

Compliance plan for AMPC Distributor Audit – 2020

Provision of Initial Electrical Connection Date		
Non-compliance	Description	
<p>Audit Ref: 3.5</p> <p>With: 7(2A) of Schedule 11.1</p> <p>From: 13-Aug-19</p> <p>To: 30-Sep-19</p>	<p>Three initial electrical connections dates were populated on the registry later than 10 business days.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>Controls are rated as strong, as they are sufficient to prevent the late updates most of the time.</p> <p>The audit risk rating is deemed to be low as this has no direct impact on reconciliation.</p>	
Actions taken to resolve the issue		Completion date
The IED was added to Registry as soon as we were made aware of the liveness and cert date for the 3 ICP's which is visible to us via the Tenco SF Compliance Dashboard		During the audit period.
Preventative actions taken to ensure no further issues will occur		Completion date
We have modified our process whereby we are now adding the IED where we receive a copy of the paperwork from the MEP which in most cases will be prior to the trader or MEP populating registry thus will improve the timeframes for updating Registry with the IED. Additionally where we do not already receive paperwork from the MEP we have added a step recommended by the auditors for requesting the meter install paperwork from the MEP/Retailer to confirm the IED date.		November-2020
		Identified

Updating loss factors			
Non-compliance	Description		
<p>Audit Ref: 5.2</p> <p>With: Clause 22 Schedule 11.1</p> <p>From: 01-Mar-19</p> <p>To: 05-Jun-19</p>	<p>One loss category was updated late.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>Controls are rated as strong, as they are sufficient to prevent the late updates most of the time.</p> <p>The audit risk rating is deemed to be low as this affected a small number of ICPs.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
This is a one off error as a result of a loss code tidy op completed across all TENC managed networks, the Criteria should have been using EN and SB ICP's however only EN ICP's were reviewed and the loss code was incorrectly closed in Registry – as soon as we were made aware of the issue we backdated the start date for the loss code.		05/06/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Loss Code updates and changes to Registry are now only via our Market Operations and Compliance Manager and are no longer completed just via an Analyst.		September-2020	

Responsibility for metering for NSP		
Non-compliance	Description	
<p>Audit Ref: 6.8</p> <p>With: 10.25(1)</p> <p>From: 30-Mar-20</p> <p>To: 23-Sep-20</p>	<p>One meter recertification date notified to the RM more than 20 business date from the date of recertification.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>Controls are rated as strong as with the correct email address notifications will be provided in sufficient time to notify the Reconciliation Manager.</p> <p>The audit risk rating is deemed to be low as the meter was recertified – the notification to the Reconciliation Manager was late.</p>	
Actions taken to resolve the issue		Completion date
As soon as we were made aware of the mis-match between or records on the MEP's we updated the RM NSP Metering table with the updated records.		23/09/2020
Preventative actions taken to ensure no further issues will occur		Completion date
We have added a step to our process whereby on BD1 each month we send the MEP a record of all LE metering cert details with have in Tenco's CRM to allow them to review and provide updated meter paperwork to us where the steps introduced in November-2017 as referenced above have not been completed.		September-2020
		Identified