

## Compliance Plan Mountain Power 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: 16-Oct-21 To: 10-Oct-22	Late update to the registry for one ICP electrically connected during the audit period.  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 they will eliminate risk to an acceptable level. The audit risk rating is low as this only affected one new connection.	
Actions taken to resolve the issue	Completion date	Remedial action status
Systems are already in place to prevent this from happening.	Ongoing	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
More frequent discussions with linesman who liven ICP's.	Ongoing	

<b>Timeliness of Provision of Initial Electrical Connection Date</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 3.5 With: Clause 7(2A) of Schedule 11.1  From: 16-Oct-21 To: 10-Oct-22	Late initial electrical connection date updates for 15 ICPs. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	The controls are recorded as moderate because they mitigate risk most of the time. The audit impact is assessed to be low due to the number of ICPs with the late populated of the initial electrical connection date.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Systems are already in place to prevent this from happening.	Ongoing	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Regular discussions with those people responsible for livening ICP's.	Ongoing	

<b>Notice of NSP for each ICP</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 4.2 With: Clauses 7(1), 7(4) and 7(5) Schedule 11.1 From: 16-Oct-21 To: 10-Oct-22	One ICP with the incorrect NSP assigned. Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	The controls are rated as strong as they will eliminate risk to an acceptable level. The audit risk rating is low as this only affected one ICP.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Confirm with each new ICP that the correct NSP has been loaded.	Ongoing	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Check box created for NSP confirmation and cross check against ICP address.	Ongoing	

<b>Distributors to Provide ICP Information to the Registry manager</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 4.6 With: Clause 7(1) Schedule 11.1  From: 16-Oct-21 To: 10-Oct-22	Four ICP's with the incorrect initial electrical connection date recorded.  Actual impact: Low  Audit history: Three times previously  Controls: Strong  Breach risk rating: 1	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	The controls are rated as strong as they will eliminate risk to an acceptable level.  The audit risk rating is low as there is little to no impact to the market as a result of the discrepancies found.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Discussion with linesmen in respect of ICP's that switch from TPS to permanent and how that initial electrical date must not be changed. This is where errors have been found.	Ongoing	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Each new ICP paperwork to be double checked and discussed with MOPO and linesmen.	Ongoing	

Creation of loss factors		
Non-compliance	Description	
<p>Audit Ref: 8.1 With: Clause 11.2</p> <p>From: 16-Oct-21 To: 11-Oct-22</p>	<p>Loss factors are not accurate and are not calculated in accordance with the formula in the guideline.</p> <p>Loss factors have not been reviewed annually.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three times previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are rated as moderate because the loss factors have not been reviewed and adjusted to reflect changes made by the parent network, and they are not calculated in accordance with the guideline</p> <p>UFE is allocated to participants; therefore, there is no adverse impact on settlement. However, traders may use published losses in pricing decisions, therefore the use of inaccurate loss factors could lead to incorrect pricing, which is considered to have a low impact.</p>	
Actions taken to resolve the issue		Completion date
Loss factors on both networks to be monitored and updated annually to reflect the guidelines current methodology.		Ongoing
Preventative actions taken to ensure no further issues will occur		Completion date
Annual checking of loss factors and discussions with AEL.		Ongoing
		Identified