

# Carterton District Council DUML Compliance Plan 2023

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1                      With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-Jun-21                      To: 29-Apr-23</p>	<p>Waka Kotahi lights in the Carterton district have historically been submitted by both Waka Kotahi's trader and Mercury Energy resulting in estimated annual over submission of 56,394 kWh per annum. The Waka Kotahi lights need to be excluded from revision submissions from June 2021 onwards, and corrected revision submissions need to be provided.</p> <p>The monthly database extract is provided as a snapshot.</p> <p>Potential impact: High                      Actual impact: High                      Audit history: Three times                      Controls: Moderate                      Breach risk rating: 6</p>	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	<p>Controls are rated as weak because although submission information from at least January 2023 excludes the Waka Kotahi lights, these lights have been included in historic submissions after removal to a separate database and revisions have not been provided.</p> <p>The impact is assessed to be high because of the inclusion in the submission volumes of Waka Kotahi lights resulting in double submission of this load.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
The data received since January 2023 has excluded the Waka Kotahi lights, we will liaise with Carterton DC to receive amended data for the period prior to that so that we can wash up.	July 2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
As above.	N/A	

Volume information accuracy		
Non-compliance	Description	
<p>Audit Ref: 3.2 With: Clause 15.2 and 15.37B(c)  From: 01-Jun-21 To: 29-Apr-23</p>	<p>Waka Kotahi lights in the Carterton district have historically been submitted by both Waka Kotahi's trader and Mercury Energy resulting in estimated annual over submission of 56,394 kWh per annum. The Waka Kotahi lights need to be excluded from revision submissions from June 2021 onwards, and corrected revision submissions need to be provided.</p> <p>The monthly database extract is provided as a snapshot.</p> <p>Potential impact: High Actual impact: High Audit history: Three times Controls: Weak Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
High	<p>Controls are rated as weak because although submission information from at least January 2023 excludes the Waka Kotahi lights, these lights have been included in historic submissions after removal to a separate database and revisions have not been provided.</p> <p>The impact is assessed to be high because of the inclusion in the submission volumes of Waka Kotahi lights resulting in double submission of this load.</p>	
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