

## Compliance plan for Ecosmart - 2019

Non-compliance	Description	
Audit Ref: 3.3 With: 10 of Schedule 11.1 From: 17-Jan-19 To: 04-May-19	Two updates to the registry were later than five business days Potential impact: Low Actual impact: Low Audit history: Twice previously Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	Controls are recorded as strong, there are is a solid process in place. There are not many activities happening in the registry, which requires even more vigilance to meet compliance with this clause. The audit risk rating is low because there is minor impact on the settlement outcome.	
Actions taken to resolve the issue	Completion date	Remedial action status
		Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Some backdated updates are inevitable to maintain accuracy no remedial action planned		

Non-compliance	Description	
Audit Ref: 4.3 With: 5 of Schedule 11.3 From: 21-Dec-18 To: 05-Jan-19	One CS file was late by one day Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	Controls are recorded as strong, there is a robust process in place. As soon as a notification from the registry is sent, Ecosmart is automatically alerted. There are not many switching activities therefore even more vigilance is required to meet compliance with this clause. The audit risk rating is low because there is minor impact on the settlement outcome.	
Actions taken to resolve the issue	Completion date	Remedial action status
		Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Systems are already in place		

My software now notifies me of switch breaches.  
 So now these are usually done the same day of the switch breach notice.  
 This problem should never occur again.

Non-compliance	Description		
Audit Ref: 11.3 With: 15.7  From: 01-Aug-18 To: 20-Jun-19	Energy supplied is calculated by JC Consulting from the previous months Initial Network volumes  Potential impact: None  Actual impact: Low  Audit history: None  Controls: Moderate  Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	Controls are recorded as moderate because data is not coming from a billing system, however volumes submitted to networks are very accurate based on meter readings. There is no impact on settlement outcomes. Audit risk low.		
Actions taken to resolve the issue		Completion date	Remedial action status
This has now been remedied to come from ECOS billing software instead of from John Candy's submitted vols.			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
A scheduled automatic task has been created to submit the file at the beginning of each month.			

<b>Non-compliance</b>	<b>Description</b>		
Audit Ref: 11.4 With: 15.8 From: 01-Aug-18 To: 30-Jun-19	HHRAGGR files do not contain electricity supplied information Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>		
<b>Low</b>	Ecosmart submits submissions volumes as per the reconciliation manager specification.		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	<b>Remedial action status</b>
			Identified
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>	
NO remedial action from ECOS is planned			