

2017 Compliance plan for Network Tasman

Timeliness of provision of initial energisation date		
Non-compliance	Description	
Audit Ref: 3.5 With: 7(2A) of Schedule 11.1 From: 01-Jul-16 To: 30-Jun-17	The event date populated to the registry for IED updates is not the IED date. Potential impact: None Actual impact: None Audit history: None Controls: Moderate Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are moderate as the non-compliance is system driven. All IEDs were updated within 10 days of becoming active. There is no impact on settlement, therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Same day events can be updated automatically via the current system, with a manual work around for registry updates for non same day events		13/09/17
Preventative actions taken to ensure no further issues will occur		Completion date
NTL's IT department to investigate issue further and resolve problem		13/09/17
		Identified

Changes to registry information			
Non-compliance	Description		
Audit Ref: 4.1 With: 8 of Schedule 11.1 From: 01-Sep-16 To: 30-Jun-17	Registry event updates backdated greater than three days Potential impact: None Actual impact: None Audit history: Twice Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are strong and updates were made as soon as possible. There is no impact on settlement, therefore the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Controls are strong, and errors have been a “human” factor		13/09/17	Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Additional human resources required to cover key staff involved in these processes. Management advised		13/09/17	

Distributors to provide ICP information to the registry		
Non-compliance	Description	
<p>Audit Ref: 4.6</p> <p>With: 7 (1) (m)&(p) of Schedule 11.1</p> <p>From: 01-May-17</p> <p>To: 14-Aug-17</p>	<p>1 with missing initial energisation date.</p> <p>1 ICP with incorrect UML details.</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 missing IED date is one out of 461 populated during the audit period and there was one ICP with incorrect UML details out of 242. These are exceptions and controls will mitigate risk most of the time hence the rating of moderate.</p> <p>The audit risk rating is low as there is a potential minor impact on reconciliation if the ICP had switched with an incorrect UML.</p>	
Actions taken to resolve the issue		Completion date
Correction to the registry was made immediately upon identification of non-compliance.		13/09/17
Preventative actions taken to ensure no further issues will occur		Completion date
A new automated discrepancy query should identify non compliance errors such as these, immediately in future		13/09/17
		Identified