

## Compliance plan for The Embedded Network Company Reconciliation Participant Audit 2022

Relevant information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 15.2(1)(a)</p> <p>From: 19-Oct-21 To: 21-Oct-21</p>	<p>Inaccurate information was provided to the RM resulting in under submission of 64,029.20 kWh for NSP TGN0011.</p> <p>Potential impact: High Actual impact: High Audit history: None Controls: Weak Breach risk rating: 9</p>	
Audit risk rating	Rationale for audit risk rating	
<b>High</b>	<p>The controls are recorded as weak as such a discrepancy should have been investigated and corrected before submission.</p> <p>The impact on settlement and participants was high and the RM breached TENCO in relation to this event.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
On the 21/10/2021 following a query of the incorrect submission in the R3 file Tenco worked with EMS to resubmit a revised R3 file.	21/10/2021	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>For this instance, in both the R7 and R14 submissions Tenco via EMS will estimate the unavailable quantities based on retailer submissions.</p> <p>To avoid this on a go forward Tenco will not notify a new embedded network until we have proof the metering is installed. This does slow down our process, but we understand market impact of this.</p> <p>Tenco has developed a new data warehouse. One of the measures and KPIs we have put in place is monitoring the differences between retailer submissions, NSPVOLs and metered kWh.</p>	Ongoing	

<b>Submission accuracy</b>			
<b>Non-compliance</b>	<b>Description</b>		
Audit Ref: 12.7 With: Clause 15.12  From: 19-Oct-21 To: 21-Oct-21	Inaccurate information was provided to the RM resulting in under submission of 64,029.20 kWh for NSP TGN0011.  Potential impact: High  Actual impact: High  Audit history: None  Controls: Weak  Breach risk rating: 9		
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>		
<b>High</b>	The controls are recorded as weak as such a discrepancy should have been investigated and corrected before submission.  The impact on settlement and participants was high and the RM breached TENCO in relation to this event.		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	<b>Remedial action status</b>
On the 21/10/2021 following a query of the incorrect submission in the R3 file Tenco worked with EMS to resubmit a revised R3 file.		21/10/2021	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>	
For this instance, in both the R7 and R14 submissions Tenco via EMS will estimate the unavailable quantities based on retailer submissions.  To avoid this on a go forward Tenco will not notify a new embedded network until we have proof the metering is installed. This does slow down our process, but we understand market impact of this.  Tenco has developed a new data warehouse. One of the measures and KPIs we have put in place is monitoring the differences between retailer submissions, NSPVOLs and metered kWh.		Ongoing	