

Compliance plan for Waipa Network Distributor – 2019

Requirement to provide complete and accurate information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clauses 11.2(1) and 10.6(1) From: 01-Jul-18 To: 31-May-19	Registry information not complete and accurate in all instances. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate as they will mitigate risk most of the time but there is room for errors to occur. The risk rating is low as the discrepancies found have no direct impact on reconciliation.	
Actions taken to resolve the issue		Completion date
We have populated the missing DG & Initial Energisation information.		Completed
Preventative actions taken to ensure no further issues will occur		Completion date
The additional validations planned will ensure these are identified earlier.		October 2020
		Identified Sample checked post audit found the registry has not been corrected.

Requirement to correct errors			
Non-compliance	Description		
Audit Ref: 2.2 With: Clauses 11.2(2) and 10.6(2) From: 01-Jul-18 To: 31-May-19	Errors not corrected as soon as practicable. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as moderate as they will mitigate risk most of the time but there is room for errors to occur. The risk rating is low as the corrections not actioned have no direct impact on reconciliation.		
Actions taken to resolve the issue		Completion date	Remedial action status
The additional validations planned will ensure these are identified earlier.		October 2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
The additional validations planned will ensure these are identified earlier.		October 2019	

Timeliness of initial electrical connection date			
Non-compliance	Description		
Audit Ref: 3.5 With: Clause 7(2A) of schedule 11.1 From: 10-Jul-17 To: 30-Jun-18	19 initial electrical connection dates not updated within ten business days. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as moderate as they will mitigate risk most of the time but there is room for errors to occur. The risk rating is low this has no direct impact on reconciliation.		
Actions taken to resolve the issue		Completion date	Remedial action status
The magiQ system is currently part way through a 3-stage migration to a new operating system. Stage 3 is due to completed by January 2020. The focus is on ensuring existing systems migrate successfully. Once this has occurred we will be in a position to review the Registry interaction and automated processes. Incorrect or missing information identified during the Audit or validation process will be manually updated on the Registry.		March 2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
As above.		March 2020	

Timeliness of registry updates			
Non-compliance		Description	
Audit Ref: 4.1 With: Clause 8 Schedule 11.1 From: 01-Apr-99 To: 31-May-19		Some price, network, status, and address changes were backdated. Potential impact: Low Actual impact: Low Audit history: Multiple Controls: Moderate Breach risk rating: 2	
Audit risk rating		Rationale for audit risk rating	
Low		Controls are rated as moderate as they will mitigate risk most of the time but there is room for errors to occur. The risk rating is low as the volume of ICPs affected are small.	
Actions taken to resolve the issue		Completion date	Remedial action status
We have corrected the 5 Decommission dates.		Completed	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	4 of 5 corrections completed
We will introduce a process into magiQ so the decommission date can be input. This will occur once our OS migration is complete.		March 2020	

ICP location address		
Non-compliance	Description	
Audit Ref: 4.4 With: Clause 2 Schedule 11.1 From: 01-Apr-99 To: 31-May-19	76 ICPs with addresses that are not readily locatable. Potential impact: Low Actual impact: Low Audit history: Multiple Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate as they will mitigate risk most of the time but there is room for errors to occur. The risk rating is low as this has no direct impact on reconciliation.	
Actions taken to resolve the issue		Completion date
We have updated the ICPs created during the audit period. Historic address details are not being reviewed at this stage.		Completed
Preventative actions taken to ensure no further issues will occur		Completion date
Additional resource was allocated to start a process of regularly reviewing addresses however there was a change in personnel. The process is to be reintroduced in coming months. The rollout of AMI in our area will help provide more accurate location details to Retailers and over time this information used to improve location details in the Registry database.		Ongoing
		Identified

ICP location address		
Non-compliance	Description	
<p>Audit Ref: 4.6 With: Clause 7(1) Schedule 11.1</p> <p>From: 10-Jul-17 To: 30-Jun-18</p>	<p>Chargeable capacity incorrectly recorded on the registry when it is being derived from the retailer billing files</p> <p>Distributed generation details incorrect or missing</p> <p>13 ICPs with the initial electrical connection date missing.</p> <p>Three ICPs with an incorrect initial electrical connection date populated.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple</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 as they will mitigate risk most of the time but there is room for errors to occur.</p> <p>The risk rating is low as this has no direct impact on reconciliation.</p>	
Actions taken to resolve the issue		Completion date
Missing or incorrect IED's identified during the audit have now been corrected.		Completed
Preventative actions taken to ensure no further issues will occur		Completion date
This will improve with the additional validations planned.		October 2019
		<p>Identified</p> <p>Sample checked post audit found the registry has not been corrected.</p>

Management of “decommissioned” status		
Non-compliance	Description	
<p>Audit Ref: 4.11</p> <p>With: Clause 20 Schedule 11.1</p> <p>From: 01-Jul-18</p> <p>To: 31-May-19</p>	<p>ICPs updated via magiQ will be recorded with the incorrect event date unless they are updated on the same day as the decommissioning. All five examples checked were recorded for the incorrect event date.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>Controls are rated as weak as ICPs at the “inactive-ready for decommissioning are not being monitored and magiQ does not have an event date field available for operators to complete, but records all decommissioned ICPs with the same event date as they were updated in magiQ.</p> <p>The risk rating is low as this has no direct impact on reconciliation.</p>	
Actions taken to resolve the issue		Completion date
The 5 ICPs identified during the audit have had their decommission dates corrected.		Completed
Preventative actions taken to ensure no further issues will occur		Completion date
We will introduce the ability to input a decommission date following our system migration.		March 2020
		<p>Identified</p> <p>4 of the 5 examples have been corrected and I note that all of the ICPs decommissioned via magiQ will have the incorrect event date.</p>