 resulting in under submission of 3,096.34 kWh.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Incorrect profile recorded on the registry for ICP 0001264717UNC3A.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as strong as they mitigate risk to an acceptable level as is indicated by the database accuracy.</p> <p>The impact is assessed to be low as the volume of change occurring is minimal until the LED rollout is in progress.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Human error caused incorrect submission for Nov19. This will be corrected in revision files.</p> <p>Mercury will liaise with RLDC to ensure a complete and updated database is maintained.</p> <p>Profile for 0001264717UNC3A to be corrected once third-party paperwork received and MEP nominated.</p>		June 2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Registry requirements prevent us from correcting the profile. We will continue to liaise with MEPs to ensure requirements are met to allow timely updates.</p>		June 2020	

Location of each item of load			
Non-compliance	Description		
Audit Ref: 2.3 With: 11(2)(b) of Schedule 15.3 From: 01-Feb-19 To: 31-Jan-20	11 items of load with insufficient location details recorded. Potential impact: Low Actual impact: None Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as strong as processes in place mitigate this risk to an acceptable level. The audit risk rating is low this affected only 11 items of load and has no direct impact on reconciliation.		
Actions taken to resolve the issue		Completion date	Remedial action status
Mercury will liaise with RLDC to ensure a complete and updated database is maintained.		June 2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Mercury will liaise with RLDC to ensure a complete and updated database is maintained.		June 2020	

Non-compliance	Description	
Audit Ref: 2.5 With: 11(2A) of Schedule 15.3 From: 01-Feb-19 To: 31-Jan-20	Two additional items of load found in the field. Potential impact: Low Actual impact: None Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong as processes in place mitigate this risk to an acceptable level. The audit risk rating is actually none as the database falls within the allowable variance threshold, but none is not an option, so I have selected the lowest available rating.	
Actions taken to resolve the issue	Completion date	Remedial action status
Mercury will liaise with RLDC to ensure a complete and updated database is maintained.	June 2020	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Mercury will liaise with RLDC to ensure a complete and updated database is maintained.	June 2020	

Volume information accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 01-Feb-19</p> <p>To: 31-Jan-20</p>	<p>Incorrect kW value applied for ICP 0001264718UN3E4 for the month of November 2019 resulting in under submission of 3,096.34 kWh.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Incorrect profile recorded on the registry for ICP 0001264717UNC3A.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>		
Audit risk rating	Rationale for audit risk rating		
High	<p>The controls are rated as strong as they mitigate risk to an acceptable level as is indicated by the database accuracy.</p> <p>The impact is assessed to be low as the volume of change occurring is minimal until the LED rollout is in progress.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Human error caused incorrect submission for Nov19. This will be corrected in revision files.</p> <p>Mercury will liaise with RLDC to ensure a complete and updated database is maintained.</p> <p>Profile for 0001264717UNC3A to be corrected once third-party paperwork received and MEP nominated.</p>		June 2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Registry requirements prevent us from correcting the profile. We will continue to liaise with MEPs to ensure requirements are met to allow timely updates.</p>		June 2020	