

## Compliance Plan Network Tasman Distributor 2023

Provision of ICP Information to the registry manager		
Non-compliance	Description	
Audit Ref: 3.3 With: Clause 11.7  From: 07-Oct-22 To: 13-Jun-23	Two ICPs with missing initial electrical connection dates. Potential impact: Low Actual impact: Low Audit history: Once Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are recorded as strong as they will eliminate 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
Registry has been corrected	13/06/23	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
Data input errors – more care More frequent use of discrepancy report if resources allow	13/06/23	

<b>Timeliness of Provision of ICP Information to the registry manager</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 3.4 With: Clause 7(2) of Schedule 11.1  From: 28-Apr-23 To: 04-May-23	One ICP was made “ready” after electrical connection, and therefore trading, had occurred.  Potential impact: Low  Actual impact: Low  Audit history: Once  Controls: Strong  Breach risk rating: 1	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	The controls are recorded as strong as they will eliminate risk to an acceptable level.  The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Error corrected after mix up was found.	5/05/23	Cleared
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
This was a one off type of mix up between two neighbouring properties. The contractor applied for the wrong property.	5/05/23	

<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: 01-Oct-21 To: 31-May-23	Late provision of Initial Electrical Connection Date for nine ICPs.  Potential impact: Low  Actual impact: Low  Audit history: Once  Controls: Strong  Breach risk rating: 1	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	The controls are recorded as strong as they will eliminate risk to an acceptable level.  The audit risk rating is assessed to be low as the volume of ICPs affected is small.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Registry has been updated for all ICPs	11/08/23	Cleared
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Revised our processes and requirements for timely and accurate information with New Staff at contractor level.	11/08/23	

Connection of ICP that is not an NSP		
Non-compliance	Description	
Audit Ref: 3.6 With: Clause 11.17  From: 28-Apr-23 To: 04-May-23	One ICP was connected prior to the accepting trader being recorded in the registry.  Potential impact: Low  Actual impact: None  Audit history: Once  Controls: Strong  Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are recorded as strong as they will eliminate risk to an acceptable level.  The audit risk rating is assessed to be low as the volume of ICPs affected is small	
Actions taken to resolve the issue	Completion date	Remedial action status
This is part of the mix up of two ICPs in 3.4. It was corrected	5/05/23	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
This was a one off type of mix up between two neighbouring properties. The contractor applied for the wrong property.	5/05/23	

Changes to registry information		
Non-compliance	Description	
Audit Ref: 4.1 With: clause 8 schedule 11.1  From: 01-Oct-21 To: 16-May-23	Eight late address updates. 11 late network events. Four late pricing updates from a sample of ten of the 148 backdated events. One late status update. 24 late distributed generation updates. One late NSP update.  Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are rated as strong as Network Tasman proactively work with contractors and staff to update events within the required timeframe. The audit risk rating is low as the volume of backdated is very small in comparison to the volume of changes made.	
Actions taken to resolve the issue	Completion date	Remedial action status
All corrections have been made.	5/05/23	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
Use discrepancy report more frequently, revise processes with Contractors, and DG installers, be more vigilant with data errors.	5/05/23	

<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: 07-Oct-22 To: 13-Jun-23	Two ICPs with the initial electrical connection date not populated.  Potential impact: Low Actual impact: Low Audit history: Once Controls: Strong Breach risk rating: 1	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	The controls are recorded as strong. Overall Network Tasman has robust controls in place.  The audit risk rating is assessed to be low as the volume of ICPs affected is small.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Both ICPs were processed correctly but human error occurred. A Type O in the date meant the IED did not go through to the Registry. Both ICPs have been corrected	13/06/23	Cleared
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Use discrepancy report more frequently, Create a new process that checks Contractors proposed list with updates-	15/08/23	