

Compliance plan for Alpine Energy Limited 2017

Requirement to provide complete and accurate information		
Non-compliance	Description	
Audit Ref: 2.1 With: 11.2(1) and 10.6(1) From: 01-Sep-16 To: 31-Aug-17	Information on the registry not complete and accurate Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Not all errors are being actioned hence control rating of moderate. The audit risk rating is low as the errors have no direct impact on reconciliation	
Actions taken to resolve the issue		Completion date
We require the validation errors from the registry		30/11/17
Preventative actions taken to ensure no further issues will occur		Completion date
Implement daily/weekly/monthly validation error system		22/12/17
		Identified

Non-compliance	Description	
Audit Ref: 2.2 With: 11.2(2) and 10.6(2) From: 01-Sep-16 To: 31-Aug-17	Errors not corrected as soon as practicable Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Not all errors are being actioned hence control rating of moderate. The audit risk rating is low as the errors have no direct impact on reconciliation	
Actions taken to resolve the issue		Completion date
We require the validation errors from the registry		30/11/17
Preventative actions taken to ensure no further issues will occur		Completion date
Implement daily/weekly/monthly validation error system		22/12/17
		Identified

Timeliness of Provision of Initial Electrical Connection Date		
Non-compliance	Description	
Audit Ref: 3.5 With: 7(2A) of Schedule 11.1 From: 01-Sep-16 To: 31-Aug-17	Late updating of the initial electrical connection date for 32 ICPs Potential impact: None Actual impact: None Audit history: Multiple Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The processes in place will mitigate risk hence controls are rated as moderate. This has no direct impact on submission hence the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Create AEL job tracking spreadsheet		Jan 17
Preventative actions taken to ensure no further issues will occur		Completion date
Closer job management and tracking from AEL to FSP and return from FSP to AEL ASAP after completion		Dec 17
		Identified

Monitoring of “new” & “ready” statuses		
Non-compliance	Description	
Audit Ref: 3.14 With: 15 Schedule 11.1 From: 01-Sep-16 To: 31-Aug-17	Seven ICPs at ICPs at “New” and 25 at “Ready” for more than 24 months not monitored. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	The process in place does not appear to be monitoring these ICPs as per the requirement of this clause, hence the control rating of weak. This affects a small number of ICPs therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Metering Department to receive Registry notifications		30/11/17
Preventative actions taken to ensure no further issues will occur		Completion date
Implement systematic registry notifications		22/12/17
		Identified

Non-compliance	Description	
Audit Ref: 4.1 With: 8 Schedule 11.1 From: 01-Sep-16 To: 31-Aug-17	Registry event updates backdated greater than three days Two ICPs change of NSP not updated within the required timeframe Potential impact: Low Actual impact: Low Audit history: Multiple Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	I have rated the controls as moderate as the controls in place will mitigate the risk most of the time. There is a potential minor impact on settlement, hence the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Metering Department to receive Registry errors		30/11/17
Preventative actions taken to ensure no further issues will occur		Completion date
Ensuring entry is correct on initial entry, review at time of connection (paperwork entry)		27/11/17
		Identified

Notice of NSP for each ICP		
Non-compliance	Description	
Audit Ref: 4.2 With: 7(1),(4) and (5) Schedule 11.1 From: 01-Sep-16 To: 31-Aug-17	Incorrect NSP for some ICPs Potential impact: Medium Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate as the process will mitigate errors most of the time. The volume of potentially mismapped ICPs is low therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Reviewed and corrected on the Registry		30/11/17
Preventative actions taken to ensure no further issues will occur		Completion date
Quarterly NSP mapping		Dec 17

Distributors to Provide ICP Information to the Registry manager		
Non-compliance	Description	
<p>Audit Ref: 4.6</p> <p>With: 7(1)(o)&(p)</p> <p>Schedule 11.1</p> <p>From: 01-Sep-16</p> <p>To: 31-Aug-17</p>	<p>Four active ICPs with no initial electrical connection date incorrectly recorded.</p> <p>Three ICPs with an initial electrical connection date incorrectly recorded.</p> <p>Three ICPs with distributed generation details missing.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>Controls are rated as moderate as they will mitigate risk most of the time.</p> <p>The audit risk rating is low as this information does not have a direct impact on reconciliation.</p>	
Actions taken to resolve the issue		Completion date
Once errors are known we are able to correct		30/11/17
Preventative actions taken to ensure no further issues will occur		Completion date
Metering Department require notification tool		Dec 17

