

## Compliance plan for Power Edge – 2021

Non-compliance	Description		
Audit Ref: 2.1 With: 11.2 & 15.2  From: 16-Sep-20 To: 31-May-21	Incorrect information in the registry for a small number of ICPs Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	The controls are recorded as strong. Registry information is effectively monitored. Audit risk rating is recorded as low because the impact on settlement and participants is minor.		
Actions taken to resolve the issue		Completion date	Remedial action status
Registry training		12/5/2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Review Registry functional specification v22 32		13/5/2021	

Non-compliance	Description		
Audit Ref: 2.20 With: 11.30B  From: 02-Feb-21 To: 31-May-21	No information about Powerswitch was provided on the EDGE communications to customers about electricity services and bills  Potential impact: None  Actual impact: None  Audit history: None  Controls: Strong  Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as strong. The lack of information about PowerSwitch, during communications to customers about electricity services and bills was fixed during the audit. There was no impact on settlement outcomes. Audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Added to all emails		5/7/2021	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
Added to emails		5/7/2021	

Non-compliance	Description		
Audit Ref: 3.3 With: 10 of Schedule 11.1 From: 16-Sep-20 To: 31-May-21	Four late trader updates to the registry information Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as moderate as they require some improvements to update the registry in a timely manner. There was minor impact on settlement outcomes because of the small number of ICPs. Audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Minimise backdating		24/6/2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
When backdating get registry data on the same day		24/6/2021	

Non-compliance	Description		
Audit Ref: 3.5 With: 9 of Schedule 11.1 From: 19-Apr-21 To: 31-May-21	Profile and type of reconciliation for one ICP was incorrect in the registry Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as strong. Audit Risk Rating is recorded as low as the impact on settlement and participants is minor.		
Actions taken to resolve the issue		Completion date	Remedial action status
Registry training		12/5/2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Review Registry functional specification v22 32		13/5/2021	

Non-compliance	Description		
Audit Ref: 4.7 With: 9 of Schedule 11.3 From: 15-Sep-20 To: 02-Oct-20	Two switches Move ICP were backdated Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as strong. Registry information is effectively monitored. Audit risk rating is recorded as low because the impact on settlement and participants is minor.		
Actions taken to resolve the issue		Completion date	Remedial action status
Registry training		12/5/2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Review Registry functional specification v22 32		13/5/2021	

Non-compliance	Description		
Audit Ref: 4.9 With: 10(2) of Schedule 11.3  From: 28-Feb-21 To: 01-May-21	For 2 switched ICPs the switch event date proposed by the gaining trader was backdated  Potential impact: Low  Actual impact: Low  Audit history: None  Controls: Strong  Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as strong. EDGE controls the process well, these two ICPs were an exception. Audit risk rating is recorded as low because the impact on settlement and participants is minor.		
Actions taken to resolve the issue		Completion date	Remedial action status
Registry training		12/5/2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Ensuring that there is at least 24hr between events		24/6/2021	

Non-compliance	Description		
Audit Ref: 11.3 With: 15.7  From: 16-Sep-20 To: 31-May-21	Supplied volumes are sourced from the previous month's network volumes not from EDGE's billing system  Potential impact: Low  Actual impact: Low  Audit history: None  Controls: Weak  Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as weak. Billed volumes are not provided from the EDGE billing system. There was minor impact on settlement outcomes because of the small number of ICPs. Audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Sending billing information to JC		24/7/2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Sending billing report to JC		monthly	

Non-compliance	Description		
Audit Ref: 11.4 With: 15.8  From: 01-Jan-21 To: 31-May-21	HHRAGGR files do not contain electricity supplied information  Potential impact: Low  Actual impact: Low  Audit history: None  Controls: Strong  Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	EDGE submits submissions volumes as per the reconciliation manager specification.		
Actions taken to resolve the issue		Completion date	Remedial action status
			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	

Non-compliance	Description		
Audit Ref: 12.9 With: 2 of Schedule 15.3 From: 16-Sep-20 To: 31-May-21	0000201879UNC9F is reconciled as HHR but registry shows RPS PV1 profile and a reconciliation type NHH Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as strong.as they require some improvements to update the registry in a timely manner. There was minor impact on settlement outcomes because only one ICPs is incorrect, volumes are submitted. Audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Registry Training		12/5/2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Review Registry functional specification v22 32		13/5/2021	

Description	Recommendation	Audited party comment	Remedial action
If MEP changes and a meter is changed, the registry does not allow a participant to record two different meters on the same day	Delay the switch for at least one day		