

Carterton 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-20</p> <p>To: 29-Feb-20</p>	<p>The database contains some inaccurate data.</p> <ul style="list-style-type: none"> Six items of load do not have an ICP number recorded. There is no impact because the RAMM database extract is manually amended to include the missing information before it is provided to Mercury. One light (pole ID 939) has a lamp model of UNK (UNK, 0 watts) with a zero lamp and gear wattage recorded. I found that the light was a CA 7022 24 LED (21W) and the light details and wattage had been manually added to the extract that was provided to Mercury for submission. Four LED lights (pole IDs 900, 901, 904 and 905) have a blank gear wattage but zero should be recorded. 15 ITAL (ITRO, 55 watts) have a lamp wattage which differs from the expected value in the lamp specifications. Two PH (50E, 50 watts) and two UNK (50E, 50 watts) have a gear wattage which differs from Authority's standardised wattages. <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: Medium</p> <p>Actual impact: Unknown</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>
Audit risk rating	Rationale for audit risk rating
<p>Low</p>	<p>Controls are rated as moderate.</p> <ul style="list-style-type: none"> The missing information is known but has not been updated in RAMM yet, and in the meantime the database extract is manually amended. The differences between recorded and expected wattages are small and affect as small number of lights. CDC intends to confirm the correct wattages and update RAMM. <p>The impact is assessed to be low, because the data is manually adjusted in the extract prior to it being sent to Mercury. The wattage differences identified above have a low impact.</p>

Actions taken to resolve the issue	Completion date	Remedial action status
Mercury will follow up to ensure the database is updated with the missing data and that the correct wattages are updated as necessary. We will also work with CDC to have the database reflect changes on a daily basis to ensure accurate consumption reporting.	Sep 20	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Mercury will follow up to ensure the database is updated with the missing data and that the correct wattages are updated as necessary. We will also work with CDC to have the database reflect changes on a daily basis to ensure accurate consumption reporting.	Sep 20	

ICP identifier and items of load		
Non-compliance	Description	
Audit Ref: 2.2 With: Clause 11(2)(a) and (aa) of Schedule 15.3 From: 25-Feb-20 To: 25-Feb-20	Six items of load do not have an ICP number recorded. Potential impact: High Actual impact: Unknown Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate. The missing information is known but has not been updated in RAMM yet, and in the meantime the database extract is manually amended. The impact is assessed to be low, because the data is manually adjusted in the extract prior to it being sent to Mercury.	
Actions taken to resolve the issue	Completion date	Remedial action status
Mercury will follow up to ensure the database is updated with the missing data.	Sep 20	Identified

Preventative actions taken to ensure no further issues will occur	Completion date
Mercury will follow up to ensure the database is updated with the missing data.	Sep 20

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: 25-Feb-20</p> <p>To: 25-Feb-20</p>	<p>One item of load connected to ICP 0020903000WRADA (pole ID 939) has a lamp model of UNK (UNK, 0 watts) and a zero lamp and gear wattage in the database. The correct lamp details and wattages are manually added prior to providing the database extract to Mercury.</p> <p>Four items of load connected to ICP 0020903000WRADA (pole IDs 900, 901, 904 and 905) have a blank gear wattage but zero is expected.</p> <p>Three items of load with a blank ICP number have no lamp model, lamp wattage or gear wattage recorded in the database. The correct lamp details and wattages are manually added prior to providing the database extract to Mercury.</p> <p>Potential impact: Medium</p> <p>Actual impact: Unknown</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>Controls are rated as moderate. The missing information is known but has not been updated in RAMM yet, and in the meantime the database extract is manually amended.</p> <p>The impact is assessed to be low, because the data is manually adjusted in the extract prior to it being sent to Mercury.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Mercury will follow up to ensure the database is updated with the missing data and that the correct wattages are updated as necessary.	Sep 20	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Mercury will follow up to ensure the database is updated with the missing data and that the correct wattages are updated as necessary.	Sep 20	

