

Compliance Plan – Selwyn DC DUML 2024

Deriving submission information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3 From: 07-May-24 To: 11-Jun-24	The DUML load is submitted using HHR profile, without an exemption in place. Potential impact: Low Actual impact: None Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as strong as the database management process is robust and ensures that submission information is accurate. Mercury is working on the development of a new profile to enable HHR submission. The use of an unapproved profile is not expected to have an impact on the accuracy of submission volumes.	
Actions taken to resolve the issue	Completion date	Remedial action status
Completing our draft applications has been delayed due to having to prioritise other tasks, however this is still progressing with the plan being to submit the applications to the EA as soon as possible.	July/August 2024	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
As above	N/A	

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 07-May-24 To: 11-Jun-24	One additional light was found in the field. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as strong, the small number of exceptions indicated that controls are sufficient to ensure that all lamps are recorded in the database most of the time. All field audit discrepancies were cleared prior to completion of the audit. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
Selwyn DC confirmed that they have arranged to have it plotted by their GIS Team and have the databased updated to include this light.	July 2024	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
Selwyn DC have very strong processes and these occurrences are rare and quickly rectified when identified.	Ongoing	

Volume information accuracy		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c) From: 07-May-24 To: 11-Jun-24	The DUML load is submitted using HHR profile, without an exemption in place. Potential impact: Low Actual impact: None Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as strong as the database management process is robust and ensures that submission information is accurate. Mercury is working on the development of a new profile to enable HHR submission. The use of an unapproved profile is not expected to have an impact on the accuracy of submission volumes.	
Actions taken to resolve the issue	Completion date	Remedial action status
Completing our draft applications has been delayed due to having to prioritise other tasks, however this is still progressing with the plan being to submit the applications to the EA as soon as possible.	July/August	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
As above	N/A	