

# Compliance Plan Network Waitaki Distributor 2022

Requirement to provide complete and accurate information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11.2(1)  From: 01-Mar-20 To: 31-Jan-22	Some missing IECDs and registry information not complete and accurate.  Potential impact: Low  Actual impact: Low  Audit history: Once  Controls: Strong  Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as strong because additional validation has recently been implemented and the details were supplied to the auditor. The details are contained in Appendix 1.  The audit risk rating is assessed to be low as the volume of ICPs affected is small and all corrections have been made.	
Actions taken to resolve the issue		Completion date
IECD errors fixed		14/04/22
Preventative actions taken to ensure no further issues will occur		Completion date
We have issued a purchase order to our consultant to develop new sweeps to help identify: <ul style="list-style-type: none"> <li>- IECD discrepancies</li> <li>- Backdating discrepancies</li> <li>- Identify DG that we are unaware of</li> </ul>		20/5/2022
		Cleared

Timeliness of Provision of Initial Electrical Connection Date			
Non-compliance	Description		
Audit Ref: 3.5 With: Clause 7(2A) of Schedule 11.1  From: 01-Mar-20 To: 31-Jan-22	Two late initial electrical connection date updates. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	I have recorded the controls as strong in this area as Network Waitaki has checks in place to identify and resolve discrepancies and the number of late updates was low. The audit risk rating is assessed to be low as this has no direct impact on reconciliation.		
Actions taken to resolve the issue		Completion date	Remedial action status
IECD errors fixed		14/04/22	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We have issued a purchase order to our consultant to develop new sweeps to help identify: - IECD discrepancies - Backdating discrepancies - Identify DG that we are unaware of		20/5/2022 (scheduled)	

Changes to registry information		
Non-compliance	Description	
Audit Ref: 4.1 With: Clause 8 Schedule 11.1  From: 01-Mar-20 To: 31-Jan-22	A small number of records updated on the registry later than three business days after event. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	I have recorded the controls as strong in this area as Network Waitaki has checks in place to identify and resolve discrepancies and the number of late updates was low. There is a minor impact on participants with late updates. The Audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Noted		14/4/22
Preventative actions taken to ensure no further issues will occur		Completion date
We have issued a purchase order to our consultant to develop new sweeps to help identify: <ul style="list-style-type: none"> <li>- IECD discrepancies</li> <li>- Backdating discrepancies</li> <li>- Identify DG that we are unaware of</li> </ul>		20/05/22
		Identified

ICP location address			
Non-compliance	Description		
<p>Audit Ref: 4.4</p> <p>With: Clause 2 Schedule 11.1</p> <p>From: 01-Mar-20</p> <p>To: 31-Jan-22</p>	<p>Two ICPs with Lot numbers recorded.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>The controls are recorded as strong because they mitigate risk to an acceptable level.</p> <p>The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Rarely, there are times when we need to energise an ICP for our customers before the Street Address is created by the local District Council. In this case the Lot number/DP number is the only unique identifier in existence. It is our view that this allows the ICP to be readily located.</p> <p>For these two ICP's we used a hybrid of the lot number and street name (as the street name was known but numbers hadn't been allocated). While this allows us to readily locate the address, we acknowledge that it may not allow other participants to readily locate the ICP.</p> <p>These have both been corrected to street addresses</p>		13/04/22	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Our process is to always use street numbers when they have been issued.</p> <p>We have amended our process to use the Lot/DP combination to identify an ICP if a street address has not yet been issued. Our weekly discrepancy reporting tracks any ICPs in this situation and we correct these as soon as street numbers are available.</p>		13/4/22	

<b>Distributors to Provide ICP Information to the Registry</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 4.6 With: Clause 7(1)(o) of Schedule 11.1 From: 01-Mar-20 To: 31-Jan-22	Incorrect registry information for five DG ICPs. 19 missing IECDs. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Strong Breach risk rating: 1	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	The controls are recorded as strong because additional validation has recently been implemented and the details were supplied to the auditor. The details are contained in Appendix 1. The audit risk rating is low as the errors found have a minor effect on reconciliation. All issues are now resolved.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Errors corrected	14/04/22	Cleared
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
We have issued a purchase order to our consultant to develop new sweeps to help identify: <ul style="list-style-type: none"> <li>- IECD discrepancies</li> <li>- Backdating discrepancies</li> <li>- Identify DG that we are unaware of</li> </ul>	20/05/22	