

# Compliance Plan PPNZ Distributor 2022

Timeliness of Provision of ICP Information to the registry manager		
Non-compliance	Description	
Audit Ref: 3.4 With: Clause 7(2) of Schedule 11.1  From: 01-Jun-21 To: 30-Nov-22	Information not provided to the registry prior to electricity being traded for one ICP.  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>	Controls are rated as strong, as they are robust and mitigate risk to an acceptable level.  The audit risk rating is deemed to be low as this has no direct impact on reconciliation.	
Actions taken to resolve the issue		Completion date
The ICP was moved to ready as soon as we became aware that it was still sitting at NEW upon confirmation of the electrical connection		During the audit period
Preventative actions taken to ensure no further issues will occur		Completion date
This was human error and for new Embedded Networks where we have issued NEW ICP's in preparation for the network to go live at a later date, all ICP's will be moved to READY from the NSP go live date.		Ongoing
		Identified

<b>Timeliness of Provision of Initial Electrical Connection Date</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 3.5 With: Clause 7(2) of Schedule 11.1  From: 01-Jun-21 To: 30-Nov-22	One ICP did not have initial electrical connection dates populated within ten business days of initial electrical connection.  Potential impact: Low  Actual impact: Low  Audit history: Multiple  Controls: Strong  Breach risk rating: 1	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	Controls are rated as strong, as they are sufficient to prevent the late updates most of the time.  The audit risk rating is deemed to be low as this has no direct impact on reconciliation.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
The non-population of IED's is monitored via the Salesforce Compliance Dashboard – the delay in populating will be due to the late population/provision of information to Registry via the Trader or MEP thus causing Tenco's non-compliance.	During the audit period	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
We believe our controls in this space are strong and the Compliance Dashboard is monitored each business day.	Ongoing	

Changes to registry information			
Non-compliance	Description		
Audit Ref: 4.1 With: Clause 8 Schedule 11.1 From: 01-Jun-21 To: 30-Nov-22	One late pricing update. One late update to decommissioned status. 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 risk is assessed as low as there were only two late updates.		
Actions taken to resolve the issue		Completion date	Remedial action status
The price change will have been the result of a capacity increase and updated to the Registry as soon as we were advised by the electricity retailer/electrician for the job and the backdate was as agreed with the electricity retailer		During the audit period	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Price change requests are actioned as soon as they are received.		Ongoing	