

Compliance plan for PSPIB Waiheke Inc (PSPI)

Title: Timeliness of Provision of Initial Electrical Connection Date			
Non-compliance	Description		
Audit Ref: 3.5 With: Clause 7(2) of Schedule 11.1 From: 18-Dec-18 To: 15-Jan-19	ICP 0110111503PS856 did not have an initial electrical connection date populated within ten business days of initial electrical connection. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as moderate as they are sufficient to ensure that initial electrical connection dates are updated on time most of the time. Paperwork is often sent to the retailer first, then passed to TENCO, which can cause delays in updating the initial electrical connection date. The impact is low because only one ICP was affected, and the update was six business days late.		
Actions taken to resolve the issue		Completion date	Remedial action status
The process to update the initial electrical connection date was triggered late due to a backdated update to "active" status by the trader SIMP		15/01/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
The late update by Retailers that causes us non-compliance should be dealt with by their own audit reports		Ongoing	

Title: Changes to registry information	
Non-compliance	Description
Audit Ref: 4.1 With: Clause 8 Schedule 11.1 From: 01-Aug-18 To: 09-Aug-18	One late status update for ICP 0001130000PS7DC. Potential impact: Low Actual impact: Low Audit history: Three times 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 are on time most of the time. The late update was caused by another party's late registry update.</p> <p>The risk is assessed as low, because one update was made three business days late.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
We have strong controls in place for the update of Registry and in some cases are reliant on other Participants completing updates for us to then be able to complete changes in Registry which at times causes us some non-compliance.		09/08/2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We continue to focus on our level of Compliance, understanding of process and depth of the team to ensure we have coverage		Ongoing	

Title: Responsibility for metering information for NSP that is not a POC to the grid			
Non-compliance	Description		
<p>Audit Ref: 6.8</p> <p>With: Clause 10.25(1) and 10.25(3)</p> <p>From: 17-Jan-18</p> <p>To: 19-Mar-19</p>	<p>Meter certification details were updated more than 20 business days after the certification date for BTC0011, CGT0011, and PPT0011.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are strong, because the delays were primarily caused by the MEP being unable to provide information on time.</p> <p>The impact is low. The meters with late updates were certified at all times.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
All LE ICP's have current and correct metering cert dates		As the updated metering paperwork	Identified

Preventative actions taken to ensure no further issues will occur	Completion date	
<p>We have submitted a proposed change to bring LE ICP metering details into Registry – our main constraint is getting meter recert details in from the MEP’s on time as we are only aware of expiry dates and where they recert early and we do not get notice at the time causes us non-compliance – we are proactively looking to work with the 2 MEP’s we use to improve the notices we receive.</p>	Ongoing	