

## Compliance plan for Network Tasman Distributor – 2019

Participants may request distributors to create ICPs		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: clause 11.5(3)</p> <p>From: 23-Apr-18</p> <p>To: 03-May-18</p>	<p>One ICP not created within three days of request.</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	
<b>Low</b>	<p>The controls are rated as strong as Network Tasman have reporting in place providing good visibility of this.</p> <p>The audit risk rating is low as the majority of ICPs are created within the required timeframe.</p>	
Actions taken to resolve the issue		Completion date
NTL have recently trained another staff member to cover the ICP creation process. This should reduce the risk of late creation when key staff are on planned or unplanned leave.		11/09/19
Preventative actions taken to ensure no further issues will occur		Completion date
NTL cannot control multiple staff being away on sick leave at the same time another staff member is on annual leave. Therefore we can only make best efforts to ensure no further issues will occur.		11/09/19
		Identified

Changes to registry information			
Non-compliance	Description		
<p>Audit Ref: 4.1</p> <p>With: clause 8 schedule 11.1</p> <p>From: 01-Jul-17</p> <p>To: 31-May-19</p>	<p>A small number of registry event updates backdated greater than three days.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times</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 rated as strong as Network Tasman proactively work with contractors and staff to update events within the required timeframe.</p> <p>The audit risk rating is low as the volume of backdated is very small in comparison to the volume of changes made.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>NTL continue to remind contractors of the requirements to return complete and accurate information in a timely manner in order for NTL to meet the timeframes of the Code. NTL suffered the sudden loss of a staff member during the audit period. This accounted for lack of resource at times, and a new staff member having to be trained. An Electricity Participant (retailer) blatantly ignored the required process for installing and connecting DG systems to NTLs network. NTL did everything they could to assist this retailer with the correct process. NTL enforced the shutoff of the systems when found. We understand this retailer has now exited the retail market.</p>		11/09/19	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>NTL continue to press upon contractors the requirements to return complete and accurate information in a timely manner in order for NTL to meet the timeframes of the Code. On-going training is taking place. NTL continue to assist/advise DG installers on the correct application/installation process.</p>		11/09/19	