

NON-COMPLIANCE

Non-compliance	Description		
<p>Audit Ref: 3.5</p> <p>With: 7(2A) of schedule 11.1</p> <p>From: 02-Dec-16</p> <p>To: 03-Oct-17</p>	<p><i>Distributor provides initial energisation date to registry.</i></p> <p><i>The participant did not provide the initial energisation date for 2 new ICPs within the required period.</i></p> <p>Potential impact: None</p> <p>Actual impact: None</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>Audit risk is assessed as Low because only 2 ICPs are involved and the delay was not great (11 and 17 BD). No participant or reconciliation process depends on this information.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>BEL has recently implemented a new database system for the processing of new connections. BEL has also reorganised the roles of its field staff, incorporating a dedicated new connections team who will undertake all initial energisation work. This will improve the timeliness of field staff completing energisation paper work.</p>		1/10/2017	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>The new database system incorporates in-built controls for documentation archiving, Registry updates, error checking, and overall process control. It will allow BEL to more accurately monitor the progress of new connections and automatically notify staff to areas requiring attention. Implementation of the new database system, staff training, and verification/bedding-in of the processes is currently in progress.</p>		1/12/2017	

Non-compliance	Description
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Audit Ref: Error! Reference source not found. With: Clause 11.17 From: 02-Dec-16 To: 03-Oct-17	<i>Trader approval required prior to electrical connection.</i> <i>Trader approval was not obtained prior to electrical connection of 1 ICP.</i> Potential impact: Low Actual impact: None Audit history: Once Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	This is an isolated incident. The process in place has proven to ensure all ICP consumption is traded for every new ICP as is the case with this one.		
Actions taken to resolve the issue		Completion date	Remedial action status
BEL has recently implemented a new database system for the processing of new connections.		1/10/2017	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
The new database system incorporates in-built controls for documentation archiving, Registry updates, error checking, and overall process control. It will allow BEL to more accurately monitor the progress of new connections and automatically notify staff to areas requiring attention. Implementation of the new database system, staff training, and verification/bedding-in of the processes is currently in progress.		1/12/2017	

Non-compliance	Description
<p>Audit Ref: Error! Reference source not found.</p> <p>With: Clause 10.28(7)</p> <p>From: 02-Dec-16 To: 03-Oct-17</p>	<p><i>ICP must not be electrically connected unless trader has requested connection.</i></p> <p><i>BUEL were unable to demonstrate a request from a trader prior to electrical connection of 1 ICP.</i></p> <p>Potential impact: Low</p> <p>Actual impact: None</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>
Audit risk rating	Rationale for audit risk rating

Low	This is an isolated incident. The process in place has proven to ensure all ICP consumption is traded for every new ICP as is the case with this one.		
Actions taken to resolve the issue		Completion date	Remedial action status
BEL has recently implemented a new database system for the processing of new connections.			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
The new database system incorporates in-built controls for documentation archiving, Registry updates, error checking, and overall process control. It will allow BEL to more accurately monitor the progress of new connections and automatically notify staff to areas requiring attention. Implementation of the new database system, staff training, and verification/bedding-in of the processes is currently in progress.			

Non-compliance	Description		
<p>Audit Ref: 4.1</p> <p>With: 8 of schedule 11.1</p> <p>From: 02-Dec-16</p> <p>To: 03-Oct-17</p>	<p><i>Participant provides changes to registry information within 3 business days of the change taking effect.</i></p> <p><i>Participant did not provide information within 3 business days as tabulated in audit report for changes of address and installation type.</i></p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	Controls in place are satisfactory for the small volume of changes made. The small number of incidents that have occurred are trivial, and no change has had any adverse impact on the market, any participant or any consumer.		
Actions taken to resolve the issue		Completion date	Remedial action status

BEL staff who undertake Registry updates have been made aware of the requirement to update information within 3 business days.	20/10/2017	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>BEL continues to undertake all Registry updates manually via the web interface. The back dating of Address changes by more than 3 business days was a result of human error e.g. the event date should have been made the date on which the change was made (the input date), rather than leaving it as the last Address event date. The updating of the Installation Type when a distributor generator is connected has been discussed with the Auditor, and the requirements are now clearer.</p> <p>The new database system which BEL has recently implemented allows BEL to prepare and check Registry updates within the system itself. The next step in the on-going development process is to start updating the Registry automatically from the database using text file SFTP transfers to the Data Hub.</p>	On-going	