

Compliance plan for Tuaropaki Kaitiaki Limited (TIKL) Distributor – 2020

Monitoring of “new” & “ready” statuses			
Non-compliance	Description		
Audit Ref: 3.14 With: Clause 15 Schedule 11.1 From: 17-Jan-18 To: 30-Sep-20	Monitoring in place for the ICPs at “new” and “ready” status for over 24 months has lapsed. 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 audit risk rating is low as overall the number of ICPs at these statuses for more than 24 months is small.		
Actions taken to resolve the issue		Completion date	Remedial action status
Prior to the onsite audit a review of all NEW and READY ICP’s was completed.		October-2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
A monthly process to review these and ensure that the compliance notes in SF are still up to date and accurate has been reinstated and will be followed going forward.		October-2020	

Changes to registry information		
Non-compliance	Description	
Audit Ref: 4.1 With: Clause 8 Schedule 11.1 From: 17-Jan-18 To: 30-Sep-20	One late network update. Potential impact: Low Actual impact: Low Audit history: Multiple times 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 The risk is assessed as low as a relatively small proportion of updates were affected.	
Actions taken to resolve the issue		Completion date
The update of direct billed status should have been made from the date that it was input to Registry and was an error made by the user when updating the registry records and is a one off.		N/A
Preventative actions taken to ensure no further issues will occur		Completion date
Controls in this area are strong on the basis that the registry management/update process is followed.		N/A
		Identified

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: 30-Sep-20</p>	<p>Meter certification detail updated more than 20 business days for NSP MEP0111 after the certification date.</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 as the process did not identify when meter certifications weren't being received, so there is room for improvement.</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
This was due to late notification by the MEP of the meter recert, Tenco monitor the expiry of meter certs in its Salesforce Instance and proactively follow up with the MEP when a meter expiry is pending. If the MEP recertifies a meter point early and does not provide paperwork within 20BD to us then this causes non-compliance for us.		As soon as the meter paperwork was received.
Preventative actions taken to ensure no further issues will occur		Completion date
Our controls are strong in this space however they are reliant on MEP's providing us meter certs in a timely fashion to ensure compliance.		Ongoing
		Identified