

Compliance Plan NZAL Distributor Oct 2023

Requirement to provide complete and accurate information		
Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11.2(1) and 10.6(1) From: 8-Mar-22 To: 3-Nov-22	<p>Three network updates which entered the initial electrical connection date had an incorrect event date, and were corrected during the audit.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</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. TENCO have updated their process to ensure that correct event dates are consistently applied. Reviewed events processed since this change had correct event dates applied.</p> <p>The audit risk rating is low as this has no direct impact on reconciliation. The errors have been corrected.</p>	
Actions taken to resolve the issue		Completion date
The ICP's with incorrect IED dates have been updated with correct dates.		17/10/2023
Preventative actions taken to ensure no further issues will occur		Completion date
As mentioned, the process of using the update date as the IED date has been replaced. We now use the IED date as the event date.		Ongoing
Remedial action status		
Cleared		

Timeliness of Provision of Initial Electrical Connection Date		
Non-compliance	Description	
Audit Ref: 3.5 With: 7(2A) of Schedule 11.1 From: 01-Mar-22 To: 03-Nov-22	<p>Two ICPs of four did not have initial electrical connection dates populated within ten business days of initial electrical connection.</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	Controls are rated as strong, as they are sufficient to prevent late updates most of the time. The audit risk rating is low as this has no direct impact on reconciliation.	
Actions taken to resolve the issue		Completion date
Livening details for both ICP's were updated as soon we were able to confirm the correct dates.		During audit period
Preventative actions taken to ensure no further issues will occur		Completion date
Tenco uses the dashboard to monitor updates from traders and MEP's where we have not received meter install paperwork. In most cases we receive install paperwork direct, with the dashboard the failsafe to detect any anomalies.		Ongoing
		Identified

Changes to registry information		
Non-compliance	Description	
Audit Ref: 4.1 With: Clause 8 Schedule 11.1 From: 24-Mar-23 To: 24-Mar-23	<p>One network update was made one business day late.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as strong. The late update was made one business day late and was a date correction. The audit risk rating is low as this has no direct impact on reconciliation, and the update was one business day late.	
Actions taken to resolve the issue		Completion date
The late price code update was due to ongoing dialogue with the trader to determine the correct price code.		During audit period
Preventative actions taken to ensure no further issues will occur		Completion date
Tenco endeavours to ensure that all registry updates are accurate and within expected compliance timeframes.		Ongoing
		Identified

Distributors to Provide ICP Information to the Registry manager			
Non-compliance	Description		
Audit Ref: 4.6 With: Clause 7(1) Schedule 11.1 From: 8-Mar-22 To: 3-Nov-22	Three network updates which entered the initial electrical connection date had an incorrect event date, and were corrected during the audit. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as strong. TENCO have updated their process to ensure that correct event dates are consistently applied. Reviewed events processed since this change had correct event dates applied. The audit risk rating is deemed to be low as this has no direct impact on reconciliation. The errors have been corrected.		
Actions taken to resolve the issue		Completion date	Remedial action status
The ICP's with incorrect IED dates have been updated with correct dates.		17/10/20023	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
As mentioned, the process of using the update date as the IED date has been replaced. We now use the IED date as the event date.		Ongoing	

Notice of supporting embedded network NSP information		
Non-compliance	Description	
Audit Ref: 6.4 With: Clause 26(4) Schedule 11.1 From: 24-Mar-23 To: 24-Mar-23	<p>One late notification of an LE ICP for NCA0011NZALEN.</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	
Low	<p>The controls are strong because one notification was late. TENCO's processes to make sure LE ICPs are requested are compliant, but there are often delays in receiving these from the parent network.</p> <p>The audit risk rating is low because almost all other required information was provided on time.</p>	
Actions taken to resolve the issue		Completion date
The LE ICP for NCA0011 had not been released by the network company when market notice was initially made. This was later updated once it was realised this information was missing.		10/10/2023
Preventative actions taken to ensure no further issues will occur		Completion date
LE ICP's which are issued after market notification has been made are updated when they become available.		Ongoing

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: 31-Aug-20 To: 9-Aug-23	Four changes to meter certification dates were provided more than 20 business days after the meter certification date. Potential impact: Low Actual impact: Low Audit history: Three times Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are moderate, because the delays were primarily caused by the MEP being unable to provide information on time. The impact is low because there no impact on reconciliation, and the meters were certified.		
Actions taken to resolve the issue		Completion date	Remedial action status
Meter certification dates were updated in the EA's portal as soon as they became available to us.		During audit period	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We send monthly reports to MEP's to ensure they are aware of all outstanding certification paperwork but we ultimately have no control over when we receive this.		Ongoing	