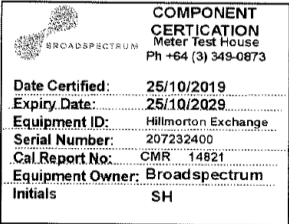


Compliance Plan for Broadpectrum ATH – November 2019

Meter Requirements			
Non-compliance	Description		
Audit Ref: 3.11 With: Clause 26(4) of Schedule 10.7 From: 26-Jan-19 To: 16-Oct-19	Maximum interrogation cycle not always populated. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as moderate because there is room for improvement. The impact on other participants could be minor; therefore the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
This requirement is already in place, so additional checking and technician education, is required.		18/11/19	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
This can only be solved by additional checking and technician education, as the requirements are already in place		18/11/19	

Determine Maximum Interrogation Cycle		
Non-compliance	Description	
Audit Ref: 3.14 With: Clause 36(4) of Schedule 10.7 From: 26-Jan-19 To: 16-Oct-19	Maximum interrogation cycle not recorded for 3 installations. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate because there is room for improvement. The impact on other participants could be minor; therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
This requirement is already in place, so additional checking and technician education, is required.		18/11/19
Preventative actions taken to ensure no further issues will occur		Completion date
This can only be solved by additional checking and technician education, as the requirements are already in place		18/11/19

Metering Component Stickers		
Non-compliance	Description	
Audit Ref: 4.14 With: Clause 8(2) of Schedule 10.8 From: 01-Dec-17 To: 16-Oct-19	Component owner not recorded on certification stickers. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate because there is room for improvement. The impact on other participants is minor; therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
This problem only affected one of our stickers used mainly for in-laboratory meter calibrations, this printed sticker has been modified to include the equipment owner.		18 October 2019
Preventative actions taken to ensure no further issues will occur		Completion date
Sticker template modified as shown below:- 		18/10/2019

Requirement for Metering Installation Design Report		
Non-compliance	Description	
Audit Ref: 5.3 With: Clause 2(4) Of Schedule 10.7 From: 01-Dec-17 To: 16-Oct-19	Design reports not complete for three metering installations. Potential impact: Medium Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate because design reports are in place for most metering installations. There is a potential minor impact due to the incomplete design reports, therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Additional checking at the certification stage will be implemented to ensure that the standard drawing is identified or attached		18/11/19
Preventative actions taken to ensure no further issues will occur		Completion date
This can only be solved by additional checking, as the requirements are already in place		18/11/19
		Identified

ATH Design Report Obligations		
Non-compliance	Description	
Audit Ref: 5.4 With: 3 Of Schedule 10.7 From: 01-Dec-17 To: 16-Oct-19	Design reports not complete for three metering installations. Potential impact: Medium Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate because design reports are in place for most metering installations. There is a potential minor impact due to the incomplete design reports, therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Additional checking at the certification stage will be implemented to ensure that the standard drawing is identified or attached		18/11/19
Preventative actions taken to ensure no further issues will occur		Completion date
This can only be solved by additional checking, as the requirements are already in place		18/11/19
		Identified

Error Calculation		
Non-compliance	Description	
Audit Ref: 5.30 With: Clause 22 Of Schedule 10.7 From: 01-Dec-17 To: 16-Oct-19	On site temperature is not confirmed when comparative recertification is conducted. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	I have rated the controls as moderate because in most cases the temperature will fall within the specified range. The impact on settlement is likely to be minor as it is unlikely that the error of any installations would exceed the error limits.	
Actions taken to resolve the issue		Completion date
As stated above the existing uncertainty figure allows for a temperature variation of +/- 10°C, and as all these installations are within controlled environments, it is extremely unlikely that the temperature will be outside these limits. But for completeness we will be modifying the check sheet to include the temperature and include this in the uncertainty calculation when performing comparative recertification.		1/12/19
Preventative actions taken to ensure no further issues will occur		Completion date
Modify the check sheet to include the temperature		1/12/19
		Identified