

Compliance plan for New Zealand Wind Farms Ltd

Reconciliation Participant audit – 2021

Submission of Audit Report		
Non-compliance	Description	
Audit Ref: 1.11 With: Clauses 16A.13 From: 24-Mar-18 To: 01-Jun-21	Audit report not provided to the Authority by the participant by the due date. Potential impact: Medium Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The audit risk rating is low as the audit report was completed as quickly as possible once it was identified that the audit was overdue.	
Actions taken to resolve the issue		Completion date
Between Dec 2018 and May 2019, a number of staff and board resignations occurred in a short space of time. In Dec 2018 the CEO resigned. In May 2019, the acting CEO (executive director) and CFO resigned at the same time as three board members (incl executive director). The handovers were rushed which meant the EA participant register and the corporate calendar had not been updated to reflect the next audit due date. Once NWF was made aware of the audit lapse, the audit was commenced as soon as possible.		July 2021
Preventative actions taken to ensure no further issues will occur		Completion date
The following actions have been taken. The participant register held with the EA has been updated with three current NZ Windfarms contact personnel (one of which is via an email to the NZ Windfarms monitored group email address), all key appointment emails will be monitored for 24 months post resignation, and the auditor (Veritek) will make contact with NZ Windfarms three months prior to the next audit date. In addition, the audit due date will be documented in the corporate annual plan and budget and the Board action register. The adoption of internal control measures including the documentation of processes, as well as external reminders from the EA (via the participant register), and the auditor (Veritek), is expected to enhance compliance going forward.		Ongoing
		Identified

HHR aggregates information provision to the reconciliation manager			
Non-compliance	Description		
Audit Ref: 11.4 With: Clause 15.8 From: 24-Mar-18 To: 01-Jun-21	HHR aggregates file does not contain electricity supplied information. Potential impact: None Actual impact: None Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	The issue relating to content of the aggregates file is an error in the code, NZWF is providing submission information as expected.		
Actions taken to resolve the issue		Completion date	Remedial action status
This is due to code wording and no action is required.			Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	