

Auckland International Airport Limited (AIAL) Distributor Compliance Plan 2021

Relevant Information		
Non-compliance	Description	
Audit Ref: 2.1 With: 10.6, 11.2, 15.2 From: 06-Nov-19 To: 12-Nov-19	Failure to submit accurate data to the reconciliation manager by day four. Potential impact: High Actual impact: Medium Audit history: None Controls: Moderate Breach risk rating:4	
Audit risk rating	Rationale for audit risk rating	
Medium	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact on settlement and participants was significant enough to raise a breach; therefore, the audit risk rating is medium.	
Actions taken to resolve the issue		Completion date
Upon becoming aware of the issue AIAL worked with Meridian Energy and EMS to ensure correct volumes were submitted. This was a result of a communication breakdown between Meridian Energy and EMS when they took on the DA functions from the 01/11/2019 from Contact Energy.		12/12/2019
Preventative actions taken to ensure no further issues will occur		Completion date
Tenco on behalf of all EN clients run a check of EMS volumes on BD3 each month prior to submission the RM on BD4 thus avoiding the risk of incorrect submission where actual data is available. The change of DA providers happens infrequently as it tied to the 3year supply agreements entered into by Auckland Airport for its supply requirements.		Ongoing
		Cleared

NHH metering information data validation		
Non-compliance	Description	
<p>Audit Ref: 9.4</p> <p>With: 15 of schedule 15.2</p> <p>From: 06-Nov-19</p> <p>To: 12-Nov-19</p>	<p>Failure to submit accurate data to the reconciliation manager by day four.</p> <p>Potential impact: High</p> <p>Actual impact: Medium</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating:4</p>	
Audit risk rating	Rationale for audit risk rating	
Medium	<p>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement.</p> <p>The impact on settlement and participants was significant enough to raise a breach; therefore, the audit risk rating is medium.</p>	
Actions taken to resolve the issue		Completion date
<p>Upon becoming aware of the issue AIAL worked with Meridian Energy and EMS to ensure correct volumes were submitted. This was a result of a communication breakdown between Meridian Energy and EMS when they took on the DA functions from the 01/11/2019 from Contact Energy.</p>		12/12/2019
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