

Compliance Plan Auckland International Airport Ltd DIST 2024

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: 19-Sep-23 To: 03-Oct-23	One ICP was updated to “ready” status after initial electrical connection. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong, as the process is compliant and only one exception was identified. The impact is low, as the ICP was moved to “ready” status ten business days after initial electrical connection.	
Actions taken to resolve the issue	Completion date	Remedial action status
The ICP in question was updated to Ready as soon as the information required to do so was received from the customer.	During audit period	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
ICPs are no longer distributed unless their status has been updated to Ready.	Ongoing	

Timeliness of Provision of Initial Electrical Connection Date		
Non-compliance	Description	
Audit Ref: 3.5 With: 7(2A) of schedule 11.1 From: 09-Sep-22 To: 14-May-24	Five ICPs did not have initial electrical connection dates populated within ten business days of initial electrical connection. Potential impact: Low Actual impact: Low Audit history: Multiple Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate, as they are sufficient to prevent late updates most of the time. The audit risk rating is deemed to be low as this has no direct impact on reconciliation.	
Actions taken to resolve the issue	Completion date	Remedial action status
4 ICPs were late to have IEDs updated due to the time taken by the MEP or the trader to confirm the liveness date. 1 ICP was late to be updated due to a previous process where the input date was used as the effective date.	During the audit period	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
The IED is updated as soon as all the information required to do so is available and the process of using the input date as the event date was replaced in 2022.	Ongoing	

Connection of ICP that is not an NSP		
Non-compliance	Description	
Audit Ref: 3.6 With: Clause 11.17 From: 19-Sep-23 To: 03-Oct-23	One ICP with a late status update to “ready” did not have a responsible trader recorded on the registry on the initial electrical connection date. Potential impact: Low Actual impact: Low Audit history: Once Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong, as the process is compliant and only one exception was identified. The impact is low, as the ICP was moved to “ready” status ten business days after initial electrical connection.	
Actions taken to resolve the issue	Completion date	Remedial action status
Confirmation of the proposed trader was late to be received from our client. This was updated in the registry as soon as it was available.	During the audit period	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
ICPs are no longer distributed unless the status is Ready	Ongoing	

Changes to registry information		
Non-compliance	Description	
Audit Ref: 4.1 With: 8 of schedule 11.1 From: 01-Sep-22 To: 10-June-24	One late address update. Two late status updates to “decommissioned”. Potential impact: Low Actual impact: Low Audit history: Multiple Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as strong, as risk is mitigated to an acceptable level as TENCO have good reporting in place to manage registry updates. The audit risk rating is low as only three ICPs were affected, therefore the impact on settlement will be low.	
Actions taken to resolve the issue	Completion date	Remedial action status
The address update was backdated due to a manual data entry error, whereby the event date was not updated from the previous event.	During the audit period	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
The implementation of Axos Registry Manager will prevent these manual data errors in future.	01/10/2024	

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) From: 16-Jan-23 To: 25-Jan-23		One meter recertification not notified to the RM within 20 days of meter recertification. Potential impact: Low Actual impact: Low Audit history: Once Controls: Strong Breach risk rating: 1	
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 deemed to be low as this has no direct impact on reconciliation.	
Actions taken to resolve the issue		Completion date	Remedial action status
Meter certification details were updated to the RM portal as soon as they were received from the MEP.		During audit period	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
We continue to work with MEPs to request copies of certifications as they fall due.		Ongoing	