

## Compliance plan for Nelson Electricity Distributor – 2019

Changes to registry information			
Non-compliance	Description		
<p>Audit Ref: 4.1</p> <p>With: Clause 8 Schedule 11.1</p> <p>From: 16-May-18</p> <p>To: 31-May-19</p>	<p>A small number of price, network, status, and address changes were backdated.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>Controls are rated as strong as NELS has robust controls in place to mitigate risk.</p> <p>The risk rating is low as the volume of late changes that directly affect reconciliation are small.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Non-Compliance accepted.</p> <p>Nelson Electricity recognises the requirement to update the registry within three days of an event but if a correction to meet the requirements of this clause is identified then the event should be backdated.</p>		1/10/2019	Identified
Preventative actions taken to ensure no further issue will occur		Completion date	
<p>Staff reminded that if a correction to meet the requirements of this clause is identified then the event should be backdated</p> <p>Supporting information will continue to be retained for any backdated events.</p>		1/10/2019	

ICP location address		
Non-compliance	Description	
Audit Ref: 4.4 With: Clause 2 Schedule 11.1  From: 01-Apr-99 To: 31-May-19	107 duplicate addresses identified. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as strong as the processes in place ensure that new ICP connections are readily locatable and NELS are working through the ICPs with duplicate addresses to fix these.  The audit risk is rated as low as the volume of ICPs not readily locatable is small.	
Actions taken to resolve the issue		Completion date
Nelson Electricity working through the duplicate addresses to resolve issues		31/12/2019
Preventative actions taken to ensure no further issue will occur		Completion date
No new ICP's created will have a duplicate address		1/10/2019
		Identified