

Compliance plan for Kakariki Power -2022

Non-compliance	Description	
Audit Ref: 2.1 With: clause 11. From: 01-Dec-20 To: 31-Mar-22	Inaccurate information in the registry for a small number of ICPs. Missing volumes for 5 ICPs between July 2021 and March 2022 Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating:2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. Audit Risk Rating is recorded as low as the impact on settlement outcomes and participants is minor.	
Actions taken to resolve the issue	Completion date	Remedial action status
Processes have been reviewed and updated where list file is checked against the Kakariki Power's records and Audit Compliance Report are checked monthly.	Jun 2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Processes have been reviewed and updated where list file is checked against the Kakariki Power's records and Audit Compliance Report are checked monthly.	Jun 2022	

Non-compliance	Description	
Audit Ref: 3.3 With: 10 of Schedule 11.1 From: 28-Jul-21 To: 21-Oct-21	One late status update (61 days) Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Strong Breach risk rating:1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as strong. Only one late update. Audit Risk Rating is recorded as low as the impact on settlement outcomes and participants is minor.	
Actions taken to resolve the issue	Completion date	Remedial action status
Business rules and processes have been reviewed and updated to avoid late registry updates.	Jun 2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Business rules and processes have been reviewed and updated to avoid late registry updates.	Jun 2022	

Non-compliance	Description	
Audit Ref: 3.5 With: 9 of Schedule 11.1 From: 18-Apr-21 To: 25-Aug-21	One late ICP status update (90 business days) Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Strong Breach risk rating:1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as strong. Only one late update. Audit Risk Rating is recorded as low as the impact on settlement outcomes and participants is minor.	
Actions taken to resolve the issue	Completion date	Remedial action status
Business rules and processes have been reviewed and updated to avoid late registry updates.	Jun 2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Business rules and processes have been reviewed and updated to avoid late registry updates.	Jun 2022	

Non-compliance	Description		
Audit Ref: 3.8 With: clause 17 of Schedule 11.1 From: 28-Jul-21 To: 21-Oct-21	Incorrect management of the "Active" status for 0000163211CK2A0 Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating:3		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as weak. The process is not well structures and too much reliant on the receiving data from an MEP. Audit Risk Rating is recorded as low as the impact on settlement and participants is minor.		
Actions taken to resolve the issue		Completion date	Remedial action status
Business rules and processes have been reviewed and updated to avoid late registry updates.		Jun 2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Business rules and processes have been reviewed and updated to avoid late registry updates.		Jun 2022	

Non-compliance	Description		
Audit Ref: 4.2 With: clauses 3 and 4 of Schedule 11.3 From: 01-Dec-20 To: 31-Mar-22	Incorrect use of the switch response code "AA" Potential impact: None Actual impact: None Audit history: Once previously Controls: Moderate Breach risk rating:2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as moderate because it was identified as non-compliance in the previous audit Audit Risk Rating is recorded as low as the impact on settlement and participants is minor.		
Actions taken to resolve the issue		Completion date	Remedial action status
Switch AN response code changed to "AD" for AMI metering, "AA" for non-AMI metering and will be overridden for other applicable AN response.		Apr 2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Switch AN response code changed to "AD" for AMI metering, "AA" for non-AMI metering and will be overridden for other applicable AN response.		Apr 2022	

Non-compliance	Description		
Audit Ref: 4.8 With: clause 10(1) of Schedule 11.3 From: 01-Dec-20 To: 31-Mar-22	Incorrect use of the switch response code "AA" Potential impact: None Actual impact: None Audit history: Once previously Controls: Moderate Breach risk rating:2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as moderate because it was identified as non-compliance in the previous audit Audit Risk Rating is recorded as low as the impact on settlement outcomes and participants is minor.		
Actions taken to resolve the issue		Completion date	Remedial action status
Switch AN response code changed to "AD" for AMI metering, "AA" for non-AMI metering and will be overridden for other applicable AN response.		Apr 2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Switch AN response code changed to "AD" for AMI metering, "AA" for non-AMI metering and will be overridden for other applicable AN response		Apr 2022	

Non-compliance	Description		
Audit Ref: 4.10 With: clause 11 of Schedule 11.3 From: 01-Dec-20 To: 31-Mar-22	Incorrect average daily consumption for one ICP was incorrect Potential impact: None Actual impact: None Audit history: Once previously Controls: Moderate Breach risk rating:2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as moderate because it was identified as non-compliance in the previous audit. The calculation of average daily consumption for one ICP, reconciled as NHH, was incorrect. Audit Risk Rating is recorded as low as the impact on settlement outcomes and participants is minor.		
Actions taken to resolve the issue		Completion date	Remedial action status
Business rules and processes have been reviewed and updated for the provision of accurate information to the registry.		Jun 2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Business rules and processes have been reviewed and updated for the provision of accurate information to the registry.		Jun 2022	

Non-compliance	Description		
Audit Ref: 12.2 With: clause 15.4 From: 01-Jul-21 To: 31-Mar-22	5 ICPs were missing from HHRAGGR and HHRVOLS between July 2021 and March 2022. Potential impact: Low Actual impact: Low Audit history: Once previously Controls: Weak Breach risk rating:3		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as weak. They mitigate risk most of the time but there is room for improvement for ICPs which switch late in the month or ICPs as 0000163211CK2A0 for which process of new connections was not followed (monitoring meter installation and receiving data) Audit Risk Rating is recorded as low as the impact on settlement and participants is minor.		
Actions taken to resolve the issue		Completion date	Remedial action status
Business rules and processes have been reviewed and updated for accurate submission information.		Jun 2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Business rules and processes have been reviewed and updated for accurate submission information.		Jun 2022	

Non-compliance	Description		
Audit Ref: 13.3 With: clause 10 of Schedule 15.3 From: 01-Feb-20 To: 31-Mar-22	One NSP (CML0331) did not meet threshold for historical estimate for the 3,7, and 14 revisions Potential impact: Low Actual impact: Low Audit history: Once previously Controls: Strong Breach risk rating:1		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as strong. Only one late update. Audit Risk Rating is recorded as low as the impact on settlement outcomes and participants is minor.		
Actions taken to resolve the issue		Completion date	Remedial action status
Business rules and processes have been reviewed and updated. Ad-Hoc reads in place for all NHH meters monthly to obtain validated meter reads. Switch out final read is flagged as a permanent estimate.		Jun 2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Business rules and processes have been reviewed and updated. Ad-Hoc reads in place for all NHH meters monthly to obtain validated meter reads. Switch out final read is flagged as a permanent estimate.		Jun 2022	