

Compliance plan for Network Waitaki - 2017

Provision of ICP Information to the registry		
Non-compliance	Description	
Audit Ref: 3.3 With: Clause 11.7 From: 30-Aug-16 To: 08-Sep-17	One initial energisation date not populated. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are now strong because missing initial energisation dates are identified by discrepancy reporting. The initial energisation date is used to compare other dates to; therefore there can be a minor impact on other participants. The audit risk rating is low.	
Actions taken to resolve the issue		Completion date
We have Initial Energisation Dates in a field in our Database now so is part of our weekly Data Checks		Already Done
Preventative actions taken to ensure no further issues will occur		Completion date
We have Initial Energisation Dates in a field in our Database now so is part of our weekly Data Checks		March 2017
Remedial action status		
Cleared		

Timeliness of Provision of Initial Energisation Date	
Non-compliance	Description
Audit Ref: 3.5 With: Clause 7(2A) of Schedule 11.1 From: 21-Oct-16 To: 13-Jun-17	10 late initial energisation date updates. Potential impact: Low Actual impact: Low Audit history: Once Controls: Strong Breach risk rating: 1
Audit risk rating	Rationale for audit risk rating

Low	<p>Network Waitaki has reporting in place to ensure initial energisation dates are provided by contractors in a timely manner. I consider the controls are strong and the late updates reflect a small percentage of the total number of updates.</p> <p>There is no impact on settlement. The only potential impact is where a trader may wish to compare their Active date to the IED, so the impact is considered minor, leading to an audit risk rating of low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
We have Initial Energisation Dates in a field in our Database now so is part of our weekly Data Checks		March 2017	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We have Initial Energisation Dates in a field in our Database now so is part of our weekly Data Checks		March 2017	

Changes to registry information			
Non-compliance	Description		
<p>Audit Ref: 4.1</p> <p>With: Clause 8 Schedule 11.1</p> <p>From: 01-Aug-16 To: 31-Jul-17</p>	<p>Updates to registry backdated greater than 3 business days of the event.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>Many of the late updates were as a result of late information from other parties; therefore I have recorded the controls as strong.</p> <p>There is a minor impact on participants with late updates. The Audit risk rating is low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
We are getting a proposal from our IT contractor to change the way we handle pricing changes, we will first load the changes into our CRM system which will update Registry overnight Instead of us updating Registry then letting the registry update CRM. This will ensure that there will be no backdating by forgetting to put in the event date in Registry		30/10/2017	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	

If proposal acceptable we will action the request for loading pricing changes in the Registry	30/10/2017	
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Distributors to Provide ICP Information to the Registry		
Non-compliance	Description	
<p>Audit Ref: 4.6</p> <p>With: Clause 7(1)(o) of Schedule 11.1</p> <p>From: 30-Aug-16</p> <p>To: 14-Sep-17</p>	<p>Five ICPs with DG fields inadvertently removed.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are moderate and will be strengthened once the DG information is in separate fields.</p> <p>There is an impact on other participants because they may rely on this field as part of their validation. The impact is minor; therefore the audit risk rating is low.</p>	
Actions taken to resolve the issue		Completion date
We are creating a separate field for distributed Generation in our CRM database which will then become part of our Data comparison process		29/9/2017
Preventative actions taken to ensure no further issues will occur		Completion date
It will become part of our data comparison process		29/9/2017
		Identified