

Compliance plan for King Country Energy - 2019

Non-compliance	Description		
Audit Ref: 11.2 With: 15.6 From: 01-Aug-18 To: 15-Jul-19	Incorrect allocation of ICP days in submission file (ICPDAYS) for 4 ICPs caused by an incorrect flag of installation type recorded by The Line Company Potential impact: None Actual impact: None Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	We consider it to be a technical breach with no market impact. King Country confirmed that they were correctly invoiced by the Clearing Manager for both import and export volumes. We recommend that King Country Energy regularly review the GR100 file		
Actions taken to resolve the issue		Completion date	Remedial action status
LINE contacted and error fixed 30 Aug 2019		30 aug2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
3 monthly reminder in calendar to check GR100 file		20 Oct 19	

Description	Recommendation	Audited party comment	Remedial action
Mismatch of ICP days calculated by the registry and ICPs days reported in ICPDAYS submission files	Regularly review the GR100 file	LINE has been instructed to change and this was fixed 30 august 2019.	Going forward there will be a 3 monthly check of the GR100

Non-compliance	Description		
Audit Ref: 11.4 With: 15.8 From: 01-Aug-18 To: 15-Jul-19	HHRAGGR files do not contain electricity supplied information Potential impact: None Actual impact: None Audit history: Twice previously Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	King Country Energy submits submission volumes as per the reconciliation manager specification.		
Actions taken to resolve the issue		Completion date	Remedial action status
All volume purchased is used for the operation of the power station. KCE does not retail.			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
KCE will not participate as a retailer.			

Non-compliance	Description		
Audit Ref: 12.7 With: 15.12 From: 19-Nov-19 To: 19-Nov-19	Revision 14 was not submitted for April'18 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. In most months, HE targets are met. It is not possible to resubmit R14 files. The only option would be to use a special washups process which is very expensive and in this case not worthwhile. Total volumes are correct.		
Actions taken to resolve the issue		Completion date	Remedial action status
As KCE is not applying for NHH certification we are no longer taking any further action.		Sep 19	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	

Non-compliance	Description		
Audit Ref: 12.8 With: 4 of Schedule 15.2 From: 01-Aug-18 To: 30-Jun-19	Submissions for a small number of NSPs did not reach the target of 100% HE Potential impact: None Actual impact: None Audit history: Multiple times Controls: Strong Breach risk rating:1		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are recorded as strong. In most months, HE targets are met. It is not possible to resubmit R14 files. The only option would be to use a special washups process which is very expensive and in this case not worthwhile		
Actions taken to resolve the issue		Completion date	Remedial action status
As KCE is not applying for NHH certification we are no longer taking any further action.		Sep 19	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	

Non-compliance	Description		
Audit Ref: 13.3 With: 10 of Schedule 15.3 From: 19-Nov-19 To: 19-Nov-19	A small number of NSPs did not reach the target of 100% 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. In most months, HE targets are met. It is not possible to resubmit R14 files. The only option would be to use a special washups process which is very expensive and in this case not worthwhile. Total volumes are correct.		
Actions taken to resolve the issue		Completion date	Remedial action status
As KCE is not applying for NHH certification we are no longer taking any further action.		Sep 19	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	