

Compliance Plan Nelson Electricity Distributor 2023

Requirement to provide complete and accurate information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11.2(1) From: 01-Jun-21 To: 31-Dec-22	One electrically connected ICP with no initial electrical connection date recorded. Potential impact: Low Actual impact: Low Audit history: Once Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	I have recorded the controls as strong in this area as NEL has checks in place to identify and resolve discrepancies. The audit risk rating is low as the errors found have a minor effect on reconciliation. All issues are now resolved.	
Actions taken to resolve the issue		Completion date
This issue was picked up one day before NEL ran the monthly report.		16 March 2023
Preventative actions taken to ensure no further issues will occur		Completion date
NEL already has a monthly report run to check for this sort of error.		16 March 2023
Identified		

Provision of ICP Information to the registry manager		
Non-compliance	Description	
Audit Ref: 3.3 With: Clause 11.7 From: 01-Jun-21 To: 31-Dec-22	One electrically connected ICP with no initial electrical connection date recorded. Potential impact: Low Actual impact: None Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as strong because they mitigate risk to an acceptable level. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
This issue was picked up one day before NEL ran the monthly report.	16 March 2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
NEL already has a monthly report run to check for this sort of error.	16 March 2023	

Changes to registry information		
Non-compliance	Description	
<p>Audit Ref: 4.1</p> <p>With: Clause 8 Schedule 11.1</p> <p>From: 01-Jun-21</p> <p>To: 31-Dec-22</p>	<p>Three ICPs with late distributed generation changes.</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	
Low	<p>Controls are rated as strong as NEL 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
<p>This was due to a retailer metering service provider being taken over and staffing changes. NEL has reiterated and reinforced timeframes and procedures. The metering service provider's information flow has improved as a result.</p>		Already completed
Preventative actions taken to ensure no further issue will occur		Completion date
<p>This was due to a retailer metering service provider being taken over and staffing changes. NEL has reiterated and reinforced timeframes and procedures. The metering service provider's information flow has improved as a result.</p>		Already completed
Identified		

Distributors to Provide ICP Information to the Registry manager		
Non-compliance	Description	
Audit Ref: 4.6 With: Clause 7(1)(o) & (p) Schedule 11.1 From: 01-Jun-21 To: 31-Dec-22	Incorrect NSP dedicated/non-dedicated flag applied to two ICPs. One electrically connected ICP with no initial electrical connection date recorded. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	I have recorded the controls as strong in this area as NEL has checks in place to identify and resolve discrepancies. The audit risk rating is low as the errors found have a minor effect on reconciliation. All issues are now resolved.	
Actions taken to resolve the issue	Completion date	Remedial action status
Error has been corrected	Already completed	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
General Manager to run monthly report to check for this type of error	Already completed	

Responsibility for metering information for NSP that is not a POC to the grid		
Non-compliance	Description	
Audit Ref: 6.8 With: Clause 10.25(1) and 10.25(3) From: 01-Jun-21 To: 31-Dec-22	Meter certification expired on HVN0331. Potential impact: High Actual impact: Low Audit history: None Controls: Moderate Breach risk rating:2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are moderate, because it was not known that the meter certification had expired. The impact is low because there no known impact on reconciliation.	
Actions taken to resolve the issue	Completion date	Remedial action status
Investigated error through MEP service provider.	13 March 2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
MEP service provider and NEL to monitor and ensure compliance	28 March 2023	

