

Compliance Plan for Delta ATH – 2022

ATH Record Keeping Requirements		
Non-compliance	Description	
Audit Ref: 3.7 With: Clause 12 of Schedule 10.4 From: 23-Nov-20 To: 23-Mar-22	Certification records not stored for certifications completed by Network Waitaki inspectors. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate as there is room for improvement with the storage of certification records from Network Waitaki. The impact is recorded as low as the records are provided to the MEP and are being stored by Network Waitaki.	
Actions taken to resolve the issue	Completion date	Remedial action status
Complete records are held by Network Waitaki, these have been requested by Delta. Once received all the data will be entered into DeltaView consolidating our records.	31-12-2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Network Waitaki have been advised that Delta require all certification records to be recorded in DeltaView. In the short term all records are to be sent to Delta for entry into DeltaView as the jobs are completed. Long term all Network Waitaki technicians will be using DeltaView directly facilitating direct storage.	31-12-2022	

Advise MEP of Records, Certificates or Reports for a Metering Installation		
Non-compliance	Description	
Audit Ref: 3.9 With: Clause 14 Of Schedule 10.4 From: 01-Aug-21 To: 23-Mar-22	Certification records provided to the MEP late for three metering installations. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as strong as they ensure records are provided within five business days for the vast majority of certifications completed. The impact on MEPs is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
Additional staff are being trained to assist in ensuring MIC reports are completed and provided to MEPs within the required timeframe.	31-12-2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Additional staff are being trained to assist in ensuring MIC reports are completed and provided to MEPs within the required timeframe	31-12-2022	

Meter Requirements			
Non-compliance	Description		
Audit Ref: 3.11 With: Clause 26 (4) of Schedule 10.7 From: 27-Sep-21 To: 23-Mar-22	One metering installation certification report with maximum interrogation cycle incorrectly recorded. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as strong as they ensure that the MIC is correctly recorded in most cases. There is very little impact on other participants; therefore, the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
The MIC report has been corrected and resubmitted to the MEP		29-4-22	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Delta plan to alter our certification spreadsheet so that the MIC is automatically applied according to the corresponding MEP using an excel formula rather than direct entry by Delta staff.		31-12-2022	

Determine Maximum Interrogation Cycle		
Non-compliance	Description	
Audit Ref: 3.14 With: Clause 36 (3) of Schedule 10.7 From: 27-Sep-21 To: 23-Mar-22	One metering installation certification report with maximum interrogation cycle incorrectly recorded. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as strong as they ensure that the MIC is correctly recorded in most cases. There is very little impact on other participants; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
The MIC report has been corrected and resubmitted to the MEP		29-4-22
Preventative actions taken to ensure no further issues will occur		Completion date
Delta plan to alter our certification spreadsheet so that the MIC is automatically applied according to the corresponding MEP using an excel formula rather than direct entry by Delta staff.		29-4-22
		Identified

Certification Tests		
Non-compliance	Description	
Audit Ref: 5.12 With: Clause 9(1)(ii)(B) of Schedule 10.7 From: 01-Feb-21 To: 24-Mar-22	ATH did not record the accumulation of pulses when conducting raw meter data tests. Potential impact: Low Actual impact: None Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	I have recorded the controls as moderate as the Delta process does ensure that testing is conducted correctly but can be improved by ensuring that results are recorded. The impact is low as the Delta process has ensured that testing is conducted; therefore, the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
Delta plan to add the requirement to record the accumulation of pulses, meter constant, load applied in Kilowatts and the calculated expected accumulation of pulses when performing our meter functionality testing.	31-12-22	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Delta plan to add the requirement to record the accumulation of pulses, meter constant, load applied in Kilowatts and the calculated expected accumulation of pulses when performing our meter functionality testing.	31-12-22	