

Compliance plan for TPNZ MEP – 2019

Changes to Registry Records		
Non-compliance	Description	
Audit Ref: 4.10 With: Clause 3 of Schedule 11.4 From: 01-Jul-18 To: 23-Feb-19	Late updates for two ICPs 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 they mitigate risk most of the time but there is room for improvement. The impact is minor; therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
When the registry errors were identified they were corrected.		5/3/2019
Preventative actions taken to ensure no further issues will occur		Completion date
Transpower will keep a validated copy of the registry data for its 3 ICP and compare the monthly download against this copy		29/3/2019
		Identified

Accurate and Complete Records		
Non-compliance	Description	
Audit Ref: 5.1 With: Clause (1)(a) and (b) of Schedule 10.6, and Table 1, Schedule 11.4 From: 01-Jan-18 To: 08-Mar-19	Inspection reports not available for two metering installations at Central Park 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 they mitigate risk most of the time but there is room for improvement. The impact is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
On becoming aware of the missing inspection reports Transpower has requested that the ATH revisit the site and complete an inspection and recertify the site.		15/3/2019
Preventative actions taken to ensure no further issues will occur		Completion date
Transpower will hold its own copy of inspection reports and cross check against work schedules.		29/3/2019

Provision of Registry Information			
Non-compliance	Description		
Audit Ref: 6.2 With: Clause 7 (1), (2) and (3) of Schedule 11.4 From: 01-Jul-18 To: 23-Feb-19	Some registry errors for all three ICPs 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 they mitigate risk most of the time but there is room for improvement. 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
When the registry errors were identified they were corrected.		5/3/2019	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
Transpower will keep a validated copy of the registry data for its 3 ICP and compare the monthly download against this copy		29/3/2019	

Non-compliance	Description	
Audit Ref: 6.3 With: Clause 6 of Schedule 11.4 From: 01-Jan-17 To: 23-Feb-19	Registry records not compared to Transpower's records for every field. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 5	
Audit risk rating	Rationale for audit risk rating	
Low	Transpower does not have a process to compare the registry records against their own records for every field. The impact on settlement and participants is minor so I have recorded the audit risk rating as low.	
Actions taken to resolve the issue		Completion date
Transpower will keep a validated copy of the registry data for its 3 ICP		10/3/2019
Preventative actions taken to ensure no further issues will occur		Completion date
Transpower revise its monthly process to compare all fields in the monthly download against the validated copy		22/3/2019

Category 2 to 5 Inspections		
Non-compliance	Description	
Audit Ref: 8.2 With: Clause 46(1) of Schedule 10.7 From: 16-Aug-18 To: 08-Mar-19	Inspection conducted early for Berwick 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 is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
On becoming aware of the issue with the inspection date Transpower has requested that the ATH revisit the site and complete an inspection and recertify the site.		TBC
Preventative actions taken to ensure no further issues will occur		Completion date
Transpower will review its record keeping and find an appropriate way to record the date of the most recent certification along with the existing expiry dates. This will make it easier to validate the inspection window.		29/3/2019
		Identified