

Compliance plan for Christchurch International Airport Ltd (CIAL) Jan 2020

Requirement to provide complete and accurate information			
Non-compliance	Description		
Audit Ref: 2.1 With: Clause 11.2(1) and 10.6(1) From: 29-Aug-18 To: 30-Aug-18	9999999993CL5F5 has an incorrect event date applied for its initial electrical connection date registry update, 29/08/18 was applied instead of 30/08/18. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as strong, as they are sufficient to ensure updates have the correct event date assigned most of the time. The risk is low as one ICP was affected and the event date was one day early.		
Actions taken to resolve the issue		Completion date	Remedial action status
The IED date was correctly input on the 30/08/2018 however the event date used was left as the previous event date being the 29/08/2018 – this was human error and has been corrected on the 07/01/2020.		07/01/2020	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
The Registers users have been reminded to ensure that Event/Effective date for these changes is correctly recorded.		07/01/2020	

Distributors to Provide ICP Information to the Registry manager	
Non-compliance	Description
Audit Ref: 4.6 With: Clause 7(1) Schedule 11.1 From: 29-Aug-18 To: 30-Aug-18	9999999993CL5F5 has an incorrect event date applied for its initial electrical connection date registry update, 29/08/18 was applied instead of 30/08/18. 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>Controls are rated as strong, as they are sufficient to ensure updates have the correct event date assigned most of the time.</p> <p>The risk is low as one ICP was affected and the event date was one day early.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
As per Audit Ref: 2.1		07/01/2020	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
As per Audit Ref: 2.1		07/01/2020	

Creation of loss factors			
Non-compliance	Description		
<p>Audit Ref: 8.1</p> <p>With: Clause 11.2</p> <p>From: 01-Jun-09</p> <p>To: 29-Feb-20</p>	<p>CIALV1 was incorrectly recorded on the registry and pricing schedules as 1.0283 instead of 1.0293. The loss factor has been corrected effective from 01/03/20.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are moderate, because most ICPs had the correct loss factor assigned. CIAL has taken corrective action to prevent recurrence.</p> <p>The impact is low, because there was a small impact on loss factors of 0.001, affecting four ICPs.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Orion had historically adjusted its Loss Factors by a small amount and this in turn had an impact on the CIAL internal loss factor to allow for it to mirror the local network loss factor – the previous registry manager for CIAL had not updated the loss factors when these were changed by Orion – Tenco as current registry agents have corrected this from the 01/03/2020 and any future changes by Orion will be picked up as part of their normal business process.		01/03/2020	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
As Tenco are now the managers of Registry for CIAL they will manage these on a go forward as part of this service and ensure that loss factors remain in synch with Orion.		01/03/2020	