

Compliance plan for Awhitu Windfarms– 2021

Relevant information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11.2, 15.2</p> <p>From: 23-Jan-20</p> <p>To: 27-Apr-21</p>	<p>No electricity supplied file for AWFL.</p> <p>Information provided for ICP 0071551401CNEF2 was not complete and accurate because the read dispute process was not used to replace an incorrect estimate from the losing trader.</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>Controls are rated as moderate as they are sufficient to ensure that data is recorded correctly most of the time.</p> <p>The impact on submission is minor, therefore the audit risk rating is low.</p>	
Actions taken to resolve the issue		Completion date
The advice provided was that the costs in recovering the loss was greater than the reward		Identified
Preventative actions taken to ensure no further issues will occur		Completion date
No comment		

Electricity supplied information provision to the reconciliation manager		
Non-compliance	Description	
Audit Ref: 11.3 With: Clause 15.7 From: 23-Jan-20 To: 27-Apr-21	An AV120 file is not provided for AWFL. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate overall because they are strong for MYST but there are no controls in place for AWFL. The impact is assessed to be low because there is no impact on settlement.	
Actions taken to resolve the issue		Completion date
The AV120 file to be provided for AWFL		01 June 21
Preventative actions taken to ensure no further issues will occur		Completion date
Instructions manual update		01 June 21
		Identified

HHR aggregates information provision to the reconciliation manager			
Non-compliance	Description		
Audit Ref: 11.4 With: Clause 15.8 From: 01-Feb-20 To: 27-Apr-21	HHR aggregates file does not contain electricity supplied information. Potential impact: None Actual impact: None Audit history: Once 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, Awhitu Windfarms is providing submission information as expected.		
Actions taken to resolve the issue		Completion date	Remedial action status
AWFL HHR aggregates file to contain electricity supplied information		01 June 21	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Update procedures Manual		01 June 21	