

## Compliance plan for New Zealand Retail Property Group Management (NZRP)

Title: Changes to registry information		
Non-compliance	Description	
Audit Ref: 4.1 With: Clause 8 Schedule 11.1  From: 17-Aug-13 To: 05-Sep-18	One late status update for ICP 0110101230RG00F. Potential impact: Low Actual impact: Low Audit history: Three times Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	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.  The risk is assessed as low, because the update was made within one business day of the trader's update to "ready for decommissioning" status. Had the update occurred after 01/11/18 it would have been compliant.	
Actions taken to resolve the issue		Completion date
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		Ongoing
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
		Identified

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: 23-Nov-17</p> <p>To: 19-Sep-19</p>	<p>WGT0011 has expired meter certification on the network supply points table.</p> <p>Meter certification details were updated more than 20 business days after the certification date for MLF0011.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<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.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Both LE ICP's now have current and correct metering cert dates		Throughout the audit period	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We have submitted a proposed change to bring LE ICP metering details into Registry and also we continue to focus on our level of Compliance, understanding of process and depth of the team to ensure we have coverage		Ongoing	