

Compliance plan for Waipa Networks Limited

Title: Participants May Request Distributors to Create ICPs		
Non-compliance	Description	
Audit Ref: 3.2 With: Clause 11.5(3) of Part 11 From/to: 10/02/2017	ICP 0000293841WA99B was created on the registry four business days after the request was received. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach Risk Rating: 1	
Audit Risk Rating	Rationale for audit risk rating	
Low	One ICP was created on the registry one business day late.	
Actions taken to resolve the issue	Completion date	Remedial action Status
The electrician had not completed the proposed connection point location and took a few days to provide this information. The ICP was created as soon as we received the information.	9 February 2017	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
We sent a letter to electricians reminding them of the importance of the connection point location.	10 March 2017	

Title: Timeliness of the Provision of the Initial Energisation Date		
Non-compliance	Description	
Audit Ref: 3.5 With: Clause 7(2A) of Schedule 11.1 From/to: entire audit period	44 ICPs had their initial energisation date populated on the registry more than 10 business days after the initial energisation date. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach Risk Rating: 2	
Audit Risk Rating	Rationale for audit risk rating	
Low	A relatively small number of ICPs were affected. Many of the late updates appeared to relate to a temporary resourcing issue.	

Actions taken to resolve the issue	Completion date	Remedial action Status
The dates have been populated	23 June 2017	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We will allocate more resource to the new connections process and carry out more frequent checks	1 October 2017	

Title: Changes to Registry Information		
Non-compliance	Description	
Audit Ref: 4.1 With: Clause 8 of schedule 11.1 From/to: July 2016-June 2017	Some updates to the registry were made more than three business days after the event date. Potential impact: Low Actual impact: Low Audit history: Four times previously Controls: Moderate Breach Risk Rating: 2	
Audit Risk Rating	Rationale for audit risk rating	
Low	Across all events 91% were updated on the registry within three business days. In many cases delays were due to historic corrections and indicate that data is being reviewed and corrected.	
Actions taken to resolve the issue	Completion date	Remedial action Status
These have all been updated	25 July 2017	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Compliance is not possible where information is received late. However we will allocate more resource to those processes affecting the Registry updates to help prevent late updates due to our own errors.	1 October 2017	

Title: Notice of NSP for Each ICP		
Non-compliance	Description	
Audit Ref: 4.2 With: Clause 7(5) & 8(4) of Schedule 11.1 From/to: Entire audit period	Eight ICPs were mapped to an incorrect NSP. Potential impact: Low Actual impact: Low Audit history: Once previously Controls: Moderate Breach Risk Rating: 2	

Audit Risk Rating	Rationale for audit risk rating	
Low	A small number of ICPs are affected.	
Actions taken to resolve the issue	Completion date	Remedial action Status
We will correct these	01/10/17	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We will include regular checks of these in reporting as above	01/10/17	

Title: ICP Location Address		
Non-compliance	Description	
Audit Ref: 4.4 With: Clause 2 & 7 (1)(a) of schedule 11.1 From/to: Entire audit period	65 duplicate addresses. 64 addresses that do not have street numbers or property name information to allow the ICP to be readily located. Potential impact: Low Actual impact: Low Audit history: Five times previously Controls: Moderate Breach Risk Rating: 2	
Audit Risk Rating	Rationale for audit risk rating	
Low	This is an improvement from last year, and Waipa intends to work through and resolve these issues. In most cases the address appears to be correct, but further information is required to clarify the exact location and differentiate from other addresses.	
Actions taken to resolve the issue	Completion date	Remedial action Status
We will correct these	01/10/17	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We will include regular checks of these in reporting.	01/10/17	

Title: Distributors to Provide ICP Information to the Registry		
Non-compliance	Description	
<p>Audit Ref: 4.6 With: Clause 7(1) of schedule 11.1</p> <p>From/to: Entire audit period</p>	<ul style="list-style-type: none"> Some distributed generation details were not correctly recorded on the registry. Five ICPs had a registry effective date which did not match the installation paperwork, and two ICPs had registry generation capacity which did not match the installation paperwork. Unmetered load was not recorded on the registry for three active ICPs where the unmetered load details are known. Five initial energisation dates were not correctly recorded on the registry. Four ICPs which were active prior to the audit period did not have an initial energisation date populated. <p> Potential impact: Low Actual impact: None Audit history: Three times previously Controls: Moderate Breach Risk Rating: 2 </p>	
Audit Risk Rating	Rationale for audit risk rating	
Low	<ul style="list-style-type: none"> There are only 218 active connections with distributed generation. Waipa does not accept unmetered load without an attachment to the network connection form which contains the unmetered load details. None of the ICPs with missing unmetered details were created during the audit period. The traders had recorded unmetered load details. There has been a significant improvement in the completeness and accuracy of initial energisation dates since the last audit. A small number of ICPs are affected. 	
Actions taken to resolve the issue	Completion date	Remedial action Status
We will update the Registry with the correct details	01/10/17	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
We are undertaking a review of resourcing for these processes with a view to improving accuracy and timeliness of the information	01/10/17	