

Compliance plan for PSPIB Waiheke Inc

Title: Timeliness of Provision of Initial Electrical Connection Date		
Non-compliance	Description	
<p>Audit Ref: 3.5</p> <p>With: Clause 7(2A) of Schedule 11.1</p> <p>From: 18-Apr-17</p> <p>To: 11-May-17</p>	<p>One new connection did not have an initial energisation date populated within 10 business days of energisation.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>Controls are rated as moderate as they are sufficient to ensure that initial energisation 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 energisation date.</p> <p>The impact is low because only one ICP was affected, and the update was seven business days late.</p>	
Actions taken to resolve the issue		Completion date
No action is required as lateness can't be resolved		1/12/2017
Preventative actions taken to ensure no further issues will occur		Completion date
TENCO has processes and system in place to ensure timely updates of IEDs. We are reliant on other industry participants to meet their Code obligations. Genesis Energy has backdated claiming of the ICP 0001130018PSF65 by 28 days therefore TENCO could not complete our update within 10 business days.		1/12/2017
		Identified

Title: Changes to registry information		
Non-compliance	Description	
Audit Ref: 4.1 With: Clause 8 Schedule 11.1 From: 12-Aug-17 To: 18-Oct-17	One late pricing update, and two late status updates. Potential impact: Low Actual impact: Low Audit history: Twice previously 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 are on time most of the time. In all cases, the late update was at the request of another party, or caused by another party's late registry update. The risk is low as a small number of ICPs are affected, and the registry was updated very soon after TENCO became aware that an update was required.	
Actions taken to resolve the issue		Completion date
No action is required as lateness can't be resolved.		1/12/2017
Preventative actions taken to ensure no further issues will occur		Completion date
TENCO is reliant on other industry participants to complete their updates on time. Energy Retailers have backdated their updates further than 3 days therefore could not complete our updates on time.		1/12/2017
Identified		

Title: Distributors to Provide ICP Information to the Registry manager	
Non-compliance	Description
Audit Ref: 4.6 With: Clause 7(1) Schedule 11.1 From: 10-Nov-16 To: 22-Nov-16	The initial energisation date for 0001130020PSA89 was incorrect, but has now been updated. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2

Audit risk rating	Rationale for audit risk rating		
Low	<p>Controls are rated as moderate as they are sufficient to mitigate the risk of errors most of the time.</p> <p>The audit risk rating is low, as only one ICP was affected and the date has now been corrected on the registry.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
This has now been corrected and correct date populated.		1/12/2017	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
The new member of our staff that caused this error has now been provided with additional training on the process.		1/12/2017	

Title: Notice of supporting embedded network NSP information			
Non-compliance	Description		
<p>Audit Ref: 6.4</p> <p>With: Clause 26(4)</p> <p>Schedule 11.1</p> <p>From: 01-Aug-17</p> <p>To: 31-Aug-17</p>	<p>An LE ICP number was not provided at least one month before network creation for 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 if other participants complied with the timeframes to create ICPs they would be sufficient to ensure that the LE ICP is provided on time.</p> <p>The impact is low because the LE ICP was provided before network creation, and all other required information was provided on time.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
No action is required as lateness can't be resolved.		1/12/2017	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
TENCO is reliant on other industry participants to complete their updates on time. Local Network haven't provided LE ICP number to TENCO within 3 days therefore TENCO could not complete our updates on time. This is the 1st time this clause has been audited and we will chase it more proactively going forward.		1/12/2017	