Audit trail			
Non-compliance	Description		
Audit Ref: 2.7 With: Clause 11(4) of Schedule 15.3 From: 25-Feb-20 To: 25-Feb-20	Where manual changes to the database extract occur to populate missing information, an audit trail is not created. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as moderate, because most changes are made directly in RAMM. For the small number of manual changes made the user who made the change, the approximate date and time of the change, and before and after values can be determined from the other information available. The impact is assessed to be low, because the manually made changes can be identified by comparing the unmodified RAMM extract to the modified one. All changes are made by the same user, at the same time.		
Actions taken to resolve the issue		Completion date	Remedial action status
We will work with CDC to ensure timely database updates to reduce the need for manual changes.		Sep 20	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We will work with CDC to ensure timely database updates to reduce the need for manual changes.		Sep 20	

Database accuracy			
Non-compliance	Description		
<p>Audit Ref: 3.1</p> <p>With: Clause 15.2 and 15.37B(b)</p> <p>From: 27-Feb-20</p> <p>To: 27-Feb-20</p>	<p>The database contains some inaccurate data.</p> <ul style="list-style-type: none"> Six items of load do not have an ICP number recorded. There is no impact because the RAMM database extract is manually amended to include the missing information before it is provided to Mercury. One light (pole ID 939) has a lamp model of UNK (UNK, 0 watts) with a zero lamp and gear wattage recorded. I found that the light was a CA 7022 24 LED (21W) and the light details and wattage had been manually added to the extract that was provided to Mercury for submission. Four LED lights (pole IDs 900, 901, 904 and 905) have a blank gear wattage but zero should be recorded. 15 ITAL (ITRO, 55 watts) have a lamp wattage which differs from the expected value in the lamp specifications. Two PH (50E, 50 watts) and two UNK (50E, 50 watts) have a gear wattage which differs from Authority's standardised wattages. <p>Potential impact: Medium</p> <p>Actual impact: Unknown</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>Controls are rated as moderate.</p> <ul style="list-style-type: none"> The missing information is known but has not been updated in RAMM yet, and in the meantime the database extract is manually amended. The differences between recorded and expected wattages are small and affect as small number of lights. CDC intends to confirm the correct wattages and update RAMM. <p>The impact is assessed to be low, because the data is manually adjusted in the extract prior to it being sent to Mercury. The wattage differences identified above have a low impact.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Mercury will follow up to ensure the database is updated with the missing data and that the correct wattages are updated as necessary.		Sep 20	Identified

Preventative actions taken to ensure no further issues will occur	Completion date
Mercury will follow up to ensure the database is updated with the missing data and that the correct wattages are updated as necessary.	Sep 20

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-20</p> <p>To: 29-Feb-20</p>	<p>The database contains some inaccurate data.</p> <ul style="list-style-type: none"> Six items of load do not have an ICP number recorded. There is no impact because the RAMM database extract is manually amended to include the missing information before it is provided to Mercury. One light (pole ID 939) has a lamp model of UNK (UNK, 0 watts) with a zero lamp and gear wattage recorded. I found that the light was a CA 7022 24 LED (21W) and the light details and wattage had been manually added to the extract that was provided to Mercury for submission. Four LED lights (pole IDs 900, 901, 904 and 905) have a blank gear wattage but zero should be recorded. 15 ITAL (ITRO, 55 watts) have a lamp wattage which differs from the expected value in the lamp specifications. Two PH (50E, 50 watts) and two UNK (50E, 50 watts) have a gear wattage which differs from Authority's standardised wattages. <p>The monthly database extract provided does not track changes at a daily basis and is provided as a snapshot.</p> <p>Potential impact: High</p> <p>Actual impact: Unknown</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>
Audit risk rating	Rationale for audit risk rating
<p>Low</p>	<p>Controls are rated as moderate.</p> <ul style="list-style-type: none"> The missing information is known but has not been updated in RAMM yet, and in the meantime the database extract is manually amended. The differences between recorded and expected wattages are small and affect as small number of lights. CDC intends to confirm the correct wattages and update RAMM. <p>The impact is assessed to be low, because the data is manually adjusted in the extract prior to it being sent to Mercury. The wattage differences identified above have a low impact.</p>

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