Compliance plan for Meridian MEP 2022

| Participants to Provide Accurate Information | | | |
|---|--|---------------------|-------------------------|
| Non-compliance | Description | | |
| Audit Ref: 2.5 | Incorrect event dates for two ICPs. | | |
| With: Clause 10.6 | Potential impact: Low | | |
| | Actual impact: Low | | |
| From: 24-Feb-22 | Audit history: Once | | |
| To: 20-Aug-22 | Controls: Moderate | | |
| | Breach risk rating: 2 | | |
| Audit risk rating | Rationale for audit risk rating | | |
| Low | The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. | | |
| | The impact on settlement and particip rating is low. | pants is minor; the | erefore, the audit risk |
| Actions taken to resolve the issue | | Completion date | Remedial action status |
| We now have checks in place to ensure the expiry dates are checked monthly by the Metering Manager and the Approved Testhouse | | 31/08/2022 | Identified |
| Preventative actions taken to ensure no further issues will occur | | Completion date | |
| As above | | 31/08/2022 | |

| Changes to Registry Records. | | | |
|--|--|---------------------|-------------------------|
| Non-compliance | Description | | |
| Audit Ref: 4.10 | Two incorrect event dates. | | |
| With: Clause 3 of | Potential impact: Low | | |
| Schedule 11.4 | Actual impact: Low | | |
| | Audit history: Once | | |
| From: 24-Feb-22 | Controls: Moderate | | |
| To: 20-Aug-22 | Breach risk rating: 2 | | |
| Audit risk rating | Rationale for audit risk rating | | |
| Low | The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. | | |
| | The impact on settlement and particip rating is low. | pants is minor; the | erefore, the audit risk |
| Actions taken to resolve the issue | | Completion date | Remedial action status |
| We now have checks in place to ensure the dates are correct ie by Metering Manager updating the event dates and Retail checking the dates are correct afterwards | | 31/08/22 | Identified |
| Preventative actions taken to ensure no further issues will occur | | Completion date | |
| As above | | 31/08/22 | |

| Certification and maintenance | | | |
|---|--|--------------------|------------------------|
| Non-compliance | Description | | |
| Audit Ref: 7.1 | Certification cancelled from 8 April 2022 to 10 May 2022 at Waitaki G7. | | |
| With: Clause 10.38(a) | Potential impact: High | | |
| | Actual impact: None | | |
| From: 08-Apr-22 | Audit history: None | | |
| To: 11-May-22 | 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 certification tests confirmed there were no errors present; therefore, the audit risk rating is low. | | |
| Actions taken to resolve the issue | | Completion date | Remedial action status |
| We now have checks in place to ensure the expiry dates are checked monthly by the Metering Manager and Approved Testhouse | | 31/08/2022 | Identified |
| Preventative actions taken to ensure no further issues will occur | | Completion date | |
| As above | | 31/08/2022 | |

| Certification Tests | | | |
|--|--|--------------------|------------------------|
| Non-compliance | Description | | |
| Audit Ref: 7.2 With: Clause 10.38(b) | Burden tests not conducted at Ohau G8 and G11 in accordance with Clause 10.38(b) and clause 28(4) of schedule 10.7. Potential impact: Low | | |
| From: 17-May-22 | Actual impact: Low | | |
| To: 20-Aug-22 | 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. | | |
| | There is no indication that the burden has changed; therefore, the audit risk rating is low. | | |
| Actions taken to resolve the issue | | Completion date | Remedial action status |
| This was due to burden resistors being placed at the VTs and we have a plan to move these to outside the VT Cubicles this financial year. It was planned to do this last Financial Year but the outages were cancelled. | | 30/09/2022 | Identified |
| We will be advising the Electricity Authority what happened here and applying for dispensation until we can move the Burdens outside the VT Cubicle | | | |
| Preventative actions ta | aken to ensure no further issues will occur | Completion date | |
| As above | | 30/09/2022 | |

| Inspections | | | |
|---|--|--------------------|------------------------|
| Non-compliance | Description | | |
| Audit Ref: 8.2 | Inspection not conducted at Waitaki G7 by the due date. | | |
| With: Clause 46(1) of | Potential impact: Low | | |
| Schedule 10.7 | Actual impact: None | | |
| | Audit history: None | | |
| From: 08-Apr-22 | Controls: Strong | | |
| To: 11-May-22 | 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 certification tests confirmed there were no errors present; therefore, the audit risk rating is low. | | |
| Actions taken to resolve the issue | | Completion date | Remedial action status |
| We now have checks in place to ensure the expiry dates are checked monthly by the Metering Manager and the Approved Testhouse | | 31/08/2022 | Identified |
| Preventative actions taken to ensure no further issues will occur | | Completion date | |
| As above | | 31/08/2022 | |