

Nelson Electricity Distributor Compliance Plan 2021

Provision of information on disputes resolution scheme			
Non-compliance	Description		
Audit Ref: 2.4 With: 11.30A From: 01-Jun-19 To: 31-May-21	Call scripts to be developed for use by Call Care. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as moderate because NEL provide Utility Dispute information on their website and in written communications, processes have not been established with Call Care. The impact is low as information is available but is also required for the Call Care processes.		
Actions taken to resolve the issue		Completion date	Remedial action status
NEL will be engaging with Call Care to look at introducing a script		01/10/2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
NEL will be engaging with Call Care to look at introducing a script		01/10/2021	

Timeliness of Provision of ICP Information to the registry manager		
Non-compliance	Description	
Audit Ref: 3.4 With: Clause 7(2) of Schedule 11.1 From: 01-Jun-19 To: 31-May-21	One ICP updated to “ready” after electrical connection. Potential impact: Low Actual impact: None Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as strong because they mitigate risk to an acceptable level. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
This non-compliance was a one-off manual error. There is already the awareness regarding obligations.		01/09/2021
Preventative actions taken to ensure no further issues will occur		Completion date
No action required		01/09/2021

Timeliness of Provision of Initial Electrical Connection Date		
Non-compliance	Description	
Audit Ref: 3.5 With: Clause 7(2A) of Schedule 11.1 From: 01-Jun-19 To: 31-May-21	Two late updates of the initial electrical connection date. Potential impact: Low Actual impact: Low Audit history: Once Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as strong because they mitigate risk to an acceptable level. The audit risk rating is assessed to be low as this has no direct impact on reconciliation.	
Actions taken to resolve the issue		Completion date
This change was necessary, the non-compliance approach was made at the retailer's request.		
Preventative actions taken to ensure no further issues will occur		Completion date
No action required		
		Identified

Connection of ICP that is not an NSP			
Non-compliance	Description		
Audit Ref: 3.6 With: Clause 11.17 From: 01-Jun-19 To: 31-May-21	One ICP was connected prior to a trader being recorded as having accepted responsibility. 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 recorded as strong because they mitigate risk to an acceptable level. The impact on settlement and participants is minor; therefore, the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
No action required as NEL already has appropriate processes in place.			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
No action required			

Changes to registry information			
Non-compliance	Description		
Audit Ref: 4.1 With: Clause 8 Schedule 11.1 From: 01-Jun-19 To: 01-Jun-21	A small number of price and distributed generation changes were backdated. 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	Controls are rated as strong as NEL has robust controls in place to mitigate risk. The risk rating is low as the volume of late changes that directly affect reconciliation are small.		
Actions taken to resolve the issue		Completion date	Remedial action status
No actions required to resolve issue.			Identified
Preventative actions taken to ensure no further issue will occur		Completion date	
No action required			

ICP location address			
Non-compliance	Description		
Audit Ref: 4.4 With: Clause 2 Schedule 11.1 From: 01-Apr-99 To: 31-May-19	1 ICP with insufficient address information identified. 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 as the processes in place ensure that new ICP connections are readily locatable, and addresses are unique. The audit risk is rated as low as the volume of ICPs not readily locatable is small.		
Actions taken to resolve the issue		Completion date	Remedial action status
ICP address information was updated on registry.		1/08/2021	Identified
Preventative actions taken to ensure no further issue will occur		Completion date	
NEL staff made aware of requirements.		01/09/2021	