

COMPLIANCE PLAN FOR ELECTRICA (2019)

Non-compliance	Description	
Audit Ref: 2.2 With: 15.35 From: 11-May-18 To: 31-Oct-18	Incorrect NSP allocated to three ICPs for a period of time and a delay to submit volumes for one ICP for two months Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are recorded as moderate because there are some improvements that can be made to them. The issue has been fixed. Audit risk is recorded as low as impact on settlement outcomes is minor because of small number of ICPs	
Actions taken to resolve the issue	Completion date	Remedial action status
We've updated the data in our system to accurately reflect the ICP configuration changes.	November 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We've updated our validation system to properly track the changes in the ICP configuration. New ICPs are automatically added to our system as part of the switching process, rather than them being added manually as it happened in the past. This will ensure the new ICPs will not miss from our submissions for reconciliation.	November 2018	

Non-compliance	Description		
Audit Ref: 4.8 With: 10(1)(a)(ib) of Schedule 11.3 From: 01-Jan-18 To: 31-Dec-18	No AN files were sent for four switch move switches Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are recorded as moderate because there are some improvements that can be made to them. Electrica "misread" the Code. Audit risk is recorded as low as impact on settlement outcomes is minor		
Actions taken to resolve the issue		Completion date	Remedial action status
We've updated our documentation to state it's compulsory to send AN file if the switch type is a move one.		January 2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
This was an omission in our documentation, and we updated our documentation		January 2019	

Non-compliance	Description		
Audit Ref: 9.6 With: 17 of Schedule 15.2 From: 01-Jan-18 To: 31-Dec-18	EnelSoft does not check for unexpected 0 values Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are recorded as moderate because there are some improvements that can be made to them. Audit risk is recorded as low as impact on settlement outcomes is minor because of small number of ICPs		
Actions taken to resolve the issue		Completion date	Remedial action status
We reinstated the checking of 0 values as part of our metering data validations. We stopped it when we started receiving certified HH data from Metrix because we didn't realise we still have to check for this.		January 2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We reinstated the checking of 0 values as part of our metering data validations.		January 2019	

Non-compliance	Description		
Audit Ref: 11.4 With: 15.8 From: 01-Jan-18 To: 31-Dec-18	HHRAGGR files do not contain electricity supplied information Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	Electrica submits submissions volumes as per the reconciliation manager specification.		
Actions taken to resolve the issue		Completion date	Remedial action status
			Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	

Non-compliance	Description		
Audit Ref: 12.2 With: 15.4 From: 01-May-18 To: 30-Jun-18	Volumes not submitted for one ICP (new switch) for two months Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are recorded as strong. Electrica identified the problem before the audit and corrected it. Audit risk is recorded as low as impact on settlement outcomes is minor because of small number of ICPs		
Actions taken to resolve the issue		Completion date	Remedial action status
The issue was resolved when we added the ICP to our system.		July 2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
New ICPs are automatically added to our system as part of the switching process, rather than them being added manually as it happened in the past. This will ensure the new ICPs will not miss form our submissions for reconciliation.		July 2018	

Non-compliance	Description		
Audit Ref: 12.3 With: 15.5 From: 11-May-18 To: 31-Oct-18	Incorrect NSP allocated to three ICPs for a period of time Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are recorded as strong. Electrica identified the problem before the audit and corrected it. Audit risk is recorded as low as impact on settlement outcomes is minor because of small number of ICPs		
Actions taken to resolve the issue		Completion date	Remedial action status
We've updated the data in our system to accurately reflect the ICP configuration changes.		November 2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We've updated our validation system to properly track the changes in the ICP configuration.		November 2018	

Non-compliance	Description		
Audit Ref: 12.7 With: 15.12 From: 11-May-18 To: 31-Oct-18	Incorrect NSP allocated to three ICPs for a period of time and a delay to submit volumes for one ICP for two months Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are recorded as strong. Electrica identified the problem before the audit and corrected it. Audit risk is recorded as low as impact on settlement outcomes is minor because of small number of ICPs		
Actions taken to resolve the issue		Completion date	Remedial action status
We've updated the data in our system to accurately reflect the ICP configuration changes.		November 2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We've updated our validation system to properly track the changes in the ICP configuration.		November 2018	