

# Compliance Plan Stratford District Council DUML and Mercury Energy April 2024

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-Jan-24</p> <p>To: 10-Mar-24</p>	<p>The DUML load is submitted using HHR profile, without an exemption in place.</p> <p>Five of the 976 items of load have missing lamp model, gear model, lamp wattage and/or gear (total) wattages in the database resulting in potential under submission of 2,494 kWh p.a.</p> <p>25 items of the 976 items of load had total wattages which were inconsistent with the lamp make and model description resulting in potential over submission of 257 W or 1,098 kWh p.a.</p> <p>Festive and decorative lights are not recorded in the database.</p> <p>The database extracts do not track changes at a daily basis and are provided as a snapshot.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
<p>Low</p>	<p>The controls are moderate because they ensure most information is accurate. The impact is low based on the kWh differences described above.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>Stratford DC are aware of the discrepancies and are investigating with the intention to correct any issues, we will follow up. Regarding the DUML load being submitted using the HHR profile, Mercury is working on a profile application which will allow HH submission for DUML.</p>	<p>August 2024</p>	<p>Investigating</p>
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>Stratford DC are aware of the importance of having an accurate database and we will continue to liaise with them on this.</p>	<p>Ongoing</p>	

Description and capacity of load			
Non-compliance	Description		
<p>Audit Ref: 2.4</p> <p>With: Clause 11(2)(c) and (d) of Schedule 15.3</p> <p>From: 01-Jan-24</p> <p>To: 08-Mar-24</p>	<p>Five of the 976 items of load have missing lamp model, gear model, lamp wattage and/or gear (total) wattages in the database resulting in potential under submission of 2,494 kWh p.a.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</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 moderate because most lamps have a valid lamp and total wattage recorded but there is room for improvement. The impact is low based on the estimated kWh impact of the items of load connected to settled ICPS.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Stratford are investigating with a view to updating the database to include the relevant missing information, we will follow up.		August 2024	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Stratford DC are aware of the importance of having an accurate database and we will continue to liaise with them on this.		Ongoing	

All load recorded in database			
Non-compliance	Description		
<p>Audit Ref: 2.5</p> <p>With: Clause 11(2A) of Schedule 15.3</p> <p>From: 01-Jun-23</p> <p>To: 08-Mar-24</p>	<p>Festive and decorative lights are not recorded in the database.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>Controls over database completeness are moderate. Lights are consistently recorded in the database apart from festive lights and decorative lights.</p> <p>The impact is low based on the kWh differences described above. The festive lights are expected to be included in the database by the time they are next connected.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Stratford DC are trying to get the festive lights sorted, we will follow up.		August 2024	Identified

Preventative actions taken to ensure no further issues will occur	Completion date
Stratford DC are aware of the importance of having an accurate database and we will continue to liaise with them on this.	Ongoing

**Database accuracy**

Non-compliance	Description
<p>Audit Ref: 3.1 With: Clause 15.2 and 15.37B(b)</p> <p>From: 01-Jun-23 To: 02-Oct-23</p>	<p>Five of the 976 items of load have missing lamp model, gear model, lamp wattage and/or gear (total) wattages in the database resulting in potential under submission of 2,494 kWh p.a.</p> <p>25 items of the 976 items of load had total wattages which were inconsistent with the lamp make and model description resulting in potential over submission of 257 W or 1,098 kWh p.a.</p> <p>Festive and decorative lights are not recorded in the database.</p> <p>Potential impact: Medium Actual impact: Medium Audit history: Multiple times previously</p> <p>Controls: Moderate Breach risk rating: 2</p>

Audit risk rating	Rationale for audit risk rating
<b>Low</b>	The controls are moderate because they ensure most information is accurate. The impact is low based on the kWh differences described above.

Actions taken to resolve the issue	Completion date	Remedial action status
Stratford are investigating with a view to updating the database to include the relevant missing information and update the incorrect information, we will follow up.	August 2024	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Stratford DC are aware of the importance of having an accurate database and we will continue to liaise with them on this.	Ongoing	

**Volume information accuracy**

Non-compliance	Description
<p>Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c)</p>	<p>The DUML load is submitted using HHR profile, without an exemption in place.</p> <p>Five of the 976 items of load have missing lamp model, gear model, lamp wattage and/or gear (total) wattages in the database resulting in potential under submission of 2,494 kWh p.a.</p> <p>25 items of the 976 items of load had total wattages which were inconsistent with the lamp make and model description resulting in potential over submission of 257 W or 1,098 kWh p.a.</p> <p>Festive and decorative lights are not recorded in the database.</p>

From: 01-Jan-24 To: 10-Mar-24	<p>The database extracts do not track changes at a daily basis and are provided as a snapshot.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</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>	The controls are moderate because they ensure most information is accurate. The impact is low based on the kWh differences described above.		
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>	
Stratford DC are aware of the discrepancies and are investigating with the intention to correct any issues, we will follow up. Regarding the DUML load being submitted using the HHR profile, Mercury is working on a profile application which will allow HH submission for DUML.	August 2024	Investigating	
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>		
Stratford DC are aware of the importance of having an accurate database and we will continue to liaise with them on this.	Ongoing		