

# Carterton District Council DUML 2022

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-May-20 To: 30-Sep-22</p>	<p>Database assessed as having poor precision therefore the potential error is greater than 5.0% resulting in an estimated over submission of 2,200 kWh per annum.</p> <p>Mercury's calculation of submission volumes includes Waka Kotahi lights that are also included in the Waka Kotahi Lower North Island DUML database resulting in an over submission of 4,950 kWh for September 2022 and an assessed annual over submission of 56,394 kWh.</p> <p>The database contains some inaccurate data.</p> <ul style="list-style-type: none"> <li>31 items of load do not have an ICP number recorded; the impact is accessed as 3,234 kWh per annum using an annual hours value of 4,271 hours, and</li> <li>five lights have a blank lamp model with a zero lamp and blank gear wattage recorded.</li> </ul> <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 Actual impact: High Audit history: Twice Controls: Weak Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	<p>Controls are rated as weak as the database extract provided for the audit had the CDC lights separated from the Waka Kotahi lights but yet when the data is aggregated for calculation of capacities for submission purposes, both data sets are being combined.</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
Investigating with regards to the Waka Kotahi lights, we will ensure that this is corrected. We will follow up and work with CDC to make the necessary corrections and ensure that CDC are database is being kept up to date to ensure compliance and accurate consumption reporting.	December 2022/January 2023	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Investigating with regards to the Waka Kotahi lights, we will ensure that this is corrected. We will follow up and work with CDC to make the necessary corrections and ensure that CDC are database is being kept up to date to ensure compliance and accurate consumption reporting.	December 2022/January 2023	

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: 01-May-20 To: 30-Sep-22	31 items of load do not have an ICP number recorded. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	Controls are rated as moderate. The missing information is known but has not been updated in RAMM yet. The impact is assessed to be low.	
Actions taken to resolve the issue	Completion date	Remedial action status
We will work with CDC to update the database.	December 2022/January 2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We will work with CDC to update the database.	December 2022/January 2023	

<b>Description and capacity of load</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 2.4 With: Clause 11(2)(c) and (d) of Schedule 15.3  From: 01-May-20 To: 30-Sep-22	Five items of load with a blank ICP number have no lamp model, lamp wattage or gear wattage recorded in the database.  Potential impact: Low  Actual impact: Low  Audit history: Twice  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. The missing information is known but has not been updated in RAMM yet.  The impact is assessed to be low.	
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>
We will work with CDC to update the database.		December 2022/January 2023
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>
We will work with CDC to update the database.		December 2022/January 2023
<b>Remedial action status</b>		
Identified		

<b>All load recorded in database</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3  From: 01-May-20 To: 30-Sep-22	Seven items of load not recorded in the database of the sample of 146 items of load checked.  Potential impact: Low  Actual impact: Low  Audit history: None  Controls: Moderate  Breach risk rating: 2	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	The controls are recorded as moderate as they will mitigate risk most of the time.  The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
We will work with CDC to update the database.	December 2022/January 2023	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
We will work with CDC to update the database.	December 2022/January 2023	

<b>Audit trail</b>			
<b>Non-compliance</b>	<b>Description</b>		
<p>Audit Ref: 2.7</p> <p>With: Clause 11(4) of Schedule 15.3</p> <p>From: 01-May-20</p> <p>To: 30-Sep-22</p>	<p>Where manual changes to the database extract occur to populate missing information or make updates to wattage values, an audit trail is not created.</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, 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.</p> <p>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.</p>		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	<b>Remedial action status</b>
We will work with CDC to ensure timely database updates to reduce the need for manual changes.		Sep 20	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>	
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: 01-May-20</p> <p>To: 30-Sep-22</p>	<p>Database assessed as having poor precision therefore the potential error is greater than 5.0% resulting in an estimated over submission of 2,200 kWh per annum.</p> <p>Mercury's calculation of submission volumes includes Waka Kotahi lights that are also included in the Waka Kotahi Lower North Island DUMML database resulting in an over submission of 4,950 kWh for September 2022 and an assessed annual over submission of 56,394 kWh.</p> <p>The database contains some inaccurate data.</p> <ul style="list-style-type: none"> <li>31 items of load do not have an ICP number recorded; the impact is assessed as 3,234 kWh per annum using an annual hours value of 4,271 hours, and</li> <li>five lights have a blank lamp model with a zero lamp and blank gear wattage recorded.</li> </ul> <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: High</p> <p>Audit history: Twice</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>		
Audit risk rating	Rationale for audit risk rating		
High	<p>Controls are rated as weak as the database extract provided for the audit had the CDC lights separated from the Waka Kotahi lights but yet when the data is aggregated for calculation of capacities for submission purposes, both data sets are being combined.</p> <p>The impact is assessed to be high because of the inclusion in submission of Waka Kotahi lights resulting in double submission of this load.</p>		
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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-May-20</p> <p>To: 30-Sep-22</p>	<p>Database assessed as having poor precision therefore the potential error is greater than 5.0% resulting in an estimated over submission of 2,200 kWh per annum.</p> <p>Mercury's calculation of submission volumes includes Waka Kotahi lights that are also included in the Waka Kotahi Lower North Island DUML database resulting in an over submission of 4,950 kWh for September 2022 and an assessed annual over submission of 56,394 kWh.</p> <p>The database contains some inaccurate data.</p> <ul style="list-style-type: none"> <li>31 items of load do not have an ICP number recorded; the impact is assessed as 3,234 kWh per annum using an annual hours value of 4,271 hours, and</li> <li>five lights have a blank lamp model with a zero lamp and blank gear wattage recorded.</li> </ul> <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: High</p> <p>Audit history: None</p> <p>Controls: Weak</p> <p>Breach risk rating: 9</p>		
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