

# Compliance plan for Kaikoura District Council DUML-2021

Deriving submission information			
Non-compliance	Description		
<p>Audit Ref: 2.1</p> <p>With: Clause 11(1) of Schedule 15.3</p> <p>From: 26-Sep-19</p> <p>To: 14-Apr-21</p>	<p>11 items of permanent load have the incorrect ballast applied indicating a very minor estimated over submission of 279 kWh per annum.</p> <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be low due to the impact on submission.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
The ballast discrepancies will be provided to Mainpower to review and correct if necessary.		30 June 2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Existing controls are considered adequate to maintain the accuracy of the database.</p> <p>Processes are in place to account for historical database corrections that have a material impact on settlement volumes</p>		Ongoing	

<b>Database accuracy</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)  From: 26-Sep-19 To: 14-Apr-21	11 items of permanent load have the incorrect ballast applied indicating a very minor estimated over submission of 279 kWh per annum.  Potential impact: Low  Actual impact: Low  Audit history: Once  Controls: Moderate  Breach risk rating: 2	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.  The impact is assessed to be low due to the impact on submission.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
The ballast discrepancies will be provided to Mainpower to review and correct if necessary.	30 June 2021	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Existing controls are considered adequate to maintain the accuracy of the database.  Processes are in place to account for historical database corrections that have a material impact on settlement volumes	Ongoing	

<b>Volume information accuracy</b>			
<b>Non-compliance</b>	<b>Description</b>		
<p>Audit Ref: 3.2</p> <p>With: Clause 15.2 and 15.37B(c)</p> <p>From: 27-Sep-19</p> <p>To: 14-Apr-21</p>	<p>11 items of permanent load have the incorrect ballast applied indicating a very minor estimated over submission of 279 kWh per annum.</p> <p>The data used for submission does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>		
<b>Low</b>	<p>Controls are rated as moderate, as they are sufficient to mitigate the risk most of the time but there is room for improvement.</p> <p>The impact is assessed to be low due to the impact on submission.</p>		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	<b>Remedial action status</b>
The ballast discrepancies will be provided to Mainpower to review and correct if necessary.		30 June 2021	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>	
<p>Existing controls are considered adequate to maintain the accuracy of the database.</p> <p>Processes are in place to account for historical database corrections that have a material impact on settlement volumes</p>		Ongoing	