

Compliance plan for Waipa Networks (SRGF) 2022

Material Change Audit		
Non-compliance	Description	
Audit Ref: 1.11 With: Clause 16A.11 From: 29-Aug-22 To: 05-Dec-22	Material change audit not conducted prior to commencing trading at ICP 0007175157WA699 using the SRGF code. Potential impact: High 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 because it was not identified that this change was a risk and that an audit was required. The potential impact was high, but the actual impact is low based on the non-compliances identified during this audit.	
Actions taken to resolve the issue	Completion date	Remedial action status
Several changes in personnel for this project led to an oversight in scheduling the audit prior to trading however one was organised as soon as the error was discovered.	29/11/22	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
This was a one-off issue.	29/11/22	

Relevant information	
Non-compliance	Description
Audit Ref: 2.1 With: Clause 15.2 From: 28-Jun-22 To: 28-Aug-22	The AV090 and AV140 submissions included unnecessary zero volumes from 28 June 2022 until 28 August 2022. Submission was expected to start from 29 August 2022. AV110 ICP days were overstated on the AV110 ICP days report from 28 June 2022 until 28 August 2022. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1

Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as strong because EMS' process to create HHR volumes and aggregates is compliant. The early submission occurred because the start date recorded in EMS' system was prior to the initial electrical connection date.</p> <p>There is no impact because zero volume was estimated, and a small number of ICP days were overstated.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
This was a one-off issue.		29/11/22	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
This was a one-off issue.		29/11/22	

Calculation of ICP days			
Non-compliance	Description		
Audit Ref: 11.2 With: Clause 15.6 From: 28-Jun-22 To: 28-Aug-22	AV110 ICP days were overstated on the AV110 ICP days report from 28 June 2022 until 28 August 2022. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as strong because EMS' process to create ICP days is compliant. The overstatement of ICP days occurred because the start date recorded in EMS' system was prior to the initial electrical connection date.</p> <p>The audit risk rating is low based on the ICP days overstated.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
This was a one-off issue due to the unexpected late commissioning of the Diesel Generation sets.		29/11/22	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
This was a one-off issue due to the unexpected late commissioning of the Diesel Generation sets.		29/11/22	

HHR aggregates information provision to the reconciliation manager		
Non-compliance	Description	
Audit Ref: 11.4 With: Clause 15.8 From: 28-Jun-22 To: 28-Aug-22	The AV090 and AV140 submissions included unnecessary zero volumes from 28 June 2022 until 28 August 2022. Submission was expected to start from 29 August 2022. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong because EMS' process to create HHR volumes and aggregates is compliant. The early submission occurred because the start date recorded in EMS' system was prior to the initial electrical connection date. There is no impact because zero was estimated.	
Actions taken to resolve the issue	Completion date	Remedial action status
This was a one-off issue.	29/11/22	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
This was a one-off issue.	29/11/22	

Accuracy of submission information		
Non-compliance	Description	
Audit Ref: 12.7 With: Clause 15.12 From: 28-Jun-22 To: 28-Aug-22	The AV090 and AV140 submissions included unnecessary zero volumes from 28 June 2022 until 28 August 2022. Submission was expected to start from 29 August 2022. AV110 ICP days were overstated on the AV110 ICP days report from 28 June 2022 until 28 August 2022. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong because EMS' process to create HHR volumes and aggregates is compliant. The early submission occurred because the start date recorded in EMS' system was prior to the initial electrical connection date. There is no impact because zero volume was estimated, and a small number of ICP days were overstated.	

Actions taken to resolve the issue	Completion date	Remedial action status
This was a one-off issue.	29/11/22	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
This was a one-off issue.	29/11/22	