

Compliance plan for Oyster Network Limited Distributor audit – 2021

Timeliness of Provision of Initial Electrical Connection Date		
Non-compliance	Description	
Audit Ref: 3.5 With: 7(2A) of Schedule 11.1 From: 01-Sep-19 To: 31-Dec-20	12 ICPs Initial Electrical Connection dates updated late. Potential impact: None Actual impact: None Audit history: Multiple Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate - checks are in place to monitor changes to active. This has no direct impact on submission hence the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
This is an ongoing issue for us and (we understand) other participants. It is disappointing and frustrating that our level of compliance in this area remains similar (~85%) to the last audit. Our processes as they stand are generally working but clearly are not 100% where other parties are slow to provide details. At this stage we are reviewing how some of the local networks combat the issue but other than measures mentioned in previous audit reports, we unfortunately don't have any specific new actions to report at this time.		ongoing
Preventative actions taken to ensure no further issues will occur		Completion date
As above		ongoing
		Identified

Changes to Registry information			
Non-compliance		Description	
Audit Ref: 4.1 With: 8 Schedule 11.1 From: 01-Jan-19 To: 31-Dec-20		One backdated pricing event. Three late updates to decommissioned. Potential impact: Low Actual impact: Low Audit history: Twice previously Controls: Strong Breach risk rating: 1	
Audit risk rating		Rationale for audit risk rating	
Low		The controls are rated as strong - checks are in place to monitor registry changes. This affected four ICPs therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date	Remedial action status
As noted above controls in this area are strong. Decommissioning events can sometimes cause issues due to communication and understanding between trader and distributor particularly concerning temporary ICPs. Updates were made as soon as we became aware of changes/actions.		ongoing	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We will continue to pay close attention to status changes so that we can react quickly enough to remain compliant.		ongoing	