

## Compliance plan for Ngawha Generation Ltd -2022

Non-compliance	Description		
Audit Ref: 2.2 With: 15.2(1)  From: 18-Jun-21 To: 18-Jun-21	Incorrect information provided for March 2021 R3, which was corrected on the day of notification  Potential impact: Medium  Actual impact: None  Audit history: None  Controls: Strong  Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	Controls are recorded as strong. NGAG use the approved agent EMS to meet its reconciliation obligations under the Code. It was a human error. The actual impact of the inaccurate information was nil. This was due to the error being fixed on the day of notification from the Reconciliation Manager which enabled the RM to publish R3 revisions results on time for that month. Audit risk rating low.		
Actions taken to resolve the issue		Completion date	Remedial action status
When the issue was raised by Reconciliation Manager EMS were immediately contacted by Ngawha and the issue resolved that day. This enabled the RM to publish R3 revisions results on time for that month so there was no impact.		18 June 2021	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
Required EMS to complete an incident report including root cause and corrective action to be taken by EMS to ensure it does not occur again.		30 June 2021	

<b>Non-compliance</b>	<b>Description</b>		
Audit Ref: 11.4 With: 15.8 From: 01-Sep-20 To: 28-Feb-22	HHRAGGR files do not contain electricity supplied information Potential impact: None Actual impact: None Audit history: None Controls: Strong Breach risk rating: 1		
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>		
<b>Low</b>	EMS submits submissions volumes as per the Reconciliation Manager specification.		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	<b>Remedial action status</b>
None. This is a known issue with the Code that is still to be addressed. Consultation on a change took place in Sept 2019		Unknown	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>	
None. This is a known issue with the Code that is still to be addressed. Consultation on a change took place in Sept 2019		Unknown	