

## Compliance plan for Electrica

Non-compliance	Description	
<b>Audit Ref:</b> 2.1 <b>With:</b> clause 15.2 of Part 15 <b>From/to:</b> 1/9/16 – 30/04/17	HE estimate incorrectly displayed in AV080 as "0", which was incorrect, due to programming error. <b>Potential impact:</b> None <b>Actual impact:</b> None <b>Audit history:</b> None <b>Controls:</b> Weak <b>Breach risk rating:</b> 3	
Audit Risk Rating	Rationale for audit risk rating	
Low	No impact on settlement market; revision files were submitted. Electrica's customer base is very small.	
Actions taken to resolve the issue	Completion date	Remedial action Status
The software was corrected to display the correct figure (instead of 0) in the report.	30/06/2017	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
The error will not occur in the future as the software has been corrected. If the value is 0 we will further investigate before each submission.	30/06/2017	

<b>Non-compliance</b>	<b>Description</b>		
<b>Audit Ref: 3.3</b> <b>With:</b> clause 10 of Schedule 11.1  <b>From/to:</b> 1/10/16 – 26/3/17	Update for 7 ICPs out of 12 were uploaded later than 5 business days (clause 10 of Schedule 11.1). All late updates were related of profile and reconciliation type <b>Potential impact:</b> None <b>Actual impact:</b> None <b>Audit history:</b> None <b>Controls:</b> Moderate <b>Breach risk rating:</b> 2		
<b>Audit Risk Rating</b>	<b>Rationale for audit risk rating</b>		
Low	No impact on settlement market; revision files were submitted. Electrica's customer base is very small.		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	<b>Remedial action Status</b>
This was generated by us not being confident with the quality of the data received from MEP and deciding too late what type of reconciliation we should use for the impacted ICPs. We will make the decision and update the registry accordingly within the 5 business days, as specified by clause 10 of schedule 11.1 in the future.		30/06/2017	Cleared
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>	
Strictly follow the documentation that states all changes need to be made within 5 business days from the date of event occurrence.		30/06/2017	

<b>Non-compliance</b>	<b>Description</b>		
<b>Audit Ref: 13.3</b> <b>With:</b> 9(1)(k) of Schedule 11.1  <b>From/to:</b> 1/9/16 – 30/04/17	HE estimate incorrectly displayed in AV080 as "0", which was incorrect, due to programming error. <b>Potential impact:</b> None <b>Actual impact:</b> None <b>Audit history:</b> none <b>Controls:</b> Weak <b>Breach risk rating:</b> 3		
<b>Audit Risk Rating</b>	<b>Rationale for audit risk rating</b>		
Low	Incorrect ANZSIC code was entered for 8 ICPs. This has a minor, negligible impact on settlement outcomes		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	<b>Remedial action Status</b>
The software was corrected to display the correct figure (instead of 0) in the report.		30/06/2017	Cleared
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>	
The error will not occur in the future as the software has been corrected. If the value is 0 we will further investigate before each submission.		30/06/2017	