

Compliance plan for Ecosmart

Non-compliance	Description		
Audit Ref: 3.1 With: 15.2 From: 01-Feb-17 To: 30-Jun-17	HHR volume not reconciled for a day when a meter change (NHH to HHR) occurs Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	Very small number of ICPs effected. No impact on market settlement outcome		
Actions taken to resolve the issue	Completion date	Remedial action status	
Industry wide issue, interpretation of appropriate method has been applied retrospectively. We will ensure compliance going forward by splitting meter change and profile change actions		Identified	
Preventative actions taken to ensure no further issues will occur	Completion date		
Change in procedure, implemented already			

Non-compliance	Description		
Audit Ref: 4.1.5 With: 6 of Schedule 11.3 From: 06-Mar-17 To: 01-Jul-17	The switch event read provided by the losing trader was not used for ICP 0007903355TUE94 Potential impact: None Actual impact: None Audit history: None Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	It was 1 residential ICP. 47 kWh difference between readings. Ecosmart over submitted volume because the switch event red provided by Trustpower was overestimated. No impact on market settlement outcome		
Actions taken to resolve the issue		Completion date	Remedial action status
Will ensure volume differences however small will be dealt with Via RR			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Change in procedure, implemented already			

Non-compliance	Description		
Audit Ref: 4.3.3 With: 10 of Schedule 11.1 From: 13-Feb-17 To: 03-Apr-17	Trader event for 0000381448WEC26 and 0000711125TU959 was backdated by 22 and 13BD Potential impact: None Actual impact: None Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	For only 2 ICPs profile and type of reconciliation was backdated. No impact on market settlement outcome		
Actions taken to resolve the issue		Completion date	Remedial action status
These were backdated changes due to availability of HHR data not being initially available.			Disputed
Preventative actions taken to ensure no further issues will occur		Completion date	
Actions were necessary to ensure accuracy of reconciliation info, will do so again if necessary			

Non-compliance	Description		
Audit Ref: 8.1.2 With: 15.4 From: 01-Feb-17 To: 30-Jun-17	HHR volume not reconciled for a day when a meter change (NHH to HHR) occurs Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	Very small number of ICPs effected. No impact on market settlement outcome		
Actions taken to resolve the issue		Completion date	Remedial action status
Industry wide issue, will ensure compliance going forward by splitting meter change and profile change actions			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Change in procedure, implemented already			